

ALASKA CRIMINAL RECORDS AUDIT

Reporting Compliance & Data Quality

Criminal Cases Referred for Prosecution in January 2009

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	45.0%
...in a Disposition Report	92.0%
<i>prosecutor declination</i>	
<i>court judgment/order</i>	92.0%
...in APSIN	60.0%

EXECUTIVE SUMMARY

Criminal Cases Referred for Prosecution January 2009 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: 293 Criminal Case Intake and Disposition forms

Sample: 73 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	95 100%	-48 51%	47 49%
Charges in Disposition Reports	76 100%	-3 4%	73 96%
... Prosecutor (Declines)	0	0	0 0%
... Court (Judgments/Orders)	76	-3 4%	73 96%
Charges in APSIN	131 100%	-48 37%	83 63%

Note: in this audit there were 55 active charges not requiring a disposition

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

	Actual (Required)	Fictional	(b) NOT FICTIONAL
Charges on Fingerprint Cards	95 100%	0 0%	100%
Charges in Disposition Reports	76 100%	0 0%	100%
... Prosecutor (Declines)	0	0	
... Court (Judgments/Orders)	76	0 0%	100%
Charges in APSIN	131 100%	0 0%	100%

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	218 100%	-14 6%	204 94%
Data in Disposition Reports	620 100%	-6 1%	614 99%
... Prosecutor (Declines)	0	0	0
... Court (Judgments/Orders)	620	-6 1%	614 99%
Data in APSIN	793 100%	-39 5%	754 95%

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

	Actual Data	Data Errors	(d) ACCURATE
Data on Fingerprint Cards	204 100%	7 3%	197 97%
Data in Disposition Reports	614 100%	-19 -3%	595 97%
... Prosecutor (Declines)	0	0	0
... Court (Judgments/Orders)	614	-19 -3%	595 97%
Data in APSIN	754 100%	3 0%	751 100%

*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) <u>49%</u> X (b) <u>100%</u> X (c) <u>94%</u> X (d) <u>97%</u>	<u>45%</u>
Charges in Disposition Reports	(a) <u>96%</u> X (b) <u>100%</u> X (c) <u>99%</u> X (d) <u>97%</u>	<u>92%</u>
... <i>Prosecutor Declines</i>	(a) na X (b) <u>na</u> X (c) na X (d) na	
... <i>Court (Judgments/Orders)</i>	(a) <u>96%</u> X (b) <u>100%</u> X (c) <u>99%</u> X (d) <u>97%</u>	92%
Charges in APSIN	(a) <u>63%</u> X (b) <u>99%</u> X (c) <u>95%</u> X (d) <u>100%</u>	<u>60%</u>

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 2009. 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.

This project was supported by JAG Subgrants awarded annually by the Department of Public Safety, Division of Alaska State Troopers, through the U.S. Department of Justice, Bureau of Justice Assistance.

PART II. AUDIT PROCEDURES

STEP 1. IDENTIFY POPULATION

Judicial District: 1st Judicial District
Population: Criminal cases referred for prosecution/screening
Audit Period: January 2009

STEP 2. CALCULATE SAMPLE SIZE

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

District Attorney office - Juneau	23
District Attorney office - Ketchikan	22
District Attorney office - Sitka	11
City Attorney - Juneau	16
City Attorney - Ketchikan	0
City Attorney - Sitka	1
TOTAL	73

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 73**

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 Ketchikan Craig Police Department Haines Police Department Juneau AST Juneau Police Department Kake Police Department Ketchikan Police Department Petersburg Police Department Sitka Police Department	1 wk	NO NO NO NO NO NO NO NO
Decline Prosecution 13 AAC 68.130	----- ----- ----- -----	1 mo	NO NO 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 Craig Superior Court Juneau Superior Court Wrangell District Court Haines District Court Juneau District Court Kake District Court Ketchikan District Court Petersburg District Court Sitka Magistrate Craig	1 mo	N/A 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.	73
Enter the number of CHARGES (individual criminal offense, also referred to as a "count").	131
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.).	0
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).	48
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.	1,631

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

Detail on Missing FP Charges:

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
1	Sexual Abuse Minor 1st	✓	Juneau AST	Juneau Superior	1 charge omitted from card (7 chrgs total)
2	Driving While License Revoked/Suspended	✓	Sitka PD	Sitka District	No FP despite arrest/cite, charges filed
3	Minor on Licensed Premises	✓	Ketchikan PD	Ketchikan District	No FP despite arrest/cite, charges filed
4	Misconduct/Weapons 3rd	✓	Juneau PD	Juneau Superior	No FP despite arrest /cite, charges filed
5	Aid and Abet Robbery 1st	✓	Juneau PD	Juneau Superior	No FP despite arrest /cite, charges filed
6	Theft	✓	Juneau PD	Juneau District	No FP despite arrest /cite, charges filed
7	Criminal Trespass	✓	Juneau PD	Juneau District	No FP despite arrest /cite, charges filed
8	Violate Conditions of Release	✓	Sitka PD	Sitka District	1 charge omitted from card (2 chrgs total)
9	Assault 4th	✓	Ketchikan AST	Ketchikan District	No FP despite arrest/cite, charges filed
10	Unlawful Contact	✓	Ketchikan AST	Ketchikan District	No FP despite arrest/cite, charges filed
11	Violate Conditions of Release	✓	Ketchikan AST	Ketchikan District	No FP despite arrest/cite, charges filed
12	Burglary 2nd	✓	Wrangell PD	Wrangell Superior	No FP despite arrest/cite, charges filed
13	Theft 2nd	✓	Wrangell PD	Wrangell Superior	No FP despite arrest/cite, charges filed
14	Theft 2nd	✓	Wrangell PD	Wrangell Superior	No FP despite arrest/cite, charges filed

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
15	Theft 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
16	Theft 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
17	Burglary 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
18	Theft 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
19	Burglary 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
20	Theft 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
21	Burglary 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
22	Theft 2nd	✓	Juneau PD	Juneau Superior	1 of 8 charges omitted from card (9 chrgs total)
23	Driving While License Suspended	✓	Juneau PD	Juneau District	1 of 2 chrgs omitted from card (2 chrgs total)
24	Operate Vehicle Without Insurance	✓	Juneau PD	Juneau District	1 of 2 chrgs omitted from card (2 chrgs total)
25	Violate Conditions of Release	✓	Juneau City Attor	Juneau District	No FP despite arrest/cite, charges filed
26	Burglary 1	✓	Wrangell PD	Wrangell Superior	No FP despite arrest/cite, charges filed
27	Theft 2nd	✓	Wrangell PD	Wrangell Superior	No FP despite arrest/cite, charges filed
28	Theft 2nd	✓	Wrangell PD	Wrangell Superior	No FP despite arrest/cite, charges filed

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
29	Criminal Mischief 3rd	✓	Juneau PD	Juneau Superior	No FP despite arrest/cite, charges filed
30	Criminal Mischief 3rd	✓	Juneau PD	Juneau District	No FP despite arrest/cite, charges filed
31	Theft 2nd	✓	Juneau PD	Juneau District	No FP despite arrest/cite, charges filed
32	Fail to give notice/accident	✓	Ketchikan AST	Ketchikan District	No FP despite arrest/cite, charges filed
33	Fail to appear	✓	Juneau District Att	Juneau District	No FP despite arrest/cite, charges filed
34	Violate Conditions of Release	✓	Juneau PD	Juneau District	No FP despite arrest/cite, charges filed
35	Fail to stop at direction of police officer	✓	Klawock DPS	Craig Magistrate	No FP despite arrest/cite, charges filed
36	Assault DV	✓	Juneau PD	Juneau District	No FP despite arrest/cite, charges filed
37	Resisting Arrest	✓	Juneau PD	Juneau District	No FP despite arrest/cite, charges filed
38	Criminal Trespass	✓	Juneau PD	Juneau District	No FP despite arrest /cite, charges filed
39	Driving While License Suspended	✓	Juneau PD	Juneau District	1 chrg omitted from card (2 chrgs total)
40	Reckless Endangerment	✓	Juneau PD	Juneau District	1 chrg omitted from card (4 chrgs total)
41	Reckless Driving	✓	Craig PD	Craig Magistrate	No FP despite arrest/cite, charges filed
42	Theft 3rd	✓	Sitka PD	Sitka District	No FP despite arrest/cite, charges filed

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
43	Disorderly Conduct	✓	Sitka PD	Sitka District	1 chrg omitted from card (3 chrgs total)
44	Driving While License Suspended	✓	Forest Service	Juneau District	No FP despite arrest/ cite , charges filed
45	Disorderly Conduct	✓	Juneau PD	Juneau District	No FP despite arrest/ cite , charges filed
46	Driving without valid operators license	✓	Ketchikan AST	Ketchikan District	No FP despite arrest/ cite , charges filed
47	Theft 3rd	✓	Juneau PD	Juneau District	No FP despite arrest/ cite , charges filed
48	Misconduct Involving Controlled Substance 6	✓	Juneau PD	Juneau District	No FP despite arrest/ cite , charges filed

Detail on Fictional FP Charges:

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

PART III. REPORTING - DETAIL

Missing Reports of Prosecutor Declinations

Criminal Charge	Decline Missing	Prosecution Agency	Comment
No Decline charges in this audit			

PART III. REPORTING - DETAIL

Missing Reports of Court Dispositions

Criminal Charge	Court Dispo Missing	Court	Comment
1 Theft 2	✓	Wrangell Superior Court	Court did not send disposition (dismissal) to repository
2 Theft 2	✓	Wrangell Superior Court	Court did not send disposition (dismissal) to repository
3 FTA	✓	Juneau District Court	Court did not send disposition (dismissal) to repository

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 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
2 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
3 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
4 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
5 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
6 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
7 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
8 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
9 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
10 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
11 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"

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
12 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
13 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
14 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
15 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
16 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
17 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
18 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
19 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
20 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
21 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
22 Sexual Abuse Minor 1	✓			Charges added to case after arrest- case "active"
23 Unlawful Contact	✓			No arrest/citation, but filed in court- case "active"

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
24 Violate Conditions of Release	✓			No arrest/citation, but filed in court- case "active"
25 Burglary 1	✓			No arrest/citation, but filed in court- case "active"
26 Theft 2nd	✓		✓	No arrest/citation, but filed in court- case "active within 30 days"
27 Theft 2nd	✓		✓	No arrest/citation, but filed in court- case "active within 30 days"
28 Violate Conditions of Release	✓			No arrest/citation, but filed in court- case "active"
29 Criminal Trespass 2	✓			No arrest/citation, but filed in court- case "active"
30 Criminal Trespass 2	✓			No arrest/citation, but filed in court- case "active"
31 Criminal Trespass 2	✓			No arrest/citation, but filed in court- case "active"
32 Criminal Trespass 2	✓			No arrest/citation, but filed in court- case "active"
33 Criminal Trespass 2	✓			No arrest/citation, but filed in court- case "active"
34 Criminal Trespass 2	✓			No arrest/citation, but filed in court- case "active"
35 Theft 2nd	✓			No arrest/citation, but filed in court- case "active"

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
36 Criminal Mischief 4th	✓			No arrest/citation, but filed in court- case "active"
37 Burglary 1	✓			No arrest/citation, but filed in court- case "active"
38 Theft 2nd	✓			No arrest/citation, but filed in court- case "active"
39 Theft 2nd	✓			No arrest/citation, but filed in court- case "active"
40 Criminal Mischeif 3	✓			No arrest/citation, but filed in court- case "active"
41 Theft 2nd	✓			No arrest/citation, but filed in court- case "active"
42 Fail To Appear	✓		✓	No arrest/citation; filed in court; dismissed 5/12/09 but not sent to repository
43 Violate Conditions of Release	✓			No arrest/citation, but filed in court- case "active"
44 Violate Conditions of Release	✓			No arrest/citation, but filed in court- case "active"
45 Violate Conditions of Release	✓			No arrest/citation, but filed in court- case "active"
46 Furnishing Alcohol to Minors	✓			No arrest/citation, but filed in court- case "active"
47 Fail To Appear	✓			Charge added to case, but not added to APSIN- case "active within 30 days"

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
48 Disorderly Conduct	✓			No arrest/citation; court dispo received 5/11/09 but not entered before audit cut-off date

Criminal Charge	Fictional FP	Fictional Decline	Fictional Court Dispo	Explanation of Why Fictional Charge is in APSIN
No fictional charges in this audit				

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				218	93.6%	96.6%	0						620	99.0%	96.9%	0			793	95.1%	99.6%
ATN #	0			47	70%	100%	0			0			73	97%	93%	0			83	100%	100%
Charge Number	0									0			0			0			0		
Offense Code - Arr/Cit	0			47	100%	87%	0												83	100%	100%
ID of Arr/Cit Agency	0			8			0												83	100%	100%
Date Arr/Cit	0			47	100%	98%													83	100%	96%
Date of Offense				0															0		
ID of FP agency				47	100%	100%													0		
FP Signature				22	100%	100%															
Decline Prosecution							0												0		
ID of decline agency							0												0		
Date declined							0												0		
Off Code - Filing																					
ID of Ct - Chg Filed																					
Date Chg Filed																					
Court Case #													73	100%	100%	0			65	86%	100%
Date CtOrd FP				0															0		
ID of CtOrd FP				0															0		
Off Code - Dispo													73	100%	96%	0			65	86%	100%
ID of Ct Dispo Agcy													73	100%	100%	0			65	86%	100%
Date of Ct Dispo													73	100%	99%	0			65	86%	100%
Ct Dispo													73	100%	100%	0			65	86%	100%
POS ID (FP) Flag																			61	100%	100%
Fine													13	100%	100%	0			9	89%	100%
Jail													38	100%	100%	0			33	85%	100%
Probation													25	100%	100%	0			22	86%	100%
SIS (set aside)													1	100%	100%	0			1	0%	
Alcohol Screening													10	100%	100%	0			8	100%	100%
Restitution													4	100%	100%	0			3	100%	
License Susp/Rev													14	100%	100%	0			10	90%	100%
CWS													4	100%	100%	0			2	100%	
Felony/Misd Status																			3	67%	100%
Sex Ofndr Regis Flag													0			0			0		
DV Flag - Dispo													4	100%	100%	0			4	50%	100%
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, 2009. Reports received after July 31, 2009, were not audited. This audit scores MISSING REPORTS, ERRONEOUS (fictional) REPORTS 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 131 charges were audited. Of 131 charges that should have been entered into APSIN by 7/31/09, 48 charges were MISSING. Of 131 charges audited, 83 charges were entered into APSIN from arrests, fingerprint information and court dispositions. Of 83 charges reported and scored as "arrests" in DATA QUALITY in APSIN, 76 required dispositions. Of 76 dispositions required, 73 dispositions were reported by the court (3 were not sent) and 65 were entered and scored in APSIN for data quality. Of 65 dispositions entered, 56 were entered into APSIN before the audit cut off date and 9 were received but not entered timely.
FINGERPRINT CARDS	In this audit, 95 fingerprint card (FPC) charges were audited. Of 95 FPC charges that should have been reported and entered into APSIN, 48 charges were MISSING, resulting in 47 charges scored for DATA QUALITY.
PROSECUTOR DECLINES	In this audit, no prosecutor declines were audited. 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 that are subsequently declined for prosecution, do not require APSIN entry.
COURT JUDGMENTS	In order to understand the numbers in this audit and to explain the differences between "arrests" and "dispositions", this section is divided into two parts. There were 131 arrest charges audited, and 76 dispositions required from the court. There were 55 charges that did not require court disposition because they were "active" (still pending disposition). Of 76 required court dispositions, 3 were not sent to DPS by the court. Of 73 dispositions sent to the repository, 65 were recorded in APSIN. Of the remaining 8 dispositions, 7 were completed by the court near the end of the audit period. Because the court has 30 days to report the information the data was not yet "required" in APSIN. For these charges, the court was scored for reporting the information but due to the "date of disposition" the reports were not required in APSIN. The remaining (1) disposition sent by the court (but not recorded into APSIN) were related to an arrest charge that was completely missing in APSIN.
DATA COMPLETENESS / DATA ACCURACY	
ATN # (Arrest Tracking Number)	
Fingerprint Card	Completeness: Of 47 fingerprint card charges reported to the repository by the audit cut off date of July 31, 2009, 70% (33) reported ATN's; 14 charges were missing an ATN. Accuracy: of 33 fingerprint charges with ATN's reported, 100% (33) were accurate .
Prosecutor Decline	No Prosecutor Declined charges in this audit
Court	Completeness: Of 73 ATN's reported on dispositions, 97% (71) were reported completely. Accuracy: of 73 ATN's reported on dispositions, 93% (66) were reported accurately.
APSIN	Completeness/Accuracy: Of 83 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 47 charges on fingerprint cards, 100% (47) reported offense codes. Accuracy: Of 47 reported offense codes 87% (41) were accurate

PART IV. AUDIT NOTES

Prosecutor Decline	No Prosecutor Declined charges in this audit
ASPIN	Completeness/Accuracy: Of 83 charges reported to the repository, 100% of offense codes (charge descriptions) were 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 47 charges on fingerprint cards, 17% (8) were reported with specific arrest agency ID's.
Prosecutor Decline	No Prosecutor Declined charges in this audit
APSIN	Completeness: Of 83 charges reported to the repository, 100% of the arrest agency ID's were entered completely and accurately .
Date Arrest/Citation	Fingerprint card dates are categorized by "date of arrest" and "date of court ordered".
Fingerprint Card	Completeness: Of 47 charges on FPC, 100% of the arrest dates were reported completely. Accuracy: Of 47 arrest dates reported 96% (45) were entered accurately.
APSIN	Completeness/Accuracy: Of 83 charges reported to the repository, 100% of the arrest dates were entered completely and accurately .
Prosecutor Declination	
Prosecutor Agency	Completeness/Accuracy: No Prosecutor Declined charges in this audit
APSIN	Completeness/Accuracy: No Prosecutor Declined charges in this audit
Id of Decline Agency	
Prosecutor Agency	Completeness/Accuracy: No Prosecutor Declined charges in this audit
APSIN	Completeness/Accuracy: No Prosecutor Declined charges in this audit
Date Declined	
Prosecutor Agency	Completeness/Accuracy: No Prosecutor Declined charges in this audit
APSIN	Completeness/Accuracy: No Prosecutor Declined charges in this audit

PART IV. AUDIT NOTES

Date Court Ordered FP	Fingerprint card dates are categorized by "date of arrest" and "date of court ordered".
Fingerprint Card	No court ordered fingerprints were scored in this audit..
ID Court Ordered FP	
Fingerprint Card	No court ordered fingerprints were scored in this audit..
Court "APSIN ID"	If provided by the prosecuting authority in the charging document, the judgment must include the defendant's APSIN identification number (Court Rule 32).
Court	Completeness/Accuracy: Of 73 court dispositions reported, the prosecutor reported 69 with APSIN Id's, 94% (65) APSIN ID's were reported completely by the court. Accuracy: Of 65 ID/s that were reported by the court 85% (55) were reported accurately . (In many cases, ADL was reported in place of the APSIN #).
Court Case #	
Court	Completeness/Accuracy: Of 73 court dispositions reported, 100% of court case numbers were reported completely and accurately .
APSIN	Completeness/Accuracy: Of 73 court dispositions reported, 89% (65) were scored for APSIN data quality. Of 65 court case numbers that were scored in APSIN, 86% (56) were entered completely and accurately . In this audit, 9 dispositions were not entered before the audit cut off date.
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 73 court dispositions reported, 100% (73) of offense codes were reported completely . Accuracy: Of 73 offense codes, 96% (70) were reported accurately .
APSIN	Completeness/Accuracy: Of 73 court dispositions reported, 89% (65) were scored for APSIN data quality. Of 65 offense codes scored in APSIN, 86% (56) were entered completely and accurately . In this audit, 9 dispositions were not entered before the audit cut off date.
ID of Ct Dispo Agcy	
Court	Completeness/Accuracy: Of 73 court dispositions reported, 100% of court ID's were reported completely and accurately .
APSIN	Completeness/Accuracy: Of 73 court dispositions reported, 89% (65) were scored for APSIN data quality. Of 65 court ID's that were scored in APSIN, 86% (56) were entered completely and accurately . In this audit, 9 dispositions were not entered before the audit cut off date.
Date of Court Dispositions	
Court	Completeness: Of 73 court dispositions reported, 100% (73) of the disposition dates were reported completely . Accuracy: Of 65 disposition dates that were reported 99% (72) were reported accurately .
APSIN	Completeness/Accuracy: Of 73 court dispositions, 89% (65) were scored for APSIN data quality. Of 65 dispo dates that were scored in APSIN, 86% (56) were entered completely and accurately . In this audit, 9 dispositions were not entered before the audit cut off date.
Court Disposition	

PART IV. AUDIT NOTES

Court	Completeness/Accuracy: Of 73 court dispositions reported, 100%of dispositions were reported completely and accurately .
APSIN	Completeness/Accuracy: Of 73 court dispositions, 89% (65) were scored for APSIN data quality. Of 65 court dispositions that were scored in APSIN, 86% (56) were entered completely and accurately . In this audit, 9 dispositions were not entered before the audit cut off date.
POS ID (FP) Flag	
APSIN	Completeness/Accuracy: 47 charges were reported on fingerprint cards and 61 charges were scored for data quality in ASPIN. Fourteen charges were missing from the fingerprint card at the time of fingerprinting but charge information was added to APSIN with positive ID at the time the card was processed.
Felony Flag	
APSIN	Completeness/Accuracy: Three felony convictions were reported to the repository and scored for APSIN data quality. Of 3 felony dispositions that were scored in APSIN, 67% (2) were entered completely and accurately . In this audit, one felony disposition was not entered before the audit cut off date.
DV Flag - Dispo	
Court	Completeness/Accuracy: In this audit, the court reported 4 convictions with "DV" indicator marked "yes".
APSIN	Completeness: Of 4 convictions reported by the court with DV flags, 2 were scored for APSIN data quality. One disposition was not entered timely. A second DV disposition was entered, but the DV flag was not set to Y.
SOR Flag - Disposition	
Court	Completeness/Accuracy: There were no "SOR" dispositions reported in this audit.
APSIN	Completeness/Accuracy: There were no "SOR" dispositions reported in this audit.
Sentencing - FINES	
Court	Completeness/Accuracy: Of 13 dispositions reporting fines, 100% were reported completely and accurately .
APSIN	Completeness: Of 13 dispositions reported with fines, (69%) 9 were scored for APSIN data quality. Of 9 dispositions with fines, 89% (8) were entered completely and accurately (2 were not entered timely and 2 were sent by the court but not received).
Sentence- JAIL	
Court	Completeness/Accuracy: Of 38 dispositions reporting jail time, 100% were reported completely and accurately .
APSIN	Completeness: Of 38 dispositions with jail reported, 87% (33) were scored for APSIN data quality. Of 33 dispositions with jail, 85% (28) were entered completely and accurately .

PART IV. AUDIT NOTES

Sentence - PROBATION	
Court	Completeness/Accuracy: Of 25 dispositions with probation, 100% were reported completely and accurately .
APSIN	Completeness: Of 25 dispositions with probation, 88% (22) were scored for APSIN data quality. Of 22 dispositions with probation, 86% (19) were entered completely and accurately .
Sentence - SIS	
Court	Completeness/Accuracy: One SIS disposition was reported, 100% were reported completely and accurately .
APSIN	Completeness: One SIS disposition was reported and 0 were scored for APSIN data quality. (One SIS reported was not entered before the audit cut off date.)
Sentence - ALCOHOL SCREENING	
Court	Completeness: Of 10 dispositions with alcohol screening, 100% were reported completely and accurately .
APSIN	Completeness: Of 10 dispositions with alcohol screening, 8 were scored for APSIN data quality. Of 8 dispositions with alcohol screening, 100% (8) were entered completely and accurately .
Sentence - RESTITUTION	
Court	Completeness/Accuracy: Of 4 dispositions with restitution 100% were reported completely and accurately .
APSIN	Completeness: Of 4 dispositions with restitution, 3 were scored for APSIN data quality. Of 3 dispositions with restitution, 100% were entered completely and accurately .
Sentence - LICENSE/REVOCAION	
Court	Completeness/Accuracy: Of 14 dispositions with license revocations, 100% were reported completely and accurately .
APSIN	Completeness: Of 14 dispositions with license revocations, 71% (10) were scored for APSIN data quality. Of 10 scored, 90% (9) were entered completely and accurately . One was not entered before the audit cut off date (not timely).
Sentence - COMMUNITY WORK SERVICE	
Court	Completeness/Accuracy: Of 4 dispositions with community work service, 100% were reported completely and accurately .
APSIN	Completeness: Of 4 dispositions with community work service, 50% () were scored in APSIN for data quality. Of 2 dispositions with community work service 100% were entered completely and accurately .

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
Court APSIN Id				x			scored on judgment only if provided by prosecutor on charging document.
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
SIS (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 #							