

ALASKA CRIMINAL RECORDS AUDIT

Reporting Compliance & Data Quality

Criminal Cases Referred for Prosecution in January 2005

What is the probability of finding complete, accurate information about a charge initiated during the audit period (by Judicial District)?

	1st Judicial District
...on a Fingerprint Card	68.0%
...in a Disposition Report	85.0%
<i>prosecutor declination</i>	83.0%
<i>court judgment/order</i>	87.0%
 ...in APSIN	53.0%

EXECUTIVE SUMMARY

Criminal Cases Referred for Prosecution January 2005 FIRST JUDICIAL DISTRICT

Purpose

The purpose of the audit is to evaluate the effectiveness of procedures for compiling criminal history records from various sources. This audit attempts to answer this question: **What is the probability of finding complete, accurate information at the state's central repository about a charge initiated in this Judicial District during this audit period?**

Methodology

Population: 310 Criminal Case Intake and Disposition forms

Sample: 74 Criminal Case Intake and Disposition forms

Based on the sample selection criteria, the auditor is 95% certain (confidence level) that the error rates found in the records sampled will be within 10% (precision factor) of the error rates for the entire population.

The auditor calculates the probability of finding complete, accurate information about a charge from these sources:

FINGERPRINT CARDS, required to be submitted to the state central repository for all criminal charges (AS 12.80.060)

DISPOSITION REPORTS, required from the prosecutor or court that disposed of a charge (AS 12.62.120);

APSIN (the Alaska Public Safety Information Network) is the computerized criminal history record system. Information about a charge in APSIN may be entered directly by the arresting agency. It may be updated by repository staff based on fingerprint cards and disposition reports, as well as other research. Increasingly, it may be entered automatically from an arrest, fingerprint or disposing agency's information system through an electronic interface.

Findings

To calculate the overall probability of finding complete, accurate information about a charge, the auditor determined, for each information source, the percentage of information that was (a) recorded, (b) not fictional, (c) complete, and (d) accurate. The auditor's computations are shown on the following page:

EXECUTIVE SUMMARY

What is the probability that the charge is (a) RECORDED?

	Actual (Required)	Missing	(a) RECORDED
Charges on Fingerprint Cards	110 100%	-30 27%	80 73%
Charges in Disposition Reports	111 100%	-16 14%	95 86%
... Prosecutor (Declines)	6	-1 17%	5 83%
... Court (Judgments/Orders)	87	-11 13%	76 87%
... None (confirmed active)	18	-4 22%	14 78%
Charges in APSIN	111 100%	-17 15%	94 85%

What is the probability that the recorded charge is (b) NOT FICTIONAL*?

	Actual (Required)	Fictional	(b) NOT FICTIONAL
Charges on Fingerprint Cards	110 100%	0 0%	100%
Charges in Disposition Reports	108 100%	0 0%	100%
... Prosecutor (Declines)	6	0 0%	100%
... Court (Judgments/Orders)	87	0 0%	100%
... None (confirmed active)	15	0 0%	100%
Charges in APSIN	111 100%	1 1%	99%

If the charge is recorded, what is the probability it is (c) COMPLETE (not missing data)?

	Actual Data	Missing Data	(c) COMPLETE
Data on Fingerprint Cards	449 100%	-14 3%	435 97%
Data in Disposition Reports	628 100%	-1 0%	627 100%
... Prosecutor (Declines)	30	0 0%	30 100%
... Court (Judgments/Orders)	598	-1 0%	597 100%
... None (confirmed active)	0	0	0 n/a
Data in APSIN	920 100%	-337 37%	583 63%

If the data is complete, what is the probability that it is (d) ACCURATE?

	Actual Data	Data Errors	(d) ACCURATE
Data on Fingerprint Cards	435 100%	15 3%	420 97%
Data in Disposition Reports	627 100%	-3 0%	624 100%
... Prosecutor (Declines)	30	0 0%	30 100%
... Court (Judgments/Orders)	597	-3 -1%	594 99%
... None (confirmed active)	0	0	0 n/a
Data in APSIN	583 100%	1 0%	582 100%

*A "fictional" charge is one that should not be reported to the repository or entered into APSIN; fictional charges are often caused by duplicate reporting or entry of charges, or reporting noncriminal violations as criminal charges.

Completeness scores (missing data) in APSIN include information that was reported to the repository but was incomplete and reports that were submitted to the repository but not entered in a timely manner.

EXECUTIVE SUMMARY

Conclusion: The overall probability of finding complete, accurate information is calculated as follows: (a) % recorded X (b) % not fictional X (c) % data complete X (d) % data accurate

Charges on Fingerprint Cards (a) 73% X (b) 100% X (c) 97% X (d) 97% **68%**

Charges in Disposition Reports (a) 86% X (b) 100% X (c) 100% X (d) 100% **85%**

... *Prosecutor Declines* (a) 83% X (b) 100% X (c) 100% X (d) 100% **83%**

... *Court (Judgments/Orders)* (a) 87% X (b) 100% X (c) 100% X (d) 99% **87%**

Charges in APSIN (a) 85% X (b) 99% X (c) 63% X (d) 100% **53%**

The remainder of the report provides details about the audit methodology and procedures, identifies the specific charges that were found to be missing and fictional, and shows completeness and accuracy rates for specific data elements for each information source.

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FIRST JUDICIAL DISTRICT

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PART I. AUDIT PURPOSE AND SCOPE

Purpose: The purpose of this audit is to evaluate the quality of criminal history data submitted to the state central repository and maintained in APSIN.

Mandate: AS 12.62.120 requires criminal justice agencies to report certain events to DPS at the time, in the manner, and in the form specified by the department. These reporting requirements are defined in 13 AAC 68, Article 2. AS 12.62.150 requires DPS to conduct periodic audits to ensure compliance with 12.62.

Objectives: The primary objective is to assess, with statistically supported accuracy, the completeness, timeliness and accuracy of data submitted to the repository and entered into APSIN. A second objective is to determine what systematic errors are contributing to incomplete, late, or inaccurate records. A third objective is to identify the effects of recent projects, automation, or other programmatic or policy changes that have improved record quality.

Scope: The audit sample is drawn from criminal cases referred for prosecution during January of 2005. This allows the auditor to measure data quality for "reportable" events, to compare changes from year to year, and complete the audit within available resources.

"Reportable Events" - An arrest charge must be reported to the repository even if it is declined for prosecution. A criminal charge that does not involve an arrest must be reported only if it is prosecuted. Noncriminal infractions and juvenile charges referred to a prosecutor do not have to be reported. By reviewing all cases referred for prosecution, the audit identifies not only the percentage of *reportable events* submitted to the repository, but also identifies any *non-reportable* events that were incorrectly submitted to the repository, or entered into APSIN. The events required to be reported to the repository, the contents of each report, and the timelines for reporting the information are defined in AS 12.62.120 and 13 AAC 68 Article 2, including:

- Arrest / Citation
- Fingerprinting
- Booking (photo)
- Decision not to commence criminal proceedings (for charge resulting from arrest)
- Filing of a charging document
- Court disposition
- Disposition change (court, appellate court, parole board)

In addition to measuring compliance with the reporting of events, the auditor measures the data quality of APSIN records based on events required to be reported. For example, if the audit sample contained 100 charges that were referred for prosecution the auditor would measure how many of those charges were correctly entered into APSIN. The auditor would also measure how many charges were incorrectly entered into APSIN (referred to as "fictional" or "duplicate" charges). For example, if any of the 100 charges involved a juvenile, a noncriminal infraction, or a charge that did not stem from arrest and was not prosecuted, the auditor confirms that those charges were correctly *omitted* from APSIN.

Jurisdiction - The audit consists of separate record samples and findings for the **First Judicial District**. The audit does not attempt to measure reporting compliance for individual agencies within a judicial district. Instead, it evaluates reporting compliance and APSIN record quality based on the integrated, system wide efforts of all agencies within the judicial district and repository staff.

PART I. AUDIT PURPOSE AND SCOPE

Audit Period - DPS has limited the scope of the audit to a one month period to match the level of audit resources available. To enable year-to-year comparison, prosecutor referrals for the same month (January) will be sampled each year. The auditor reviews reports related to these January referrals which are submitted to APSIN by a predetermined cut-off date (July 31). This cutoff date was selected to make audit findings comparable no matter what time of year an audit is completed. For example, if the auditor completes the review of January cases from the First Judicial District in August, then completes the review of January cases for the Second Judicial District in October, the findings are not comparable unless a fixed cutoff date is used.

Limiting the audit to this "snapshot" period means that certain events and records are less likely to be audited, however. For example, serious felony cases are less likely than misdemeanors to have reached final disposition within the 7-month snapshot period. Events such as changing of dispositions on appeal and granting of executive clemency are less likely to occur within the snapshot period. This means that the audit findings are more statistically significant for the initial events (reporting of arrests, fingerprinting, and prosecutor declinations). The audit findings are not necessarily statistically significant for subsequent events, such as court dispositions or disposition changes.

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PART II. AUDIT PROCEDURES

STEP 1. IDENTIFY POPULATION

Judicial District: 1st Judicial District

Population: Criminal cases referred for prosecution/screening

Audit Period: January 2005

STEP 2. CALCULATE SAMPLE SIZE

Population Size: Criminal Case Intake and Dispo (CCID forms) referred to:

District Attorney office - Juneau	29
District Attorney office - Ketchikan	19
District Attorney office - Sitka	10
City Attorney- Juneau	13
City Attorney - Ketchikan	2
City Attorney - Sitka	1
<u>TOTAL</u>	<u>74</u>

Confidence Level: The desired degree of confidence that the sample selected will be representative of the general population; i.e., that the population has the same error rate as the sample. **95%**

Degree of Variability: How similar the population records are - this can be based on error rates found in prior audits, or it can be most conservatively estimated at 50% (e.g., there is a 50/50 chance that a record will be error-free or totally erroneous) **50%**

Precision Factor: Enter the range (plus/minus) between the error rate to be found in this audit sample and that in the population **+/- 10%**

Sample Size: Criminal Case Intake and Dispo (CCID forms) **TOTAL 74**

Based on the sample selection criteria, the auditor is **95%** certain (confidence level) that the error rates found in the records sampled will be within **10%** (precision factor) of the error rates for the entire population.

Random Selection: Sample records are randomly selected from the population.

PART II. AUDIT PROCEDURES

STEP 3. IDENTIFY REPORTING REQUIREMENTS/DATA SOURCES

EVENT	AGENCY RESPONSIBLE	TIME LIMIT	13 AAC 68.160 WAIVER
Arrest/Citation 13 AAC 68.115	Arrest agencies meet this requirement by entering arrest data directly into APSIN. Because other agencies, including the repository, may subsequently update/change that data, it is not possible to audit the timeliness or data quality of the arresting agency's original report.	1 wk	NO
Fingerprint Card 13 AAC 68.120	Department of Corrections - Juneau Department of Corrections - Ketchikan Craig Police Department Haines Police Department Petersburg Police Department Sitka Police Department Skagway Police Department Wrangell Police Department	1 wk	NO NO NO NO NO NO NO NO
Decline Prosecution 13 AAC 68.130	District Attorney Juneau District Attorney Sitka	1 mo	NO NO
Court Filing 13 AAC 68.135	not applicable - courts do not report charge filing at this time	1 mo	N/A
Court Disposition 13 AAC 68.140	Superior Court Juneau Superior Court Ketchikan Superior Court Petersburg Superior Court Sitka District Court Juneau District Court Ketchikan District Court Sitka Magistrate Craig Magistrate Skagway Magistrate Yakutat	1 mo	N/A N/A N/A N/A N/A N/A N/A N/A N/A N/A
Disposition Change 13 AAC 68.140-145	not applicable - no disposition changes were reported in this audit	1 mo	N/A
Booking Photo 13 AAC 68.150	(see above; same as fingerprint agencies)	1 wk	NO
APSIN (RAP SHEET) AS 12.62.150	DPS - R&I (Records and ID Bureau)	N/A	N/A

PART II. AUDIT PROCEDURES

STEP 4. LOCATE/COPY SOURCE DOCUMENTS

Arrest Report	Obtain from arrest agency <i>if needed</i> to verify CCID or FP card data.
Fingerprint Card	Obtain from repository files.
Criminal Case Intake/Dispo Form	Obtain from prosecutor.
Filing Document	Obtain from court. (<i>Not applicable for this audit</i>).
Court Disposition	Obtain from repository files (image archive).
Dispo Change	Obtain from repository files (image archive).
Booking Photo	Check repository files to confirm if on file.
APSIN Rap Sheet	Obtain APSIN criminal history for each record.
APSIN Entry Date Log	Obtain APSIN "date-of-entry" logs for each record.

STEP 5. COLLECT/SCORE DATA

Enter the SAMPLE SIZE (the number of RECORDS audited). RECORD means a single arrest/charging incident referred for prosecution/screening.	74
Enter the number of CHARGES (individual criminal offense, also referred to as a "count").	111
Enter the number of FICTIONAL CHARGES IN APSIN (a nonexistent charge, e.g., entries caused by a duplicate report of an actual charge or erroneous report showing a noncriminal violation as a criminal charge, etc.).	1
Enter the number of MISSING CHARGES IN APSIN (a charge that should have been reported/posted in APSIN as part of an arrest event/charging incident, but was omitted).	17
Enter the number of COLLATERAL OFFENSES (violation of a court or parole condition involving an audited RECORD).	0
Enter the number of DATA ELEMENTS (discrete field of information) for all CHARGES and COLLATERALS in all RECORDS.	1,997

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

Detail on Missing FP Charges:

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
1	MICS 6th	✓	Sitka AST	Sitka District	no FP despite arrest/cite, court disposition
2	DWLS	✓	Sitka AST	Sitka District	no FP despite arrest/cite, court disposition
3	Violate Conditions of Release	✓	Sitka AST	Sitka District	no FP despite arrest/cite, court disposition
4	Theft 2nd	✓	Juneau PD	Juneau District	no FP; no arrest/cite; charges filed; active case
5	Theft 3rd	✓	Juneau PD	Juneau District	no FP; no arrest/cite; charges filed; active case
6	Unlawful Contact	✓	Ketchikan PD	Ketchikan District	no FP; no arrest/cite; charges filed; court disposition
7	Assault 4th DV	✓	Ketchikan PD	Ketchikan District	no FP; no arrest/cite; charges filed; court disposition
8	MICS 6th	✓	Ketchikan PD	Ketchikan District	no FP; no arrest/cite; charges filed; court disposition
9	Fail to Obey Citation	✓	Juneau PD	Juneau District	1 of 2 charges omitted from card; arrest/cite; court disposition
10	DWLS	✓	Juneau PD	Juneau District	1 of 4 charges omitted from card; arrest/cite; court disposition
11	DWOL	✓	Juneau AST	Juneau District	no FP despite arrest/cite, court disposition
12	Disorderly Conduct	✓	Juneau PD	Juneau District	no FP; no arrest/cite, charges filed; court disposition
13	Larceny	✓	Juneau PD	Juneau District	no FP; no arrest/cite, charges filed; court disposition
14	DWLS	✓	Si Sitka PD	Sitka District	1 of 2 charges omitted from card; arrest/cite; court disposition

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
15	Minor Consuming / Habitual	✓	Craig PD	Craig District	1 charge omitted from card - printed at arrest but arrest charge not noted on fingerprint card; prior cases only on card
16	Failure to Give Notice/Accident	✓	Juneau PD	Juneau District	no FP despite arrest/cite, charges filed; court disposition
17	MICS 5th	✓	Petersburg PD	Petersburg District	1 of 2 charges omitted from card; arrest/cite; court disposition
18	DWLS	✓	Ketchikan PD	Ketchikan District	no FP despite arrest/cite, charges filed; court disposition
19	Reckless Endangerment	✓	Ketchikan AST	Ketchikan District	no FP; no arrest/cite, charges filed; court disposition
20	Disorderly Conduct	✓	Juneau PD	Juneau District	no FP; no arrest/cite, charges filed; court disposition
21	Theft 2nd	✓	Haines PD	Juneau District	no FP; no arrest/cite; charges filed; active case
22	MICS 3rd	✓	Juneau PD	Juneau District	1of 8 charges omitted from card despite arrest/cite
23	Harassment	✓	Ketchikan PD	Ketchikan District	1 of 4 charges omitted from card despite arrest/cite; active case
24	MICS 6th	✓	Sitka AST	Sitka District	no FP despite arrest/cite, court disposition
25	Violate Conditions of Release	✓	Juneau PD	Juneau District	no FP; no arrest/cite, charges filed; court disposition
26	Vehicle Theft 1	✓	Sitka PD	Sitka District	no FP despite arrest/cite, prosecution declined
27	DUI	✓	Sitka PD	Sitka District	no FP despite arrest/cite, prosecution declined
28	Refusal to Submit to Chem test	✓	Sitka PD	Sitka District	no FP despite arrest/cite, prosecution declined

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
29	Reckless Endangerment	✓	Juneau PD	Juneau District	1 of 5 charges omitted from card; arrest/cite; court disposition
30	Theft 4th	✓	Juneau PD	Juneau District	1 of 5 charges omitted from card; arrest/cite; court disposition

Detail on Fictional FP Charges:

	Criminal Charge	Fictional	Agency	Court	Comment
	No Fictional FP charges in this audit				

PART III. REPORTING - DETAIL

Missing Reports of Prosecutor Declinations

	Criminal Charge	Decline Missing	Prosecution Agency	Comment
1	Fail to Report Accident	✓	Juneau District Attorney	Declined for prosecution

PART III. REPORTING - DETAIL

Missing Reports of Court Dispositions

	Criminal Charge	Court Dispo Missing	Court	Comment
1	Shoplifting	✓	Juneau Superior Court	Of three charges filed, one charge was 'dismissed by prosecutor'. Court did not send disposition (dismissal) to repository.
2	Minor Consuming	✓	Craig District Court	Court did not send disposition (dismissal) to repository; dismissed by prosecutor
3	MICS 3rd degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
4	MICS 3rd degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
5	MICS 3rd degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
6	MICS 3rd degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
7	MICS 3rd degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
8	MICS 4th degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
9	MICS 4th degree	✓	Juneau Superior Court	Of eight charges filed, eight charges were 'dismissed by prosecutor'; only one dismissal was reported by court
10	Violate Conditions of Release	✓	Ketchikan Superior Court	Of four charges filed, only two charges were disposed for a completed case before end of the audit period.
11	Harassment	✓	Ketchikan Superior Court	Of four charges filed, only two charges were disposed for a completed case before end of the audit period.

PART III. REPORTING - DETAIL

Missing and Fictional Charges in APSIN

Criminal Charge	Missing FP	Missing Decline	Missing Court Disposition	Explanation of Why Charge is Missing in APSIN
1 Viol. Cond. Release	✓			Arrested by Sitka AST; 1 of 3 arrest charges not entered in APSIN; dispo received for all three charges but not entered before audit cut off date.
2 Theft 2nd	✓			Arrested by Juneau PD; arrest not entered in APSIN; charge filed in court; active case
3 Theft 3rd	✓			Arrested by Juneau PD; arrest not entered in APSIN; charge filed in court; active case
4 Fail to Appear	✓			No arrest/citation; charge added; court disposition submitted but not entered by audit cut off date
5 DWLS	✓			Arrested by Juneau PD; 1 of 4 charges not entered in APSIN before cut off date; court disposition submitted but not entered before audit cut off date
6 Disorderly Conduct	✓			Arrested by Juneau PD; arrest not entered in APSIN; dismissal received but not entered before audit cut off date.
7 Larceny	✓			Arrested by Juneau PD; arrest not entered in APSIN; dismissal received but not entered before audit cut off date.
8 Fail to carry proof of Insur				Arrested and fingerprinted by Juneau PD; in spite of information on FPC, this charge was not entered into APSIN (data entry error). Disposition received but not entered before audit cut off date.
9 Disorderly Conduct	✓			Arrested by Juneau PD; arrest not entered in APSIN; dismissal received but not entered before audit cut off date.
10 Theft 2nd	✓			Arrested by Haines PD; arrest not entered in APSIN; charge filed in court; active case
11 Viol. Cond. Release	✓			No arrest/citation; court disposition received but not entered before audit cut off period
12 Fail to Appear				Arrested by Juneau PD; 1 of 3 arrest charges not entered in APSIN before cut off date (this charge added after arrest); active case

PART III. REPORTING - DETAIL

Missing and Fictional Charges in APSIN

Criminal Charge	Missing FP	Missing Decline	Missing Court Disposition	Explanation of Why Charge is Missing in APSIN
13 Criminal Misch 4th				Arrested by Juneau PD; 5 of 5 charges in case not entered in APSIN before cut off date; (card received data not entered before audit cut off date)
14 Reckless Endangerment				Arrested by Juneau PD; 5 of 5 charges in case not entered in APSIN before cut off date; (card received data not entered before audit cut off date)
15 Reckless Endangerment	✓			Arrested by Juneau PD; 5 of 5 charges in case not entered in APSIN before cut off date; (card received data not entered before audit cut off date and <i>this charge was missing on card</i>)
16 Fail to report Accident				Arrested by Juneau PD; 5 of 5 charges in case not entered in APSIN before cut off date; (card received but data not entered before audit cut off date)
17 Theft 4th	✓			Arrested by Juneau PD; 5 of 5 charges in case not entered in APSIN before cut off date; (card received but data not entered before audit cut off date and <i>this charge was missing on card</i>)

Criminal Charge	Fictional FP	Fictional Decline	Fictional Court Dispo	Explanation of Why Fictional Charge is in APSIN
1 Viol. Cond. Release				This charge was erroneously entered into APSIN. There was no arrest, no charge filed and no FP for this offense. Data entry error.

PART IV. DATA QUALITY

= FOR REPORTS RECEIVED/ENTERED: number of times a data element was required

CMP = FOR REPORTS RECEIVED/ENTERED: percentage of times a required data element was reported/entered

ACC = FOR DATA PROVIDED, percentage that was accurate (missing data is not scored for accuracy)

	ARREST REPORT ¹			FP CARD			PROSECUTOR DECLINE			COURT FILING ²			COURT DISPO			DISPO CHANGE			APSIN		
	#	CMP	ACC	#	CMP	ACC	#	CMP	ACC	#	CMP	ACC	#	CMP	ACC	#	CMP	ACC	#	CMP	ACC
Total Data Elements				449	96.9%	96.6%	30	100%	100%				598	99.8%	99.5%	0			920	63.4%	99.8%
ATN #	0			80	86%	94%	5	100%	100%	0			76	100%	99%	0			94	100%	100%
Charge Number	0									0			0			0			0		
Offense Code - Arr/Cit	0			80	98%	88%	5	100%	100%										94	100%	100%
ID of Arr/Cit Agency	0			49	100%	100%	5	100%	100%										94	100%	99%
Date Arr/Cit	0			80	100%	98%													94	100%	100%
Date of Offense				0															0		
ID of FP agency				80	99%	100%													0		
FP Signature				80	100%	100%															
Decline Prosecution							5	100%	100%										2	100%	100%
ID of decline agency							5	100%	100%										2	100%	100%
Date declined							5	100%	100%										2	100%	100%
Off Code - Filing																					
ID of Ct - Chg Filed																					
Date Chg Filed																					
Court Case #													76	100%	100%	0			68	43%	100%
Date CtOrd FP				0															0		
ID of CtOrd FP				0															0		
Off Code - Dispo													76	100%	97%	0			64	22%	100%
ID of Ct Dispo Agcy													76	100%	100%	0			64	22%	100%
Date of Ct Dispo													76	99%	100%	0			64	22%	100%
Ct Dispo													76	100%	100%	0			64	22%	100%
POS ID (FP) Flag																			80	100%	100%
Fine													20	100%	100%	0			20	25%	100%
Jail													45	100%	100%	0			38	21%	100%
Probation													43	100%	100%	0			38	21%	100%
SIS (set aside)													1	100%	100%	0			1	0%	
Alcohol Screening													12	100%	100%	0			12	25%	100%
Restitution													2	100%	100%	0			2	0%	
License Susp/Rev													12	100%	100%	0			12	50%	100%
CWS													3	100%	100%	0			3	0%	
Felony/Misd Status																			4	100%	100%
Sex Ofndr Regis Flag													2	100%	100%	0			2	100%	100%
DV Flag - Dispo													2	100%	100%	0			2	0%	
Disposition Change																0			0		
ID of Dispo Chg Agcy																0			0		
Date of Dispo Change																0			0		
App.Case #																0			0		
Collateral Arrest Dt				0															0		
Collateral Offense Cod				0															0		
Collateral Ct Case #				0															0		

¹ Arrest reporting/data quality was not audited because arrest agencies are not required to submit a source document (arrest report) to the repository. The agencies enter arrest/citation data directly into APSIN, which may also be updated/overwritten by repository staff (based on other source documents).

² The Alaska Court System does not report charge filing information to the repository at this time.

PART IV. AUDIT NOTES

AUDIT GUIDELINES	The audit cut off date was July 31, 2005. Reports received after July 31, 2005, were not audited. This audit scores MISSING REPORTS, ERRONEOUS (fictional) REPORTS (there were no fictional charges in this audit) and DATA QUALITY. MISSING REPORTS are identified and scored as one component of overall performance. DATA QUALITY is scored from information reported to the repository. Data submitted on CCID forms, fingerprint cards and court documents is scored in the "DATA QUALITY" component of the audit. Data quality is scored for "COMPLETENESS" (was it reported) and "ACCURACY" (was it correct). The executive summary of this audit report compiles MISSING REPORTS, ERRONEOUS CHARGES (fictional) and scored values of reported information (DATA QUALITY) and derives an overall audit score for this audit period.
APSIN	In this audit, a total of 111 charges were audited. Of 111 charges that should have been entered into APSIN by 7/31/05, 17 charges were MISSING. Of 111 charges audited, 94 charges were entered into APSIN from arrests, fingerprint information and court dispositions. Of 94 charges reported and scored as "arrests" in DATA QUALITY in APSIN, 2 charges were reported as declined and 76 dispositions were reported by the court. Of 76 dispositions reported, 64 were scored in APSIN for data quality. Twelve charges were reported but not entered into APSIN by the audit cut off date.
FINGERPRINT CARDS	In this audit, 110 FPC charges were audited. Of 110 FPC charges that should have been reported and entered into APSIN, 30 charges were MISSING, resulting in 80 charges scored for DATA QUALITY.
PROSECUTOR DECLINES	In this audit, 6 prosecutor declines were audited. Of 6 declines, 1 was MISSING. Only charges for which there was an arrest, citation, summons or charge filed in court AND the charge was subsequently declined for prosecution require a declination report. Charges that are investigated or referred to the prosecutor without arrest or a charging event, and subsequently are declined for prosecution, do not require APSIN entry.
COURT JUDGMENTS	In this audit 87 charges were disposed in court dispositions. Of 111 arrest charges, 87 required court dispositions. Charges that were not disposed by the court include 18 active charges and 6 charges declined for prosecution. Of 87 charges that required a court disposition, 11 dispositions were MISSING. Missing dispositions (not reported to the repository by the court) included 10 dismissals and 1 conviction. In this audit, 1 disposition report was sent by the court but not received by the repository (as verified by certified "court sent" dates on court documents). For this charge, the court is given credit for reporting the disposition but APSIN is scored as MISSING information. A total of 76 charges were scored for DATA QUALITY in court dispositions.
DATA COMPLETENESS / DATA ACCURACY	
ATN # (Arrest Tracking Number)	
Fingerprint Card	Completeness: Of 80 fingerprint card charges reported to the repository by the audit cut off date of July 31, 2005, 86% (69) reported ATN's; 11 charges were missing an ATN. Accuracy: of 69 fingerprint charges with ATN's reported, 94% (64) were correct .
Prosecutor Decline	Completeness/Accuracy: Of 5 prosecutor declined charges reported to the repository, 100% reported ATN's completely and accurately.
Court	Completeness: Of 76 ATN's reported on dispositions, 100% (76) were reported completely. Accuracy: of 76 ATN reported on dispositions, 99% (75) were reported accurately.
APSIN	Completeness/Accuracy: Of 94 charges reported to the repository, 100% included ATN's and were entered completely and accurately.
Offense Code - Arrest/Citation	Fingerprint card offense codes are scored for two elements: a charge and a statute. A correct and accurate offense code must show a literal description of the charge and an accompanying statute. If the description of a charge or statute is reported, it is scored as complete. If either or both the description or statute is wrong, it is scored as inaccurate.
Fingerprint Card	Completeness: Of 80 charges on fingerprint cards, 98% (78) reported offense codes. Accuracy: Of 78 reported offense codes 88% (69) were correct.
Prosecutor Decline	Completeness/Accuracy: Of 5 prosecutor declined charges reported to the repository, 100% reported offense codes completely and accurately

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ASPIN	Completeness/Accuracy: Of 94 charges reported to the repository, 100% of offense codes (charge descriptions) were received and entered completely and accurately .
ID of Arrest/Citation Agency	The "ID of arrest/citation agency" is scored only when the arrest agency is specifically identified on the fingerprint card. If the arrest agency and the fingerprint agency are the same, the "ID of fingerprint agency" is scored.
Fingerprint Card	Completeness/Accuracy: Of 80 charges on fingerprint cards, 49 were reported with specific arrest agency ID's (not the fingerprint agency), 100% were reported completely and accurately .
Prosecutor Decline	Completeness/Accuracy: Of 5 prosecutor declined charges, 100% reported the arrest agency completely and accurately .
APSIN	Completeness: Of 94 charges reported to the repository, 100% of the arrest agency ID's were entered completely . Accuracy: Of the 94 charges reported and entered into APSIN, 99% (93) were entered accurately.
Date Arrest/Citation	Fingerprint card dates are categorized by "date of arrest" and "date of court ordered". No court ordered fingerprints were included in this audit.
Fingerprint Card	Completeness: Of 80 charges on FPC, 100% of the arrest dates were entered completely. Accuracy: Of 80 arrest dates entered, 98% (78) were entered accurately.
APSIN	Completeness/Accuracy: Of 94 charges reported to the repository, 100% of the arrest dates were entered completely and accurately .
Prosecutor Declination	
Prosecutor Agency	Completeness/Accuracy: Of 5 charges declined for prosecution, 100% were reported completely and accurately .
APSIN	Completeness: Of 5 charges declined for prosecution, 2 were scored for APSIN data quality. Of 2 declines scored in APSIN, 100% were entered completely and accurately .
Id of Decline Agency	
Prosecutor Agency	Completeness/Accuracy: Of 5 charges declined for prosecution, 100% reported the decline agency completely and accurately .
APSIN	Completeness: Of 5 charges declined for prosecution, 2 were scored for APSIN data quality. Of 2 declines scored in APSIN, 100% of the decline agency ID's were entered completely and accurately .
Date Declined	
Prosecutor Agency	Completeness/Accuracy: Of 5 charges declined for prosecution, 100% reported the decline date completely and accurately .
APSIN	Completeness/Accuracy: Of 5 charges declined for prosecution, 2 were scored for APSIN data quality. Of 2 decline dates scored in APSIN, 100% were entered completely and accurately .
Date Court Ordered FP	
Fingerprint Card	Completeness/Accuracy: No court ordered fingerprints were scored in this audit..

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ID Court Ordered FP	
Fingerprint Card	Completeness/Accuracy: No court ordered fingerprints were scored in this audit..
Court Case #	Court case numbers may be entered from an arrest event, fingerprint card or a disposition document.
Court	Completeness/Accuracy: Of 76 court case numbers reported on dispositions, 100% were reported completely and accurately .
APSIN	Completeness/Accuracy: Of 68 court case numbers scored for APSIN data quality, 43% (29) were entered before the audit cut off date completely and accurately .
Offense Code - Disposition	When scoring offense code fields, a charge must have a literal description and a statute. If a charge is missing one of these elements, it will be scored as 'inaccurate'.
Court	Completeness: Of 76 offense codes reported on dispositions, 100% (76) were reported completely . Of 76 reported, 97% (74) were reported accurately .
APSIN	Completeness/Accuracy: Of 76 offense codes on dispositions reported by the court, 64 were scored for APSIN data quality Of 64 offense codes scored in APSIN, 22% (14) were entered before the audit cut off date of July 31, 2005, completely and accurately .
ID of Ct Dispo Agcy	
Court	Completeness/Accuracy: Of 76 court dispositions, 100% were reported the court ID completely and accurately .
APSIN	Completeness/Accuracy: Of 76 court dispositions. 64 were scored for APSIN data quality Of 64 court ID's that were scored in APSIN, 22% (14) were entered completely and accurately .
Date of Court Dispositions	
Court	Completeness: Of 76 court dispositions reported, 99% (75) reported the date completely . Accuracy: The remaining 75 were reported accurately. One judgment did not have an effective date.
APSIN	Completeness/Accuracy: Of 76 court dispositions, 64 were scored for APSIN data quality. Of 64 dispo dates that were scored in APSIN, 22% (14) were entered completely and accurately . Fifty dispositions were reported to the repository but not entered before the audit cut off date (not timely).
Court Disposition	
Court	Completeness/Accuracy: Of 76 court dispositions, 100% were reported completely and accurately .
APSIN	Completeness/Accuracy: Of 76 court dispositions, 64 were scored for APSIN data quality. Of 64 court dispositions that were scored in APSIN, 22% (14) were entered completely and accurately .
POS ID (FP) Flag	
APSIN	Completeness/Accuracy: 80 charges were reported on fingerprint cards and 80 charges were scored for data quality in ASPIN.

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Felony Flag	
APSIN	Completeness/Accuracy: Of 4 felony convictions reported to the repository 100% were entered completely and accurately .
DV Flag - Dispo	
Court	Completeness/Accuracy: Of 2 dispositions with DV flags, 100% were reported completely and accurately .
APSIN	Completeness: Of 2 dispositions with DV flags, reported to the repository, 100% were not entered before the audit cut off date.
SOR Flag - Disposition	
Court	Completeness/Accuracy: Of 2 dispositions with SOR flags, 100% were reported completely and accurately .
APSIN	Completeness/Accuracy: Of 2 sentences with SOR flags, reported to the repository, 100% were entered completely and accurately .
Sentencing - FINES	
Court	Completeness/Accuracy: Of 20 fines reported on dispositions, 100% were reported completely and accurately .
APSIN	Completeness: Of 20 fines reported on dispositions, (25%) 5 were scored for APSIN data quality. Of 5 fines reported on dispositions to the repository, 100% were entered completely and accurately (15 were not entered timely).
Sentence- JAIL	
Court	Completeness/Accuracy: Of 45 dispositions reporting jail time, 100% were reported completely and accurately .
APSIN	Completeness: Of 45 dispositions reported, 38 were scored for APSIN data quality. Of 38 charges scored for data quality, 21% (8) were entered completely and accurately .
Sentence - PROBATION	
Court	Completeness/Accuracy: Of 43 dispositions with probation, 100% were reported completely and accurately .
APSIN	Completeness: Of 43 dispositions with probation, 38 were scored for APSIN data quality. Of 38 dispositions with probation that were scored for data quality, 22% (8) were entered completely and accurately .
Sentence -SIS	
Court	Completeness/Accuracy: Of 1 SIS disposition reported, 100% was reported completely and accurately .

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APSIN	Completeness: 1 SIS disposition was reported but not entered before the audit cut off date (not timely).
Sentence - ALCOHOL SCREENING	
Court	Completeness: Of 12 dispositions with alcohol screening, 100% were reported completely and accurately .
APSIN	Completeness: Of 12 dispositions with alcohol screening, 12 were scored for APSIN data quality. Of 12 dispositions with alcohol screening, 25% (3) were entered completely and accurately .
Sentence - RESTITUTION	
Court	Completeness/Accuracy: Of 2 dispositions with restitution 100% were reported completely and accurately .
APSIN	Completeness: 2 dispositions were reported with restitution but not entered before the audit cut off date (not timely).
Sentence - LICENSE/REVOCATION	
Court	Completeness/Accuracy: Of 12 dispositions with license revocations, 100% were reported completely and accurately .
APSIN	Completeness: Of 12 dispositions with license revocations, 12 were scored for APSIN data quality. Of 12 scored, 50% (6) were entered completely and accurately . Six were not entered before the audit cut off date (not timely).
Sentence - COMMUNITY WORK SERVICE	
Court	Completeness/Accuracy: Of 3 dispositions with CWS, 100% were reported completely and accurately .
APSIN	Completeness: Of 3 dispositions with CWS, 3 were scored in APSIN for data quality but were not entered before the audit cut off date (not timely).

PART IV. DATA QUALITY

SCORING GUIDELINES	FP CARD #	PROSECUTOR DECLINE #	COURT FILING ² #	COURT DISPO #	DISPO CHANGE #	APSIN #	Only information submitted to the repository was scored. Data is scored as (1) accurate or (0) inaccurate; Missing data is not scored (N) In APSIN, for judgments that were received but not entered timely, score as 0/0.
ATN #	x	x		x	x	x	if missing, completeness = 0 and accuracy = N; if provided, completeness =1 and, if different than ATN on CCID accuracy = 0
Charge Number							not scored at this time
Offense Code - Arr/Cit	x	x		x	x	x	if missing, completeness = 0 and accuracy = N; if provided, completeness = 1 and, if different than CCID, accuracy =0; (unless obvious problem w/CCID then check arrest report/citation.
ID of Arr/Cit Agency	x					x	if missing, completeness = 0 and accuracy = N; if provided, completeness = 1 and, if different than CCID, accuracy =0; (unless obvious problem w/CCID then check arrest report/citation.
Date Arr/Cit	x					x	if missing, completeness =0 and accuracy = N; if provided, completeness = 1 and if different than CCID accuracy =0; (unless obvious problem w/CCID then check arrest report/citation. APSIN requires a 'date of arrest' entry; if date of arrest is unknown the date of violation is entered and is scored as complete = 1; accurate = 0 (systematic error)
Date of Offense							not scored; regulations require date of offense on FPC, if known
ID of FP agency	x						if FP agency = arrest agency score under 'id arrest agency'; if FP agency and arrest agency are different, id FP agency must be scored; ori agency is FP agency. If missing, completeness = 0 and accuracy = N; if provided, completeness = 1 and, if different that ori score 0 on accuracy
FP Signature	x						if missing on paper FPC completeness = 0; accurate = N
Decline Prosecution		x				x	if missing, completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than CCID accuracy = 0
ID of decline agency		x				x	if missing, completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than CCID accuracy = 0
Date declined		x				x	if missing, completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than CCID accuracy = 0
Off Code - Filing							not scored at this time
ID of Ct - Chg Filed							not scored at this time
Date Chg Filed							not scored at this time
Court Case #				x		x	if missing, completeness =0 and accuracy = N; if provided, completeness = 1 and if different than court information accuracy = 0
Date CtOrd FP	x						scored if court ordered fingerprints
ID of CtOrd FP	x						scored if court ordered fingerprints
Off Code - Dispo				x		x	For this data field, two data elements are scored: the literal description of the offense and the statute citation for that offense are both required. If one element is reported (on judgment or entered in APSIN) score "complete" as 1; if second element is missing or inaccurate, score "accuracy" as 0. If both elements are missing score completeness and accuracy as N/N.
ID of Ct Dispo Agcy				x		x	from court: if missing, completeness =0 and accuracy = N; if provided, completeness = 1 and if different than court information accuracy = 0
Date of Ct Dispo				x		x	from court: if missing, completeness =0 and accuracy = N; if provided, completeness = 1 and if different than court information accuracy = 0
Ct Dispo				x		x	from court: if missing, completeness =0 and accuracy = N; if provided, completeness = 1 and if different than court information accuracy = 0
POS ID (FP) Flag						x	score all charges in APSIN; systematic entry; if FP on file flag = yes; if no FP on file flag = no;

PART IV. DATA QUALITY

SCORING GUIDELINES	FP CARD	PROSECUTOR DECLINE	COURT FILING ²	COURT DISPO	DISPO CHANGE	APSIN	Only information submitted to the repository was scored. Data is scored as (1) accurate or (0) inaccurate; Missing data is not scored (N) In APSIN, for judgments that were received but not entered timely, score as 0/0.
Fine				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
Jail				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
Probation				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
IS (set aside)				x		x	score only if on court documents; if missing in APIs completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
Alcohol Screening				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
Restitution				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
License Susp/Rev				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
CWS				x		x	score only if on court documents; if missing in APSIN completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than court, accuracy =0
Felony/Misd Status				x		x	for disposed charges in APSIN; systematic entry; if blank or not set = 0 for completeness and accuracy =N; Level of severity is based on the UOCT. If the felony indicator = Y in APSIN and UOCT has felony determination accuracy =1.
Sex Ofndr Regis Flag				x		x	score only charges specified SOR by court; If missing in APSIN, completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than judgment, accuracy =0
DV Flag - Dispo				x		x	score only charges specified DV by court; If missing in APSIN, completeness = 0 and accuracy = N; if provided, completeness = 1 and if different than judgment, accuracy =0
Disposition Change					x	x	from court: if missing, completeness =0 and accuracy = 1; if provided, completeness = 1 and if different than court information accuracy = 0
ID of Dispo Chg Agcy					x	x	from court: if missing, completeness =0 and accuracy = 1; if provided, completeness = 1 and if different than court information accuracy = 0
Date of Dispo Change					x	x	from court: if missing, completeness =0 and accuracy = 1; if provided, completeness = 1 and if different than court information accuracy = 0
App.Case #					x	x	from court: if missing, completeness =0 and accuracy = 1; if provided, completeness = 1 and if different than court information accuracy = 0
Collateral Arrest Dt							
Collateral Offense Code							
Collateral Ct Case #							