

2010 vs. 2012 Survey Questions
Modifications, Deletions, New Questions by SECTION

SECTION I: REPOSITORY

Modifications: (2012 survey combines Section I: Repository and Section VI: Repository Administration into one Section)

Question 2: (Question 2 was modified to include the number of Criminal (not retained) fingerprints that are processed by state repositories. Also, a distinction was made between retained and not retained criminal fingerprints as follows)

2. Fingerprints processed in 2012:

<u>Purpose</u>	<u>Number</u>	<u>Percentage of 2012 volume</u>	<u>Totals</u>
(a) Criminal (retained)	_____	_____	
(b) Criminal (not retained)	_____	_____ (a+b)	_____
(c) Non-criminal (retained)	_____	_____	
(d) Non-criminal (not retained)	_____	_____ (c+d)	_____
(e) What was the <u>total number</u> of fingerprint-based background checks conducted during 2012?		(a+b+c+d)	_____

Question 4: (Question 4 was modified to add a series of check boxes under 4b to identify other record subjects that are flagged by repositories as follows)

4. (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) Do you employ flagging to indicate?

- Ineligible to purchase firearms
- Sex offender registrant

- Convicted drug offender
- Violent offender
- (Other - Describe)

Question 6: (Question 6(b) was modified to clarify which entity(s) enter the protection order information directly to the FBI.)

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

- Yes No

(b) If no, does law enforcement or courts enter protection order information directly to the FBI-NCIC Protection Order File? Check all that apply.

- Yes, courts
- Yes, law enforcement

(c) If yes, how many records were in the state protection order record database as of December 31, 2012?

_____ records

New Questions:

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

- Yes No

(b) Are warrants entered onto the file electronically by courts?

- Yes No

(c) Are warrants entered onto the file by local law enforcement?

- Yes No

(d) If your state does not maintain a warrant file does law enforcement enter warrant information directly to the FBI-NCIC Wanted Persons File?

- Yes No

(e) If your state does not maintain a warrant file do any courts enter warrant information directly to the FBI-NCIC Wanted Persons File?

- Yes No

(f) If yes, how many records were in the state warrant database as of December 31, 2012?

_____ records

Question 3: (Question 3 from 2010 was merged into Section I as Question 8 as follows)

8. Does your repository maintain the sex offender registry?

- Yes No

If no, what agency in your state is responsible for the maintenance of the sex offender registry?

- Department of Corrections
Other _____

Question 4: (Question 4 from 2010 was merged into Section I as Question 9 as follows)

9. As of December 31, 2012, what was the total number of registered sex offenders in your state? _____

Question 5: (Question 5 from 2010 was merged into Section I as Question 10 as follows)

10. As of December 31, 2012, what was the total number of registered sex offenders on your publicly available state registry? _____

Question 6: (Question 6 from 2010 was merged into Section I as Question 11 as follows)

11. As of December 31, 2012, how many hours per day did your state repository operate?

(a) Number of operating hours per day

- Monday – Friday 8 10 12 14 16 24 Other _____
Saturday 8 10 12 14 16 24 Other _____
Sunday 8 10 12 14 16 24 Other _____

(b) Number of hours per day with fingerprint technicians on site

Monday – Friday 8 10 12 14 16 24 Other _____
 Saturday 8 10 12 14 16 24 Other _____
 Sunday 8 10 12 14 16 24 Other _____

Question 7: (Question 7 from 2010 was merged into Section I as Question 12 as follows)

12. 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
- Wants and warrants
- Retained applicant prints
- Rap back services for criminal justice purposes
- Wanted persons
- Firearm registration
- Community notification (Check all that apply):
- Sex offender residency, employment, or school
- Victim notification to crime victims
- Domestic Violence Incident Reports: _____
- Other: _____

Question 8: (Question 8 from 2010 was merged into Section I as Question 13 as follows)

13. (a) In 2012, did the repository perform any compliance audits of agencies that contributed information to the repository?

- Yes No

(b) In 2012, did the repository perform any compliance audits of agencies that received information from the repository?

- Yes No

Question 9: (Question 9 from 2010 was merged into Section I as Question 14 as follows)

14. (a) Has your state implemented a GJXDM or NIEM-compliant standardized rap sheet?

- Yes No

(b) If yes, please describe your implementation status. Check all that apply.

- Testing

- Operational, limited transmissions
- Operational, all transmissions
- Other. Please describe:

(c) What issues or challenges might delay your state's implementation of the standardized rap sheet?

- Funding
- Need to upgrade/replace message switch
- Limited internal resources
- Need for technical assistance
- Other. Please describe:

Question 10: (Question 10 from 2010 was refreshed and merged into Section I as Question 15 as follows)

15. (a) Which of the following best describes your criminal history system platform?

- Built in-house on Windows or .NET framework
- Built in-house on Open Source (e.g., JAVA platform)
- Built in-house utilizing mainframe services
- Vendor supplied on Windows or .NET framework
- Vendor supplied on Open Source framework
- Vendor supplied on mainframe environment
- Combinations
- Other. Please describe: _____

(b) Does your state have plans to migrate to Web services?

- Yes
- No

(c) If yes, when do you anticipate your state will migrate to Web services?

- 2013
- 2014
- Other. Please explain:

Question 11: (Question 11 from 2010 was re-worded and merged into Section I as Question 16 as follows)

16. Does your state produce statistics on the following?

- Criminal history transactions
- Hits versus no-hits
- Purpose codes

SECTION II: ARREST/FINGERPRINT REPORTING AND ENTRY

Modifications:

Question 3a: (Question 3a was modified to denote “not entered within 48 hours of receipt at repository” as follows)

3. (a) As of December 31, 2012, was there a backlog of arrest data to be entered into the AFIS database (i.e., not entered within 48 hours of receipt at repository)?

Yes No

Question 4: (Question 4 was re-worded for clarification purposes and a checkbox was added to capture instances of utilizing “10-finger prints for updating incarceration or release information to criminal history” as follows)

4. What types of biometric information are currently utilized in identification search processes conducted by your agency? Check all that apply.

- Latent fingerprints
- Flat prints
- 2-finger prints for identification purposes
- 2-finger prints for updating incarceration or release information to criminal history
- 10-finger prints for updating incarceration or release information to criminal history
- Palm prints
- Facial images/mug shots
- Scars, marks, and tattoo images
- Facial recognition data
- 1- or 2-finger prints for updating disposition information

- Other: _____

Questions 5a, 5b and 5c: (Questions 5a, 5b and 5c were re-worded and re-numbered to be Questions 6a, 6b and 6c as follows)

6. (a) Total number of law enforcement agencies in the state: _____
- (b) Total 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 20 local police departments): _____
- (c) Percentage of criminal prints submitted via livescan during 2012: _____%

New Question:

Questions 5a, 5b, 5c, 5d and 5e:

5. (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 plan to implement mobile fingerprint capture technology for either identification or booking purposes?

Yes No

(d) Are you using mobile technology to capture other biometric information for identification purposes (e.g. facial recognition, Iris)?

Yes No

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

Yes No

SECTION III: DISPOSITIONS

Modifications: (In 2012 survey Section III and Section IV: Court Reporting were combined into one section)

Question 1 part 2: (Question 1 part 2 was re-worded as follows)

1. (a) Are you a National Fingerprint File (NFF) state?

Yes No

(b) Have you elected not to forward disposition information on second and subsequent arrests to the FBI?

Yes No

Question 2: (Question 2 from the 2010 survey was re-numbered to become Question 3 in the proposed 2012 survey questionnaire. A new Question 2 is asked for 2012; see New Question number 2 below).

Question 4: (Question 4 was re-worded and re-numbered to be Question 5 as follows)

5. Of the dispositions received at the repository during 2012, 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? _____ %

Question 9: (Question 9(b) was added to capture how many livescan devices are in place.)

9. (a) As of December 31, 2012, was your state using any livescan devices in the courtrooms/courthouses to link positive identifications with dispositions?

Yes No

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

_____ devices

New Questions:

Question 2:

2. 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

11. (a) Does the repository receive any final case disposition information (e.g., decline to proceed) from local prosecutors or a statewide prosecutor’s association?

Yes No

(b) If yes, this information (check all that apply):

Is received via automated means

Is received via the prosecutor’s case management system

Is paper-based

Is a mix of automated and paper-based

12. (a) Does your state have any laws that address reporting of dispositions to the repository

Yes No

(b) If yes, please provide citation(s):

Modifications to Questions from Section IV: Court Reporting (now in Section III)

Question 1: (Question 1 from the 2010 survey was modified to provide a definition for the term “automated” and to capture the percentage of dispositions that are reported to states by automated means. The question was also merged into Section III as Question 6a and 6b as follows)

6. (a) As of December 31, 2012, 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 matching with and entry on the criminal history record.)

Yes No

(b) If yes, what percentage of dispositions was reported in 2012 by automated means?

_____ %

Question 3: (Question 3 from 2010 was re-worded and merged into Section III as Question 7 as follows)

7. In 2012, 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

Question 4: (Question 4 from 2010 was merged into Section III as Question 8 as follows)

8. In 2012, what was the average time elapsed between receipt of final felony trial court disposition information by the repository and entry of that information into the criminal history record database?

_____ days

Question 5: (Question 5 from 2010 was re-worded and merged into Section III as Question 9 as follows)

9. As of December 31, 2012, was your state using any livescan devices in the courtrooms/court houses to link positive identifications with dispositions?

Yes No

Question 6: (Question 6a and 6b from 2010 was reworded to include a clarifying timeline of 48 hours and merged into Section III as Question 10a and 10b as follows)

10. (a) As of December 31, 2012, 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?

Deletions:

Questions 2a and 2b:

2. (a) As of December 31, 2010, was any court disposition information reported directly to the repository by your state's Administrative Office of the Courts (AOC)?

Yes No

(b) What percentage of dispositions received was reported by the AOC? _____ %

SECTION IV: CORRECTIONS REPORTING

Modifications: (Formerly Section V)

Questions pertaining to Corrections Reporting were modified, refreshed or deleted and where applicable, merged into **SECTION IV: COURT REPORTING** as follows

Question 1: (Question 1 from 2010 was merged into Section IV as Question 1 as follows)

1. In 2012, what was the average time elapsed between receipt of corrections admission data by the repository and entry of that data into the criminal history record database?

_____ days

Not currently receiving corrections admission data

Question 2: (Question 2 from 2010 was merged into Section IV as Question 2 as follows)

2. In 2012, what was the average time elapsed between receipt of corrections release data by the repository and entry of that data into the criminal history record database?

_____ days

Not currently receiving corrections release data

Question 3: (Question 3 from 2010 was re-worded to include information that is also reported to the FBI. The question was also merged into Section IV as Question 3 as follows)

3. (a) Do any corrections agencies currently report admission/release/ or status change information to the repository by automated means?

Yes No

(b) Does your agency forward admission/release or status change information received from corrections agencies to the FBI?

Yes No

(c)How many corrections agencies currently report by automated means?

_____ agencies representing
_____ % of the admission/release/status change activity

Question 4: (Question 4 from 2010 was merged into Section IV as Question 4 as follows)

4. (a) As of December 31, 2012, was there a backlog of corrections data to be entered into the criminal history record database?

Yes No

(b) If yes, how many unprocessed or partially processed corrections reports (work backlog) did you have?

_____ reports

SECTION V: NON-CRIMINAL BACKGROUND CHECKS

Modifications: (Formerly Section VII)

(All 2010 questions from this section were moved to **SECTION V: NON-CRIMINAL BACKGROUND CHECKS**. Those questions that are listed below were modified and re-worded as follows)

Question 4: (Question 4a was modified by adding a check box to indicate “No, my state does not provide a rap back service for noncriminal justice purposes.” Also 4b was added to indicate the following)

4. (b) If your agency retains noncriminal fingerprints for the purpose of providing subsequent arrest or conviction information (“rap back”) to the contributor of the applicant fingerprint card, how many arrest or conviction notifications were generated for the period January 1, 2012 – December 31, 2012?

Question 5: (Question 5 was re-worded and modified to clarify and to expound on vendor provided services as follows)

5. (a) Has your state privatized the taking of fingerprints for non-criminal justice purposes?

Yes No

(b) 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)?

Question 6: (Question 6 was modified and re-worded as follows)

6. (a) Total number of non-criminal justice fingerprints submitted to the repository via livescan during 2012: _____
- (b) Percentage of non-criminal justice fingerprints submitted via livescan during 2012: _____
- (c) Total number of livescan devices available for non-criminal justice purposes only: _____
- (d) Total number of livescan devices used for both criminal and non-criminal justice purposes: _____

Question 9: (Question 9 was modified by adding “i.e. applicant fingerprints identified against an arrest fingerprint” as follows)

9. What is the identification rate for fingerprint-based non-criminal justice background checks? (I.e., applicant fingerprints identified against an arrest fingerprint.)
- _____ %

Question 12: (Question 12 was modified to determine the total number of name-based non-justice checks performed, as well as the method used for receipt of the checks.)

12. How many name-based non-criminal justice background checks were performed in 2012? (A + B + C below)

- A. Received via Internet _____
- B. Received via mail _____
- C. Received via telephone _____

Question 14: (Question 14 was modified by adding “i.e. your system provides criminal record information based on the search information provided” as follows)

14. What is the identification rate for name-based non-criminal justice background checks?
(i.e., your system provides criminal record information based on the search information
provided)

_____ %

Deleted

SECTION VIII: INDIAN COUNTRY INFORMATION

Modifications:

(The section and all related 2010 questions concerning Indian Country Information was deleted and not brought forward into the 2012 survey questionnaire. We do not anticipate that retention of Section VIII Indian Country Information would yield significantly different or additional information beyond the scanty information obtained from the first time inclusion of this section in 2010. For example, of the 31 states that reported federally recognized tribes only 16 states reported that tribes submit fingerprints. In only 1 instance did every tribe in a state submit arrest fingerprints - 4 tribes in Kansas).

Deletions:

1. (a) Do you have any federally recognized Tribes in your state?

Yes No

If yes, please complete the following:

(b) How many Tribes do you have? _____

2. (a) Do Tribes in your state submit arrest fingerprints to your state repository?

Yes No

(b) If yes, how many Tribes reported in 2010? _____

(c) How many arrests did the Tribes report in 2010? _____

(d) How were the records reported?

Electronically Hard Copy Other. Please explain: _____

3. Does the repository receive protection order information from Tribes in your state?

Yes No

4. (a) Does the repository provide sex offender registry services for any Tribes in your state?

Yes No

(b) If yes, how many Tribes submitted sex offender registration information to the repository-maintained state registry in 2010? _____

5. (a) Do Tribes in your state submit fingerprints for non-criminal justice background checks?

Yes, Fee \$ _____ No

(b) If yes, how many fingerprint-based non-criminal justice background checks did Tribes submit in 2010? _____

6. (a) Do Tribes in your state submit name-based non-criminal justice background checks?

Yes, Fee \$ _____ No

(b) If yes, how many name-based non-criminal justice background checks did Tribes submit in 2010? _____