



6 APPENDIX A: JAD MINUTES

This section contains the minutes of the Joint Application Design (JAD) sessions that were held throughout the state. Each set of minutes lists the individuals that participated and the agency they were representing.

JAD sessions were numbered as the date and location were established. JAD VI, held in Yuma, was scheduled last but was actually held two days before JAD V in Phoenix. Therefore, the JAD numbers and corresponding dates appear to be out of sequence.



Disposition Reporting Management/Yellow Bar

NORTHROP GRUMMAN
Information Technology

State of Arizona
Arizona Criminal Justice Commission

Joint Application Design (JAD) I Phoenix, Carnegie Library May 12, 2004

Meeting Attendees:

Name	Representing
Maureen Haggerty	Administrative Office of the Courts
Randy Goetz	ADOT - MVD
Teri Oliveira	ADOT - MVD
Tara Viehman	AOC
Diane Schneider	Maricopa County Attorney
Schuyler Southwell	Maricopa County Attorney's Office
Bert Stegen	Maricopa County Sheriff's Office
Diane Bailey	Maricopa Sheriff' Office
Michelle Lowman	Phoenix Municipal Court
Randy Smiley	Phoenix Municipal Court
Buck Buchanan	Phoenix PD
Rex Morgan	Phoenix PD
Gail Pileno	Phoenix Prosecutor
Lauren Hutchinson	Phoenix Prosecutor
Cathy Nemecek	Scottsdale City Court
Melanie Cluff	Scottsdale City Court
Randy Kennedy	Scottsdale City Court
Joan Scott	Scottsdale PD
Paul Bentley	Scottsdale PD
Jerry Hardt	Arizona Criminal Justice Commission
Pat Nelson	Arizona Criminal Justice Commission
Gerald Klaas	Northrop Grumman Information Technology
Janet Jessup	Northrop Grumman Information Technology
Mike Dillon	Northrop Grumman Information Technology
Steve Kennedy	E-Corridor

Introduction

This meeting was the first Joint Application Design (JAD) session for the Disposition Reporting Management/Yellow Bar Conceptual Design Project. These planning sessions

are intended to collect information on business processes, functions, and interfaces related to Disposition Reporting, as well as information on what users will need from a new system. The meeting began with an introduction of the project team members who were present:

Gerald Klaas, Project Manager
Janet Jessup, Senior Systems Analyst
Mike Dillon, Project Advisor
Steve Kennedy, Senior System Architect

Project Purpose

The creation of a Disposition Reporting Management system was recommended in the Arizona ICJIS Strategic Plan, which was adopted by the Arizona Criminal Justice Commission (ACJC) in 2002. The current project, which is sponsored by the ACJC, is intended to describe in greater detail the functional requirements and for a disposition reporting system and to define the software requirements reflecting these functional needs.

Project Goals

The main goals for a Disposition Reporting system have been identified as:

- Tracking of dispositions to assure accountability and continuity of charges throughout the criminal justice system
- Automating the collecting data for the Disposition Report (sometimes called the FDR, Dispo or Yellow Sheet) as it moves through the criminal justice system
- Provide information on the progress of the Disposition report and allow access to the electronic version by authorized parties at any time in the process
- Allow agencies systems to push their data to the Disposition Reporting system so that the tracking can occur automatically and re-entry of data is not required
- Find a statewide solution for disposition reporting to avoid creating “silo” solutions while at the same time harvesting some of the interim corrections efforts to use as part of the project solution
- Establish a technical “highway” that can be reused for future initiatives in integrated justice
- Decrease or eliminate the need for custom interfaces
- Use standards that reflect new standards in both technology and justice data exchange.
- Provide for system interfaces that do not have to be changed even if an agency modified or replaces their system.

JAD Session Structure

The JADs sessions are intended to find out from the participants how the “To-Be” process outlined in the Strategic Plan should work so that technical specifications for a new system can be developed. Participants will be asked during the JAD session to

explain how their agency interacts with the disposition reporting process. Follow-up interviews may be needed to clarify user needs.

Current Issues in Disposition Reporting

Participants cited several issues and problems in disposition reporting that reflected common themes:

Data Entry Errors

- Errors caused by incorrect data entries (human error) were cited several times.
- Errors caused by mismatched numbers or identifiers were mentioned.
- When errors are made, it can be difficult to determine which agency is responsible and needs to make the correction.

Paper Processing

- The effort to track paper is time consuming.
- The effort to move paper physically from one agency to another is time consuming.
- The Yellow Sheets frequently arrive at a prosecutor's office separate from the police report, causing the prosecutor's staff to take time to match the yellow sheets to the case files.
- DPS requires that corrections be sent to the original agency, which is required to fill out a correction sheet. These correction sheets are either sent back with the Disposition Report to the next agency in the adjudications or they may go straight to DPS without the Disposition Report.

Initiation of Charges without Fingerprints

- A majority of cases are cite/release cases or long-form (summons) complaints and these cases do not have fingerprints. When the offender shows up for fingerprinting, there are no charges to link the prints to and the agency has to try to fill in the gaps.
- Other gaps occur when an agency brings a suspect the person in to jail but does not fill out a Disposition Report and the jailing authority is not the same as the arresting jurisdiction. Individuals are fingerprinted but only for identification.
- Fingerprints and Disposition Reports are not always processed properly for DUIs, domestic violence, and Class 1 misdemeanors. Sometimes these are "caught" at the court but the procedures to catch up with these cases differs from jurisdiction to jurisdiction; this can also result in duplicate prints and duplicate Disposition Reports.
- For electronic disposition reporting to DPS, errors have been caused by fingerprints and Disposition Reports not being received by DPS even after the court has disposed of the case and is ready to report the disposition.

No Files

- No files are handled differently from agency to agency; in many cases they do not get forwarded to DPS. There is confusion about which agency is responsible for reporting No Files.
- Most No Files are Failure to Appear (FTA) charges and the prosecutor decides not to file a complaint on the FTA; however, the Disposition Report is never closed out.
- There is a statutory time requirement as well as a court time requirement on sending No File decisions, but it was generally felt that agencies were not abiding by these time limits.

Charge Tracking

- The sequence of charges may change as they move from one agency to another, making it difficult or impossible to match charges received electronically.
- Sometimes an agency receives yellow sheets for cases that were never actually submitted to them and they have no way of tracking back to the original charges.
- Another source of problems are charges filed in different courts, and count numbers sometimes get mixed up.
- Prosecutors may “further” a charge, which is a delay in a decision on particular charge, and this can become difficult to track at a later date.

Processing Inconsistencies

- Not all agencies process their own Disposition Reports.
- The forwarding process of a Disposition Report in paper form can differ from jurisdiction to jurisdiction.
- Some case management systems do not track PCNs and other identifiers used throughout the system, making tracking of cases from agency to agency difficult.
- Some arresting agencies print out the Disposition Report after positive identification of the individual is made, and others do not; waiting until the ID is available can delay getting the Disposition Report to the prosecutor and court.
- With Page 2 arrests (additional arrest made after the individual has been booked and is in custody), the individual should be reprinted so the new arrest charges can be captured; consistency issues may also arise if a law enforcement agency wants to generate new charges as a second arresting agency and they generate Page 2 charges under their ORI.

Competing Information Technology Priorities

- In-house electronic solutions intended to address reporting issues are being considered because of competing initiatives
- Efforts to correct disposition reporting problems and associated issues need to be coordinated

Backlogs

- Agencies report significant backlogs in Disposition Reports not processed by their agency.

- Agencies have to request information from ACCH to determine how many of their Disposition Reports are considered missing.

Frequently Asked Questions

The following covers topics that were discussed at length during the JAD session.

Project Sponsorship

Pat Nelson of the ACJC explained that the ACJC Commission has approved the direction of the plan, carved it into phases, estimated costs, and sponsored this project so it comes directly from the criminal justice community. The new Disposition Reporting system will probably be housed at DPS.

Comparisons to Other Initiatives

Questions came up about the comparison of this project to the “green box” and other technology initiatives. The history behind the Strategic Plan was discussed to explain the role these different initiatives play. During development of the strategic plan, the need for pre-booking data input for officer efficiency was recognized and that pre-booking was intended to move the data into AFIS. There may be some overlap in the data used by the “green box” and the disposition reporting project or “yellow bar,” but the “yellow bar” is intended to deal with both arrest and non-arrest situations and to track charges as they move through the entire criminal justice system. The yellow bar system could be used for investigative analysis. How to “marry up” various case management systems to the new system will be reviewed during the course of the project.

Comparison to the Criminal History System at DPS

A question was brought up about the current central repository for criminal history at DPS (ACCH) and the relationship between the project and the ACCH as well as related security requirements. The two interfaces that have been identified to date between the ACCH and the new disposition reporting system are the initiation of a new record and the final “dump” of the completed Disposition Report into the ACCH. The existing ACCH rejects errors without corrections; the new Disposition Reporting system will allow for corrections to be made throughout the process before information goes into central repository.

Anticipated Benefits to the Criminal Justice Community

A question was asked about what the project does for the criminal justice community; Some of the anticipated benefits include: tracking missing or incomplete dispositions in an automated way; allowing electronic interfaces for agencies that are fully automated; providing a web interface for agencies that are less automated to allow them to complete the yellow sheet; sending messages, alerts, or notifications on disposition reporting problems or events; and creating activity reports for agencies to check on their own dispositions and reporting status.

Identification of Additional Disposition Reporting Events

A high-level functional hierarchy diagram had been handed out; the diagram outlined the major events and process areas identified in the Strategic Plan that may affect the disposition reporting process (see attached diagram). The group was asked if there were any processes involving disposition reporting that have not been discussed yet. The group discussed whether the issuance of warrant should be included, and discussed whether the warrant was a disposition report event.

The group also identified a problem of double booking when an officer writes up the original charges again on a second Disposition Report. If an individual is arrested and fingerprinted, released, then picked up with and booked again, there is another Disposition Report but it should only reflect the warrant not the original charges. The group felt that it would help if the court were able to find out if a Disposition Report had been generated from the original booking so that could be indicated on the warrant itself. There are some barriers to getting this done; the courts brought up the restriction against putting an SID number on a warrant because, according to DPS interpretation, the SID number is not public information. Phoenix PD suggested putting the PCN on the warrant instead.

The group was not very familiar with the Officer's Affidavit of Probable Cause or the Information Filed in Superior Court. After this discussion, no other instances of initiation of charges were identified.

Identified Needs for a Disposition Reporting System

The group identified the following requirements for a new system:

- Automate the movement of the Disposition Report from criminal justice agency to the next as the individual moves through the arrest and adjudication cycle.
- Identify missing and incomplete Disposition Reports.
- Produce reports on what the state has in each jurisdiction, so that each agency can verify what has been sent to their office; produce reports showing dispositions that DPS is expecting and has not yet received.
- Assist with reducing the backlog of Disposition Reports.
- Notify the appropriate agency to take action on missing or incomplete data
- Provide access to other agencies' data (particularly prosecutors, who would like to know if another jurisdiction also has an active Disposition Report on the same individual)
- Reduce data re-entry
- Minimize potential for data entry errors
- Interface with other electronic systems
- Assist with matching cases from one agency system to the next, as the case moves through the criminal justice process.
- Include a provision for a "closed loop" in processing when something happens so that there is a quick follow-up.

- Notify courts when fingerprints need to be ordered when the individual appears in court.
- For tracking and accountability purposes, generate a Disposition Report for charges that are initiated without fingerprints despite the potential problem of positively identifying the person adjudicated with the original suspect.

Other items to consider in the development of a new system were identified:

- The TX8 message from AFIS could be used to build the Disposition Report.
- Courts have adopted GJXDM Data Dictionary for integration purposes internally and externally.
- There should be a way to avoid generating duplicate Disposition Reports. For example, on a cite and release, when should the Disposition Report be requested: at headquarters after getting the cite and release from the officer, or some other time?
- Pushing data from agency record management systems to the new Disposition Reporting system would increase efficiency.
- There must be a resolution of how to let the court know that a person needs to be fingerprinted without the court (specifically the judge) seeing the Disposition Report or non-public information. The PCN was suggested as one indicator that fingerprints had been taken. Because of the number of issues identified, the point at which the “tickler” on getting missing fingerprints should occur in the process was not determined during this session.
- If data entry errors are a problem in current system, this problem will have to be addressed in any new system.



Disposition Reporting Management/Yellow Bar



State of Arizona
Arizona Criminal Justice Commission

Joint Application Design (JAD) II Tucson, Pima County Sheriff's Department Operations Center May 26, 2004

Meeting Attendees:

Name	Representing
Fran Ranacelli	Cochise Superior Court
Casey Streeter	Cochise Superior Court
Shannon Gwaltney	Pima County Sheriff's Department
Marcelene Silver	Pima County Sheriff's Department
Paul Wilson	Pima County Sheriff's Department
Tammy Whitbeck	Pima County Sheriff's Department
Alma Barth	Cochise County Sheriff's Office
Carol Capas	Cochise County Sheriff's Office
Stacey Echternach	Cochise County Sheriff's Office
John Neeley	Tucson Police Department
Jerry Hardt	Arizona Criminal Justice Commission
Gerald Klaas	Northrop Grumman Information Technology
Janet Jessup	Northrop Grumman Information Technology

Introduction

Jerry Hardt introduced the session and referred to the Strategic Plan. He explained that this JAD session was set up to deal with the continuing problem of missing dispositions, and the discussion will "drill down" into the findings of the strategic plan and determine how to connect the participants' agency to the disposition reporting process. As users, the participants need to tell the system planners how the system should work and what needs to be changed to improve the overall process. Gerald Klaas then summarized the contents of the Strategic Plan, and explained how the current project fits in the overall plan, emphasizing the importance to focus today's discussion on disposition reports. He explained that the JAD sessions are intended to document similarities and differences of processing throughout the state, and described the two documents that will be project deliverables for this project (Conceptual Design and System Architecture).

Current Issues in Disposition Reporting

Participants were asked to describe the disposition reporting process used in their agency. They cited several issues and problems in disposition reporting:

Data Errors and Incomplete Disposition Reports

- Data entry errors returned from DPS include incorrect or missing ORIs, SIDs, and PCNs.
- Convictions are not reporting, including serious offenses, because there are no fingerprints and the court cannot submit the final disposition to DPS.
- Many errors are related to training problems.
- The courts have problems linking cases and charges, and matching names used in arrests to names used in court.

Paper Processing

- Paper processing is still the rule, and can lead to errors; agencies would prefer to handle Disposition Reports electronically.
- Disposition Reports generated as a result of booking are printed out and mailed to the arresting agency unless there is an electronic interface in place between the Sheriff's Department and the law enforcement agency; if the paper form is used, it then has to be mailed from the law enforcement agency to the court.

Determining Responsibility for Reporting

- Incorrect Disposition Reports are returned to agencies that are not sure where the error occurred or which agency is actually responsible for the correction.
- Consideration should be given to moving responsibility for generating the Disposition Reports to agencies other than law enforcement, if the capture of fingerprints occurs after the initial event; for example, Cite and Release cases where no booking has occurred could be generated by the courts. This would be a change in the paradigm for where a Disposition Report has to be generated.
- Agencies would like to stop their involvement in the processing of a Disposition Report when they have completed their portion although they do want the ability to use the data to populate their case records and to look up information on a disposition status or charges in other jurisdictions.

Tracking Court-Ordered or Missing Fingerprints

- When the courts send individuals to the jail for fingerprints, there is no way to track these cases and why the prints are being taken.
- Informal agreements are in place with prosecutors to "catch" an individual when they arrive in court; there is no reliable way to track these.
- For court ordered fingerprints, the offender should have court papers indicating why they are being sent to fingerprinting; the jail won't print them unless they have the court papers. There is a difference from court to court in how the individual gets to the jail to be fingerprinted. In some jurisdictions there is a notice that goes back to the court to indicate fingerprinting has taken place.

Process Differences

- A new facility established by Tucson PD will facilitate the capture of fingerprints for Cite and Release; this procedure will be different than the procedures used by other jurisdictions in the area.

- Disposition Reports on No Complaints have to be handled manually as these cannot be processed by the AZTEC E-dispo.
- Pima county cases are not directly filed into Superior Court, unlike most other jurisdictions; all cases go to Justice Court first.
- Prosecutors are notified of cases using different procedures. The Cochise Superior court sends a paper copy of the Disposition Report to the County Attorney; Cochise County SO sends the defendant data sheet to the county attorney.

Delays in Receiving/Exchanging Data

- Individuals can be moving through adjudication before the court has received any information from the arresting agency.
- Law enforcement agencies do not usually get notified of final dispositions, and they would like to add this information automatically to their databases.
- Catching the expectation that the person should be fingerprinted is important to knowing what needs to be done as a case moves forward.

Status of Warrants

- Law enforcement does not always know that someone has been arrested on a Tucson warrant, despite procedures in place to do this.
- Courts are also not sure of the status of warrants, and the paper trail is not clear. Detainer records between agencies are not easy to track (paper-based) and require too much coordination.
- There is a need a clearinghouse for these types of holds, including outstanding court bonds.

Current Process for Cite and Release

The participants outlined a general process for how Cite and Release incidents are handled. A workflow was developed to reflect this information (see last page). The entry of Cite and Release information into agency RMSs can take up to a week or possibly longer, depending on the priority assigned to the record and the volume of cases.

Review of Initiation of Charges Events

The group was asked if there was anything missing in the functional diagram depicting the initiation of charges into the criminal justice process. Two additional initiation events were identified:

- Juvenile transfers: these are offenders that were in juvenile court and are transferred over to Superior Court to be charged as an adult. The court may or may not have fingerprints when this transfer occurs.
- Charges that are generated at the court: some charges are initiated by the court, such as when a judge cites an individual for contempt. Sometimes the court generates an Order of Confinement and sends the person to booking for

fingerprinting. Some courts only issue a fine and no booking occurs, so the disposition on this new charge is never reported to DPS.

The participants also noted that some crimes occurring at the prison are never booked and no report is generated.

Frequently Asked Questions Related to a Disposition Reporting System

In-Court Identification

Concern was raised about the continuing problem of making sure the person that shows up in court is the same individual that was issued the Cite and Release. Without mobile unit fingerprinting capability, there is not much that a Disposition Reporting system can do to help with this problem except to assist in enforcing that fingerprints are captured as close as possible to the original arrest event.

Duplication of Effort

The question came up on whether a Disposition Report on a Cite and Release could cause more work for law enforcement agencies. The use of interfaces with existing systems is key to ensuring there is no duplication of effort.

Authority to See Disposition Report Information

The participants were asked if courts could see disposition report information. They indicated that judges do not see the Disposition Report but that the court staff does. Information used for an Initial Appearance includes the current arrest record and any outstanding warrants so that the judge can address these, but the judge does not see the existing criminal history record. The County Attorney would benefit from seeing other agency disposition events, so that charges could be filed with these other events in mind. Restrictions on who can see this data may be self-imposed, including who can see the SID number.

Retention of Records in the Disposition Reporting System

Participants asked how long data would remain in the new Disposition Reporting system. This is a policy decision that should be resolved before the system is implemented.

Tracking the Sequence of Charges

Charges sequence problems typically involve cases that are split between courts or situations when charges are being changed or added. A participant from Pima County suggested that the Disposition Reporting system could resolve the problem by adding charges in sequence regardless of which court requests the charge. The question about how to match cases came up, and matching by PCN was suggested.

Gerald said it is helpful to start thinking about dispositions for individual charges instead of disposition for all of the charges for the arrest event. This is seen as a benefit as it allows for the disposition of charges out of order and for changes to occur throughout the process.

Disposition Report Backlog

A question was raised about whether a new Disposition Reporting system could help with an agency's current backlog of Disposition Reports. It was suggested that a web page that allows agencies to enter backlogged records as time is available would be helpful in addressing this problem; another suggestion was a download of the rejections of from DPS that could be used as the basis of what needs to be completed and forwarded to DPS.

Assisting in Name Matching

Court representatives asked if a new system could help clarify names and aliases for the court; different systems have different ways to portray the person's "real name" or "true name" and matching to the court record, which is based entirely on names, is difficult. Pima County changes the name for a record to reflect what they considered a "main name." The courts are concerned that dispositions will be rejected if the individual is sentenced under one name and a different name is the actual name.

Recommendations for a New System

The participants identified the following ideal requirements for a new Disposition Reporting system:

- Tracking and accountability benefits were recognized as benefits and should be included.
- Interfaces between agency systems and the new Disposition Reporting system should be established to avoid double entry of data.
- Agencies would like to be informed of the current status of a disposition report.
- Agencies would like to receive final disposition notification.
- The system should track arrests that are following a parallel course in different courts, and agencies should have the ability to know there are other charges against an individual and what the status is of those charges.
- Agencies would like to know that there is an arrest on a warrant. There is a need for a clearinghouse for these types of holds, including outstanding court bonds.
- The new system could be used to let the court know that someone needs to be fingerprinted
- The system should include a Web page to enter backlogged reports.
- The system should be accessible on mobile terminals.
- There should be consideration given to moving the responsibility for creating a Disposition Report for some types of cases.
- The system should use standard XML transactions for data feeds.
- The system should make it convenient for current systems to push and pull data

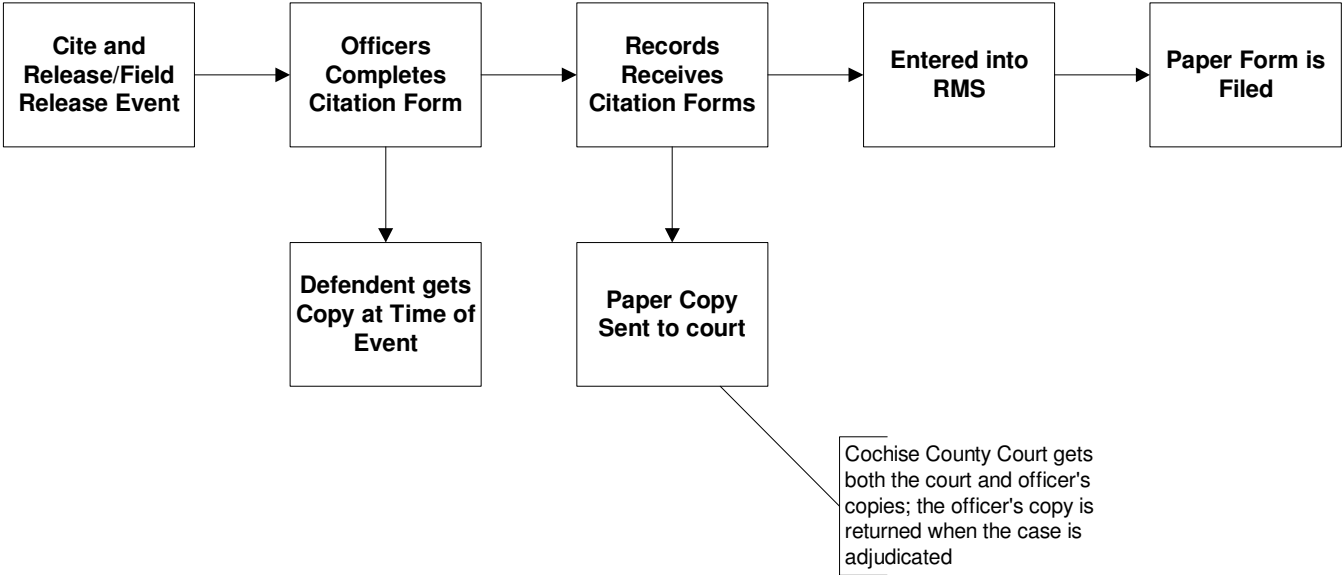
- The state should consider a mug shot interface to add pictures to the Disposition Report; this could ever assist in courtroom identification.
- The system should reject errors right away so could be corrected.
- The system should help clarify names and aliases for the courts.
- Law enforcement wants to receive notification of the final Disposition Report.
- The system should have trigger points for the next action to occur at court related to the handling an offender (such as fingerprints are needed).

Wish List/Other Items

The participants also created a wish list related to overall processing of offenders and related records:

- In-car fingerprint readers
- Fingerprint capabilities at the court
- Jail extradition automation
- Mobile terminals (access to the Disposition Reporting system should be included to know that the person is in the system somewhere)
- Terminals in courtrooms with access to the Disposition Reporting system

**Processing of Citations
(Field Release and Cite & Release)
Tucson JAD May 26, 2004**





Disposition Reporting Management/Yellow Bar

NORTHROP GRUMMAN
Information Technology

State of Arizona
Arizona Criminal Justice Commission

Joint Application Design (JAD) III Phoenix, Carnegie Library June 9, 2004

Meeting Attendees:

Name	Representing
Tara Viehman	AOC
Graciano Cervantes	AZ DPS
Cynthia Pellien	AZ DPS
Kathy Kroupa	AZ DPS
Patty Morris	AZ DPS
Joyce Dehaert	AZ DPS
Kathy Kroupa	AZ DPS/IT
Stephanie Adams	City of Casa Grande
Larry Rains	City of Casa Grande
Sandra Apodaca	City of Casa Grande
Carol Beauchamp	City of Casa Grande Police Department
Lynden Cain	DOC
Donna Cross	Maricopa County ICJIS
David Goodwin	Maricopa County ICJIS
Don Thomas	Maricopa County ICJIS
Chuck Teegarden	Pinal County Attorney's Office
Sandy Kuykendall	Pinal County Attorney's Office
Kristi Youtsay Ruiz	Pinal County Clerk of the Superior Court
Kimerlee Johnson	Pinal County Clerk Superior Court
Lisa Bergeron	Pinal County IT
Gene Walker	Pinal County IT
Brian Kreklau	Pinal County MIS
Andrea Kipp	Pinal County Sheriff
Sylvia Magallanes	Santa Cruz County Superior Court
Martha Morales	Santa Cruz County Superior Court
Pat Nelson	Arizona Criminal Justice Commission
Gerald Klaas	Northrop Grumman Information Technology
Janet Jessup	Northrop Grumman Information Technology
Steve Kennedy	E-Corridor

Introduction

Gerald Klaas provided a brief introduction to the history of the ACJC Strategic Plan and the role of the Disposition Reporting project in that plan. He described the status of the project, the purpose of the Joint Application Design (JAD) sessions, the requirements gathering phase, and the planned project deliverables. He described the proposed Disposition Reporting system as twofold: collecting information prior to fingerprints being taken, and tracking the disposition process after fingerprints are taken. The system must track individual charges as they go through the criminal justice process and must enforce rules on reporting throughout the process. Gerald also said the goal is to avoid duplication of entry, and to get consistency of data through interfacing different systems. There will be different approaches to capturing the data depending on the agency involved. Notifications can be part of the system, such as notifying about the need for fingerprints.

Pat Nelson of ACJC pointed out that this current project is not a repetition of the IBM study but an update on changes that have occurred since the earlier study, with the intention to drill down into more detail. She also pointed out that the system could include a component for DNA that may be of interest to DOC.

Disposition Reporting Issues Discussion

Participants identified several issues related to disposition reporting and associated activities:

Information Sharing

- Counties cannot make good charging decisions because they are not aware of other pending charges in different jurisdictions.
- The DOC representative said that the agency gets sentencing information at different times from different courts, and it is possible that they may be releasing someone that they have to re-incarcerate immediately. They would also like to get the sentencing information electronically. DOC is providing incarceration history to the courts because the courts do not always have easy access to ACCH for this information.
- Courts cannot see information on filings in other courts.

Capturing Missing Fingerprints

- There are procedures in place for courts to order the capture of fingerprints if there has not been a physical arrest, but this does not always happen.
- Casa Grande Police Department requires the arresting officer is to bring the subject to the PD for printing and card scanning; but if they don't do this, the individual may not be fingerprinted unless the court catches the error.
- Getting notification that fingerprints are needed was discussed as a benefit of a Disposition Reporting system, but Pinal County was not sure how feasible this would be given the caseload.

Duplicate Bookings

- Duplicate or triplicate bookings for the same offense are an increasing problem according to DPS. There needs to be logic in the new Disposition Reporting system that helps prevent this. The Review and Challenge process conducted by DPS requires that DPS request authority from the original arresting agency to delete the duplicate arrest event, and this is very time consuming.
- Duplicate fingerprints occur under the following circumstances: filing of charges is delayed until some time after the arrest; a Grand Jury is given a specific set of charges by the prosecutor but the Grand Jury makes changes to the earlier arrest charges; and the lack of manpower in booking to check that if prints have been taken already.
- If there is not enough information to charge an individual right after an arrest, the filing of charges may be delayed. Sometimes when the charges are finally filed, a duplicate set of prints and a new PCN is generated.
- Duplicate Disposition Reports occur when there is a prisoner transport between counties and the individual is booked in both locations.

Tracking Cases and Charges

- Pinal County representatives said that with full integration, there should be a concept that there is a number that would be recognized on a statewide basis. Gerald mentioned the concept of an Interagency Index that can track different identifiers.
- Matching different names used by an individual was cited as a problem that the courts face.
- Prosecutors do not always report amendments to charges, and the court is put in the position of reporting charges that have been amended since the original arrest. Any new Disposition Reporting system will need to have a way to handle these situations.

Data Errors and Error Resolution

- Too much paperwork was cited as a problem.
- There is a lot of confusion about which agency is responsible for taking actions related to disposition reporting, and tracking and accountability of disposition information is needed.
- Training issues and human errors were identified as frequent causes of errors
- Many problem records are old records that were originally generated manually.

Security/Network Issues

- High-speed Internet access is a problem in some parts of rural Arizona and some jurisdictions do not have the resources to address the problem. A DPS project underway to replace the old SNA network; funding is available for frame relay connections in the next fiscal year.

Issues Related to a New Disposition Reporting System

Initiation of Charges

Questions were asked about which agency should initiate a Disposition Report for non-arrest events, and whether the agency/entity that initiated the charge should be allowed to submit a Disposition Report. DPS suggested that fingerprinting should be taken in court when the individual first appears. Court representatives said that a lack of court resources could make this difficult although the need to help secure fingerprints was acknowledged.

Participants discussed situations where fingerprints continue to be delayed and how the event should be tracked in these circumstances. A procedure used in New Mexico was described where a number is assigned to a case at time a ticket is issued; this number is input into a system that sets up expectations of future events including the collection of fingerprints. A comment was made that individual jurisdictions may not want anyone else counting pending cases.

Gerald noted that the Disposition Report system will encourage earlier entry of cases that are currently not being routinely fingerprinted.

Instructions on the Disposition Report Form

Gerald asked if any of the agencies imposed additional restrictions on the Disposition Report form and its data fields. No additional restrictions were identified beyond the State's requirements.

Identification of Offenders

Concern was expressed on using Disposition Report information on individuals that have not yet been fingerprinted. Gerald said that the Disposition Report system should indicate that fingerprints have not been made. Having access to the information even if fingerprints have not been taken was cited as important; Pinal County cited a case involving a woman who was killed by an individual with pending actions against him. Participants noted that there have to be cautions on using information not yet associated with fingerprints, similar to other information in case management systems that do not have positive identifiers.

Resource Commitments

Some participants were concerned that the Disposition Reporting system would become another state-imposed application and not an integration effort. Concern was also expressed about allocating local resources to stand-alone projects that are undertaken to try to deal with integration issues. Gerald explained that it will integrate with systems that have the original data so as to minimize local resource needs. Participants said that there should be commitments to allow interfacing and access and that the state needs to make commitments to long-term solutions.

Pat Nelson explained ACJC's role in representing the entire criminal justice community, and that the Disposition Reporting system would be a statewide system available to all. Issues on access are requirements that need to come out of the JAD sessions.

Record Matching and Modifications

Participants discussed potential problems associated with allowing agencies to make changes to Disposition Report data as a case progresses. One problem cited was how ACCH will be able to match the original record to these changes. Currently, the ORI and agency case number have to match as well as the demographic data; if a change has to be made, it must be made manually by sending a paper correction from the local agency to DPS. Participants believed that there are some fields that should be allowed to change as the case moves forward but they were concerned with how these changes will be authorized. They noted that process for changing charges in ACCH already exists in E-dispo.

Participants identified the data that local agencies should have the authority to change:

- Dispositions referred back to local agencies because of duplicate charges.
- Verification of charges and counts with the arresting officer.
- Changing a felony to a misdemeanor and vice versa to reflect the actual charges filed in court.
- Data “owned” by an individual agency, such as agency case numbers. However, concern was expressed that DPS would not be able to match up cases if this type of data changed during the process. Participants suggested that the Disposition Reporting system allow the ability to make the correction without obliterating the original entry (i.e., showing that the field that was corrected). DPS indicated that the FBI record would also have to be changed.
- Court modifications to dispositions. The courts cited cases of individuals that are put on probation and who do not comply with the probation conditions, and then are sentenced to prison on the original charges.

Other fields that were mentioned for possible modification by authorized agencies included complaint arresting agency and Disposition Reporting arresting agency when ORIs don't match. Possible problems may occur if agencies are allowed to change descriptive demographic data, including DOBs.

During this discussion, participants noted that DPS does not update demographic data in ACCH from the first record received on an individual. They also noted that ACCH records are purged 99 years from the offender's DOB, and that charges are limited to per PCN.

System Access

Participants discussed issues related to who will be allowed to access the Disposition Reporting system, what information each user will be entitled to see, and what type of training/certification may be required. Since the records are not CJIS records CJIS training may not be required, but this is an issue the state will have to review. It was agreed that the state will need to set policy on all system access issues.

Backlogs, Aged Dispositions and Related Notifications

Participants were asked if a new Disposition Reporting system could help with backlogged cases. The courts indicated that the research required to make corrections is the problem, not the entering of the corrected reports. Many of the errors returned by DPS are charges that were never filed.

There was a suggestion that notifications be sent out to the appropriate law enforcement agency to clear outstanding Disposition Reports when charges were never referred. The participants determined that a policy decision is needed on timing of notifications and whether there should be a limit on how much time law enforcement has to submit an action before the record is dropped. Discussion covered the option of not sending notification reminders after a specified period of time because a case cannot be resolved in the foreseeable future, such as situations where a case may not make it to court for many years or there is an outstanding arrest warrant.

Participants agreed that notifications about missing data should be “turned off” for certain reasons and that the state needs to have a policy in place to do this. One suggestion was to remove the record from the Disposition Reporting system but retain it in ACCH; then if needed, it could be pulled back in the Disposition Reporting system. This would make it inactive, rather than purging it. The group agreed that defaulting after a period of time to “Not Referred to Prosecution” is not a good idea. Using notifications to law enforcement about open cases is a better approach, and the notification could take two forms: reports of outstanding Disposition Reports and an individual message to an agency about a particular outstanding report.

Agency notifications were also discussed in the context of activity summaries. Participants agreed that reports could be prioritized by seriousness of the crime or other criteria.

The Court of Appeals is currently e-mailing prosecutors to tell them to check on the status of a case that is going to be appealed. The e-mail requires that a link to the case status be selected before the e-mail notifications will stop. This was suggested as idea for Disposition Reporting system notifications.

The participants discussed several other types of notifications:

- Changing a disposition from felony to misdemeanor if the offender meets the conditions of sentencing. Participants noted that these types of cases should not be removed from the Disposition Reporting system after the first disposition because there may be future court action. The new Disposition Reporting system needs to accommodate these changes both electronically from court updates and by web entry for agencies that do not have court electronic feeds. Gerald suggested that the Interagency Index could access the court case number and the record could be retrieved back into the Disposition Reporting system from ACCH. This will be discussed further with DPS.
- Sending out the status of a case to all affected agencies after each stage of the processing of a Disposition Report. Participants discussed whether an agency should be allowed to turn off these notifications, or to decide which notifications

they will receive. As an example, courts do not need notifications of a court disposition and agencies that track the final disposition in their own records do not need the notification. Participants agreed they would like to have a mechanism to opt in or opt out of notifications.

- Sending out notifications that a case has been initiated. Superior Court representatives indicated that they did not want to receive notifications from the Disposition Report system on the cases headed their way because they already have procedures set up to do this. Smaller courts, however, may want this information.
- Sending notifications that Disposition Report entries have been accepted. The general feeling among participants was that successful submissions do not need to be acknowledged.

Sharing Information

Participants felt that case information is best shared among agencies through local system to local system interfaces, wherever possible. However, they believed that being able to check on the status of a disposition through the new Disposition Reporting system would be extremely helpful. They were also interested in having a copy of the mug shot (DPS has an archive system called OPPIS -- Optical Print and Photo System -- which will be enable agencies eventually to retrieve prints and mug shots). Data feeds from the Disposition Reporting system may be of interest, but this interest will differ from jurisdiction to jurisdiction depending on local data exchange capability.

Sharing of information on DNA sample availability was discussed. DOC collects the DNA and would like to see earlier collection. Courts would like information on whether a DNA sample has been taken so they do not have to issue an order to collect DNA again. Participants thought that the Disposition Reporting system could help track the availability or need for DNA samples. Participants also felt a notation that blood has been collected for a DUI case would be helpful.

Status of Disposition Report Records

Questions were asked about how long a record would be available in the Disposition Reporting system. Gerald explained that the system will drop final disposition record into ACCH and will retain only contain a log of the transaction events. It will not be the source of a final official record. The process data will remain in the Disposition Reporting system but the record itself does not. Exceptions would be how to handle the types of cases where future actions may occur.

Requirements for a New System

Participants identified the following requirements for a Disposition Reporting system:

- Allow flexibility of transport modes of data from local systems to the Disposition Reporting system.

- Allow access to the status of the record so users can see what has been entered to date.
- Identify records that are not associated with fingerprints.
- Track record entries and changes by User IDs, so that training and performance issues can be addressed.
- Notify DOC of new sentencing events so they do not release an individual that has been re-sentenced.
- Maximize electronic transactions and not create more paperwork.
- Allow data feeds (including XML) from existing agency case management systems.
- Allow entry of agency data out of sequence and track responsibility for the missing data.
- Allow agencies to correct entries if some method can be found to ensure the record can still be matched to the DPS record; track all changes.
- Have real-time error checking so that mistakes are corrected quickly.
- Have alerts on incorrect records.
- Provide tracking so that duplicate bookings can be minimized.
- Track charges amended by the prosecutor.
- Allow law enforcement to receive notification of the final disposition to add to their case files.
- Create and send performance and status reports on outstanding matters and agency activity, including outstanding Disposition Reports. Reports on outstanding Disposition Reports should be capable of being prioritized by seriousness of the charges and other factors.
- Include a common report generator that all agencies can use.
- Easily identify the source of mistakes.
- Allow modifications to dispositions that are made by the court.
- Not require additional staff for implementation of the system.
- Notify agencies if a Disposition Report is beyond the allowable age for closure so that Disposition Reports can be closed out (depending on state policy).
- Consider e-mail notifications that include a link to the actual message and continue notifications if this link is not selected, as a method to get an agency to review the information.
- Include opt in/opt out features in notifications.
- Offer data feeds from the Disposition Reporting system based on the interest of a specific agency.
- Indicate DNA sample availability or include an indicator that a sample is needed
- Include a blood test taken indicator for DUI cases.

Policy Issues Identified

The following is a summary of the key policy issues identified by the JAD participants:

- User access to the system and system data.

- Decision on whether there should be a limit on how much time law enforcement has to submit an action on charges that have not been referred before the record is dropped.
- Determination on how long outstanding Disposition Reports will be maintained in the system for any reason.
- Determination of which Disposition Report fields can be modified and which agencies are authorized to make these changes.



Disposition Reporting Management/Yellow Bar



State of Arizona
Arizona Criminal Justice Commission

Joint Application Design (JAD) IV Flagstaff, Coconino County Sheriff's Office June 16, 2004

Meeting Attendees:

Name	Representing
Tara Viehman	AOC
Tina Lawson	Coconino County Sheriff's Office
Erin Green	Coconino County Sheriff's Office
Robin Boldizar	Coconino County Attorney
Kathy Magness	Coconino County Attorney
Sharon Riffle	Coconino County Attorney
Gail Rusnak	Coconino County Attorney
Kevin LaBranche	Coconino County IT
Angela Baca	Coconino County Courts
Donald Jacobson	Flagstaff Municipal Court
Doreen Ruggles	Mohave County Courts
Russell Grogan	Mohave County Sheriff's Office
Jerry Hardt	Arizona Criminal Justice Commission
Gerald Klaas	Northrop Grumman Information Technology
Janet Jessup	Northrop Grumman Information Technology

Introduction

Gerald Klaas provided a brief introduction to the project sponsored by ACJC, the history of the Arizona ICJIS Strategic Plan, and the role of the Disposition Reporting project in the Strategic Plan. He described the goals of the project in detail, the purpose of the JAD sessions, and the project deliverables. He talked about setting up a communications highway for this and other integration efforts, and he described the roles of ACJC and DPS in the project.

Disposition Reporting Issues Discussion

During the JAD discussions, participants identified several issues related to disposition reporting and associated activities.

Fingerprinting Problems

- Missed fingerprints are due to human error.

- Duplicate bookings (resulting in duplicate PCNs) continue to occur despite efforts to prevent them; a search function on previous bookings would be helpful to deal with this problem. AFIS does not offer this option.

Tracking Cases and Charges.

- Amended charges are difficult to track; cases involving plea agreements are particularly difficult.
- It can be difficult for local agencies and courts to identify cases that are still open.
- Courts are behind in submitting dispositions to DPS and they need a way to quickly identify outstanding cases.

Data Errors and Error Resolution

- The courts receive incomplete Disposition Reports, such as missing booking numbers and missing ORIs.
- When a Disposition Report is forwarded with errors, the receiving agency has a difficult time determining the source and cause of those errors.
- Incorrect entries get carried over to other reports such as plea agreements and sentencing documents.
- Incorrect entries in the Disposition Report get carried over to other reports such as plea agreements and sentencing documents.
- Multiple case numbers can be assigned at different stages of a case, making it difficult match to the previous OCAs in the Disposition Report and ACCH.
- When arrest and case data are changed after the initial charges, it can be difficult to match a Disposition Report to the original arrest record at the ACCH.

Name Matching and Aliases

- Aliases are difficult to track.
- Courts experience problems in matching names on different documents, but tying documents together by a SID or PCN can help with this problem.

Confusion Caused by Differences in Processing Procedures and Terminology

- The distinction between Not Filed and Not Referred situations is not always clear.
- In some counties, Disposition Reports are forwarded from the jail to the prosecutor; in other counties the reports go directly to the court and the prosecutor does not participate in the reporting process.
- Procedures used by DPS to delete records or amend records to list an individual's correct identity are unclear and may be inconsistent.
- Terminology used to describe processes and documents differ from agency to agency; processing procedures also differ widely from jurisdiction to jurisdiction.

Discussion of Issues Related to a Disposition Reporting System

Tracking Charges Prior to Fingerprinting

Using the "To-Be" process flow from the Strategic Plan, Gerald Klaas described the point in the process where charges exist but fingerprints have not yet been taken. In between

the initial record and the final disposition, the Disposition Reporting system will be able to treat each charge individually for tracking purposes. Gerald pointed out that the Disposition Report system should include have a notification function to track fingerprints that are needed and inform agencies that are responsible for getting these fingerprints.

Access to Information

Gerald asked which agencies or individuals should be able to look across the “fence” between charges for which fingerprints have not yet been taken, indicating that different opinions have been expressed at previous JAD sessions. Participants agreed that this is an issue that must be addressed.

Gerald noted that when the final disposition is sent from the Disposition Reporting system to ACCH, the record will no longer be “viewable” because the official record will be housed in ACCH. Jerry Hardt pointed out that the information in the Disposition Reporting system is not intended to be exactly the same as the ACCH system, and that limitations on ACCH are largely based on federal requirements.

Tracking of Non-Reportable Charges

A suggestion was made that the new Disposition Reporting system could be used to track all cases, not just cases that are reportable to ACCH. Non-reportable charges (which do not require fingerprints) are tracked through justice municipal courts but are not tracked by any other agencies. The tracking capability and statistical output functions of the proposed Disposition Reporting system could be used to help local agencies track these types of cases as well. Jerry Hardt suggested that the AG should probably look at this because there might be restrictions on maintaining certain types of data. Gerald said that further discussions on this idea will follow this JAD session

Case Referrals

Some cases do not proceed along a linear path for processing. The County Attorney’s office notes that cases may be referred back to the arresting agency for further law enforcement action, such as obtaining additional information or investigation. Cases may also be referred to different courts if the charges should be adjudicated in that court. The paper form of the Disposition Report may or may not be sent to the agency receiving the referral, depending on the circumstances; for example, if the County Attorney will keep the Disposition Report for expects to receive the case back from law enforcement, they will keep the Disposition Report for future processing. Agencies need some flexibility to make referrals.

Modification of Information on the Disposition Report

Participants said that responsibility to modify data should follow the responsibility to enter the data. For example, law enforcement should only be able to fill out the top part of the form and charges that are not referred for prosecution. Prosecutor should only be able to amend and add charges and should not change any of the information at the top of the form (demographic, identifying, and descriptive data), and should only be able to

dispose No Files. The court should be able to amend and add charges, enter final dispositions and sentencing, and enter court-initiated charges.

Participants believe that the correct data in agency databases may not be reflected in ACCH because of perceived difficulties in changing ACCH records. The participants felt that these changes should be allowed in a new Disposition Reporting system, but that there are some things – such as names -- that should not be changed unless a positive identification can be associated with the record.

Backlogs and Rejected Disposition Reports

Because of E-Dispo, most of the outstanding Disposition Reports at the courts are usually older cases. Corrections to rejected dispositions reports are made on paper and forwarded to DPS.

Additional Limitations to Disposition Report Fields

Gerald asked if the local agencies put any limitations or rules beyond the DPS requirements. None were identified.

Post-Adjudication Court Amendments

The courts amend charges on a disposition based on sentencing conditions. It was suggested that if the new Disposition Reporting system could not be extended to maintain these cases, the court could retain the case information in a separate location/database and download it back into the new system if/when there are court actions. Gerald introduced the idea of the Interagency Index to the group, and described how this will assist with interfacing with different systems and identifiers; he suggested this might be where these court cases could be maintained until the court needs to submit another disposition.

Local Processing Analysis

Coconino County agencies have been reviewing the flow of dispositions for several years and have developed flow charts and process changes. Agreements by all parties were made on business process changes and these agreements laid the groundwork for the electronic interfaces to be successful. Despite these changes, a lot of dispositions are still reported to DPS on a manual basis.

E-Citation Interface Opportunities

E-Citation has been implemented in Coconino County. The officer portion of the citation is still in paper form, but the data is entered by law enforcement support staff and transmitted directly to the courts. E-Citation is a JXDD-compliant XML export from the law enforcement RMS to MQSeries; from MQSeries the data goes into a holding tank in AZTEC. The interface from MQSeries to AZTEC is intended to be standard for the entire state. About 90% of the citations, which include both reportable and non-reportable incidents, are being submitted electronically. There is also a feed of civil traffic offenses to AZ MVD. A plan for allowing courts to query MVD to verify names and license numbers is still in the works.

Tracking Other Criminal Justice Information

Several participants mentioned the need to have a better way to track outstanding warrants, release conditions, sentencing conditions and fines, and court dates. They believed that these issues should be discussed even though there is a question about whether this type of information should be considered as part of the Disposition Reporting system functionality.

Initiation of Charges

The participants reviewed the initiation of charges handout to determine if additional events should be added. They suggested adding a County Attorney event called “Return to Law Enforcement Agency” for case referrals to law enforcement for further action. They also suggested adding a Law Enforcement event called “Not Referred” that reflects the Disposition Report sent directly from the arresting agency to DPS.

Dispositions with Multiple Charges

Participants briefly discussed disposition reports containing multiple charges where some charges are disposed while others are still pending. The issue was raised about how this information should be reflected in the Disposition Reporting system, since disposed charges are only supposed to be available from ACCH.

Recommendations for a New System

Participants made the following recommendations for the new Disposition Reporting system:

- The system should track bookings in such a way as to help prevent duplicate bookings; names should be searchable so that previous bookings can be identified.
- The system should interface with local jail management systems.
- The system should interface with AZTEC to make record reporting more consistent and to eliminate duplicate data entry.
- The system should track outstanding charges and report to the appropriate agency as a reminder of open cases.
- The new system should have error checking so that incorrect entries do not continue through the process.
- The system should allow agencies to modify data, and the authority to modify data should follow the authority to enter the data.
- The design of the Disposition Reporting system should encourage the flow of information between agencies.
- The system should show the current status of a disposition followed by a summary of the processing events to date for the disposition; the system should allow the user to drill down for details.
- The system should track post-disposition changes to a disposition that result from court action on probation and sentencing conditions (post adjudication issues).
- Consideration should be given to a tie-in between the new system and the statewide probation system to be installed by the courts this fall.

- Consideration should be given to including all charges (reportable and non-reportable) in the Disposition Reporting system.
- Consideration should be given to tracking outstanding warrants, sentencing information (fines, conditions), and court dates.
- The system should notify prosecutors if a person is arrested on subsequent charges.
- The system should notify judges if new charges are issued that violate conditions of probation or release.
- The system should allow agencies to “op in” or “op out” of specific notifications.
- Reports on outstanding dispositions should be available to authorized users and agencies should be given the option to receive the report automatically or to request the report as needed. Examples of reports include:
 - The County Attorney’s office would like to get a report on outstanding dispositions for non-referred cases that are 90 days old, similar to a report that might go to the original arresting agency.
 - Courts would like aging reports on cases that have been sent to the court and do not have dispositions.
- Law enforcement would like to be notified when the County Attorney files a case.
- The system should have a case referral option that is flexible enough to allow agencies to refer the Disposition Report to the appropriate agency for action. Some referrals are routine and should occur automatically; however, the system should include a method to handle exceptions.
- Processing procedures and common terms used by the criminal justice community should be standardized to avoid confusion.



Disposition Reporting Management/Yellow Bar

NORTHROP GRUMMAN
Information Technology

State of Arizona
Arizona Criminal Justice Commission

Joint Application Design (JAD) V Phoenix, Carnegie Library June 24, 2004

Meeting Attendees:

Name	Representing
Mercedes Schmidt	Yavapai County Attorney
Randy Schmidt	Yavapai County Attorney
George Knecht	Maricopa County Clerk of Court
Jackie Brawley	Yavapai County Clerk of the Superior Court
Karen Schmitz	Yavapai County Clerk of the Superior Court
Jerry Hardt	Arizona Criminal Justice Commission
Gerald Klaas	Northrop Grumman Information Technology
Janet Jessup	Northrop Grumman Information Technology

Introduction

Gerald Klaas introduced the purpose of the Disposition Reporting project and its place in the ACJC Strategic Plan. He described the long-term perspective of the Strategic Plan and explained that the first step in the plan is addressing Disposition Reporting. He talked about the communications infrastructure that will be required to support the project and future projects, and he mentioned discussions are ongoing with DPS about the infrastructure. He described the project goals and deliverables, and explained that the purpose of the JAD sessions was to develop more detail for the Disposition Reporting system requirements. He also noted that the communications infrastructure or “highway” for the project will be the basis for additional information and services that will be provided in the future.

Disposition Reporting Issues Discussion

Participants in the JAD session identified several issues related to disposition reporting:

Data Errors

- Name matching was cited as a problem in some records.

Missing Fingerprints and Disposition Reports (Yavapai County)

- The courts have not been able to report dispositions because of missing fingerprints; the cases that are not reported include serious crimes.

- Confusion on the proper processing of disposition reports has also been a factor in preventing the reporting of dispositions.
- There is no reliable process in place to follow-up on court-ordered fingerprints or missing fingerprints.

Paper Processing (Yavapai County)

- Most dispositions are still handled in paper form, and the court processes all dispositions by paper.
- Existing systems in the county do not interface electronically.

Issues Related to a New Disposition Reporting System

Notifications Regarding Missing Fingerprints

Participants discussed the responsibility for obtaining missing fingerprints and the agency or agencies that should receive notifications regarding missing fingerprints. One suggestion was to have probation staff ensure that fingerprints are taken; another suggestion was to require the arresting agency to obtain the prints. Another suggestion was that the agency that should take responsibility could change depending on where the offender is in the adjudication process.

Increased Workload

Participants also noted that processing more fingerprints and Disposition Reports would result in an increased workload for all agencies. They noted that the Disposition Reporting system should help decrease the impact of this increased workload.

System Security

A question came up about security issues for the new system. Gerald Klaas pointed out that Disposition Reporting will not be considered criminal history information and will not have the same security implications as CJIS information. The Disposition Reporting system will not replace the ACCH information that is currently available.

Entry of Charges Prior to Fingerprinting

A question was asked about the entry of non-booking events into the Disposition Reporting system. Gerald Klaas said that the system will have to be able to accommodate the initiation of charges through a variety of interfaces

Initiation of Charges

The participants reviewed the Initiation of Charges functional hierarchy diagram to determine if there were any other ways that charges are initiated. No additional events were identified.

Local Requirements for Disposition Report Fields

Participants were asked if there were any local requirements or limitations on the Disposition Report fields. None were identified.

Recommendations for a Disposition Reporting System

Participants had the following recommendations for a Disposition Reporting system:

- The system should interface with local records management systems.
- The system should include real-time error checking.
- The system should be capable of notifying agencies that fingerprints are required.
- The system should be available statewide to authorized users.
- Notifications should be sent to agencies if dispositions reports are missing.
- Consideration should be given to reporting felonies to the County Recorder or Secretary of State to meet reporting requirements regarding voter registration lists and felony convictions.
- Consideration should be given to using the system to report motor vehicle violations to the Department of Transportation.
- The system should return dispositions with errors but should not notify agencies of successful data transmissions.
- There should be a disclaimer that clearly explains the type of data contained in the system and how the information should be used, including the identification of records without fingerprints.
- The system should identify the agencies involved in a case so that contacts can be made if further inquiries are needed.



Disposition Reporting Management/Yellow Bar

NORTHROP GRUMMAN
Information Technology

State of Arizona
Arizona Criminal Justice Commission

Joint Application Design (JAD) VI **Yuma, Yuma Police Department Headquarters** **June 22, 2004**

Meeting Attendees:

Name	Representing
M. Angela Graddy	Yuma County Municipal Court
Margo Fasavalu	Yuma County Justice Court
Leticia Montes	Yuma County Justice Court
Debbie Nidiffer	Yuma Police Department
Aydee Conde	Yuma Police Department
Penny Sue Anders	Yuma County Sheriff's Office
Lorenzo Roque	Yuma County Sheriff's Office
Margie Gamache	Yuma County Sheriff's Office
Jerry Hardt	Arizona Criminal Justice Commission
Gerald Klaas	Northrop Grumman Information Technology
Janet Jessup	Northrop Grumman Information Technology

Introduction

Gerald Klaas introduced the purpose of the Disposition Reporting project and its place in the ACJC Strategic Plan. He discussed the need to obtain information about the business processes used by various jurisdictions throughout the state so that the statewide Disposition Reporting system can be designed to meet the needs of stakeholders. He provided participants with an overview of the project goals, the project activities and deliverables, and the purpose of the JAD sessions.

The As-Is and To-Be diagrams were presented to the group to begin the discussion of the disposition reporting process. Gerald described the fence between the processes occurring before fingerprints are obtained and after the suspect has been fingerprinted

Disposition Reporting Issues Discussion

During the JAD discussions, participants identified several issues related to disposition reporting and associated activities.

Data Errors

- Typical errors in Disposition Reports were identified as: incorrect PCN numbers, incorrect case numbers, incorrect DOB, incorrect or missing date of booking, and name errors.
- The reason for a Disposition Report rejection by is not always clear to the local agency; a phone call to DPS to inquire about the report may be necessary to resolve the problem.

Tracking Charges

- Changes to charges and reductions to charges cause confusion in trying to track a disposition.
- When charges are reduced to misdemeanors and returned to Justice Court, there is currently no reliable method to ensure the disposition is reported through AZTEC.
- Cases that have been initiated but have not been associated with fingerprints are currently being tracked only by the officer involved in the case.
- Local criminal justice systems do not have any interfaces and charge information is not being exchanged automatically among agencies.

Different Procedures for Aliases

- DPS and local agencies use different procedures to handle the name of record when aliases are involved; these differences can result in problems matching local and state records.
- Aliases currently have to be hand-written on the Disposition Report form in order to be submitted to DPS.
- Courts track the case by the name on the complaint, which is not the alias, but AZTEC's E-Disposition must track the disposition by the alias to avoid having the record rejected by DPS.

Paper-Based Processing

- Errors in AFIS transactions must be corrected using a paper process; arrest transactions may be held for a period of time to avoid having to go through the error correction process.
- Disposition Reports are hand-carried from booking to the courts, by either Sheriff deputies or court staff.

Issues Related to Disposition Reporting

Participants discussed several issues related to the disposition reporting process.

Authority to View Data in the Disposition Reporting System

Participants agreed that law enforcement and prosecutors should see all information in the Disposition Reporting system.

Initiation of Charges

Gerald Klaas asked participants if there were any additional events other than those already listed in the functional hierarchy diagram that would result in the initiation of charges. No additional events were identified.

Responsibility for Initiating, Adding and Changing Charges in the Disposition Report

Participants agreed that responsibility for transmitting or entering a case in the system should rest with the agency that initiates the case.

Booking units have taken the position that after booking and submission of fingerprints to DPS, it is the responsibility of the prosecutor to make changes to the initial charges and that the booking unit should no longer be making changes.

In Yuma County, the Disposition Reports go directly to the Justice Court from the booking unit. Justice Court enters all charges filed by the prosecutors.

Catching Missing Fingerprints

The Justice Court does not have tickler system to monitor individuals that have been ordered to be fingerprinted. However, the court does forward the order to the jail and the jail returns the original order and the Disposition Report to the courts after booking has occurred. The jail also notifies the court if the person has failed to appear for fingerprinting.

In the Yuma Municipal Court, fingerprints are obtained in the court using inked prints.

Notifications

Participants discussed the proposed notification and reminder features of the Disposition Reporting system. Reminders for No Referrals should go to the original law enforcement agency that initiated the case. If the court has issued a summons for an individual to be fingerprinted, the reminder should go to both the court and the law enforcement agency.

Participants suggested that there be a victim notification feature such as an automatic letter generated so that the victim is notified at each step of the processing of a case. The requirements for notifying the victim under current law should be automated.

Other notifications recommended included a notification of deadlines on filing complaints on both adults and juveniles. Other time-sensitive deadlines could be included as well such as referral deadlines.

Participants agreed that they want to be able to turn notifications for exceptions to normal processing.

Entry of Information in the Disposition Report System

A question came up about whether the new system would have real-time entry. Gerald responded that would depend on how and when the contributing agency submits the data.

Possible System Interfaces

In addition to local agency records systems, participants listed photo files and the DPS gang suspect database as possible interfaces with the Disposition Reporting system.

Modifications to Disposition Report Fields

Participants agreed that, in general, the owner of a record should be able to make changes to their specific data fields in the Disposition Report. Specific authority by field and by agency was discussed in detail:

- The arresting agency, booking unit, or courts should all be allowed to correct fields 2,3,4,5,6,7,8 and 9.
- AKAs and new DOBs should be added, not necessarily changed, if the person is using multiple names and DOBs (these would be additional information rather than changes).
- The arresting agency should be able to change the OCA field.
- The booking unit should be able to change the Booking number.
- No one should be able to change the PCN.
- The booking unit should not be able to change arrest charges, date of offense, or statue; this information is owned by the arresting agency.
- The arresting agency should be able to change 2,3,4,6,7,10,11,12, 13.
- The courts should be responsible for filling out fields related to preparatory and domestic violence; the jail will list domestic violence if the arresting agency gives them this information.

Participants said that ability to change data should be limited or controlled so as not to create more problems in disposition reporting. This control could be done on the basis of ORI. The ability to make changes should also be limited by specific user types within agencies. The Disposition Reporting system should be designed to enforce correct entries.

Participants also suggested that address changes should be allowed and that notifications regarding address changes should be sent to agencies involved in the disposition report.

Recommendations for a New Disposition Reporting System

The participants made the following recommendations for the new system:

- Agencies should be able to receive data feeds from the Disposition Reporting system and send information to the system electronically from their records management systems.
- Law enforcement agencies should be notified of the final disposition.

- Notification on missing fingerprints should go to the law enforcement agency that initiated the case; if the court has issued a summons for an individual to be fingerprinted, both the law enforcement agency and the court should be notified.
- The system should send notifications on events that have deadlines, such as the time requirements to file complaints.
- Consideration should be given to including the automation of victim notification requirements as part of the Disposition Reporting system.
- Agencies should be able to turn notifications for exceptions to normal processing.
- Grand Jury indictment information must be strictly limited and should not be available to all users of the system.
- An AKA or alias fields should be added to the Disposition Report.
- For direct entries, pick lists should be maximized to minimize data entry errors.
- Placing the mug shot on the Disposition Report form would assist the court in identifying the defendant.
- The system should include web-based access with password requirements to allow authorized users to view the disposition status.
- Users should be able to search the Disposition Reporting system for the PCN or the name and DOB.
- Authority to change data fields should be granted but strictly controlled. The ability to make changes should also be limited by specific user types within agencies.
- The system should be designed to enforce correct entries of data.
- Address changes should be allowed and notifications regarding address changes should be sent to agencies involved in the disposition report.
- The availability of DNA samples is of interest.
- Consideration should be given to allowing some level of public access to the system, at least for victims.
- Consideration should be given to including warrant information.