

2014 vs. 2016 Survey Questions “Cross-walk”

Modifications, Deletions, New Questions by SECTION

- New or modified content is shown in *green text*.
- Deleted content is shown as ~~red-strikethrough-text~~.
- Text deletions/additions have resulted in question number changes between 2014 and 2016.

SECTION I: REPOSITORY

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

- How many subjects (individual criminal offenders) were in your criminal history file as of December 31, ~~2014~~2016?
 - Automated records _____ (include subjects whose records are partially automated)
 - Manual records _____
 - Total records _____
- Fingerprints processed in ~~2014~~2016:

<u>Purpose</u>	<u>Number</u>	<u>Percentage of</u> 2014 2016 <u>volume</u>	<u>Totals</u>
(a) Criminal (retained)	_____	_____ %	
(b) Criminal (not retained)	_____	_____ %	(a+b)_____
(c) Noncriminal (retained)	_____	_____ %	
(d) Noncriminal (not retained)	_____	_____ %	(c+d)_____
(e) What was the <u>total number</u> of fingerprint-based background checks conducted during 2014 2016?			(a+b+c+d)_____

3. ~~(a) Does your state combine both criminal events and noncriminal justice applicant information in the same record?~~

~~Yes No~~

~~(b) Of the total records in your database, _____ % represent records that contain both criminal events and noncriminal justice applicant information.~~

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 ~~you~~ employ flagging to indicate? (Check all that apply.)

- ~~Ineligible to purchase firearms~~
- Sex offender registrant
- ~~Convicted drug offender~~
- Violent offender
- ~~Domestic violence conviction~~
- 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
- ~~DNA not yet collected~~
- 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, ~~2014~~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, ~~2014~~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?

Less than 1 day

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?

Less than 1 day

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?

Less than 1 day

2-7 days

8-30 days

More than 30 days

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

(d) If yes, how many records were in the state warrant database as of December 31, ~~2014~~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?

Less than 1 day

2-7 days

8-30 days

More than 30 days

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
- Rap back services for criminal justice purposes
- Firearm registration
- Domestic violence incident reports
- Other (specify) _____

9. ~~(a) Which of the following most accurately describes the software components of your criminal history system?~~

- ~~Acquired from a software vendor and configured for the state's environment, but with no software modifications~~
- ~~Acquired from a software vendor, but software changes were necessary to customize for the state's environment~~
- ~~Built in-house (either by staff or contractors), such that the state's system is unique for our state~~
- ~~Other (specify) _____~~

~~(b) Which of the following most accurately describes the software environment or platform used for your criminal history system?~~

- ~~Microsoft .NET platform~~
- ~~Java platform~~
- ~~Mainframe platform (e.g., COBOL, Natural, PL/I, etc.)~~
- ~~Other (specify) _____~~

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

- 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

1. How many felony arrests were reported to your repository during calendar year ~~2014~~2016?
 _____ arrests

2. How many arrest fingerprints were submitted to your repository during ~~2014~~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? _____

(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

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

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.)

- Latent fingerprints _____ ~~2014~~2016 volume
- Flat prints _____ ~~2014~~2016 volume
- 2-finger prints for identification purposes _____ ~~2014~~2016 volume
- 2-finger prints for updating incarceration or release information to criminal history _____ ~~2014~~2016 volume
- 10-finger prints for updating incarceration or release information to criminal history _____ ~~2014~~2016 volume
- Palm prints _____ ~~201~~2016 volume
- Facial images/mug shots _____ ~~2014~~2016 volume
- Scars, marks, and tattoo images _____ ~~201~~2016 volume
- Facial recognition data _____ ~~2014~~2016 volume
- 1- or 2-finger prints for updating disposition information _____ ~~2014~~2016 volume
- Iris capture _____ ~~2014~~2016 volume
- Other (specify) _____ ~~2014~~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

Number of searches conducted in ~~2014~~2016 _____

Number of hits in ~~2014~~2016 _____

5. (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 ~~2014~~2016 _____ %

6. 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: _____

7. 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

8. 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

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. If you are a National Fingerprint File (NFF) state, have you elected not to forward disposition information on second and subsequent arrests to the FBI?~~

~~Yes No N/A (Not an NFF participant)~~

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 ~~2014~~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 ~~2014~~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 states repository in identifying or locating missing dispositions?

- Yes
- No

5. (a) As of December 31, ~~2014~~2016, was any court disposition data reported directly to the repository by automated means? (Note: “automated” means 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 ~~2014~~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 ~~2014~~2016, what was the average time elapsed between the occurrence of final felony ~~trial~~ court case dispositions and receipt of information concerning such dispositions by the repository?

_____ Days

- Less than 1 day
- 2-7 days
- 8-30 days
- 31-90 days
- 91-180 days
- 181 days to 365 days
- More than 1 year

7. In ~~2014~~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?

_____ Days

- Less than 1 day
- 2-7 days
- 8-30 days
- 31-90 days
- 91-180 days
- 181 days to 365 days
- More than 1 year

8. (a) As of December 31, ~~2014~~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, ~~2014~~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 ~~or a statewide prosecutors association~~?

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: NON-CRIMINAL BACKGROUND CHECKS

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 (dispensars, 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 liveness during 20142016 _____
- (b) Total number of noncriminal justice fingerprints submitted to the repository via cardscan during 20142016 _____
- (c) Percentage of noncriminal justice fingerprints submitted via liveness during 20142016 _____
- (d) Percentage of noncriminal justice fingerprints submitted via cardscan during 20142016 _____
- (e) Total number of liveness devices available for noncriminal justice purposes only _____
- (f) Total number of cardscan devices available for noncriminal justice purposes only _____
- (g) Total number of liveness 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)

- (a) Received via internet _____
- (b) Received via mail _____
- (c) Received via telephone _____
- (d) Other _____
- (e) 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

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 in 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 2014~~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: NON-CRIMINAL JUSTICE RAP BACK SERVICES

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 ~~2014~~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 9 through 10(d).

~~9. As a participant in NGI's rap back service, does your state restrict NGI subscribers from selecting from any of the available fees and their associated subscription terms?~~

~~Yes, we limit NGI subscribers in our state to the following: (Select all that apply.)~~

~~Two-year — \$2.25~~

~~Five-year — \$6.00~~

~~Lifetime — \$13.00~~

~~No, our subscribers can choose from any of the three fees and their associated subscription terms for their populations~~

~~Yes, we limit our subscribers to using *only* the Lifetime fee (\$13.00) and subscription term~~

~~Yes, we limit our subscriber's choice of fees in a different manner~~

~~(Describe) _____~~

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
- Not certain

(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
- Not certain

(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~~ Not certain

ADDITIONAL COMMENTS: