

Washington State Criminal Records Audit for Adult Felonies:
Final Report

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OCTOBER 2007



*Washington State
Institute for
Public Policy*

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WASHINGTON STATE INSTITUTE FOR PUBLIC POLICY

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EXECUTIVE SUMMARY

Background

When Washington State reformed the adult sentencing system in 1984,¹ the importance of accurate and comprehensive criminal history increased. Since each conviction is counted in a sentence calculation, accurate records are needed. In addition to their influence in criminal convictions, the state's criminal records are also used for offender risk assessment, background checks, voter registration, professional licensing, sex offender registration, rental housing decisions, and other purposes.

The Bureau of Justice Statistics (BJS) began the National Criminal History Improvement Program (NCHIP) in 1995. The objective of NCHIP is to "improve the quality, timeliness, and accessibility of criminal history records."² Comprehensive criminal history records allow criminal justice professionals to identify people quickly and accurately, resulting in improved decision-making at all levels of the criminal justice system.

In 2005, the Office of Financial Management (OFM) obtained funding from NCHIP and contracted with the Washington State Institute for Public Policy (Institute) to conduct an audit of the state's criminal history records systems for adult felonies.³ Databases included in the audit are from the Administrative Office of the Courts (AOC), Department of Corrections (DOC), Sentencing Guidelines Commission (SGC), and Washington State Patrol (WSP). The audit focuses on the completeness and accuracy of Washington State's criminal history data system.

An Oversight Committee, representing nine state and local criminal justice agencies, was selected to help provide the Institute with technical guidance on data and business practices for this project.⁴ The Institute relied upon the Oversight Committee to provide an accurate description of the processes followed within each agency and we received valuable feedback. However, the Institute conducted the data analyses as directed in its contract, and formulated the recommendations that appear in this report. The Institute did not ask the Committee to take an official position on each recommendation.

Summary

The following three steps are required for an accurate criminal history database: uniquely identify the defendant, accurately record the defendant's criminal record, and consistently associate that criminal record with the defendant throughout the system.

¹ Sentencing Reform Act of 1981, RCW 9.94A.

² Information retrieved on May 24, 2006, from <http://www.ojp.usdoj.gov/bjs/nchip.htm>

³ The Institute has extensive experience utilizing criminal records data. For example, we developed a recidivism database using Administrative Office of the Courts' and Department of Corrections' data. The database has been used for dozens of juvenile and adult recidivism studies. This project was approved by the Institute's Board of Directors on May 12, 2005.

⁴ Administrative Office of the Courts, Department of Corrections, Washington State Patrol, Sentencing Guidelines Commission, Office of Financial Management, Department of Information Services, Washington Association of County Clerks, Washington Association of Sheriffs and Police Chiefs, and Washington Association of Prosecuting Attorneys.

Our findings demonstrate that, although the Washington State criminal justice databases are not 100 percent accurate and complete, they are reasonably accurate. The databases can be improved by relying on:

- Fingerprints for offender identification.
- Electronic transmission of data without manual intervention.
- A multi-agency criminal records work group to implement improvements.

Following is a summary of the Institute's findings for the three tasks required in OFM's contract with the Institute.

Task 1: Determine the penetration rate of the State Identification number (SID) and Process Control Number (PCN) among each of the systems.

The Institute found that the official fingerprint-based SID exists for:

- 100 percent of WSP arrest records (WSP generates this number).
- 86 percent of the convicted felons in AOC's database.
- 98 percent of offenders under the authority of DOC.
- 67 percent of the judgment and sentence documents in SGC's database.

The Institute found that the PCN exists in:

- 100 percent of WSP records (WSP generates this number).
- 47 percent of all AOC records; and 72 percent of cases filed in 2005.
- 4 percent of the case dispositions that are electronically submitted from AOC's database to WSP that are updated without manual intervention.

Task 2: Explain the strengths and weaknesses of these criminal history records systems' abilities to describe a cohesive view of the state's criminal history.

The Institute found the following strengths:

- As an integrated statewide database system, Washington's criminal justice databases are not 100 percent complete and accurate, but are reasonably accurate—that is, accurate for the majority of cases.
- WSP consistently uses fingerprints for the assignment of an SID, and the SID is recorded in DOC and AOC databases most of the time.
- The percentage of cases with a PCN in AOC's database has increased since 1992.

The Institute found the following weaknesses:

- Washington State's criminal justice databases are not an integrated system but rely on the transmission of data, which sometimes involves manual intervention and can result in incomplete or missing information.
- Operational and technical changes could improve the accuracy, completeness, and timeliness of information in these databases.
- Fingerprints are not the exclusive method for recording an offender SID by AOC and DOC when the SID is unavailable on the case filing or judgment and sentence document.

- Relying on name, date of birth, and gender for identifying individuals is not 100 percent reliable.
- Because the databases are relatively independent, completeness and accuracy rely on the priorities within each organization, which may not align with the overall requirements of a more integrated criminal justice database system.
- Implementation of improvements would require time to coordinate modifications among the criminal justice agencies.

Task 3: Provide specific recommendations for improving Washington State’s Records Quality Index (RQI) and identify and prioritize activities suggested by the audit results to improve the Washington State RQI, for purposes of targeting NCHIP funds in future funding cycles.

The Institute recommends this study be conducted again in three years to assess how the accuracy of criminal history records has improved since the current audit.

SID Recommendations

- Require the SID be the official state identifier for all databases for criminal defendants from superior court.
- Eliminate redundant, manual data entry by requiring live-scan devices to electronically capture and transmit fingerprints to WSP for all person identification, and eliminate name and date of birth identification. Use live-scan devices in the courtroom for identification.
- Transmit the SID electronically from WSP to all other agency databases with a flag indicating that the SID has been verified by WSP.
- Transmit booking information electronically to AOC’s database for the preliminary appearance.
- Change criminal court rule 2.1 or statutorily require an SID on the prosecutor’s charging document for defendants who have been booked.
- Discuss with SGC and the Superior Court Judges Association methods to guarantee that an SID appears on every judgment and sentence document signed by a judge.
- Staff and operate WSP’s identification unit to allow SID confirmation within minutes.
- Provide state funding to local agencies to achieve these recommendations.

SCOMIS Case Number Recommendations

- Develop an oversight committee of prosecutors, courts, and law enforcement agencies, charged with managing the recording of RCWs, including establishing a common RCW table.
- Require that prosecutors provide the complete RCW on the judgment and sentence document.
- Review the few remaining ambiguous RCWs.⁵
- Simplify charges that require more than one RCW. For example, theft charges require two RCWs. RCW 9A.56.020 must be used to define the type of theft (i.e., wrongfully obtained or

⁵ As part of a project through the Justice Information Network (JIN), RCWs were reorganized with the intent of reducing those with subparagraphs that were felonies and misdemeanors—otherwise known as “combined” RCWs. This project was implemented beginning July 1, 2004. After the project, the percentage of cases with ambiguous RCWs decreased from 14.9 to 0.6 percent (see Appendix A). As of 2005, 67 percent of all remaining cases with ambiguous RCWs were RCW 10.99.050, violation of victim contact order, and 27 percent were RCW 9.68A.090, communication with a minor for immoral purposes.

misdelivered). Prosecutors must also use a second RCW (for example, 9A.56.020) to show the value of the stolen items.

PCN Recommendations

- Examine the practices of counties with a high percentage of PCNs to determine if business rules should be modified to reflect the practices of these counties.
- Require that the PCN (or PCNs) be on the judgment and sentence document.
- Partner WSP with county clerks and prosecuting attorneys to train staff on including the PCN.
- Require that prosecutors include the subparagraph of the RCW on the judgment and sentence document, thus reducing manual data entry of the disposition in WSP's database.
- Eliminate the text sentence structure field in SCOMIS and make the data fields distinct to eliminate WSP's manual data entry of the disposition.
- Electronically transmit the PCN to AOC, county clerks, and prosecutors.
- Use a live-scan device to electronically capture and transmit fingerprints in courtrooms so those booked at their first appearance are assigned an SID and PCN.
- County clerks enter the PCN into SCOMIS if it exists on the judgment and sentence document.

I. WASHINGTON'S DATABASES AND DATA PROCESSES

The criminal justice system in Washington State includes a number of state and local agencies: Washington State Patrol (WSP), Administrative Office of the Courts (AOC), Sentencing Guidelines Commission (SGC), and Department of Corrections (DOC). Local agencies include law enforcement/jails, prosecutors, and county clerks. There is no integrated statewide criminal justice database; rather, the agencies maintain separate databases and transfer information electronically and manually. Following is a brief description of criminal justice processes and associated databases.

Washington State Patrol

WSP coordinates statewide criminal history information submitted by local criminal justice agencies.⁶ It maintains the Washington State Identification System (WASIS) database, which is a fingerprint-driven system that includes arrest, conviction, disposition, and sentence information. WSP also maintains the Automated Fingerprint Identification System (AFIS), which stores fingerprint images for all arrests contained in WASIS. AFIS houses about 1.3 million unique fingerprint records. The two data systems are interfaced; thus, data entered into WASIS must be accompanied by a fingerprint so that an offender's criminal history can be tracked.

Local criminal justice agencies are required by law to fingerprint persons arrested for felonies and gross misdemeanors.⁷ Fingerprints are acquired either by a "live-scan" or ink and paper. Live-scan devices electronically capture fingerprint images. Some live-scan devices have the capability of connecting to AFIS, where fingerprints are sent electronically to WSP. Ink and paper fingerprints are mailed to WSP and converted to an electronic image.

The Process Control Number (PCN) is a unique number that allows staff throughout the criminal justice process to link a disposition to a fingerprinting event. This association ensures that dispositions can be added to WASIS. The live-scan device automatically assigns a PCN to an arrest event at the time of fingerprinting. WSP provides PCN numbers to criminal justice agencies submitting fingerprints on paper.

Once the electronic fingerprint is obtained, AFIS is searched for fingerprint matches to determine if the arrestee has a State Identification (SID) number. Searching for a fingerprint in AFIS typically takes a few minutes. To expedite the process, the search in AFIS is first limited by looking for potential matches in the WASIS database using the arrestee's name, date of birth, or SID. AFIS compares the potential name-based matches to determine if any are a positive identification. If a positive identification is made, the existing SID is used for the arrestee. If not, then all the records in AFIS are searched. A new SID is assigned if a positive identification cannot be made.

For a variety of reasons, a positive identification may take hours or several days to complete if the search requires intervention by a fingerprint technician. This is most commonly due to poor fingerprint quality. In addition, WSP's Identification Section is not staffed 24 hours a day seven days a week, so fingerprint images that require manual intervention outside of business hours must wait until the following business day.⁸

⁶ RCW 43.43.500

⁷ RCW 43.43.735

⁸ Evidence indicates WSP's database does not include all felony and gross misdemeanor arrests. For example, the WSP arrest count is approximately 70 percent of Washington Association of Sheriffs and Police Chiefs' (WASPC) arrest count for rape. See R. Barnoski (2005). *Sex offender sentencing in Washington State: Comparing arrests to court filings*. Olympia: Washington State Institute for Public Policy, Document No. 05-09-1204.

Local Jails/Booking Facilities

Typically, when a person is arrested, the arrestee is booked at a local jail or law enforcement booking facility. The purpose of the booking process is to record information about the incident and obtain a positive identification of the arrestee so that a criminal history can be obtained. This information is recorded onto a "booking sheet" and is passed along to other pertinent criminal justice agencies. The booking sheet typically includes fingerprints, name, photo, SID, and the charges.

Each jail or booking facility has a local operational database typically referred to as a Jail Management System (JMS).⁹ The JMS includes data such as incarceration history, classification, and booking information. Some booking facilities have live-scan devices that are interfaced with the JMS. Interfaced live-scan devices reduce the redundancy of manually inputting information, because the live-scan devices can either populate the booking sheet with offender information via a fingerprint, or the booking sheet can populate information necessary for the live-scan device.

The Washington Association of Sheriffs and Police Chiefs (WASPC) includes representatives from local, state, tribal, and federal law enforcement. WASPC's mission is to offer support services to law enforcement to enhance public safety.

WASPC was tasked with implementing a statewide city and county jail booking system, which would serve as the central repository for offender information and jail statistical data.¹⁰ The Jail Booking and Reporting System (JBRS) is an electronic, statewide reporting system, and serves as the central repository of offender information on those booked into city and county jails.¹¹ This system allows the entry and retrieval of "real-time" and historical information on offenders incarcerated in jail.

Although JBRS contains statewide jail data, it is not a statewide jail booking system; rather, it is a secondary source of information populated by each local JMS approximately every 15 minutes. Implementation of JBRS started in 2002. As of May 2007, there were 46 jails online; the last ten jails are currently being added. JBRS also provides access to jail booking information from over 1,147 jails in 30 other states. Combined, JBRS houses over 25 million booking records and about 3.3 million booking photographs. JBRS also interfaces with the Justice Xchange, a nationwide database which houses booking records, incident reports, and other data from thousands of participating agencies.¹² The interface project began in 2005 and was nearly complete in September 2007.¹³

JBRS contains incarceration history, such as the booking agency and the release date, as well as the reason for releases; it does not include criminal history. Offense data elements include charge information and the RCW. Person data elements include name, date of birth, address, charges, descriptors, SID, FBI number, and Social Security number. JBRS contains a subset of the information housed in each local JMS (such as inmate classification, housing, inmate accounts, and medical information). JBRS was not included in our analysis because it is not yet implemented in all jails.

⁹ Information in this section was received on May 9, 2007, through correspondence with Jim LaMunyon, Deputy Director of the Washington Association of Sheriffs and Police Chiefs and Project Manager of the state Jail Booking and Reporting System.

¹⁰ RCW 36.28A.040

¹¹ Ibid.

¹² See <http://www.appriss.com/JusticeXchange.html>.

¹³ Email correspondence in September 2007 with Appriss, which oversees the Justice Xchange.

Prosecutor

Law enforcement provides a copy of the arrest report and booking sheet to the county prosecutor's office; the booking sheet includes fingerprints and the SID on the criminal history report. However, if law enforcement does not provide the criminal history report to the prosecutor's office, or the arrestee is not booked, then the SID and fingerprints are not included. If the SID is not known, some prosecutors' offices conduct a name search in AOC, DOC, and FBI databases to extract criminal history using the arrestee's name and date of birth. Currently, not all prosecutors' offices have access to these databases.¹⁴

The county prosecutor evaluates evidence about the arrest. If there is sufficient evidence that the defendant committed a felony, the prosecutor files the case in superior court with the county clerk's office. Typically, misdemeanor cases are filed in district court.

Administrative Office of the Courts

The superior courts in Washington State are the courts of general jurisdiction. Among other types of cases, superior courts oversee felony criminal cases.

The Superior Court Management and Information System (SCOMIS) is the database used by the county clerks to manage Washington's superior court criminal and juvenile offender case filings. Implementation of SCOMIS began in 1977 and nearly all courts were entering data by 1992. A centralized person database, called the Judicial Information System (JIS), was created for Washington's trial courts in 1994; all counties were using JIS by 1995.^{15, 16} AOC began identifying offenders using an AOC Person Number in 1994. Prior to 1994, all offenders were assigned a different AOC Person Number for each case that was filed in superior court.

Before a case can be filed in SCOMIS, the clerk's office must first identify the defendant in JIS's person database. AOC policy states that a record must have "sameness" between at least three of the following characteristics: name, date of birth, physical description, address history, and other identifiers such as SID, DOC number, Social Security number, driver license number, and Federal Bureau of Investigation number.

A felony judgment and sentence document is recorded for every felony conviction.¹⁷ The SCOMIS court case number assigned to the case when it was filed is the identifier for this document. Washington State Court Criminal Rules state that the judgment and sentence document must be the "uniform judgment and sentence" document as prescribed by AOC.¹⁸ Many of the county prosecutors' offices use tailored versions of the uniform judgment and sentence document. As a result, the format of the judgment and sentence document can differ across the counties.

The original judgment and sentence document stays in the court file in the clerk's office. By statute, a copy of the judgment and sentence document goes to the sentencing judge, the prosecuting attorney's office, and SGC.¹⁹ Copies also go to the defendant, defense attorney, local jails and

¹⁴ A prosecutor's database cannot be included in this study because no statewide database exists.

¹⁵ The Pierce County Superior Court clerk's office began using the Legal Information Network Exchange (LINX) as the official repository of Pierce County Superior Court case information in 2002. For statewide reporting purposes, the Pierce County Superior Court clerk's office enters limited information in the Judicial Information System.

¹⁶ For exact SCOMIS and JIS implementation dates by county, see http://www.courts.wa.gov/jislink/index.cfm?fa=jislink.codeview&dir=clj_manual&file=courts#P810_17361.

¹⁷ RCW 9.94A.480

¹⁸ http://www.courts.wa.gov/court_rules/?fa=court_rules.display&group=sup&set=CrR&ruleid=supCrR7.2

¹⁹ RCW 9.94A.480

probation offices, the Department of Licensing (DOL), and DOC.²⁰ Up to eight copies of the judgment and sentence document are distributed.

Sentencing Guidelines Commission

The Sentencing Guidelines Commission (SGC) derives its authority from the Sentencing Reform Act of 1981, which directs SGC to evaluate and monitor adult and juvenile sentencing policies and practices, recommend modifications to the governor and the legislature, and serve as a clearinghouse and information center on adult and juvenile sentencing. SGC makes recommendations for sentencing standards for felony offenses, examines sentencing practices across the state, and studies the criminal code to make recommendations for modifications.

SGC receives a copy of the judgment and sentence document from the county clerk's office electronically or by mail. The information is manually entered into SGC's database. SGC assigns each judgment and sentence document an internal tracking number to ensure that judgment and sentence documents are entered into the database only once. SGC also enters the SCOMIS court case number but does not use it as a primary identifier for the judgment and sentence document.

SGC does not use a unique person identification number because its database is sentence-based, not person-based. However, SGC does enter the SID into its database from the judgment and sentence document; not all the judgment and sentence documents have an SID. Therefore, SGC gets a quarterly extract of SIDs from WSP and matches SIDs to records using name and date of birth. For quality assurance purposes, SGC also uses AOC data as a match.

Department of Corrections

DOC has authority to confine and supervise offenders with a superior court conviction. DOC's current database, the Offender Based Tracking System (OBTS), has been in use since 1984. This database stores offense information, among other data, for offenders under the jurisdiction of DOC.

Offenders sentenced to prison arrive at the reception units of the Washington Corrections Center or the Washington Corrections Center for Women. For offenders sentenced to community supervision, intake occurs at the field office in the county where the offender will be supervised. Upon intake, DOC staff search OBTS to determine if the offender has previously been assigned a DOC number. This search primarily uses information on the judgment and sentence document: name, date of birth, gender, and SID.

However, the SID does not always exist on the judgment and sentence document. DOC creates a list of offenders with missing SID numbers each month. Records managers use this report to access WSP's criminal records database and to search for an SID number.²¹ OBTS is updated if an SID is found. If an SID is not found, DOC schedules the offender for fingerprinting and sends the fingerprint card to WSP.

²⁰ DOL receives copies of the felony judgment and sentence if certain convictions prevent a person from obtaining a driver license or a firearm. See RCW 9.41.040 for more information on persons who may not lawfully possess a firearm. Prior to January 2006, the Firearms Division at DOL also received a copy of the judgment and sentence document, but AOC now produces a report that the courts send in lieu of the felony judgment and sentence document.

²¹ This is done using Washington Access to Criminal History (WATCH), an internet resource composed of state criminal records available at <https://watch.wsp.wa.gov/>.

II. RESEARCH OVERVIEW

Databases and Records

This study involves matching criminal justice database records for adult felony criminal records from 1992 through 2005. The databases in the analyses include:

- Washington State Patrol—adult felony arrests dating from 1992 through 2005.²²
- Administrative Office of the Courts—adult felony convictions for cases filed from 1992 through 2005.²³ If at least one felony charge in the case had a guilty finding, the case was defined as a felony conviction.
- Sentencing Guidelines Commission—Washington State Superior Court convictions with sentence dates from 1992 through 2005.
- Department of Corrections—Washington State Superior Court convictions with sentence dates from 1992 through 2005.

It must be noted that the databases analyzed are active—that is, current as well as historical data can be modified at any time. For example, an SID could have been added to a database in 2005 for an offender who was under an organization’s jurisdiction many years prior. The data indicate the current completeness of criminal history. Thus, results displayed in this report for historical years do not necessarily reflect the condition of the data during that time period.

It should also be noted that this analysis relies on the existing structure of the databases. In the real-world, criminal justice personnel typically analyze criminal history on an individual basis. This study is a “macro-level” analysis, examining large-scale patterns of entire databases. Thus, where human intervention may be able to distinguish between data discrepancies, such as transposed digits, computer programming may not because we rely solely on the data as it exists in the databases.

Study Objectives

The study’s objectives, as described in the Institute’s contract with OFM, are as follows:

- Compare Washington State’s criminal history databases for adult felons to determine completeness and accuracy among the databases.
- Analyze patterns of inclusion and exclusion of these data to determine how consistent the databases are with one another.
- Learn how comprehensive each database captures criminal history.
- Develop an overview of the strengths and weaknesses of these systems’ ability to describe a cohesive view of the state’s criminal history.

²² Twenty-five percent of WSP’s arrest records are defined as a felony and 45 percent are misdemeanor. It should be noted that 30 percent are unknown and therefore, not included in the study.

²³ Our analysis indicates that AOC’s person database, JIS, has been populated for cases filed since 1992. Thus, 1992 is an appropriate starting date for inclusion of records in this study.

Report Organization

This report is organized into the following sections:

- 1) **State Identification Number (SID).** The SID is the state's official person identification number for purposes of criminal records. We analyzed the completeness of the SID in Washington's criminal justice data systems.
- 2) **Unofficial Person Identifier.** The Institute also conducted an unofficial person identifier analysis to determine the reliability of identifying a person using only demographic characteristics—name, date of birth, and gender—as opposed to fingerprint identification.
- 3) **Superior Court Case Number.** Superior court case numbers are assigned by the courts and are a means of tracking criminal cases. Data were analyzed to determine the completeness of case numbers and also to determine whether the case was associated with the official person identifier.
- 4) **Process Control Number (PCN).** The PCN is a unique number which allows staff throughout the criminal justice process to link a fingerprinting event to a disposition. The PCN is only entered into the WSP and AOC databases; therefore, the PCN analyses do not include SGC and DOC databases.
- 5) **Records Quality Index (RQI).** The RQI was developed for NCHIP by the Bureau of Justice Statistics. The RQI is a standardized measure used to gauge performance of criminal history records. We describe the measures and the outcomes for Washington State.

Appendix A contains a full description of how we determined felony offenses. Appendix B contains detailed descriptions of the exhibits in this report, including data and methods for the exhibits.

Criminal Records Oversight Committee

An Oversight Committee, representing nine state and local criminal justice agencies, was selected to help provide the Institute with technical guidance on data and business practices for this project. The Institute relied on the Oversight Committee to provide an accurate description of the processes followed within each agency and received valuable feedback. However, the Institute conducted the data analyses and made the final recommendations that appear in this report. The Institute's recommendations are not necessarily endorsed by the committee.

The Oversight Committee was composed of members from the following organizations:

- Administrative Office of the Courts
- Department of Corrections
- Department of Information Services
- Sentencing Guidelines Commission
- Office of Financial Management
- Washington Association of County Clerks
- Washington Association of Prosecuting Attorneys
- Washington Association of Sheriffs and Police Chiefs
- Washington State Patrol

III. STATE IDENTIFICATION NUMBER

In this section of the report, we address the degree to which the official State Identification number (SID) is recorded in the criminal justice system databases. Because the legislature designated WSP as the official statewide repository of fingerprint-based criminal history information, records from AOC, DOC, and SGC are matched to WSP’s database using the SID.

An SID is a unique, fingerprint-based number assigned by WSP to persons after an arrest for a felony or gross misdemeanor. The Institute investigated the degree to which the SID was recorded in the four state criminal justice databases. Each criminal justice agency maintains its own person identification (ID) number in its respective database.

Exhibit 1 displays the person ID numbers maintained in each criminal justice database. All four databases include the SID.²⁴ AOC and WSP also include the DOC person ID number.

Exhibit 1
Person ID Numbers in Criminal Justice Databases

Criminal Justice Database	Person ID Numbers
Washington State Patrol	SID, DOC Person ID Number
Administrative Office of the Courts	AOC Person ID Number, SID, DOC Person ID Number
Sentencing Guidelines Commission*	SID
Department of Corrections	DOC Person ID Number, SID

* SGC’s database is sentence-based, not person-based.

In the event that a person is assigned multiple AOC person numbers, AOC uses an “alias” table that links these multiple numbers. For these analyses, we linked known multiple AOC numbers to a unique ID number for each AOC offender. Our results are displayed using this unique AOC person ID.

Three measures of the inclusiveness of the SID in the criminal justice data systems were analyzed.²⁵

- **Measure 1: completeness of the SID in each criminal justice database.** Completeness was measured by the percentage of offenders in each database with an SID (see Exhibit 2).
- **Measure 2: validity of the SID in the criminal justice agency databases.** Our measure of validity was whether the SID recorded in the criminal justice agency database also existed in WSP’s database (see Exhibit 4). This guarantees that the SID is valid, but it does not guarantee that the SID correctly identified the person. This can only be done by attaching a fingerprint to the SID to confirm the SID belongs to a specific person.
- **Measure 3: cross-check of the validity of the SID.** Once the databases have been matched by SID number, we compared the DOC person ID numbers in both databases to determine if they also matched (see Exhibit 5).

²⁴ SGC’s database is sentence-based, not person-based; however, the SID is recorded in SGC’s database. SGC captures the SID associated with a felony judgment and sentence by two methods: manually entering the SID from a copy of the judgment and sentence document, and quarterly extractions of SIDs from WSP’s database. SGC joins these SIDs to the judgment and sentence document using a name and date of birth. Because name and date of birth matching is not a reliable method for assigning SIDs, only SIDs entered from the judgment and sentence document were analyzed.

²⁵ Detailed results appear in the appendices.

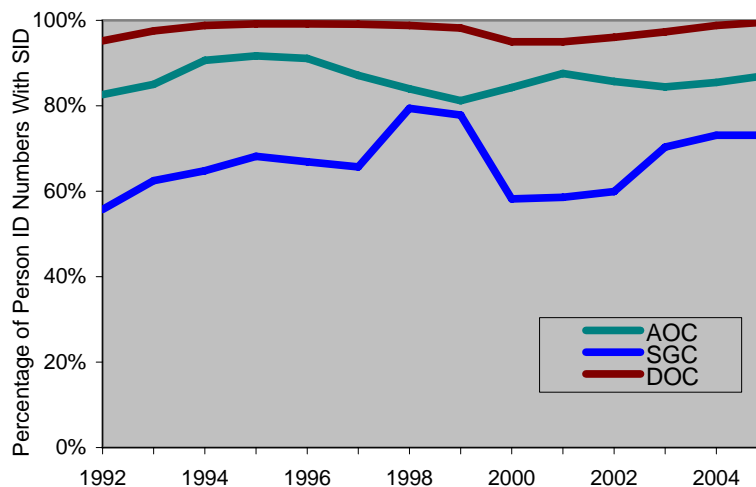
Exhibit 2 shows the percentage of person ID numbers in each database that have an associated SID.²⁶ Since WSP generates the SID, 100 percent of the persons in the WSP database have an SID. For AOC, 86 percent of the person ID numbers have an associated SID; the percentage rises to 98 percent in the DOC database. Sixty-seven percent of the judgment and sentence documents in SGC's database have an SID. In addition to obtaining the SID from the judgment and sentence documents, AOC sometimes uses the prosecutor's charging information, and DOC sometimes retrieves the SID from WSP. The best measure of the percentage of judgment and sentence documents that have an SID is 67 percent.

Exhibit 2
Measure 1: Completeness of SID by Agencies' Person ID Numbers

Criminal Justice Database	Total Person ID Numbers	Percentage With SID
Washington State Patrol	302,700	100%
Administrative Office of the Courts	206,344	86%
Sentencing Guidelines Commission	326,312	67%
Department of Corrections	214,642	98%

Exhibit 3 graphs the percentage of person ID numbers with an SID for each agency by the date the case was filed or sentenced.²⁷ The exhibit indicates that, as of today, the percentage of SIDs available in the AOC and DOC databases is constant regardless of when the case was filed. Even though the AOC person database was not fully implemented until 1995, the database has been populated with SIDs for cases filed since 1992. Thus, 1992 is an appropriate starting date for inclusion of records in this study.

Exhibit 3
Measure 1: Completeness of SID by Agencies' Person ID Numbers by Year



²⁶ The completeness of the SID was also examined across individual counties, and the number of missing SIDs was stable. That is, there appears to be a systematic level of completeness for counties statewide.

²⁷ Data are displayed by file date for AOC and by sentence date for SGC and DOC.

Exhibit 4 shows that SIDs recorded in AOC, SGC, and DOC databases are in the WSP database 99 percent of the time. For example, of the 177,892 person records in AOC data that have an SID, 99 percent were found in WSP database.

However, an agency’s SID that matches a WSP SID is no guarantee that both SIDs are referencing the same person. Only a fingerprint accompanying the SID can confirm the person’s identity.

Exhibit 4
Measure 2: Validity of SIDs in WSP Database

Criminal Justice Database	Total Number of SIDs	Percentage of SIDs in WSP Database
Administrative Office of the Courts	177,892	99%
Sentencing Guidelines Commission*	218,980	99%
Department of Corrections	209,638	99%

*SID is entered from the judgment and sentence document.

Finally, we further examined the validity of the SID using the DOC person ID number as a cross-check. That is, once the databases had been matched by SID number, we compared the DOC person ID numbers in both databases to determine if they also matched.

In AOC’s database we found that:

- 176,770 SIDs in AOC’s database were also in WSP’s database.
- Of those 176,770 records, 99 percent had a DOC person ID number in AOC’s database.
- Only 38 percent of those 176,770 records also had a DOC person ID number in WSP’s database.

In DOC’s database we found that:

- 208,223 persons in DOC’s database had an SID in WSP’s database.
- Of those 208,223 records, 36 percent had a DOC person ID number in WSP’s database.

Exhibit 5 summarizes our cross-check findings. The DOC person ID was recorded in WSP’s database 38 and 36 percent of the time for AOC and DOC records, respectively. Because the DOC person number was only available one-third of the time in WSP’s database, it could not serve as a cross-check to determine SID validity in AOC and DOC databases.

Exhibit 5
Measure 3: Cross-checked Validity of SIDs in WSP Using DOC Person ID

Criminal Justice Database	Total Matched Records	Percentage With DOC Person ID in WSP Database
Administrative Office of the Courts	176,770	38%
Department of Corrections	208,223	36%

SID Recommendations

Following are the Institute's SID recommendations for decision-makers to consider for improving the completeness, accuracy, and timeliness in identifying persons in the criminal justice data system:

- Require that the SID be the official state identifier for all databases for criminal defendants from superior court.
- Eliminate redundant, manual data entry by requiring live-scan devices to electronically capture and transmit fingerprints to WSP for all person identification, and eliminate name and date of birth identification. Use live-scan devices in the courtroom for person identification.
- Transmit the SID electronically from WSP to all other agency databases with a flag indicating that the SID has been verified by WSP.
- Transmit booking information electronically to AOC's database for the preliminary appearance.
- Change criminal court rule 2.1 or statutorily to require an SID on the prosecutor's charging document for defendants who have been booked. For defendants who are summoned to court and do not have an SID, utilize a temporary ID to begin a case in SCOMIS.
- Discuss with SGC and the Superior Court Judges Association methods to guarantee that an SID is on every judgment and sentence document signed by a judge.
- Staff and operate WSP's identification unit to allow SID confirmation within minutes.
- Provide state funding to state and local agencies to achieve these recommendations.

IV. UNOFFICIAL PERSON IDENTIFIERS

This section examines the reliability of identifying a person in a criminal justice database using only demographic information: name, date of birth, and gender. All the criminal justice databases include these data for virtually 100 percent of their person ID numbers.

We first determined the uniqueness of a person by looking at the number of names and dates of birth associated with a unique person ID number. Then, we analyzed the level of ambiguity when identifying a person from one database to the next using name, date of birth, and gender (see gray box below for details about the name and date of birth matching process). The exhibits in this section are based on each agency's unique person ID number.

The State Identification number (SID) is the state's official person identification number assigned by WSP. It is a unique number based on a fingerprint; thus, a person can only have one SID. The person identification process used by the courts and DOC often depends on a name and date of birth search to obtain an SID rather than using fingerprint verification. Because people have alias names and dates of birth, obtaining an SID using a name and date of birth search compromises the person identification process. Thus, the fingerprint is the only true method of person identification.

It would be ideal to cross-check the match by name, date of birth, and gender by determining if the matched persons have the same SID number. However, this is not valid because the courts or DOC may have obtained an incorrect SID through a name and date of birth search rather than through a verifiable fingerprint.

Name and Date of Birth Matching Process

Matching records using demographic information is a complex process that requires many steps. Essentially, records are compared and scored to determine the degree to which two records match. Records receive a name score, a date of birth score, and an overall score.

Before the name scoring can begin, names are parsed into first, middle, and last. First names, such as Bill, are converted into a formal name—William. Either name can be used in the matching process. The Institute uses the SPEDIS function in SAS software as a tool for name matching. SPEDIS, or spelling distance, compares character strings to determine what the "cost" is to transform a record for a potential match. That is, "SPEDIS has the ability to find observations that are essentially the same, but that could have been affected by typing errors, various spellings, or misspellings" and a score is generated.²⁸ The name score decreases as more complex transformations, such as transposing consecutive letters and deleting or appending letters, are required to align two strings.

For date of birth matching, the month, day, and year are parsed into components. Exact matches receive the highest score. Date of birth scores decrease when the day and month have been transposed. For example, a birth date of April 12th or 04/12 can have a transposed match of 12/04. Date of birth scores also decrease the further apart the two birth dates are from one another.

Name and date of birth scores are combined to determine if a match is exact, very close, close, or no match. Matches with an overall higher score are considered "similar" for our analytical purposes. The following are examples of matching and non-matching records:

Name 1	Date of Birth 1	Name 2	Date of Birth 2	Match
Gary F. Willams	12/1/1946	Gary F. Williams	12/12/1946	Y
Gary F. Willams	12/1/1946	Gary F. Williams	4/23/1956	N
Al J. Brown	4/12/1947	Albert James Brown	4/12/1947	Y
Albert J. Brown	4/12/1947	Albert C. Brown	4/20/1944	N

²⁸ Y. Gershteyn (n.d.). *Use of SPEDIS function in finding specific values*, Chicago: SCIREX Corporation, page 1, available at: <http://www2.sas.com/proceedings/sugi25/25/cc/25p086.pdf>.

Exhibit 6 displays the percentage of unique person ID numbers that were associated with multiple dates of birth. For example, 52 percent of the 302,700 SIDs in WSP’s database were associated with only one name; 21.7 percent with two names, and 10.7 percent with three names. The exhibit also shows the percentage of records that were associated with one or more dates of birth. For example, 83.5 percent of WSP records had only one date of birth associated with an SID; 11.8 percent had two dates of birth, etc.

Exhibit 6
Alias Names and Dates of Birth Per Person ID*

Criminal Justice Database	Number of Unique Person IDs	Percentage of Unique Person IDs Associated With the Following Number of Names or Birth Dates						Average Number Per Person ID
		1	2	3	4	5	6 or More	
<u>Names</u>								
Washington State Patrol	302,700	52.0%	21.7%	10.7%	5.5%	3.2%	7.0%	2.3
Administrative Office of the Courts	206,512	83.7%	12.7%	2.6%	0.7%	0.2%	0.1%	1.2
Department of Corrections	214,642	58.8%	21.0%	8.2%	4.4%	2.5%	5.2%	2.0
<u>Dates of Birth</u>								
Washington State Patrol	302,700	83.5%	11.8%	2.9%	1.0%	0.4%	0.5%	1.3
Administrative Office of the Courts**	206,512	95.5%	3.9%	0.5%	0.1%	0.0%	0.0%	1.1
Department of Corrections	214,642	89.1%	7.3%	2.1%	0.8%	0.3%	0.4%	1.2

* SGC database is sentence-based, not person-based, and is, therefore, not displayed here. The SID is entered into SGC’s database; however, it is not the official identifier for the database.

** 0.01 percent of the dates of birth were missing.

Exhibit 6 includes the average number of names per unique person ID. The WSP database averaged 2.3 names for every SID. AOC and DOC databases averaged 1.2 and 2 names per person ID, respectively.

Exhibit 6 also shows the dates of birth associated with a person ID. WSP’s database averaged 1.3 dates of birth per SID, while AOC averaged 1.1, and DOC averaged 1.2. This indicates that alias dates of birth are less common than alias names.

Exhibit 7 further demonstrates the difficulty in reliably identifying a person using name and date of birth as search criteria. For example, 14 percent of the 302,700 SIDs in WSP’s database had at least one other SID with a similar name and date of birth. Names and dates of birth are similar when the name matching score and birth date matching score are high.

Exhibit 7
Percentage of Person IDs Within the Criminal Justice Databases With at Least One Person ID Similar in Name and DOB

Criminal Justice Database	Number of Unique Person IDs	Percentage of Person IDs
Washington State Patrol	302,700	14%
Administrative Office of the Courts	206,512	18%
Sentencing Guidelines Commission	154,879	6%
Department of Corrections	214,642	9%

Exhibit 8 shows the percentage of unique person IDs in AOC, DOC, and SGC databases matched by name and date of birth to multiple person IDs in WSP’s database. For example, 10 percent of the 203,161 unique person IDs in AOC’s database had multiple name and date of birth matches in WSP’s database. Eleven percent of SGC’s person IDs and 8 percent of DOC person IDs had more than one matching record in WSP’s database.

Exhibit 8
Percentage of Person IDs Matched to WSP by Name and Date of Birth With More Than One SID in WSP Database

Criminal Justice Database	Total Number of Person IDs	Percentage of Person IDs With Multiple Matches in WSP Database Based on Name and DOB
Administrative Office of the Courts	203,161	10%
Sentencing Guidelines Commission	153,194	11%
Department of Corrections	209,744	8%

Unofficial Identifier Recommendation

The Institute recommends that fingerprints be used to determine a person’s identification in order to improve the accurate identification of persons in the criminal justice data system.

V. SUPERIOR COURT CASE NUMBER

AOC maintains the Superior Court Management and Information System (SCOMIS), which is the database used by county clerks to record criminal case information for the superior courts.²⁹ The database includes all Washington State Superior Court criminal and juvenile offender case filings. SCOMIS also includes the dispositions of the charges filed and sentencing information in these cases.

A superior court criminal case is filed with the county clerk's office by a prosecuting attorney once the prosecutor determines there is sufficient evidence that the defendant committed a felony offense.³⁰ Typically, the case is immediately assigned a superior court case number by the county clerk. This is the official Washington State Superior Court case number. Some criminal justice agencies call this a cause number; for clarity we refer to this as the SCOMIS case number.

The SCOMIS case number consists of five components:

- 1) County in which the criminal case is filed
- 2) Year the case is filed
- 3) Case type identifier, which distinguishes cases such as criminal, juvenile, and civil
- 4) Case sequence number
- 5) Check digit

The check digit is a computer generated number based on the county, year, and sequence number. It is used to ensure the validity of the SCOMIS case number when accessing the case in SCOMIS.

A felony judgment and sentence document is filed by the prosecuting attorney for defendants who plead or were found guilty of a felony and sentenced using the same SCOMIS case number.³¹ The judgment and sentence document is signed by the sentencing judge. Washington State Court Criminal Rules state there must be a "uniform judgment and sentence" document as prescribed by AOC.³² Many of the county prosecutors' offices use tailored versions of the uniform judgment and sentence document. That is, a uniformly formatted judgment and sentence document is not universally used.

The original judgment and sentence document stays with the court file in the clerk's office. By statute, a copy of the judgment and sentence document goes to the sentencing judge, the prosecuting attorney's office, and SGC.³³ Copies also go to the defendant, defense attorney, local jails and probation offices, Department of Licensing (DOL), and DOC.³⁴ Up to eight copies of the judgment and sentence document are distributed.

²⁹ The Pierce County Superior Court clerk's office began using the Legal Information Network Exchange (LINX) as the official repository of Pierce County Superior Court case information in 2002. For statewide reporting purposes, the Pierce County Superior Court clerk's office enters limited information in the Judicial Information System.

³⁰ Misdemeanor cases are typically filed in district court. The Institute verified that 99.9 percent of the cases filed in superior court involve a felony offense.

³¹ RCW 9.94A.480

³² http://www.courts.wa.gov/court_rules/?fa=court_rules.display&group=sup&set=CrR&ruleid=supCrR7.2

³³ RCW 9.94A.480

³⁴ Department of Licensing (DOL) receives copies of the felony judgment and sentence if certain convictions prevent a person from obtaining a driver license or a firearm. See RCW 9.41.040 for more information on persons who may not lawfully possess a firearm. Prior to January 2006, the Firearms Division at DOL also received a copy of the felony judgment and sentence document, but AOC now produces a report that the courts send in lieu of the felony judgment and sentence document.

Five measures were used to analyze the completeness and accuracy of SCOMIS case numbers in the criminal justice databases:

- **Measure 1:** SCOMIS case numbers in AOC’s database with a felony conviction found in the other criminal justice databases.
- **Measure 2:** SCOMIS case numbers in AOC’s database with no felony conviction found in the other criminal justice databases.
- **Measure 3:** SCOMIS case numbers in WSP, SGC, and DOC databases found in AOC’s database—a measure of validity.
- **Measure 4:** SID of felony conviction cases in AOC’s database matching the SID in the other criminal justice databases—a measure of validity.
- **Measure 5:** individual felony charges with a conviction in AOC’s database matching the individual charges in the other criminal justice databases.

Exhibit 9 shows the percentage of cases in AOC’s database with a felony conviction that were found in WSP, SGC, and DOC databases. For example, 87 percent of the 352,068 cases in AOC’s database had a matching SCOMIS case number in the WSP database.

Exhibit 9
Measure 1: Percentage of AOC Cases With a Felony Conviction Found in WSP, SGC, and DOC Databases

Criminal Justice Database	Number of AOC Cases With a Felony Conviction	Percentage of SCOMIS Cases Found in Other Database
Washington State Patrol	352,068	87%
Sentencing Guidelines Commission	352,068	88%
Department of Corrections	352,068	91%

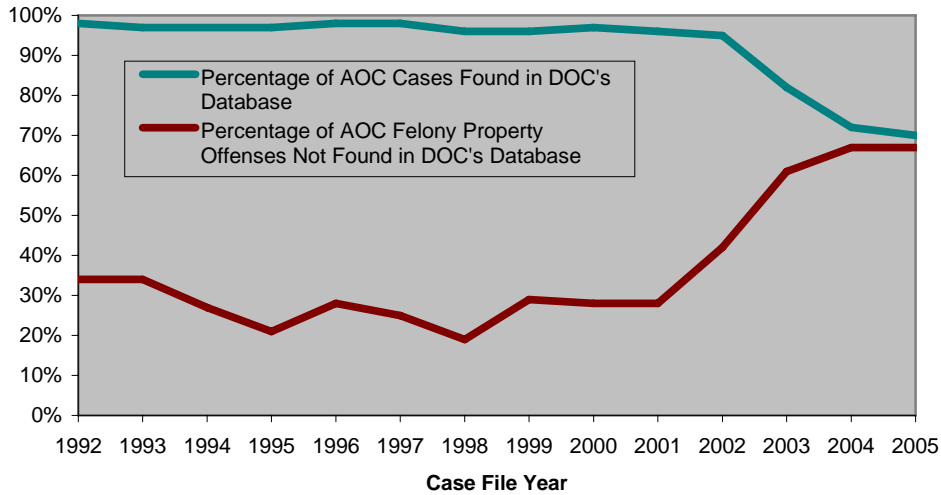
Additional analysis discovered that the percentage of AOC cases found in WSP and SGC databases was consistent from one year to the next for cases filed since 1992. However, there was a recent decline in the percentage of AOC cases found in DOC’s database.

Exhibit 10 shows that the percentage of AOC felony cases found in DOC’s database began to decline in 2002. We examined these cases and determined that 55 percent of the AOC felony cases that could not be found in DOC’s database were for property offenses. These data were plotted by year. Exhibit 10 shows that the percentage of property cases not found in DOC’s database rose from 34 percent in 1992 to 67 percent in 2004, with a dramatic increase beginning in 2002. This change is primarily due to legislation which allows some eligible property offenders to receive only jail confinement, not community supervision.³⁵ Because DOC has no jurisdictional authority over these cases, data concerning these cases are not entered into DOC’s database.³⁶

³⁵ ESSB 5990, Section 305, Chapter 379, Laws of 2003.

³⁶ This was confirmed in a July 12, 2007, email from Carrie Fleming of DOC.

Exhibit 10
Measure 1: Percentage of AOC
Felony Conviction Cases in DOC's Database by File Date



We also analyzed the databases to determine if there were cases in AOC with no felony conviction in the criminal justice databases (including convicted and non-convicted misdemeanors, and non-convicted felonies). Assuming that all cases in SGC and DOC databases had at least one felony conviction, we would not expect to find any AOC cases without at least one felony conviction in these databases. This assumption cannot be made for WSP's database since it contained cases with no felony conviction; therefore, we limited WSP's cases to those with a felony conviction.

Exhibit 11 shows the percentage of AOC cases without a felony conviction that were found in WSP, SGC, and DOC databases. For example, 7 percent of the 182,251 AOC cases without a felony conviction were found in SGC's database. We would expect these percentages for SGC and DOC to be zero.

One explanation for these findings is that a conviction occurred, but the conviction was not recorded for the individual charges of the case. An alternative explanation is that an incorrect case number was entered in WSP, DOC, and SGC databases.

Exhibit 11
Measure 2: Percentage of AOC Cases With No Felony Conviction
Found in WSP, SGC, and DOC Databases

Criminal Justice Database	Number of AOC Cases Without a Felony Conviction	Percentage of AOC Cases Found in Other Databases
Washington State Patrol*	182,251	5%
Sentencing Guidelines Commission	182,251	7%
Department of Corrections	182,251	26%

* WSP cases are limited to those with a felony conviction.

The third measure of the analysis determines if the SCOMIS case numbers in WSP, SGC, and DOC's databases are valid. SCOMIS case numbers from the criminal justice databases were cross-checked to determine if the case numbers existed in AOC's database.

Exhibit 12 shows the percentage of WSP felony arrests with a SCOMIS case number that were found in AOC's database.³⁷ Ninety-five percent of the 444,042 felony arrests in WSP's database had a SCOMIS case number, and 90 percent of these WSP SCOMIS case numbers were found in AOC's database. Ninety-nine percent of the 217,543 arrests with a felony conviction had a SCOMIS case number and 98 percent of these case numbers were found in AOC's database.

Exhibit 12

Measure 3: Percentage of WSP Felony Arrests With a SCOMIS Case Number Found in AOC

	Number of Felony Arrests in WSP	Percentage With SCOMIS Case Number	Percentage of SCOMIS Case Numbers Found in AOC Database
All Felony Arrests With a Superior Court Case Filing	444,042	95%	90%
Arrests With a Felony Conviction	217,543	99%	98%

Exhibit 13 shows the comparable results for the SCOMIS case numbers in SGC and DOC databases. All SGC and DOC cases had a SCOMIS case number. Furthermore, nearly all of the case numbers could be found in AOC data.

Exhibit 13

Measure 3: Percentage of SGC and DOC Felony Cases With a Valid SCOMIS Case Number Found in AOC

Criminal Justice Database	Number of Cases	Percentage With SCOMIS Case Number	Percentage of SCOMIS Case Numbers Found in AOC Database
Sentencing Guidelines Commission	326,312	100%	99%
Department of Corrections	396,107	100%	100%

To further cross-check the validity of the SCOMIS case numbers found in AOC's database, we examined whether the State Identification number (SID) in AOC was the same SID in WSP, DOC, and SGC databases. **Exhibit 14** shows the percentage with the same SIDs. For example, there were 306,523 SCOMIS case numbers in WSP's database that matched an AOC case number. Of these, 91 percent had matching SIDs, 8 percent were missing an SID, and 1 percent had a mismatch.

Exhibit 14

Measure 4: Percentage of Matching Cases From AOC to Criminal Justice Database Where the SID Numbers Matched

Criminal Justice Database	Number of SCOMIS Case Numbers Matched in AOC Database	Percentage With Matching SID	Percentage With Missing SID	Percentage With Non-Matching SID
Washington State Patrol	306,523	91%	8%	1%
Sentencing Guidelines Commission	308,844	64%	17%	20%
Department of Corrections	321,237	93%	1%	6%

³⁷ WSP's database does not contain a data field that indicates whether a case is from the superior court. We used the variable, "originating agency," to determine if the case was a superior court case, but many cases were indistinguishable.

Finally, we analyzed whether the individual charges in each case of AOC's database matched the charges found in the criminal justice database. It is important to note that each agency enters the Revised Code of Washington (RCW) differently. In DOC's database, for example, only seven characters of an RCW can be entered. For purposes of this report, periods were removed from the RCW before matching, and were matched on the seven digit RCW. For example, the seven digit RCW, 6950401, would match to the first seven digits of the longer RCW, 69504012b.

Exhibit 15 shows that between 69 and 90 percent of all charges match between AOC and the criminal justice database.

Exhibit 15
Measure 5: Percentage of Matching Cases
From AOC to Criminal Justice Database Where the Charges Match

Criminal Justice Database	Number of Matched Cases	All Charges Match	Some Charges Match	No Charges Match
Washington State Patrol	306,523	88%	3%	9%
Sentencing Guidelines Commission	308,844	90%	4%	6%
Department of Corrections	321,237	69%	5%	26%

Since DOC's database only allows seven digits of the RCW, DOC often enters the first six characters of the RCW and then enters the last digit of the RCW as the 7th character. We also analyzed DOC's data by truncating the last digit before the matching process. When this was done, 90 percent of the cases were matched (rather than 69 percent), 4 percent had some charges that matched, and the remaining 6 percent had no match.

SCOMIS Case Number Recommendations

Following are the Institute's SCOMIS case number recommendations for decision-makers to consider to improve the completeness, accuracy, and timeliness in identifying persons in the criminal justice data system:

- Develop an oversight committee of prosecutors, courts, and law enforcement agencies charged with managing the recording of RCWs, including establishing a common RCW table.
- Require that prosecutors provide the complete RCW on the judgment and sentence document.
- Review the few remaining ambiguous RCWs.³⁸
- Simplify charges that require more than one RCW for the charge. For example, theft charges require two RCWs. RCW 9A.56.020 must be used to define the type of theft (i.e., wrongfully obtained or misdelivered). Prosecutors must also use a second RCW (for example, 9A.56.020) to show the value of the item.

³⁸ As part of a project through the Justice Information Network (JIN), RCWs were reorganized with the intent of reducing RCWs with subparagraphs containing felonies and misdemeanors—otherwise known as “combined” RCWs. This project was implemented beginning July 1, 2004. After the project, the percentage of ambiguous RCWs decreased from 14.9 to 0.6 percent (see Appendix A). As of 2005, 67 percent of all remaining ambiguous RCWs were for 10.99.050, violation of victim contact order, and 27 percent were for 9.68A.090, communication with a minor for immoral purposes.

VI. PROCESS CONTROL NUMBER

The Process Control Number (PCN) is a unique number that allows staff throughout the criminal justice process to link a disposition to a fingerprinting event with an arrest record. This association enables dispositions to be matched to arrests in WSP's criminal history database, the Washington State Identification System (WASIS). Use of the PCN began in 1993 in King County and was implemented in all counties by 2002.

All persons arrested for felonies and gross misdemeanors are required by statute to be fingerprinted.³⁹ Fingerprinting occurs either electronically through a "live-scan," or as a hardcopy on a fingerprint card.⁴⁰ WSP assigns a PCN at the time of fingerprinting and is responsible for distributing PCNs to booking agencies. Live-scan devices are assigned blocks of PCNs. For agencies not taking fingerprints via live-scan, WSP provides fingerprint cards with pre-printed PCN labels. The PCN is entered into WASIS by WSP staff.

Although originating jurisdictions may use varying procedures for the PCN, standard business rules apply when providing data to WSP for criminal history purposes.⁴¹ For example, business rules specify responsibilities for reporting dispositions to WSP in the following situations:

- Law enforcement reports a disposition when charges are not referred to the prosecutor.
- Prosecutors report a disposition when no charges are filed.
- County clerks report a disposition when electronic transfer of felony information has been recorded in SCOMIS. If electronic transfer is not implemented, the prosecuting attorney must transmit the disposition form to WSP.

Data Exchange of PCN

After a judgment and sentence document is entered into SCOMIS, the disposition can be transferred electronically from AOC to WSP through a data exchange process called the WASIS Disposition Transfer Report. This process enables WSP to update WASIS with current criminal history.

The following criminal case information must be recorded for cases eligible for electronic transfer:⁴²

- PCN
- Defendant resolution code
- Sentence date and the sentence description
- Case resolution code
- Birth date

The data exchange between AOC and WSP occurs every day and takes about two hours. Once the data is transferred, however, the process to update WASIS can take up to 30 days, because most dispositions require manual intervention.

³⁹ RCW 43.43.735

⁴⁰ Live-scan devices electronically capture fingerprint images.

⁴¹ Standard business rules were implemented in 1998 and are available at: <http://jin.wa.gov/standards/PCNrules.pdf>

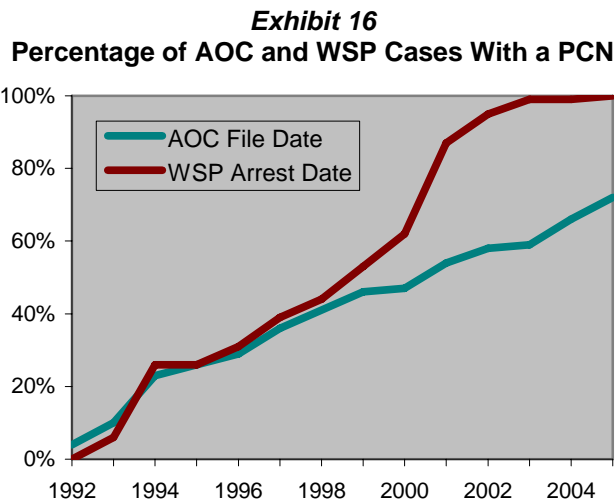
⁴² Information obtained from the online manual for AOC's Justice Information System database.

For example, in April 2007, approximately 4 percent of the dispositions were electronically updated in WASIS automatically.⁴³ The remaining 96 percent required some form of manual intervention. Dispositions requiring manual intervention go into a queue called the Criminal History Incident Processing System, or CHIPS. In April 2007, 21 percent of these dispositions were sent electronically after staff fixed a minor problem. Typically, intervention for these types of dispositions occurs due to missing subparagraph data for the crime code.

Unresolved electronic dispositions are closed out of the CHIPS queue and printed for manual entry into WASIS by WSP staff. In April 2007, 75 percent of these dispositions could not be updated electronically and were printed for manual data entry. Typically, the more complex the disposition or charges, the more difficult it is to process electronically. In SCOMIS, all sentence information is captured in a sentence field that allows for a text string. This text field is problematic for automated electronic data transfer.

The PCN is not available in DOC or SGC databases; therefore, analysis of the PCN involves matching WSP and AOC database records for adult felony criminal records from 1992 through 2005. In this section, we describe the completeness of the PCN and have analyzed the uniqueness and the validity of the PCN.

Exhibit 16 shows the percentage of cases with a PCN in both WSP and AOC databases has increased since PCN implementation began in 1992. As of 2005, 100 percent of WSP records and 72 percent of AOC records had a PCN. Thus, the completeness of the PCN has improved since implementation.



We also examined the completeness of the PCN across individual counties. There is variability in the level of completeness for counties statewide with several counties systematically missing PCNs.

Next, we examined the uniqueness of the PCN to determine how often the same PCN had been assigned to multiple persons. WSP data indicated that 100 percent of all PCNs had been assigned to only one person. In addition, nearly all PCNs in AOC data (99.8 percent) had been assigned to only one person ID.

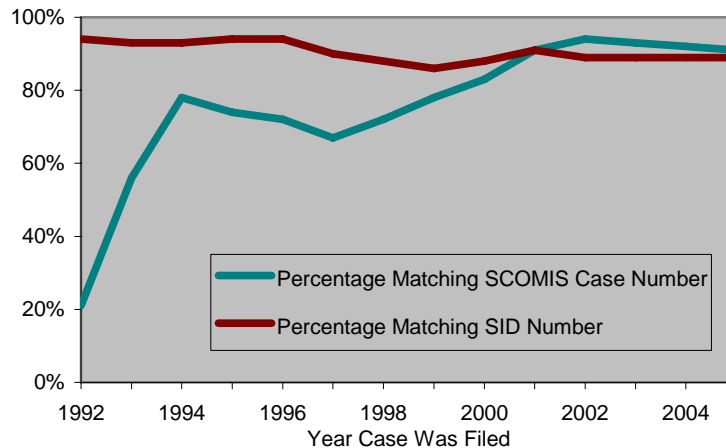
We also found that 98 percent of the PCNs in AOC’s database were found in WSP’s database. That is, nearly all of the PCNs that existed in AOC’s database were legitimate PCNs.

We further analyzed the validity of the PCN by matching the PCN numbers from AOC’s database to WSP’s database to determine if the corresponding SCOMIS case number and SID number in both the databases also matched.

⁴³ These data were obtained from WSP in May 2007.

Exhibit 17 displays, for cases with matching PCN numbers in AOC and WSP databases, the percentage of cases with matching SCOMIS case numbers and SIDs. Since 2001, approximately 90 percent of these cases had matching SCOMIS case numbers and matching SIDs.

Exhibit 17
AOC PCNs Matched to WSP PCNs:
Percentage With Matching SCOMIS Case Numbers and SIDs



PCN Recommendations

Following are the Institute's PCN recommendations for decision-makers to consider for improving the completeness, accuracy, and timeliness of criminal history data in the state's data systems:

- Examine the practices of counties with a high percentage of PCNs to determine if business rules should be modified to emulate the practices of these counties.
- Require that the PCN (or PCNs) be included on the judgment and sentence document.
- Partner WSP with county clerks and prosecuting attorneys to train staff on including the PCN.
- Educate prosecuting attorneys in each county to include the subparagraph of the RCW on the judgment and sentence document to reduce manual data entry of the disposition in WSP's database. One method to assist this effort would be the use of a common RCW table by all prosecuting attorney computer systems.
- Replace the SCOMIS text sentence structure field with distinct sentence structure data fields to eliminate WSP manual data entry of the disposition.
- Electronically transmit the PCN to AOC, county clerks, and prosecutors.
- Use a live-scan device to electronically capture and transmit fingerprints in courtrooms so those who are booked at their first appearance are given an SID and PCN.
- County clerks enter the PCN into SCOMIS if it exists on the judgment and sentence document.

VII. RECORDS QUALITY INDEX

The Records Quality Index (RQI) is a standardized measure developed for the National Criminal History Improvement Program (NCHIP) used to gauge performance of criminal history records' systems. The Bureau of Justice Statistics (BJS) implemented NCHIP in 1995. Its objective is to "improve the quality, timeliness, and accessibility of criminal history records."⁴⁴ Comprehensive criminal history records allow criminal justice professionals to identify people quickly and accurately, resulting in improved decision-making at all levels of the criminal justice system.

Objectives of the RQI are to:

- Assess the quality of records at state and national levels.
- Identify areas of deficiency so improvements can be targeted.
- Help BJS target specific state and local problems in future NCHIP funding cycles.

There are five criminal history RQI measures.

- 1) **Overall outcome measure**—the weighted sum of 11 individual outcome measures, which are described later in this section.
- 2) **Timeliness process measure**—the average number of days between the arrest dates and final disposition dates.
- 3) **Completeness process measure**—a disposition-based measure representing the fraction of records that have final dispositions rendered and posted by the end of the third year.
- 4) **Washington State RQI**—a measure that reflects the 11 individual outcome measures, the timeliness process measure, and the completeness process measure for Washington State.
- 5) **National RQI**—an RQI score encompassing a weighted average of individual state RQI scores. The national RQI is weighted by the number of criminal history records in each state.

Method

Since WSP coordinates statewide criminal history information submitted by local criminal justice agencies, RQI responses are submitted by WSP. The data cited in this section are from the analysis completed by Structured Decisions Corporation for BJS.⁴⁵ RQI data from 1997 through 2003 are presented in this section; 2003 is the last year funding for data collection is available.

We examined trends of the RQI and highlight areas where Washington can improve its criminal records. Recommendations are provided based on our findings in previous sections of this report.

⁴⁴ Information retrieved on May 24, 2006, from <http://www.ojp.usdoj.gov/bjs/nchip.htm>.

⁴⁵ J. Tien, M. Cahn, R. Neray, D. Einstein, & K. Pei. (2005). *Measuring the performance of criminal history records systems: The Records Quality Index*. West Newton, MA: Structured Decisions Corporation. See: http://www.sdcorp.net/public/Pub_RQI_Report.pdf.

Overall Outcome Measure

Exhibit 18 shows Washington's RQI from 1997 through 2003 for the overall outcome, timeliness, and completeness process measures, and Washington State and National RQI.

Exhibit 18
Results of RQI Measures: 1997–2003

Description	1997	1998	1999	2000	2001	2002	2003
Overall Outcome Measure	0.229	0.249	0.268	0.284	0.287	0.429	0.567
Timeliness Process Measure*	230	213	212	228	249	276	231
Completeness Process Measure**	0.729	0.752	0.760	0.719	0.743	0.540	0.671
Washington State Records Quality Index	72	88	96	90	86	84	165
National Records Quality Index	62	68	90	99	128	132	167

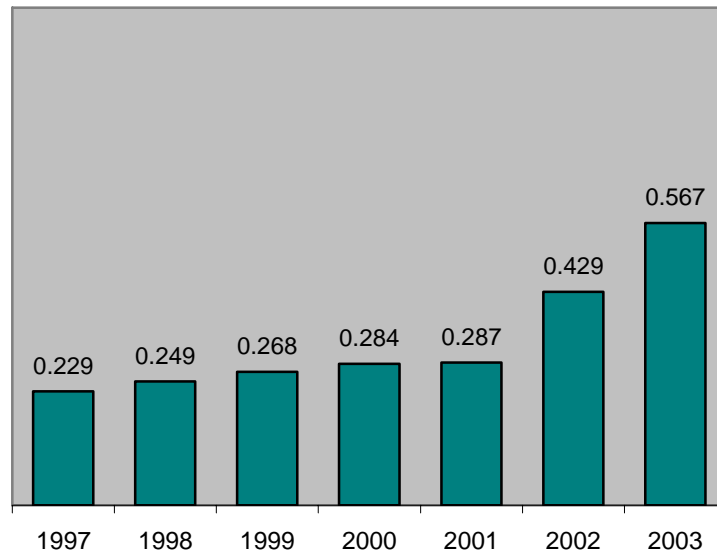
* The average number of days between arrest and final disposition.

** The proportion of records with a final disposition.

Source: Structured Decisions Corporation

Exhibit 19 displays the overall outcome measure, which is the weighted sum of the 11 individual outcome measures. From 1997 to 2003, the overall outcome measure increased, with a dramatic increase from 2002 to 2003. An explanation of the 11 individual outcome measures contributed to this increase begins on page 33.

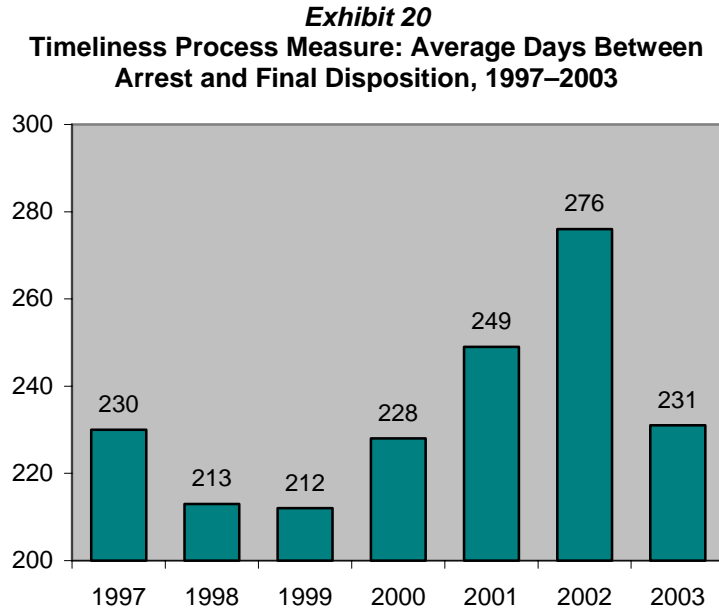
Exhibit 19
Washington State's Sum of 11 Overall Outcome Measures: 1997–2003



Source: Structured Decisions Corporation

Timeliness Measure

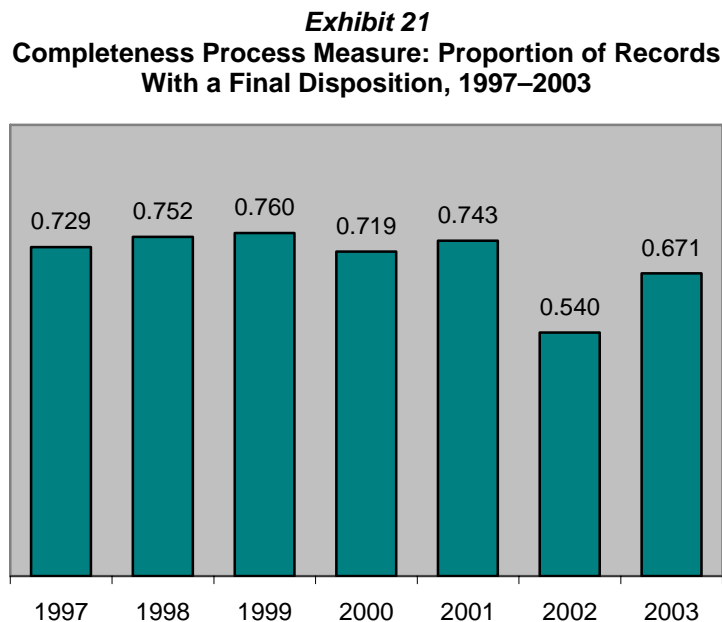
The timeliness process measure represents the average number of days between arrest and final disposition. **Exhibit 20** displays the range of this measure, from a low of 212 days to a high of 276 days.



Source: Structured Decisions Corporation

Completeness Measure

The completeness process measure is a disposition-based measure of cohort completeness representing the proportion of records with a final disposition rendered and posted by the end of year three. **Exhibit 21** shows that during WSP's project to eliminate the disposition backlog there was a decline in 2002; however, this measure began increasing in 2003.



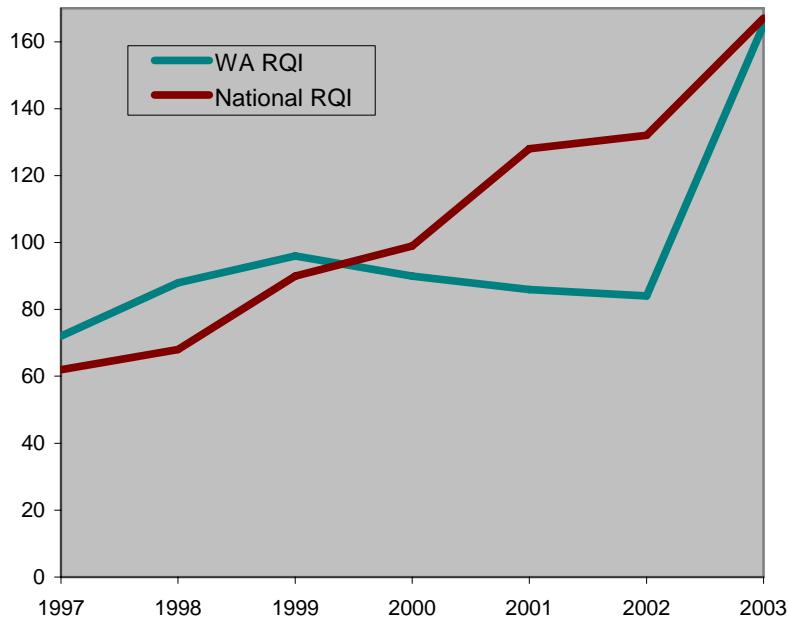
Source: Structured Decisions Corporation

Washington RQI

The Washington State RQI is derived from the overall outcome measure, the timeliness process measure, and the completeness process measure. The state RQI cannot be less than zero and has no upper limit. For example, if an RQI is 100 and increases to 120, the accuracy of the state's criminal history records has improved by 20 percent.

Exhibit 22 displays the Washington State RQI compared to the National RQI. Overall, Washington's RQI has increased since 1997 from 72 to 165.

Exhibit 22
Washington State and National
RQI Measures: 1997–2003



Source: Structured Decisions Corporation

Exhibit 22 also shows that between 1999 and 2002, Washington's RQI decreased. Due to various factors including office relocation, natural disasters, and a computer system upgrade, WSP had a backlog of a data entry for fingerprint card and disposition data. WSP received funding (2.5 million dollars) from the legislature and federal grants to implement a data entry project to eliminate the backlog. The project began in 2001 and ended in 2003. Since 2003, WSP has processed the information within 30 days of receipt from the court.

Eleven Individual RQI Outcome Measures and Results

Exhibit 23 displays the 11 individual RQI outcome measures and the results of the most recent data collection from 2003. The numbers within each response represents the proportion of records that met these criteria. For example, measure 1 shows that 100 percent of the criminal records were automated and measure 3 shows that, in 2003, 52 percent of arrests were transmitted to the repository electronically.

Exhibit 23
Results of RQI Measures: 1997–2003

Measure	Description	1997	1998	1999	2000	2001	2002	2003
1	Automation of Records	1.000	1.000	1.000	1.000	1.000	1.000	1.000
2	Response to Interstate Identification Index Inquiries	0.293	0.335	0.350	0.370	0.387	0.441	0.478
3	Transmission of Arrests to Repository	0.000	0.000	0.000	0.000	0.010	0.213	0.518
4	Criminal History Database Flagging	0.400	0.550	0.580	0.620	0.620	0.620	0.620
5	Transmission of Criminal Fingerprints to FBI's IAFIS	0.000	0.000	0.000	0.000	0.000	0.491	1.000
6	Transmission of Applicant Fingerprints to FBI's IAFIS	0.000	0.000	0.000	0.000	0.000	0.476	1.000
7	Electronic Data Submission to FBI Files	0.000	0.000	0.150	0.250	0.250	0.450	0.450
8	Transmission of Dispositions to Repository	0.000	0.000	0.000	0.000	0.000	0.000	0.000
9	Authorized Access to State Files	0.600	0.600	0.600	0.600	0.600	0.600	0.600
10	National Fingerprint File State and Compact Signing Status	0.000	0.000	0.000	0.000	0.000	0.000	0.000
11	Incident-based Reporting	0.000	0.000	0.000	0.000	0.000	0.000	0.000
	Overall Outcome Measure	0.229	0.249	0.268	0.284	0.287	0.429	0.567

Source: Structured Decisions Corporation

Following are the 11 individual outcome measures and the answers that were provided by WSP in 2003.

1. What proportion of the records in your criminal history database are fully automated?

One hundred percent of the criminal history records in the WSP repository are automated.

2. What proportion of your criminal history records in the Interstate Identification Index (III or Triple I) are indexed with SIDs (State Identification numbers)? (The Triple I is an indexing system maintained by the Federal Bureau of Investigation [FBI] for interstate exchange of criminal history records.)

Forty-eight percent of criminal history records in the Triple I were indexed with SIDs.

3. What proportion of your arrests, including both fingerprints and arrest information, are communicated to the repository via an automated interface (neither faxed transmissions nor data printed from a live-scan device, that electronically captures fingerprint images, qualifies as automated)?

Approximately 52 percent of fingerprint images were electronically connected to Washington State's Automated Fingerprint Identification System (AFIS), which stores fingerprint images for all arrests contained in WSP's database.

4. Does your criminal history database flag subjects with convictions for: a. Felony offenses? b. Domestic violence misdemeanors? c. Sex offenses? d. Child abuse offenses? e. Elderly abuse offenses? f. Disabled abuse offenses?

This measure is based on the presence of flags in the criminal history database for six different categories of offenses. As of 2003, all felony offenses, most domestic violence misdemeanors, and most sex offenses were flagged. However, no flags were attached to child abuse offenses, elder abuse offenses, or disabled abuse offenses. There has been little change in this measure since

December 2003. Despite the absence of flags, crime codes can be used to identify crimes against persons.

5. What proportion of your criminal fingerprints submitted to the FBI are transmitted electronically to the FBI's IAFIS (Integrated Automated Fingerprint Identification System)?

The IAFIS interface for electronic submission of criminal fingerprints was implemented in 2002. Since 2003, 100 percent of criminal fingerprints have been submitted to the FBI via IAFIS.

6. What proportion of your applicant fingerprints submitted to the FBI are transmitted electronically to the FBI's IAFIS?

One hundred percent of applicant fingerprints are submitted to the FBI via IAFIS.

7. Do you electronically submit data to the: a. National Protection Order File? b. National Sex Offender Registry? c. Mental Defectives/Commitments File? d. Controlled Substance Abuse File? e. Denied Persons File? (Point-of-Contact states only.)

This measure is based on the volume of records electronically submitted to five national databases. In 2003, WSP submitted most protection orders to the National Protection Order File and most sex offenses to the National Sex Offender registry; by 2007, all sex offenses are being submitted to the National Sex Offender Registry. Washington did not submit records to the Mental Defectives/Commitments, the Controlled Substance Abuse, or the Denied Persons files. In 2007, Washington began sending a Denied Persons file for certain categories of persons denied in Washington.

WSP and the Department of Social and Health Services collaborated to incorporate flags for persons who should be denied firearms purchases based on mental health considerations. In 2004, flags were made available for background checks for firearms applications, but Washington's mental health records were not submitted.

8. What proportion of the final dispositions reported to the repository are communicated via a. An automated interface? b. Magnetic tape transfer? c. Other means (mail, fax, etc.)?

In 2003, none were reported via automated interface or magnetic tape; however, all were reported using "other means." As of 2007, approximately 3.5 percent of all electronically transmitted dispositions automatically post to WASIS.

9. What proportion of the following state files do authorized users have direct automated access to: a. Protection orders? b. Sex offender registry? c. Mental health information relevant to firearms eligibility? d. Drug abuse information relevant to firearms eligibility?⁴⁶

Authorized users have direct access to all state protection order files and all sex offender registry files. There have been no known state-level applications permitting automated direct access for law enforcement to databases of mental health clients or drug abuse clients.

10. a. Is your state a National Fingerprint File (NFF) state? b. Has your state signed the National Crime Prevention and Privacy Compact?⁴⁷

Washington is not a National Fingerprint File state and has not signed the National Crime Prevention and Privacy Compact.

⁴⁶ The National Crime Information Center (NCIC) maintains databases that can be accessed by authorized criminal justice agencies. This information assists agencies with law enforcement objectives, such as fugitive apprehension, locating missing persons and stolen property, and domestic protection.

⁴⁷ NFF is a component of the Triple I which establishes a decentralized system for interstate criminal records exchange. The National Crime Prevention and Privacy Compact is an infrastructure allowing states to exchange criminal records for non-criminal justice purposes.

- 11. a. What proportion of all the incident reports completed by all of your state's law enforcement agencies are entered in a state database of incident-based information?**
b. Does your state have an automated interface between its computerized criminal history and a state incident database?

Washington does not have a state incident-based database nor the corresponding automated interface.

RQI Recommendations

Areas Not Needing Improvement

- Measure 1: Automation of Records
- Measure 5: Transmission of Criminal Prints to the FBI's IAFIS
- Measure 6: Transmission of Applicant Prints to the FBI's IAFIS

Areas Needing Some Improvement and Strategies

- Measure 2: Response to Interstate Identification Index Inquiries That Are Indexed With SIDs
 - ✓ Require that the SID be the official state identifier for all databases for criminal defendants from superior court.
- Measure 3: Transmission of Arrests to Repository
 - ✓ Require live-scan devices to electronically capture and transmit fingerprints to WSP for all person identification.
- Measure 4: Criminal History Database Flagging
 - ✓ Appropriately flag certain criminal offenses by using the RCW.
 - ✓ Develop an oversight committee of prosecutors, courts, and law enforcement agencies charged with managing the recording of RCWs, including establishing a common RCW table.
 - ✓ Review RCWs to simplify charges that require more than one RCW for the charge.
 - ✓ Require the prosecutor to provide the complete RCW on the felony judgment and sentence document.
- Measure 7: Electronic Data Submission to FBI Files
 - ✓ Electronically submit records for the Mental Defectives/Commitments, the Controlled Substance Abuse, and the Denied Persons files.
- Measure 9: Authorized Access to State Files
 - ✓ Identify a process for authorized users to have access to mental health or drug abuse information to determine firearms eligibility.⁴⁸

⁴⁸ Law enforcement agencies are required by the state to query the National Instant Criminal Background Check System (NICS) on all handgun and concealed pistol licenses to determine license and purchase eligibility. This inquiry automatically checks NICS mental health information which is supplied by the Washington State Department of Social and Health Services. Law enforcement also has the ability to query local mental health agencies by fax or phone. Law enforcement can add disqualifying information to NICS. NICS does not provide specific information about a person's mental ineligibility.

Areas Needing Considerable Improvement and Strategies

- Measure 8: Transmission of Dispositions to Repository
 - ✓ Develop an oversight committee of prosecutors, courts, and law enforcement agencies charged with managing the recording of RCWs, including establishing a common RCW table.
 - ✓ Electronically transmit PCNs to AOC, courts, county clerks, and prosecutors.
 - ✓ Add the PCN (or PCNs) to the judgment and sentence document.
 - ✓ Require that prosecutors include the complete RCW, including the subparagraph, on the felony judgment and sentence document, thus reducing manual data entry of the disposition in WSP's database.
 - ✓ Eliminate the text sentence structure field in SCOMIS and make the data fields distinct so manual data entry of the disposition can be eliminated.
- Measure 10: National Fingerprint File State and Compact Signing Status
 - ✓ Become a member of the National Fingerprint File and sign the National Crime Prevention and Privacy Compact.
- Measure 11: Incident-based Reporting
 - ✓ Since the last RQI reporting cycle, the Jail Booking and Reporting System (JBRS) has been implemented in Washington. JBRS is an electronic statewide reporting system of offender information, which allows the entry and retrieval of "real-time" and historical information on offenders incarcerated in jail. JBRS is also interfaced with Justice Xchange, a nationwide database that houses booking records, incident reports, and other data from thousands of participating agencies.

VIII. SUMMARY OF FINDINGS

OFM contracted with the Institute for the following:

- Determine the penetration rate of the SID and PCN among each of the systems.

The official fingerprint-based State Identification number (SID) was found for:

- ✓ 86 percent of the felons in AOC's database.
- ✓ 98 percent of offenders under the authority of DOC.
- ✓ 67 percent of the judgment and sentence documents in SGC's database.

The PCN was found in:

- ✓ 100 percent of WSP records, since WSP generates this number for every fingerprinting event.
 - ✓ 47 percent of all AOC records; and 72 percent of cases filed in 2005.
 - ✓ 4 percent of the case dispositions electronically submitted from AOC's database to WSP that are updated without manual intervention.
- Explain the strengths and weaknesses of the criminal history records systems' abilities to describe a cohesive view of the state's criminal history.
 - ✓ 98 percent of persons under DOC's authority had an SID.
 - ✓ 99 percent of the SIDs entered in AOC, DOC, and SGC were found in WSP's database. However, matching an SID is no guarantee that the same SID in the criminal justice database is referencing the same person. Only a fingerprint accompanying the SID can confirm a person's identity.
 - ✓ Name and date of birth do not uniquely identify persons. For example,
 - 14 percent of person IDs in WSP's database, 18 percent in AOC's database, 6 percent in SGC's database, and 9 percent in DOC's database had at least one other person ID with a similar name and date of birth within the database.
 - ✓ SCOMIS case numbers with a felony conviction in AOC were found in the criminal justice databases for:
 - 87 percent of WSP.
 - 91 percent of DOC.
 - 88 percent of SGC.
 - When the SCOMIS case number exists, it is accurate nearly 100 percent of the time.
 - ✓ When AOC case numbers were matched to the case numbers of the criminal justice databases:
 - 88 percent of the case numbers in WSP's database had the same charges in AOC's database.
 - 90 percent of the case numbers in SGC's database had the same charges in AOC's database.
 - 69 percent of the case numbers in DOC's database had the same charges in AOC's database.

APPENDIX A: FELONY CRIME CLASSIFICATION

The Revised Code of Washington (RCW) is the collection of all permanent laws in force in the state of Washington. Title 9A describes Washington State's criminal code. RCW 9A.04.040 (2) describes the types of crimes:

"A crime is a felony if it is so designated in this title or by any other statute of this state or if persons convicted thereof may be sentenced to imprisonment for a term in excess of one year. A crime is a misdemeanor if it is so designated in this title or by any other statute of this state or if persons convicted thereof may be sentenced to imprisonment for no more than ninety days. Every other crime is a gross misdemeanor."

Most crimes can be classified as a felony solely based on the RCW that defines the crime. However, there are some crimes that require knowing the paragraph and sub-paragraph to properly identify the crime as a felony. There are a few crimes that cannot be defined as a felony even knowing the paragraph and sub-paragraph because the determination is contingent upon knowing additional information. This inability to definitively identify a crime as a felony, based on the RCW, introduces some ambiguity in criminal justice databases. This report is concerned with databases of felony crimes; it is critical to identify cases that involve a felony in order to analyze the completeness and accuracy of the databases.

The Washington State Superior Courts are courts of general jurisdiction, meaning these courts have jurisdiction over all Washington State crimes. There are also district and municipal courts in Washington State, courts of limited jurisdiction, which have jurisdiction over misdemeanor crimes. Because of this structure, the vast majority of misdemeanors are filed in district and municipal courts while the vast majority of cases in superior courts involve felonies.

The Administrative Office of the Courts (AOC) maintains an RCW reference table that contains the RCWs of cases filed in superior court. This table indicates whether the RCW is a felony, misdemeanor, or gross misdemeanor. AOC's database, the Superior Court Management and Information System (SCOMIS), is used to manage Washington's superior court criminal and juvenile offender case filings. Until July 2004, SCOMIS included the title, chapter, and section for each RCW, but not the paragraph and subparagraph. Some of these entries are referenced as "undefined," because the RCW could not be defined as a felony or misdemeanor. There are also RCWs with subparagraphs that are felonies and misdemeanors, which are called "combined" RCWs.

For purposes of this appendix, undefined and combined cases are displayed together in the tables as "ambiguous." In addition, misdemeanors and gross misdemeanors are displayed together as "misdemeanor."

Exhibit A1 displays the number of SCOMIS cases filed between 1992 and 2005 according to the prosecutor's initial "charging information" document. Of the 504,159 SCOMIS cases filed:

- 86 percent had charges that are identified in the SCOMIS law table as felonies.
- 0.1 percent involved only a misdemeanor RCW.
- 13.2 percent involved only RCWs that cannot be defined as either felonies or misdemeanors.
- 0.7 percent were non-crimes, such as RCW 46.16.010, or definitions, such as RCW 9A.32.010.

Exhibit A1
Initial Charging Information Documents Filed From 1992 to 2005

Type of Case Filed Based on AOC RCW Classification	Percentage of Cases	Percentage With an SID	Percentage With a PCN
Felony	86.0%	82.6%	47.8%
Misdemeanor	0.1%	75.3%	48.7%
Ambiguous	13.2%	83.0%	30.1%
Other	0.7%	76.6%	21.4%

Exhibit A1 also shows the percentage of cases with a State Identification number (SID) and a Process Control Number (PCN) based on AOC's RCW classification. The percentage of ambiguous cases with an SID (83.0 percent) is nearly identical to the percentage of felony cases with an SID (82.6 percent), and seven percentage points higher than the misdemeanor cases. The exhibit reinforces the assumption that the ambiguous cases are felonies, since there is a high percentage of SIDs. In addition, including ambiguous cases allows the analyses to determine if these cases are also recorded in WSP, DOC, and SGC databases. The cases with ambiguous RCWs may have fewer PCNs assigned to them because it may not be clear whether the case is a felony.

Exhibit A2 displays a list of the top five RCWs that are ambiguous and cannot be defined as either a felony or misdemeanor. Ninety-three percent of the ambiguous cases are drug-related (RCW 69.50.401). Since most misdemeanors are filed in district and municipal courts, and so few known misdemeanors are filed in superior court, the Institute assumes that ambiguous cases are felonies filed in superior court.

Exhibit A2
Top Five Ambiguous/Combined RCWs for Cases Filed From 1992 to 2005

RCW	RCW Description	Percentage of Ambiguous Cases	Cumulative Percentage
69.50.401	VUCSA*: Narcotic Possession	93.2%	93.2%
10.99.050	Victim Contact Order Violation	3.1%	96.3%
46.52.020	Hit and Run Injury	0.9%	97.3%
26.50.110	Domestic Violence Assault	0.9%	98.1%
74.08.331	Welfare Fraud	0.7%	98.8%

* Violations of the Uniform Controlled Substance Act

As part of a project through the Justice Information Network (JIN), RCWs were reorganized with the intent of reducing the number of RCWs with subparagraphs containing felony and misdemeanor RCWs.⁴⁹ This project was implemented on July 1, 2004. As of 2005, 67 percent of all remaining ambiguous RCWs are for 10.99.050, violation of victim contact order, and 27 percent are for 9.68A.090, communication with a minor for immoral purposes.

⁴⁹ See http://www.courts.wa.gov/jislink/index.cfm?fa=jislink.codeview&dir=scomis_manual&file=RCWCodesbyRCW

Exhibit A3 displays the number of SCOMIS cases filed in 2005. Compared with Exhibit A1, the percentage of ambiguous cases decreased from 13.2 percent to 0.2 percent by 2005. In addition, the percentage of felony cases increased from 86.0 percent to 99.5 percent, while the percentage of misdemeanor cases remained the same. That is, nearly all of the ambiguous crimes were shifted to the felony classification. Thus, the Institute makes a reasonable inference that ambiguous cases filed in superior court are felony cases.

Exhibit A3
Initial Information Filed in 2005

Type of Case Filed in 2005 Based on AOC RCW Classification	Percentage of Cases	Percentage With an SID	Percentage With a PCN
Felony	99.5%	81.1%	77.8%
Misdemeanor	0.1%	59.5%	57.1%
Ambiguous	0.2%	89.0%	70.0%
Other	0.1%	57.6%	57.5%

Exhibit A4 shows the percentage of AOC cases with a conviction from 1992 through 2005. Similar to Exhibit A1, a high percentage of ambiguous cases have an SID, which parallels the percentage of felony cases with an SID.

Exhibit A4
Cases With a Conviction From 1992 to 2005

Type of Cases With a Conviction Based on AOC RCW Classification	Percentage of Cases	Percentage With an SID	Percentage With a PCN
Felony	84.1%	90.4%	50.4%
Misdemeanor	0.4%	66.1%	52.7%
Ambiguous	14.9%	88.8%	32.0%
Other	0.5%	91.4%	23.7%

Exhibit A5 displays the percentage of AOC cases with a conviction in 2005. As with Exhibit A3, the percentage of felony cases increased and the percentage of ambiguous cases decreased after the JIN project to reorganize ambiguous RCWs.

Exhibit A5
Cases With a Conviction in 2005

Type of Cases With a Conviction Based on AOC RCW Classification	Percentage of Cases	Percentage With an SID	Percentage With a PCN
Felony	99.1%	87.6%	79.7%
Misdemeanor	0.2%	71.4%	67.1%
Ambiguous	0.6%	86.0%	77.3%
Other	0.1%	90.9%	68.2%

Based on the information presented in the tables above, the Institute classified ambiguous cases filed in superior court as felony cases with an insignificant loss in accuracy. Thus, these cases are included in the analysis of the current study.

Also adding to the complexity of defining felonies are anticipatory offenses. Anticipatory offenses include criminal contempt, solicitation, and conspiracy.⁵⁰ If a person attempts, solicits, or conspires to commit a crime, the crime is reduced by one felony class level. For example, if the offense was a Class A felony and a person is convicted under an anticipatory offense, the offense is reduced to a Class B felony. However, if the offense was a Class C felony, the offense is then reduced to a gross misdemeanor.

Because our study focuses on felonies, we were particularly interested in Class C felonies with the potential of being reduced to a gross misdemeanor. We examined SCOMIS cases filed between 1992 and 2005 according to the initial charging information documents. Cases were grouped into Class A, B, or C felonies based on the RCW for each of the charges within a case. If a case had multiple charges with multiple class felonies, the case was classified as the highest class felony. For example, if a case had a Class A and B felony, the case was considered Class A. Thus, to be counted in the Class C category, none of the other charges within the case can be a Class A or B felony, or a Class C felony without an anticipatory offense.

Of the 504,159 SCOMIS cases filed, 420 cases, or 0.08 percent were a Class C felony with an anticipatory offense. Of the 369,243 SCOMIS cases with a guilty disposition, 16,129 cases, or 4.4 percent, were a Class C felony with an anticipatory offense. This number of Class C felonies with a guilty disposition is large enough that results of the study could be influenced; therefore, they are excluded from conviction data used for the study.

⁵⁰ RCW 9.94A.595

APPENDIX B: DETAILED DESCRIPTIONS OF EXHIBITS

Records Included in the Audit

This study involved matching criminal justice database records for adult felony criminal records from 1992 through 2005. Unless otherwise specified, only the records indicated below met the study criteria and were included in the analyses. The databases included in the analyses are as follows:

- Washington State Patrol—adult felony arrests dating from 1992 through 2005.
- Administrative Office of the Courts—adult felony convictions with case filing dates from 1992 through 2005.⁵¹ If at least one of the charges had a guilty finding, the case was defined as a conviction.
- Sentencing Guidelines Commission—Washington State Superior Court convictions with sentence dates from 1992 through 2005.
- Department of Corrections—Washington State Superior Court convictions with sentence dates from 1992 through 2005.

This study includes felony criminal records. There is no clear method of determining which offenses are felonies, because many offenses become felonies after a person's criminal history is incorporated (see Appendix A for more details). Thus, we have made assumptions about the data and have classified felonies to the best of our knowledge. The following is a description of how felonies are identified in each of the databases:

- WSP—A variable exists in the arrest data that indicates if an offense is a felony. All records indicating a felony were selected. Twenty-five percent of WSP's arrest records were defined as felonies and 45 percent as misdemeanors. Thirty percent of arrest records were unknown and, therefore, not included in this study.
- AOC—The Institute maintains an RCW table that classifies offenses into felonies and misdemeanors. This is done using RCW descriptions and a variable in AOC's data called the law level.⁵² If the RCW description or AOC's law level states that the offense is a felony, the offense is classified as such. Sometimes the RCW and the law level are ambiguous and do not state that the offense is a felony. If we cannot determine whether the offense is a felony through these two methods, we make the assumption that since the conviction is occurring in superior court, the offense is a felony. In AOC, a conviction is defined as a case with at least one "guilty" charge.
- SGC—Contains only felony judgment and sentence documents.
- DOC—An assumption is made that persons under the jurisdiction of DOC have at least one felony.

⁵¹ In 1992, AOC began identifying offenders using a centralized person database and assigning each person a Unique AOC person ID number. Therefore, 1992 is the furthest back our analysis can begin.

⁵² <http://apps.leg.wa.gov/rcw/>

Data Extracts

The Institute receives annual data extracts from WSP and SGC and quarterly extracts from DOC. These extracts are a “snapshot” of the data as it exists at that given point in time. The new extract replaces the old extract. WSP and DOC data extracts include all years, and SGC’s data extract includes one year.

The Institute also receives quarterly extracts from AOC; these data overlap with the prior quarter. Thus, when processing the data, we keep case information from the most recent extract.

Below is a list of extracts from each agency’s database used for this analysis.

Washington State Patrol

- Arrest data—contains all arrest-related data such as arrest date, charge, offense class, juvenile record flag, PCN, and SID.
- Court data—contains court-related data after a case is filed in superior court. The table contains data such as SCOMIS case number, disposition, court file date, and offense class.
- Alias name data—contains all alias names and SID.
- Alias date of birth data—contains all alias dates of birth and SID.

Administrative Office of the Courts

- Charge data—contains superior court offense information for the individual charges within each SCOMIS case number such as the RCW, offense date, AOC person number, disposition, PCN, and court SCOMIS case number.
- Case data—contains superior court information for each court SCOMIS case number such as case disposition, court SCOMIS case number, PCN, and AOC person number.
- Person data—contains personal identification information such as name, date of birth, gender, SID, DOC person number, and AOC person number.
- Alias data—contains pairs of AOC person numbers in the event that a person has been assigned multiple AOC person numbers. For purposes of this analysis, the Institute has linked known multiple AOC numbers and assigned a unique AOC ID number to each offender. Results are displayed using the unique AOC ID.

Sentencing Guidelines Commission

- Sentence data—contains felony judgment and sentence document data such as sentence date, sentence type, RCW, offense date, disposition, demographic information, and county of jurisdiction. This data is sentence-based, not person based; however, SGC does record the SID when available.
- SID data—SGC captures the SID associated with a judgment and sentence document by two methods: manually entering the SID from a copy of the judgment and sentence document, and quarterly extractions of SIDs from WSP’s database. SGC joins these SIDs to the judgment and sentence document using name and date of birth. The Institute received this SID data from SGC so that we were able to determine which SIDs did not exist on the judgment and sentence document, but rather were linked via SGC processing after retrieving the SID from WSP.

Department of Corrections

- Offense data—contain individual offense data such as RCW, offense date, sentence date, sentence type, and DOC person number.
- Alias data—contain all alias names, dates of birth, and DOC person numbers.

SID Exhibits

Exhibit B1 shows the person identification numbers used in each of the criminal justice databases. SGC’s database is sentence-based, not person-based; however, SGC does record the SID when available from the felony judgment and sentence document.

**Exhibit B1
Person ID Numbers in Criminal Justice Databases**

Criminal Justice Database	Person ID Numbers
Washington State Patrol	SID DOC Person ID Number
Administrative Office of the Courts	SID AOC Person ID Number DOC Person ID Number
Sentencing Guidelines Commission	SID
Department of Corrections	SID DOC Person ID Number

Exhibit B2 shows the completeness of the SID by each agency’s person identification number. For AOC data, we kept one record per unique AOC ID number. Because there were multiple SIDs per unique AOC ID number, 163 people were excluded. SGC data include only SIDs provided on the judgment and sentence document.

**Exhibit B2
Measure 1: Completeness of SID by Agencies’ Person ID Numbers**

Criminal Justice Database	Total Person ID Numbers	Percentage With SID
Washington State Patrol	302,700	100%
Administrative Office of the Courts	206,344	86%
Sentencing Guidelines Commission	326,312	67%
Department of Corrections	214,642	98%

Exhibit B3 displays the information in Exhibit B2, but by year. AOC data is displayed by file year, SGC and DOC data are displayed by sentence year.

Exhibit B3
Measure 1: Completeness of SID by Agencies' Person ID Numbers by Year

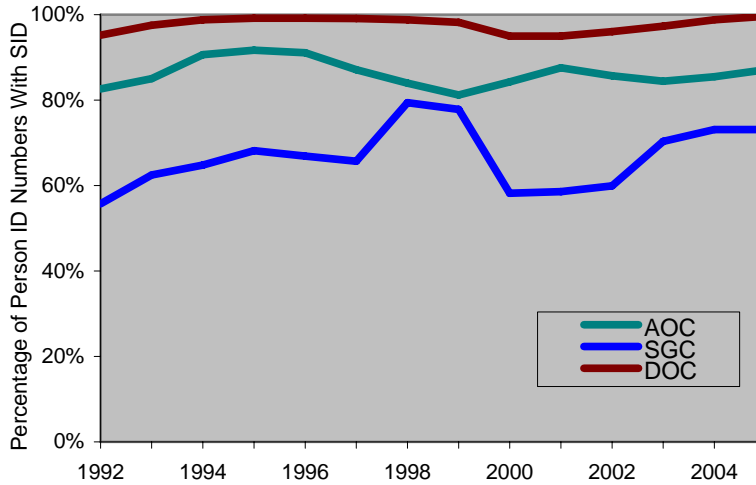


Exhibit B4 shows the validity of the SIDs. Of those records in Exhibit B2 that have an SID, the validity of the SID was determined if the SID existed in WSP's database.

Exhibit B4
Measure 2: Validity of SIDs in WSP Database

Criminal Justice Database	Total Number of SIDs	Percentage of SIDs in WSP Database
Administrative Office of the Courts	177,892	99%
Sentencing Guidelines Commission*	218,980	99%
Department of Corrections	209,638	99%

*SID is entered from the judgment and sentence document.

Exhibit B5 demonstrates a second validity check by verifying that the DOC person number in AOC and DOC matched the DOC person number in WSP whose SIDs were validated in Exhibit B3.

Exhibit B5
Measure 3: Cross-checked Validity of SIDs in WSP Using DOC Person ID

Criminal Justice Database	Total Matched Records	Percentage With DOC Person ID in WSP Database
Administrative Office of the Courts	176,770	38%
Department of Corrections	208,223	36%

Unofficial Identifiers Exhibits

The gray box describes the name and date of birth matching process utilized in the unofficial identifier analysis.

Name and Date of Birth Matching Process

Matching records using demographic information is a complex process that requires many steps. Essentially, records are compared and scored to determine the degree to which two records match. Records receive a name score, a date of birth score, and an overall score.

Before the name scoring can begin, names are parsed into first, middle, and last. First names, such as Bill, are converted into a formal name—William. Either name can be used in the matching process. The Institute uses the SPEDIS function in SAS software as a tool for name matching. SPEDIS, or spelling distance, compares character strings to determine what the “cost” is to transform a record for a potential match. That is, “SPEDIS has the ability to find observations that are essentially the same, but that could have been affected by typing errors, various spellings, or misspellings” and a score is generated.⁵³ The name score decreases as more complex transformations, such as transposing consecutive letters and deleting or appending letters, are required to align two strings.

For date of birth matching, the month, day, and year are parsed into components. Exact matches receive the highest score. Date of birth scores decrease when the day and month have been transposed. For example, a birth date of April 12th or 04/12 can have a transposed match of 12/04. Date of birth scores also decrease the further apart the two birth dates are from one another.

Name and date of birth scores are combined to determine if a match is exact, very close, close, or no match. Matches with an overall higher score are considered “similar” for our analytical purposes. The following are examples of matching and non-matching records:

Name 1	Date of Birth 1	Name 2	Date of Birth 2	Match
Gary F. Willams	12/1/1946	Gary F. Williams	12/12/1946	Y
Gary F. Willams	12/1/1946	Gary F. Williams	4/23/1956	N
Al J. Brown	4/12/1947	Albert James Brown	4/12/1947	Y
Albert J. Brown	4/12/1947	Albert C. Brown	4/20/1944	N

⁵³ Gershteyn

Exhibit B6 displays alias names and dates of birth by each agency's person ID. For WSP, names and dates of birth are from the alias data. All of the alias names and dates of birth were counted per SID. For AOC, names and dates of birth were counted per unique AOC ID. For DOC, names and dates of birth are from the alias data. All of the alias names and dates of birth were counted per DOC person ID.

Exhibit B6
Alias Names and Dates of Birth Per Person ID*

Criminal Justice Database	Number of Unique Person IDs	Percentage of Unique Person IDs Associated With the Following Number of Names or Birth Dates						Average Number Per Person ID
		1	2	3	4	5	6 or More	
Names								
Washington State Patrol	302,700	52.0%	21.7%	10.7%	5.5%	3.2%	7.0%	2.3
Administrative Office of the Courts	206,512	83.7%	12.7%	2.6%	0.7%	0.2%	0.1%	1.2
Department of Corrections	214,642	58.8%	21.0%	8.2%	4.4%	2.5%	5.2%	2.0
Dates of Birth								
Washington State Patrol	302,700	83.5%	11.8%	2.9%	1.0%	0.4%	0.5%	1.3
Administrative Office of the Courts**	206,512	95.5%	3.9%	0.5%	0.1%	0.0%	0.0%	1.1
Department of Corrections	214,642	89.1%	7.3%	2.1%	0.8%	0.3%	0.4%	1.2

* SGC database is sentence-based, not person-based, and is, therefore, not displayed here. The SID is entered into SGC's database; however, it is not the official identifier for the database.

** 0.01 percent of the dates of birth were missing.

Exhibit B7 shows the percentage of person IDs in each database that had a similar name and date of birth in that database (see gray box on previous page for details about the name and date of birth matching process). For WSP, we began with all SIDs included in the study and matched name and date of birth with all records in WSP's arrest database. For AOC, we began with all AOC temporary person IDs included in the study and matched name and date of birth with all records in AOC's database. For SGC, we began with all SIDs included in the study and matched name and date of birth with all records in SGC's database. For DOC, we began with all DOC person IDs included in the study and matched name and date of birth with all records in DOC's database.

Exhibit B7
Percentage of Person IDs With at Least One Person ID Similar in Name and DOB

Criminal Justice Database	Number of Unique Person IDs	Percentage of Person IDs
Washington State Patrol	302,700	14%
Administrative Office of the Courts	206,512	18%
Sentencing Guidelines Commission	154,879	6%
Department of Corrections	214,642	9%

Exhibit B8 shows the percentage of person IDs in each database that had a similar name and date of birth in WSP’s arrest data.

For AOC, we began with all AOC temporary person IDs included in the study and matched name and date of birth with all records in WSP’s arrest database. For SGC, we began with all SIDs included in the study and matched name and date of birth with all records in WSP’s arrest data. For DOC, we began with all DOC person IDs included in the study and matched name and date of birth with all records in WSP’s arrest data.

Exhibit B8
Percentage of Person IDs Matched to WSP by Name and Date of Birth With More Than One SID in WSP Database

Criminal Justice Database	Total Number of Person IDs	Percentage of Person IDs With Multiple Matches in WSP Database Based on Name and DOB
Administrative Office of the Courts	203,161	10%
Sentencing Guidelines Commission	153,194	11%
Department of Corrections	209,744	8%

SCOMIS Case Number Exhibits

Exhibit B9 shows the percentage of felony conviction court cases in AOC that were found in the other criminal justice databases. Due to the timing lag of cases as they are processed throughout the criminal justice system, we compared AOC cases to all records in other criminal justices databases. That is, we did not restrict the other databases to only the study records.

Exhibit B9
Measure 1: Percentage of AOC Cases With a Felony Conviction Found in WSP, SGC, and DOC Databases

Criminal Justice Database	Number of AOC Cases With a Felony Conviction	Percentage of SCOMIS Cases Found in Other Database
Washington State Patrol	352,068	87%
Sentencing Guidelines Commission	352,068	88%
Department of Corrections	352,068	91%

Exhibit B10 shows the percentage of felony conviction court cases in AOC that are not found in DOC's database by sentence year. The red line on the graph includes felony property convictions in AOC's database that were not found in DOC's data. A case was considered a "property conviction" if the most serious offense for the case was a property crime (such as theft, fraud, and larceny).

Exhibit B10
Measure 1: Percentage of AOC
Felony Conviction Cases in DOC's Database by File Date

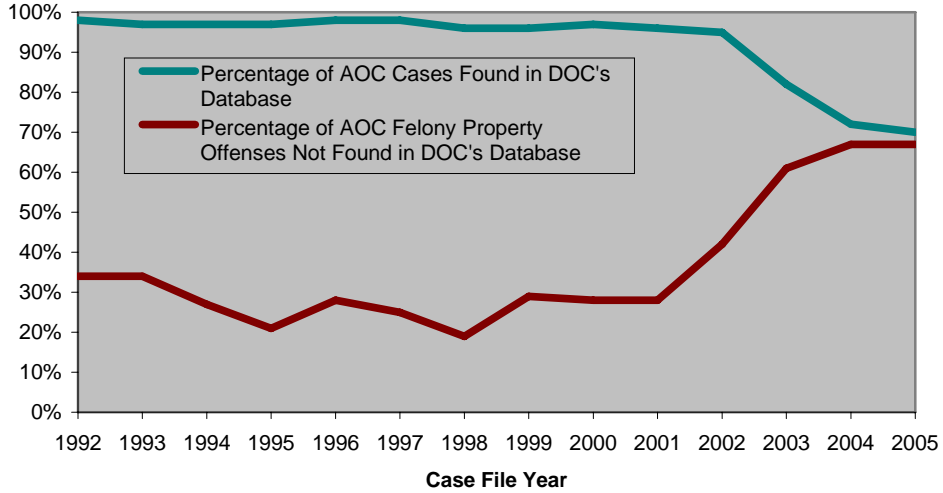


Exhibit B11 shows AOC cases that do not have a felony conviction (including convicted and non-convicted misdemeanors, and non-convicted felonies), but were found in WSP, SGC, and DOC databases as a felony.

Exhibit B11
Measure 2: Percentage of AOC Cases With No Felony Conviction
Found in WSP, SGC, and DOC Databases

Criminal Justice Database	Number of AOC Cases Without a Felony Conviction	Percentage of AOC Cases Found in Other Databases
Washington State Patrol	182,251	5%
Sentencing Guidelines Commission	182,251	7%
Department of Corrections	182,251	26%

Exhibit B12 shows the percentage of WSP felony arrests with a valid SCOMIS case number. WSP arrest data that met the study criteria and had a match in WSP are used in this exhibit. The validity of the SCOMIS case number was determined by matching WSP records to all AOC case data by SCOMIS case number to determine if the SCOMIS case number existed in AOC. Felony arrests with a superior court case filing were examined regardless of the disposition. These records were subset to examine only those with a felony conviction according to WSP court data.

Exhibit B12

Measure 3: Percentage of WSP Felony Arrests With a SCOMIS Case Number Found in AOC

	Number of Felony Arrests in WSP	Percentage With SCOMIS Case Number	Percentage of SCOMIS Case Numbers Found in AOC Database
All Felony Arrests With a Superior Court Case Filing	444,042	95%	90%
Arrests With a Felony Conviction	217,543	99%	98%

Exhibit B13 shows the percentage of SGC and DOC felony cases with a valid SCOMIS case number found in AOC. SGC data that met the study criteria were included in this analysis. The validity of the SCOMIS case number was determined by matching SGC records to all of AOC's case data by SCOMIS court case number. The same process was repeated for DOC commitments and individual offenses that met the study criteria.

Exhibit B13

Measure 3: Percentage of SGC and DOC Felony Cases With a Valid SCOMIS Case Number Found in AOC

Criminal Justice Database	Number of Cases	Percentage With SCOMIS Case Number	Percentage of SCOMIS Case Numbers Found in AOC Database
Sentencing Guidelines Commission	326,312	100%	99%
Department of Corrections	396,107	100%	100%

Exhibit B14 shows the percentage of matching cases from AOC to the criminal justice databases. AOC cases that met the study criteria were matched to all WSP arrest data by SCOMIS case number. The SIDs were then compared between the two databases. The process was repeated comparing AOC data to all SGC and DOC data.

Exhibit B14

Measure 4: Percentage of Matching Cases From AOC to Criminal Justice Database Where the SID Numbers Matched

Criminal Justice Database	Number of SCOMIS Case Numbers Matched in AOC Database	Percentage With Matching SID	Percentage With Missing SID	Percentage With Non-Matching SID
Washington State Patrol	306,523	91%	8%	1%
Sentencing Guidelines Commission	308,844	64%	17%	20%
Department of Corrections	321,237	93%	1%	6%

Exhibit B15 shows whether the individual charges within each SCOMIS case number of AOC's data matched the charges found in the criminal justice database. AOC data that met the study criteria were compared with all WSP court data, as well as with all SGC and DOC data.

It is important to note that each agency enters the Revised Code of Washington (RCW) number differently. For example, DOC's database only has the capability of holding a seven digit RCW. For purposes of this report, periods were removed from the RCW before matching. In addition, RCW's were matched based on the shorter digit RCW. For example, a shorter RCW, such as 6950401, would match to the longer RCW, 69504012b.

Exhibit B15
Measure 5: Percentage of Matching Cases
From AOC to Criminal Justice Database Where the Charges Match

Criminal Justice Database	Number of Matched Cases	All Charges Match	Some Charges Match	No Charges Match
Washington State Patrol	306,523	88%	3%	9%
Sentencing Guidelines Commission	308,844	90%	4%	6%
Department of Corrections	321,237	69%	5%	26%

PCN Exhibits

Exhibit B16 shows the percentage of AOC cases and WSP arrests that met the study criteria and had a PCN.

Exhibit B16
Percentage of AOC and WSP Cases With a PCN

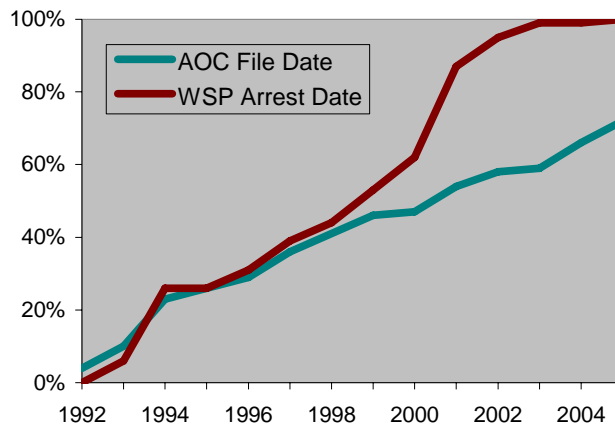
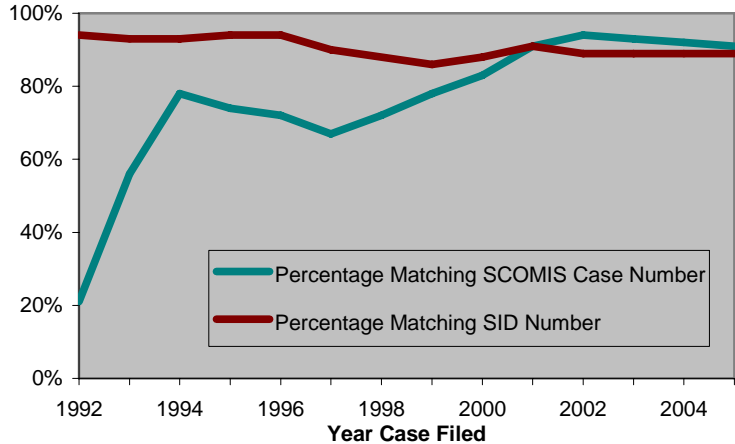


Exhibit B17 shows the percentage of AOC cases with a matching SCOMIS case number in WSP data. Cases in AOC with a PCN were linked to all WSP arrest data by PCN. The SCOMIS case number and the SID were compared to determine what percentage matched.

Exhibit B17
AOC PCNs Matched to WSP PCNs:
Percentage With Matching SCOMIS Case Numbers and SIDs



RQI Exhibits

Since WSP coordinates statewide criminal history information submitted by local criminal justice agencies, RQI responses are submitted by WSP.⁵⁴ The data cited in the RQI section of the report are from the analysis completed by Structured Decisions Corporation for BJS.⁵⁵ RQI data from 1997 through 2003 are presented in this section. The last year of available funding for data collection was 2003.

Exhibit B18 shows Washington’s RQI from 1997 through 2003 for the overall outcome, timeliness, and completeness process measures, and Washington State and National RQI. These data were obtained from the Structured Decisions Corporation.

Exhibit B18
Results of RQI Measures: 1997–2003

Description	1997	1998	1999	2000	2001	2002	2003
Overall Outcome Measure	0.229	0.249	0.268	0.284	0.287	0.429	0.567
Timeliness Process Measure*	230	213	212	228	249	276	231
Completeness Process Measure**	0.729	0.752	0.760	0.719	0.743	0.540	0.671
Washington State Records Quality Index	72	88	96	90	86	84	165
National Records Quality Index	62	68	90	99	128	132	167

* The average number of days between arrest and final disposition.

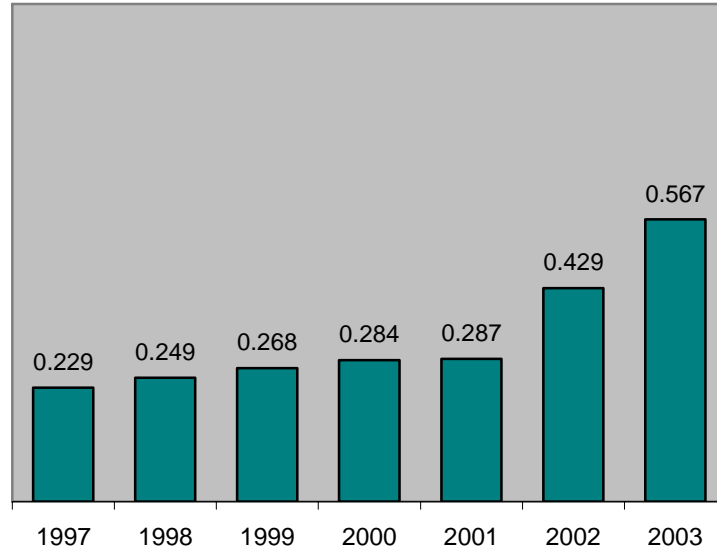
** The proportion of records with a final disposition.

Source: Structured Decisions Corporation

⁵⁴ RCW 43.43.500
⁵⁵ Tien, et al., 2005.

Exhibit B19 displays the overall outcome measure by year. The overall outcome measure is the weighted sum of the 11 individual outcome measures.

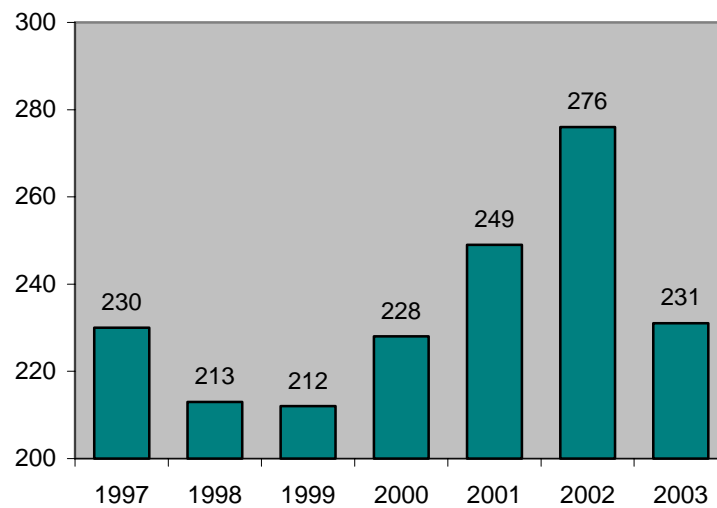
Exhibit B19
Washington State's Sum of 11 Overall Outcome Measures: 1997-2003



Source: Structured Decisions Corporation

Exhibit B20 displays the timeliness process measure, which is the average number of days between arrest and final disposition.

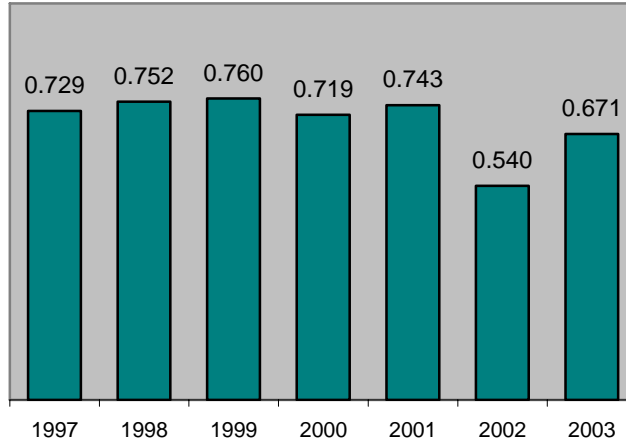
Exhibit B20
Timeliness Process Measure: Average Days Between Arrest and Final Disposition, 1997-2003



Source: Structured Decisions Corporation

Exhibit B21 displays the completeness process measure, which is the proportion of records with a final disposition.

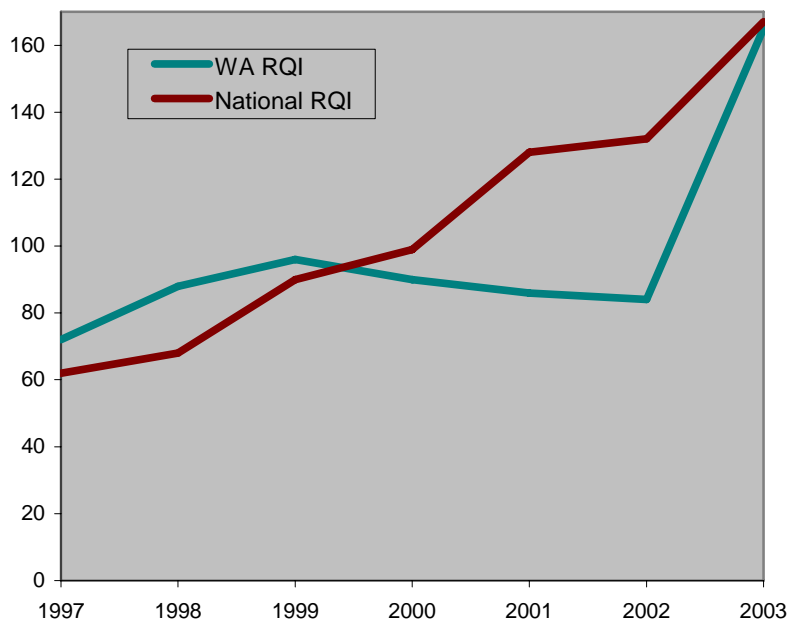
Exhibit B21
Completeness Process Measure: Proportion of Records With a Final Disposition, 1997–2003



Source: Structured Decisions Corporation

Exhibit B22 displays the Washington State and National RQI measures. According to Structured Decisions Corporation, the RQI score is only meaningful in a relative sense. That is, it must be compared to itself from year to year. For example, Washington’s RQI went from 84 in 2002 to 165 in 2003, which is a 96 percent increase. The national RQI is a weighted average of the individual state RQIs. The score is weighted toward the number of criminal history records in each state.

Exhibit B22
Washington State and National RQI Measures: 1997–2003



Source: Structured Decisions Corporation

Exhibit B23 shows the 11 individual RQI outcome measures and the results of the most recent data collection from 2003. The numbers within each response show the proportion of records that met the criteria of the outcome measure.

Exhibit B23
Results of RQI Measures: 1997–2003

Measure	Description	1997	1998	1999	2000	2001	2002	2003
1	Automation of Records	1.000	1.000	1.000	1.000	1.000	1.000	1.000
2	Response to Interstate Identification Index Inquiries	0.293	0.335	0.350	0.370	0.387	0.441	0.478
3	Transmission of Arrests to Repository	0.000	0.000	0.000	0.000	0.010	0.213	0.518
4	Criminal History Database Flagging	0.400	0.550	0.580	0.620	0.620	0.620	0.620
5	Transmission of Criminal Prints to FBI's IAFIS	0.000	0.000	0.000	0.000	0.000	0.491	1.000
6	Transmission of Applicant Prints to FBI's IAFIS	0.000	0.000	0.000	0.000	0.000	0.476	1.000
7	Electronic Data Submission to FBI Files	0.000	0.000	0.150	0.250	0.250	0.450	0.450
8	Transmission of Dispositions to Repository	0.000	0.000	0.000	0.000	0.000	0.000	0.000
9	Authorized Access to State Files	0.600	0.600	0.600	0.600	0.600	0.600	0.600
10	National Fingerprint File State and Compact Signing Status	0.000	0.000	0.000	0.000	0.000	0.000	0.000
11	Incident-based Reporting	0.000	0.000	0.000	0.000	0.000	0.000	0.000
	Overall Outcome Measure	0.229	0.249	0.268	0.284	0.287	0.429	0.567

Source: Structured Decisions Corporation

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