

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)?

4th Judicial District	
...on a Fingerprint Card	40.0%
...in a Disposition Report	85.0%
<i>prosecutor declination</i>	0.0%
<i>court judgment/order</i>	89.0%
...in APSIN	74.0%

EXECUTIVE SUMMARY

Criminal Cases Referred for Prosecution January 2009 FOURTH 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: 594 Criminal Case Intake and Disposition forms

Sample: 83 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	97 100%	-55 57%	42 43%
Charges in Disposition Reports	80 100%	-10 13%	70 88%
... Prosecutor (Declines)	4	-4 100%	0 0%
... Court (Judgments/Orders)	76	-6 8%	70 92%
Charges in APSIN	97 100%	-17 18%	80 82%

Note: in this audit there were 17 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	97 100%	0 0%	100%
Charges in Disposition Reports	80 100%	0 0%	100%
... Prosecutor (Declines)	4	0 0%	100%
... Court (Judgments/Orders)	76	0 0%	100%
Charges in APSIN	97 100%	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	169 100%	-2 1%	167 99%
Data in Disposition Reports	605 100%	-10 2%	595 98%
... Prosecutor (Declines)	0		
... Court (Judgments/Orders)	605	-10 2%	595 98%
Data in APSIN	764 100%	-65 9%	699 91%

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

	Actual Data	Data Errors	(d) ACCURATE
Data on Fingerprint Cards	167 100%	12 7%	155 93%
Data in Disposition Reports	595 100%	-8 -1%	587 99%
... Prosecutor (Declines)	0		
... Court (Judgments/Orders)	595	-8 -1%	587 99%
Data in APSIN	699 100%	6 1%	693 99%

*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) 43% X (b) 100% X (c) 99% X (d) 93% **40%**

Charges in Disposition Reports (a) 88% X (b) 100% X (c) 98% X (d) 99% **85%**

... *Prosecutor Declines* (a) na% X (b) 100% X (c) na X (d) na **0%**

... *Court (Judgments/Orders)* (a) 92% X (b) 100% X (c) 98% X (d) 99% **89%**

Charges in APSIN (a) 82% X (b) 99% X (c) 91% X (d) 99% **74%**

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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FOURTH 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 **Fourth 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: 4th 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 - Bethel	27
	District Attorney office - Fairbanks	56
	
	
	<u>TOTAL</u>	<u>83</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)	
	<u>TOTAL</u>	<u>83</u>

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	Bethel AST Bethel Police Department Fairbanks AST Fairbanks Police Department North Pole Police Department Tok AST University of Alaska Fairbanks	1 wk	NO NO NO NO NO NO
Decline Prosecution 13 AAC 68.130	District Attorney Bethel District Attorney Fairbanks	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 Bethel Superior Court Fairbanks District Court Bethel District Court Chevak District Court Healy District Court Fairbanks Magistrate Emmonak	1 mo	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.	83
Enter the number of CHARGES (individual criminal offense, also referred to as a "count").	97
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.	1,538

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

Detail on Missing FP Charges:

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
1	Failure to stop at direction of an officer	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
2	Drive without Operator License	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
3	Assault 4 DV	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
4	Assault 4 DV	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
5	Assault 4 DV	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
6	Drive while License Suspended	✓	Fairbanks AST	Fairbanks District	First of 2 charges omitted from card (2 charges total)
7	No Proof of Insurance	✓	Fairbanks AST	Fairbanks District	Second of 2 charges omitted from card (2 charges total)
8	Family Violence	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite, charges filed; court disposition
9	Harrassment 2nd	✓	Hooper Bay PD	Chevak District	no FP despite arrest/cite, charges filed; court disposition
10	Alcohol/Common Carrier violation	✓	Bethel AST	Bethel District	no FP despite arrest/cite, charges filed; court disposition
11	Forgery 2nd	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite, charges filed; court disposition
12	Drive/Violation of instructional permit	✓	North Pole PD	Fairbanks District	no FP despite arrest/ cite , charges filed; court disposition
13	No Proof of Insurance	✓	North Pole PD	Fairbanks District	no FP despite arrest/ cite , charges filed; court disposition
14	Theft 2nd	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
15	Fraudulent Use Access Device	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
16	Theft 2nd	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
17	MICS 6th	✓	Fairbanks Airport PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
18	Drive while License Suspended	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
19	Theft 3rd	✓	Fairbanks AST	Fairbanks District	First of 2 charges omitted from card (3 charges total)
20	Theft 2nd	✓	Fairbanks AST	Fairbanks District	Second of 2 charges omitted from card (3 charges total)
21	MICS 6th	✓	University Fairbanks PD	Fairbanks District	charge omitted from card (3 charges total)
22	Drive while License Suspended	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
23	Harrassment 1	✓	Hooper Bay PD	Chevak District	no FP despite arrest/cite , charges filed; court disposition
24	Minor consuming	✓	Emmonak PD	Emmonak Magistrate	no FP despite arrest/cite , charges filed; court disposition
25	Violation of conditions of release	✓	Emmonak PD	Emmonak Magistrate	no FP despite arrest/cite , charges filed; court disposition
26	Violation of conditions of release	✓	Emmonak PD	Emmonak Magistrate	no FP despite arrest/cite , charges filed; court disposition
27	MICS 4th	✓	Fairbanks AST	Fairbanks District	no FP; no arrest/cite , charges filed ; active case
28	Conspiracy to MICS 3rd	✓	Fairbanks AST	Fairbanks District	no FP; no arrest/cite , charges filed ; active case
29	Assault 4 DV	✓	North Pole PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
30	Criminally Negligent Burning	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
31	Driving under the influence	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
32	MICS 4th	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
33	Refuse to submit to chemical test	✓	Hooper Bay PD	Chevak District	charge omitted from card (2 charges total)
34	Drive while License Suspended	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
35	Drive without Operator License	✓	Fairbanks AST	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
36	Sale of Alcohol	✓	Bethel AST	Bethel District	no FP; no arrest/cite , charges filed; court disposition
37	False Information	✓	Fairbanks AST	Fairbanks District	First of 2 charges omitted from card (3 charges total)
38	Drive while License Suspended	✓	Fairbanks AST	Fairbanks District	Second of 2 charges omitted from card (3 charges total)
39	Assault 4 DV	✓	Bethel PD	Bethel District	no FP despite arrest/cite , charges filed; court disposition
40	Assault 4 DV	✓	Chevak PD	Aniak District	no FP; no arrest/cite , charges filed; court disposition
41	Assault 4 DV	✓	Chevak PD	Aniak District	no FP; no arrest/cite , charges filed; court disposition
42	Violation of conditions of release	✓	Napaskiak VPSO	Bethel District	no FP despite arrest/cite , charges filed; court disposition
43	Interfere with report of DV	✓	Bethel PD	Bethel District	no FP despite arrest/cite , charges filed; court disposition
44	Criminal Mischief 5th	✓	Bethel PD	Bethel District	no FP despite arrest/cite , charges filed; court disposition
45	Drive/Violation of instructional permit	✓	Fairbanks Airport PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
46	MICS 6th	✓	North Pole PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
47	No Proof of Insurance	✓	North Pole PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition

PART III. REPORTING - DETAIL

Missing and Fictional Fingerprint Records

	Criminal Charge	FP Missing	Arrest/Cite Agency	Court	Comment
48	Drive while License Suspended	✓	Delta Junction AST	Delta Junction District	no FP; no arrest/cite, charges filed; court disposition
49	Minor consuming	✓	University Fairbanks PD	Fairbanks District	no FP; no arrest/cite, charges filed; court disposition
50	Criminal Mischief 4th	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
51	Burglary 2nd	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
52	Theft 3rd	✓	Fairbanks PD	Fairbanks District	no FP despite arrest/cite , charges filed; court disposition
53	Assault 4 DV	✓	North Pole AST	Fairbanks District	no FP; no arrest/cite, charges filed; court disposition
54	Criminal Impersonation 2nd	✓	North Pole AST	Fairbanks District	no FP; no arrest/cite, charges filed; court disposition
55	Drive while License Suspended	✓	Healy AWT	Healy District	no FP despite arrest/cite , charges filed; 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	MICS 6th	✓	Fairbanks District Attorney	Charge declined for prosecution. No evidence that declination report was sent to the repository.
2	MICS 6th	✓	Fairbanks District Attorney	Charge declined for prosecution. No evidence that declination report was sent to the repository.
3	MICS 6th	✓	Fairbanks District Attorney	Charge declined for prosecution. No evidence that declination report was sent to the repository.
4	Theft 3rd	✓	Fairbanks District Attorney	Charge declined for prosecution. No evidence that declination report was sent to the repository.

PART III. REPORTING - DETAIL

Missing Reports of Court Dispositions

	Criminal Charge	Court Dispo Missing	Court	Comment
1	Criminal Mischief 4th	✓	Fairbanks District Court	Court did not send disposition (dismissal) to repository
2	Criminally negligent burning	✓	Fairbanks District Court	Court did not send disposition (dismissal) to repository
3	Drive without Operators License	✓	Fairbanks District Court	Court did not send disposition (dismissal) to repository; dismissed by prosecutor
4	Assault 4th DV	✓	Aniak Magistrate	Court did not send disposition (dismissal) to repository. This was a Chevak case that was heard in Aniak.
5	Minor Consuming (habitual)	✓	Fairbanks District Court	Court did not send disposition (dismissal) to repository. Judge dismissed and ordered case sent to Juvenile
6	Drive while license suspended	✓	Healy District Court	Court did not send disposition (dismissal) to repository; dismissed by prosecutor

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 Theft 3rd	✓			No arrest/citation; charges filed; active case.
2 Common Carrier Violation	✓			No arrest/citation; charges filed; court disposition received but not entered before audit cut off period
3 Driving in violation of Instructional permit	✓			No arrest/citation; charges filed; court case <i>active within 30 days</i> of audit cut-off
4 Theft 2nd	✓			Arrested by Fairbanks AST; charges not entered in APSIN before cut off date; active case
5 Fraudulent Use Access Device	✓			Arrested by Fairbanks AST; charges not entered in APSIN before cut off date; active case
6 Theft 2nd	✓			Arrested by Fairbanks AST; charges not entered in APSIN before cut off date; active case
7 Theft 2nd	✓			No arrest/citation; charges filed; active case.
8 Harrassment 1st	✓			Arrested by Hooper Bay PD; charges not entered in APSIN before cut off date; court disposition received but not entered before audit cut off period
9 Minor Consuming	✓			Arrested by Emmonak PD; charges not entered in APSIN before cut off date; court disposition received but not entered before audit cut off period
10 Violating condition of release	✓			Arrested by Emmonak PD; charges not entered in APSIN before cut off date; court disposition received but not entered before audit cut off period
11 Violating condition of release	✓			Arrested by Emmonak PD; charges not entered in APSIN before cut off date; court disposition received but not entered before audit cut off period
12 MICS 4th	✓			No arrest/citation; charges filed; 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 Conspiracy to MICS 3rd	✓			No arrest/citation; charges filed; active case.
14 Assault 4th DV	✓			Arrested by Bethel PD; charge not entered in APSIN before cut off date; court disposition was sent but not received
15 Minor Consuming	✓			University/Fairbanks issued citation; charge filed; judge ordered case be sent to juvenile- though it should have been completed as filed. Charge shown as John Doe in court view and dispo not sent to DPS.
16 Burglary 2nd	✓			Arrested by Fairbanks PD; charge not entered in APSIN before cut off date; active within 30 days of audit cut-off
17 Assault 4th DV	✓			No arrest/citation; charges filed; active case.

Criminal Charge	Fictional FP	Fictional Decline	Fictional Court Dispo	Explanation of Why Fictional Charge is in APSIN
1 Assault 4th			✓	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				169	98.8%	92.8%	0						605	98.3%	98.7%	0			764	91.5%	99.1%
ATN #	0			42	95%	95%	0			0			70	100%	97%	0			80	100%	100%
Charge Number	0									0			0			0			0		
Offense Code - Arr/Cit	0			42	100%	81%	0												80	100%	98%
ID of Arr/Cit Agency	0			0			0												80	100%	100%
Date Arr/Cit	0			42	100%	95%													80	100%	99%
Date of Offense				0															0		
ID of FP agency				42	100%	100%													0		
FP Signature				1	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 #													70	100%	100%	0			58	83%	96%
Date CtOrd FP				0															0		
ID of CtOrd FP				0															0		
Off Code - Dispo													70	100%	97%	0			58	83%	100%
ID of Ct Dispo Agcy													70	100%	100%	0			58	83%	100%
Date of Ct Dispo													70	100%	100%	0			58	83%	100%
Ct Dispo													70	100%	100%	0			58	83%	100%
POS ID (FP) Flag																			55	100%	100%
Fine													8	100%	100%	0			7	100%	100%
Jail													37	100%	100%	0			30	87%	100%
Probation													35	100%	97%	0			29	86%	96%
SIS (set aside)													2	100%	100%	0			2	100%	
Alcohol Screening													10	100%	100%	0			8	100%	100%
Restitution													4	100%	100%	0			4	100%	
License Susp/Rev													9	100%	100%	0			8	100%	100%
CWS													4	100%	100%	0			3	100%	
Felony/Misd Status																			0		
Sex Ofndr Regis Flag													0			0			0		
DV Flag - Dispo													10	90%	100%	0			8	13%	
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 97 charges were audited. Of 97 charges that should have been entered into APSIN by 7/31/09, 17 charges were MISSING. Of 97 charges audited, 80 charges were entered into APSIN from arrests, fingerprint information and court dispositions. Of 80 charges reported and scored as "arrests" in DATA QUALITY in APSIN, one charge was fictional, 4 charges were declined and 70 dispositions were reported by the court. Of 70 dispositions reported, 58 were scored in APSIN for data quality. Of 58 dispositions reported, 48 were entered into APSIN before the audit cut off date and 10 were received but not entered timely.
FINGERPRINT CARDS	In this audit, 97 fingerprint card (FPC) charges were audited. Of 97 FPC charges that should have been reported and entered into APSIN, 55 charges were MISSING, resulting in 42 charges scored for DATA QUALITY.
PROSECUTOR DECLINES	In this audit, 4 prosecutor declines were audited and all were 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 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 97 arrest charges audited, and 76 dispositions required from the court. The charges that did not require court disposition include 17 active cases (cases still pending disposition) and 4 charges declined for prosecution. Of 76 required court dispositions, 6 were not sent to DPS by the court. Of 70 dispositions sent to the repository, 58 were recorded in APSIN. Of the remaining 12 dispositions, 5 were completed by the court near the end of the audit period (active within 30 days). 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. Four dispositions sent by the court (but not recorded into APSIN) were related to arrest charges that were completely missing in APSIN. Two dispositions were sent by the court, but not received by the repository. One disposition was not sent by the court, however, it was entered into APSIN from Courtview.
DATA COMPLETENESS / DATA ACCURACY	
ATN # (Arrest Tracking Number)	
Fingerprint Card	Completeness: Of 42 fingerprint card charges reported to the repository by the audit cut off date of July 31, 2009, 95% (40) reported ATN's. Accuracy: of 40 fingerprint charges with ATN's reported, 95% (38) were accurate .
Prosecutor Decline	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
Court	Completeness: Of 70 ATN's reported on dispositions, 100% (70) were reported completely. Accuracy: of 70 ATN's reported on dispositions, 97% (68) were reported accurately.
APSIN	Completeness/Accuracy: Of 80 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 42 charges on fingerprint cards, 100% were reported completely. Accuracy: Of 42 reported offense codes 81% (34) were accurate.

PART IV. AUDIT NOTES

Prosecutor Decline	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
APSIN	Completeness/Accuracy: Of 80 charges reported to the repository, 100% of offense codes (charge descriptions) were entered completely . Accuracy: Of 80 reported offense codes 98% (78) were entered 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 42 charges on fingerprint cards, none were reported with specific arrest agency ID's (all arrest id's were fingerprint agencies).
Prosecutor Decline	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
APSIN	Completeness: Of 80 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 42 charges on FPC, 100% of the arrest dates were reported completely. Accuracy: Of 42 arrest dates reported, 95% (40) were reported accurately.
APSIN	Completeness/Accuracy: Of 80 charges reported to the repository, 100% of the arrest dates were entered completely . Accuracy: Of 80 reported arrest dates 99% (79) were entered accurately. (One conviction date was used).
Prosecutor Declination	
Prosecutor Agency	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
APSIN	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
Id of Decline Agency	
Prosecutor Agency	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
APSIN	Completeness/Accuracy: Of 4 charges declined by the prosecutor, arrest charges were entered in APSIN but the declination reports were not submitted to the repository.
Date Declined	
Prosecutor Agency	Completeness/Accuracy: Of 4 charges that were declined for prosecution, 100% of the decline reports were missing.
APSIN	Completeness/Accuracy: Of 4 charges declined by the prosecutor, arrest charges were entered in APSIN but the declination reports were not submitted to the repository.

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 audited.
ID Court Ordered FP	
Fingerprint Card	No court ordered fingerprints were audited.
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 66 charges reported by the prosecutor with APSIN Id's, 86% (57) were reported by the court on dispositions. Accuracy: Of 57 dispositions reported by the court with APSIN Id's, 95% (54) were accurate.
Court Case #	
Court	Completeness/Accuracy: Of 70 court dispositions reported, 100% of court case numbers were reported completely and accurately.
APSIN	Completeness/Accuracy: Of 70 court dispositions reported, 83% (58) were scored for APSIN data quality. Accuracy: Of 58 court case numbers scored in APSIN, 83% (48) court case numbers entered completely. Of 48 court case numbers, 96% (46) were entered accurately. In this audit, 10 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 70 court dispositions reported, 100% (70) of offense codes were reported completely. Accuracy: Of 70 offense codes, 97% (68) were reported accurately.
APSIN	Completeness/Accuracy: Of 70 court dispositions reported, 83% (58) were scored for APSIN data quality. Of 58 offense codes scored in APSIN, 83% (48) were entered completely and accurately.
ID of Ct Dispo Agcy	
Court	Completeness/Accuracy: Of 70 court dispositions reported, 100% of court ID's were reported completely and accurately.
APSIN	Completeness/Accuracy: Of 70 court dispositions reported, 83% (58) were scored for APSIN data quality. Of 58 court ID's that were scored in APSIN, 83% (48) were entered completely and accurately.
Date of Court Dispositions	
Court	Completeness: Of 70 court dispositions reported, 100% of the disposition dates were reported completely and accurately.
APSIN	Completeness/Accuracy: Of 70 court dispositions, 83% (58) were scored for APSIN data quality. Of 58 dispo dates that were scored in APSIN, 83% (48) were entered completely and accurately.
Court Disposition	

PART IV. AUDIT NOTES

Court	Completeness/Accuracy: Of 70 court dispositions reported, 100%of dispositions were reported completely and accurately.
APSIN	Completeness/Accuracy: Of 70 court dispositions, 83% (58) were scored for APSIN data quality. Of 58 court dispositions that were scored in APSIN, 83% (48) were entered completely and accurately.
POS ID (FP) Flag	
APSIN	Completeness/Accuracy: 42 charges were reported on fingerprint cards and 55 charges were scored for data quality in ASPIN. Thirteen 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: There were no felony convictions reported during this audit period.
DV Flag - Dispo	
Court	Completeness/Accuracy: Of 10 dispositions with positive DV In this audit, the court reported 90% (9) "DV" convictions completely and accurately. One Judgment with a "DV" Assault did not indicate whether or not it was a DV conviction.
APSIN	Completeness: Of 9 convictions reported by the court with DV flags, 8 were scored for data quality. Of 8 "DV" convictions scored in APSIN 13% (1) was entered completely and accurately. (Eight DV's were reported on judgments but 7 were not entered before the audit cut off date).
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 8 dispositions reporting fines, 100% were reported completely and accurately.
APSIN	Completeness: Of 8 dispositions reported with fines, (88%) 7 were scored for APSIN data quality. Of 7 dispositions with fines, 100% (7) were entered completely and accurately. One charge with a fine was completely missing in APSIN.
Sentence- JAIL	
Court	Completeness/Accuracy: Of 37 dispositions reporting jail time, 100% were reported completely and accurately.
APSIN	Completeness: Of 37 dispositions with jail reported, 30 were scored for APSIN data quality. Of 30 dispositions with jail, 87% (26) were entered completely and accurately.

PART IV. AUDIT NOTES

Sentence - PROBATION	
Court	Completeness/Accuracy: Of 35 dispositions with probation, 100% were reported completely . Accuracy: Of 35 dispositions with probation, 97% (34) were reported accurately.
APSIN	Completeness: Of 35 dispositions with probation, 29 were scored for APSIN data quality. Of 29 dispositions with probation, 86% (25) were entered completely . Accuracy: Of 25 dispositions with probation 96% (24) were entered accurately.
Sentence - SIS	
Court	Completeness/Accuracy: Of 2 SIS dispositions reported, 100% were reported completely and accurately .
APSIN	Completeness: Of 2 SIS dispositions, 100% (2) were entered completely and accurately .
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, 4 were scored for APSIN data quality. Of 4 dispositions with restitution, 100% were entered completely and accurately .
Sentence - LICENSE/REVOICATION	
Court	Completeness/Accuracy: Of 9 dispositions with license revocations, 100% were reported completely and accurately .
APSIN	Completeness: Of 9 dispositions with license revocations, 8 were scored for APSIN data quality. Of 8 scored, 100% (8) were entered completely and accurately .
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, 75% (3) were scored in APSIN for data quality. Of 3 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 #							