



REPORT OF
THE
STATE AUDITOR

**COLORADO INTEGRATED CRIMINAL
JUSTICE INFORMATION SYSTEM**

**PERFORMANCE AUDIT
JULY 2003**

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This report contains the results of a performance audit of the Colorado Integrated Criminal Justice Information System. The audit was conducted pursuant to Section 2-3-103, C.R.S., which authorizes the State Auditor to conduct audits of all departments, institutions, and agencies of state government. The report presents our findings, conclusions, and recommendations, and the responses from the Colorado Integrated Criminal Justice Information System Executive Policy Board, the Department of Corrections, and the Department of Human Services.

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**Colorado Integrated Criminal Justice Information System
Performance Audit
July 2003**

Authority, Purpose, and Scope

This audit of the Colorado Integrated Criminal Justice Information System (CICJIS) was conducted under the authority of Section 2-3-103, C.R.S., which authorizes the Office of the State Auditor to conduct performance audits of all departments, institutions, and agencies of state government. The audit was conducted in accordance with generally accepted government auditing standards. Audit work was performed from January 2003 through June 2003.

To evaluate CICJIS, we gathered information through interviews, data analysis, document review, and a survey of CICJIS users. In addition, we visited a sample of courts, probation offices, and law enforcement offices. We would like to acknowledge the efforts and assistance extended by management and staff at the CICJIS Program as well as representatives from the Colorado Bureau of Investigation in the Department of Public Safety, Judicial Branch, Department of Corrections, Division of Youth Corrections in the Department of Human Services, the Colorado District Attorneys Council, and local law enforcement agencies.

Colorado Integrated Criminal Justice Information System

The CICJIS System links the individual legacy information systems from four state and one quasi-state criminal justice agencies—the Colorado Bureau of Investigation (CBI), Judicial Branch, Department of Corrections (DOC), Division of Youth Corrections (DYC), and the Colorado District Attorneys Council—into one virtual criminal justice system.

Colorado had been making efforts since 1974 to develop an integrated criminal justice information system, and in 1998 Colorado was the first state to implement such a system. According to Section 16-20.5-101.5, C.R.S., the four statutory goals for CICJIS are to improve (1) public safety, (2) decision making, (3) productivity of existing staff, and (4) access to timely, accurate, and complete information. To accomplish these goals, the System provides data transfers and queries that allow users to share criminal justice data among the five agencies at key decision points in the criminal justice process.

The CICJIS Executive Policy Board (Board), which is made up of the executive directors of the five agencies, currently sets policy and overall direction for the CICJIS Program. Additionally, each of

For more information on this report, contact the Office of the State Auditor at (303) 869-2800.

the executive directors has designated an individual to serve on the CICJIS Task Force, which oversees the day-to-day operations of the System. The Governor and the Chief Justice of the Colorado Supreme Court have appointed the CICJIS Chief Information Officer (CIO), who reports to the Board and manages CICJIS Central, a small unit administratively linked to the Department of Public Safety.

Key Findings

Data Integrity and System Functionality

- A disposition match occurs when CBI's Colorado Crime Information Center (CCIC) electronically matches a court case disposition from the Judicial Branch's Integrated Colorado On-Line Network (ICON) with the corresponding incident on the defendant's Record of Arrest and Prosecution (RAP sheet). According to Judicial staff, the CICJIS System began transferring felony dispositions in May 1998 but did not formally measure felony disposition match rates until January 2000. Currently the cumulative disposition match rate as of June 2003 is about 88 percent. However, according to CBI staff, there are more than 16,000 case dispositions which were transferred since January 2000 that remain unmatched to an incident in CCIC. The failure to match a disposition to its incident can mean that criminal histories are incomplete or inaccurate. The CICJIS Executive Policy Board should work to improve the unmatched disposition report to assist agencies in identifying the reasons for unmatched dispositions, match all criminal case dispositions since May 1998 that remain unmatched, and consider the feasibility of matching dispositions prior to May 1998 that are available electronically.
- Until recently, CICJIS users could manually enter an incorrect or different State Identification (SID) number for one case that would override all correct SID numbers associated with that offender in all legacy systems. In February 2003 the CICJIS Program implemented CICJIS v2.0, which notifies agencies when discrepancies are detected during transfers. The agencies must correct these errors before the data transfer is completed. It is important for the CICJIS Program to monitor the effectiveness of data error reports and the resolution of errors identified. The CICJIS Executive Policy Board should continue to improve data integrity by determining frequent sources of errors, establishing methods to resolve problems, and developing benchmarks to improve data integrity systemwide.
- The CICJIS System automatically transfers Judicial mittimus to either DOC or DYC, depending on whether the defendant is sentenced as an adult or a juvenile. A mittimus is an order of the court that directs either DOC or DYC to take custody of a defendant. Our testing of a sample of 10 adult mittimus found that 6, or 60 percent, of those tested showed different restitution amounts in ICON than in the DOC's Department of Corrections Information System (DCIS). Our testing showed similar problems with matches between 11, or 55 percent, of the sample of 20 juvenile mittimus tested in DYC's Colorado Trails system and

ICON. The Department of Corrections should update the current CICJIS query to obtain more detailed restitution and sentencing information and evaluate the feasibility of making programming changes to DCIS to upload information from ICON. The Department of Human Services should ensure that DYC staff are better informed on how to utilize direct access to ICON to obtain current restitution balances.

- Although the CICJIS System was implemented in 1998, we found that users do not always know how to use the capabilities of the System. The CICJIS Program has performed limited training for its users; most training has occurred at the five individual agencies as part of their own instruction on their legacy systems. However, three of the five agencies do not have legacy system user manuals that also describe how to use the CICJIS System. The CICJIS Executive Policy Board should work with the five participating agencies to incorporate CICJIS training into their existing legacy system training, develop a written CICJIS overview, and perform surveys to identify training needs.
- About two-thirds of Colorado counties do not have access to the most efficient fingerprinting method, Livescan. Livescan is a process that allows fingerprints and other arrest information to be electronically submitted from a law enforcement booking facility to CBI virtually instantaneously. Livescan technology has many other benefits. For example, the realtime transmission of fingerprint cards allows law enforcement officers to properly identify arrestees who may be giving false information about their identities. Data indicate that 45 percent of individuals with RAP sheets have at least one alias. Further, if the quality of the fingerprints does not meet CBI's standards, the local law enforcement agency can be quickly notified and re-fingerprint the arrestee while the individual is still in custody. The CICJIS Executive Policy Board should continue efforts to obtain federal monies for the acquisition of Livescan machines and develop a plan to provide necessary maintenance, support, and connectivity to the counties.

The Future of CICJIS

- During the initial design of the CICJIS System, the Program self-imposed limitations on the types of criminal justice data that would be made available systemwide. As a result, the System does not facilitate the exchange of all types of criminal justice data, such as misdemeanors. The CICJIS Program has recognized in its strategic plan that additional steps should be taken to address these limitations in order to provide more complete criminal histories. Expansion of the CICJIS Program is necessary for it to be the single point of access for statewide criminal justice information. The CICJIS Executive Policy Board should enhance the CICJIS Program by periodically assessing the needs of users in the Colorado criminal justice community and expanding the CICJIS Program scope to incorporate additional entities and information.

SUMMARY

- The CICJIS Executive Policy Board establishes the direction for the Program, and the CICJIS Task Force oversees the daily operations of the System. Section 16-20.5-103, C.R.S., defines the membership of the CICJIS governing structure but does not anticipate whether future expansion of the CICJIS System should affect composition of the Board. To effectively represent the views of all stakeholders, the Board should have a mechanism in place to expand its membership. Further, the organizational placement of the CICJIS CIO position is inconsistent with statutes. The CICJIS Executive Policy Board should review the current governing structure to accommodate future growth and seek statutory change including any needed clarification for the CIO position.

A summary of the recommendations and the responses from the CICJIS Executive Policy Board, the Department of Corrections, and the Department of Human Services can be found in the Recommendation Locator on the following page. Our complete audit findings and recommendations and the responses can be found in the body of the audit report.

RECOMMENDATION LOCATOR

Rec. No.	Page No.	Recommendation Summary	Agency Addressed	Agency Response	Implementation Date
1	30	Provide more complete criminal histories by (a) including information in the unmatched disposition error report that would expedite the resolution of unmatched dispositions and generate monthly reports detailing the reasons why dispositions did not match, (b) matching all criminal case dispositions since May 1998 that remain unmatched to a corresponding arrest or summons incident to the greatest extent possible, and (c) considering the feasibility of matching criminal court case dispositions prior to 1998 that are available electronically.	CICJIS Executive Policy Board	Agree	a. December 2004 b. Ongoing c. Implemented
2	33	Continue to improve data integrity within the system by (a) determining frequent sources of errors identified by CICJIS v2.0, (b) establishing methods to resolve the problems identified and then taking appropriate steps to increase training and communication efforts, and (c) developing benchmarks to monitor the improvement of data integrity systemwide.	CICJIS Executive Policy Board	Agree	a. Implemented and ongoing b. Implemented and ongoing c. Contingent upon resources
3	37	Improve the accuracy of information contained in its information systems by (a) utilizing the updated CICJIS query to obtain more detailed restitution and sentencing information from the Judicial ICON system prior to closing a restitution case or releasing an inmate and (b) evaluating the feasibility of making programming changes to the DCIS system that would allow for the upload of Judicial ICON information such as mittimus and amended mittimus transfers.	Department of Corrections	Agree	a. December 2003 b. Contingent upon resources

RECOMMENDATION LOCATOR

Rec. No.	Page No.	Recommendation Summary	Agency Addressed	Agency Response	Implementation Date
4	38	Improve the accuracy of information contained in its information system by ensuring that Division of Youth Corrections staff are better informed on how to utilize the direct access to ICON to obtain current restitution balances	Department of Human Services	Agree	December 2003
5	39	Work with the Judicial Branch, the Department of Corrections, and the Division of Youth Corrections to (a) ensure that CICJIS System users are properly trained and informed regarding the new functionality of the CCL Response notification and (b) conduct a follow-up survey of both law enforcement and Judicial staff to measure user satisfaction with the added features of the CCL Response notification.	CICJIS Executive Policy Board	Agree	a. Contingent upon resources b. December 2003
6	41	Work with the five user agencies to improve CICJIS by (a) incorporating CICJIS training into existing legacy system training programs to include, at a minimum, what data each of the five criminal justice agencies can access and how system users can access these data; (b) developing a CICJIS overview that describes the System and directs users to the individual agencies' training manuals for additional information specific to each agency; (c) updating the CICJIS overview and the individual agency's user manuals, as needed, whenever new functionality is implemented; and (d) performing user surveys to identify training needs and assess usefulness of CICJIS instruction in user manuals at the five criminal justice agencies.	CICJIS Executive Policy Board	Agree	a. Contingent upon resources b. Contingent upon resources c. As needed d. As needed

RECOMMENDATION LOCATOR

Rec. No.	Page No.	Recommendation Summary	Agency Addressed	Agency Response	Implementation Date
7	45	Work with the Colorado Bureau of Investigation to (a) continue efforts to obtain federal grant monies that would enable Livescan technology to be installed in all sheriffs' office booking facilities in the State, (b) coordinate and negotiate the procurement of Livescan machines in order to take advantage of volume discounts, and (c) consider the need for necessary maintenance, support, and connectivity for the Livescan machines and develop a plan to provide this to the counties.	CICJIS Executive Policy Board	Agree	a. In progress b. Pending final grant award c. Pending final grant award
8	51	Continue to enhance the CICJIS Program by periodically assessing the needs of users in the Colorado criminal justice community and expanding the CICJIS Program scope to incorporate additional entities and information as appropriate.	CICJIS Executive Policy Board	Agree	Implemented and ongoing
9	52	Determine if the two remaining deliverables are still necessary to enhance the system, and if so, develop a schedule for their implementation.	CICJIS Executive Policy Board	Agree	December 2003
10	56	Review the current governing structure to accommodate the future growth of CICJIS and seek statutory change as appropriate including any needed clarification on the organizational placement of the chief information officer.	CICJIS Executive Policy Board	Agree	March 2004

Overview of the Colorado Integrated Criminal Justice Information System

Background

The Colorado Integrated Criminal Justice Information System (CICJIS) links data maintained by five criminal justice agencies to create one virtual criminal justice information system. The five agencies are the Colorado Judicial Branch, the Colorado Bureau of Investigation in the Department of Public Safety, the Department of Corrections, the Division of Youth Corrections in the Department of Human Services, and the Colorado District Attorneys Council.

As crime and homeland security continue to be areas of heightened public safety concern, access to timely and accurate information plays an increasingly important role in all aspects of criminal justice. An integrated criminal justice information system is capable of tracking the complete life cycle of a criminal case through its various stages in different agencies without duplication of data collection, storage, or data entry. Such a system is a network of criminal justice agency computer systems that provides to each agency the information it needs at the time and in the form it is needed, regardless of the source or the physical location at which the data are stored. The information is available at the agency official's work station whether that work station is a patrol car, a desk, a laptop, or a judge's bench. Users do not have to log into additional systems or manually compile data from other systems to obtain the information needed to carry out their responsibilities. For example, with a single request a user can retrieve not only traditional Record of Arrest and Prosecution (RAP sheet) information but also the current status on an individual including custody status (e.g., incarcerated, under supervision, out on bail), all outstanding warrants, restraining orders, and current conditions of release (e.g., probation, parole, or pretrial release).

In 1998 Colorado was the first state to implement such an integrated criminal justice system. As an integrated system, CICJIS plays a vital support role in the daily operational needs of each Colorado criminal justice agency. It enables both state-level criminal justice and local law enforcement agencies to track offenders through the criminal justice system from arrest and prosecution to adjudication, disposition, and incarceration. For instance, CICJIS provides timely warrant information to

Colorado law enforcement agencies. Additionally, access to information through CICJIS aids all criminal justice agencies and individual decision-makers in the system including district attorneys, judges, and corrections officers.

History of CICJIS

The need for an integrated criminal justice information system has been an issue for the General Assembly for almost three decades. Historically, Colorado's criminal justice agencies have developed their own separate computer information systems to address their own management and planning needs. As a result, the General Assembly noted in Senate Bill 96-221 that "the status of criminal justice information in the state has been fragmented." In other words, law enforcement, district attorneys, courts, and corrections officials had to access many separate information systems to obtain the complete criminal history of an offender.

Beginning in 1974, the State made several planning attempts to develop an integrated criminal justice information system that would allow the sharing of data among Colorado's criminal justice agencies. However, the early efforts did not result in an integrated system due to lack of coordination and oversight. The various efforts included:

- In 1974 a long-term plan for an automated criminal justice information system was developed by local and state representatives from all criminal justice agencies in Colorado.
- In 1989, under the direction of the Commission on Information Management (IMC), a task force developed system objectives and a five-year plan on Colorado's criminal justice information needs.
- In 1993 the Criminal Justice Commission identified a three-phase approach to link the various criminal justice information systems. No plans were implemented because the Criminal Justice Commission was sunset in June 1994.

In September 1994 the Colorado Office of the State Auditor (OSA) completed an audit report on the coordination of criminal justice information systems in order to determine the reasons why integration had not occurred. This report recommended that the State develop a strategic plan for an integrated criminal justice information system by June 30, 1995.

In 1995 the General Assembly enacted House Bill 95-1101, which mandated the development of an integrated criminal justice information system. This bill defined

the governing body for the system, then referred to as the Planning Team, which includes representatives from the Departments of Public Safety, Corrections, and Human Services, and the Colorado Judicial Branch. The bill also directed the executive directors of each agency to cooperate in the development of a strategic plan for the implementation and maintenance of the system. The Planning Team submitted its strategic plan to the IMC in September 1995. The IMC is responsible for overseeing strategic planning and setting policy for the State's information systems. In November 1995 the IMC submitted a final plan to the General Assembly. Subsequently, the General Assembly enacted Senate Bill 96-221, which (1) adopted the strategy outlined in that plan, (2) established the Colorado Integrated Criminal Justice Information System Program, (3) formally included the Colorado District Attorneys Council in the Program, (4) required that the Program be a joint effort of the five criminal justice agencies, and (5) provided funding of \$2.7 million for the development effort.

In Senate Bill 96-221 the General Assembly envisioned that Colorado would develop a coordinated network that would allow the sharing of data by all state-level criminal justice agencies. This integrated criminal justice information system would closely link the individual systems maintained by separate criminal justice entities statewide. The system would not include all data needed by law enforcement and criminal justice agencies because, for example, it would not be linked to Denver County Court. However, the system would allow access by the five participating criminal justice agencies to data previously unavailable electronically.

Because of its importance to public safety, CICJIS is one of the State's most critical information systems. According to the General Assembly declaration in Section 16-20.5-101.5, C.R.S.:

The general assembly hereby declares that this article is enacted for the purpose of developing in a cost-effective manner, a seamless, integrated criminal justice information system that maximizes standardization of data and communications technology among law enforcement agencies, district attorneys, the courts, and state-funded corrections for adult and youth offenders. Such a system will improve:

- (a) Public safety by making more timely, accurate, and complete information concerning offenders available statewide to all criminal justice agencies and to individual decision-makers in the system including police officers, judges, and corrections officers;
- (b) Decision-making by increasing the availability of statistical measures for evaluating public policy;

(c) Productivity of existing staff by working toward eliminating redundant data collection and input efforts among the agencies and by reducing or eliminating paper-based processing;

(d) Access to timely, accurate, and complete information by both staff from all criminal justice agencies and the public when permitted by article 72 of title 24, C.R.S.

System design was approved in September 1996 by the IMC, and development of the CICJIS System began immediately. The initial phase of CICJIS, which included data transfers, was implemented in May 1998, while query functions were implemented beginning in the summer of 1999. At that time, the CICJIS project was considered complete and the System was functional.

Criminal Justice Agencies and Legacy Computer Systems

The CICJIS Program tracks data related to each participating agency's mission in the form in which the data have been developed and maintained in the agency's own information system, or legacy system. These agencies and their systems are described below.

- **Judicial Branch.** The Judicial Branch is responsible for resolving legal disputes, supervising offenders on probation, and monitoring the practice of law in Colorado. The state court system includes the Supreme Court, Court of Appeals, 7 water courts, district courts in 22 Judicial Districts, and 63 county courts statewide, and is served by 256 judges and justices. Denver County Court is not part of the state court system. Probation departments are located in each of the 22 Judicial Districts and provide pre-sentence reports to the courts as well as supervise offenders on probation. The Judicial Branch's Integrated Colorado On-Line Network (ICON) provides probation case management services and tracks adjudication information from the court system on felony, juvenile, and most misdemeanor and traffic cases statewide. The ICON system currently serves 3,000 active court and probation users in all of Colorado's 64 counties.
- **Colorado Bureau of Investigation.** The Colorado Bureau of Investigation (CBI) is a division of the Department of Public Safety. CBI maintains computerized information on crime in Colorado as well as assists local law enforcement agencies with criminal evidence, conducts background checks, and provides training in investigative techniques to other agencies. CBI's Colorado Crime Information Center (CCIC) was established in 1971 as the

State's criminal history repository and according to Bureau staff, currently serves 517 agencies statewide, of which 279 are local law enforcement agencies. CCIC is a fingerprint-based identification system that enables all law enforcement agencies in Colorado to communicate with each other and with other states. Law enforcement agencies access CCIC to obtain identification of suspects and to use in responding to situations in which the arrest of an offender may occur. CBI is also the official sex offender registry for the State and the official link to the Federal Bureau of Investigation.

- **Department of Corrections.** The Department of Corrections (DOC) manages the State's penal, correctional, and reformatory institutions for offenders sentenced as adults. The Department also manages programs of counseling and parole supervision, manages projects for the long-range needs of the institutions, and develops correctional industries that provide a rehabilitative value for inmates and supply products for state agencies. DOC has legal custody of more than 18,700 inmates, primarily adults, of which 16,200 are incarcerated in private and state prison facilities. The Department operates 24 state-run institutions, oversees 11 parole office locations, and contracts with four companies that operate private facilities. The Department of Corrections Information System (DCIS) was implemented in 1992 and consists of more than 1,600 individual database applications that include information on all inmates and parolees sentenced to state corrections. Information on DCIS includes assessments, inmate payrolls and restitution, and release dates.
- **Division of Youth Corrections.** The Division of Youth Corrections (DYC) resides within the Department of Human Services. DYC is responsible for juveniles adjudicated by the courts or detained while awaiting trial and certain community alternative programs. DYC is not responsible for juveniles sentenced as adults to the Youthful Offender System (YOS). YOS is operated by DOC. Programs and services administered by DYC serve about 10,000 juveniles statewide and community-based programs serve about 13,000 juveniles per year. The Colorado Trails system provides case management capabilities for the Division and its service delivery programs, including support for client workers, decision-making tools for managers, and access to client information across the youth corrections and child welfare populations in the State.
- **Colorado District Attorneys Council.** The Colorado District Attorneys Council (CDAC) was established in 1972 primarily for inter-city and inter-agency communications. CDAC is recognized in statutes as a governmental entity within the State and is funded largely through the offices of the district attorneys for the 22 Judicial Districts. CDAC provides a variety of services

for the 38 district attorney offices statewide. The DA's Blackstone case management system tracks felony, juvenile, and the most serious misdemeanor cases for all 22 district attorneys. Blackstone tracks cases from arrests through the filing of charges, court appearances, dispositions of charges, and final sentences.

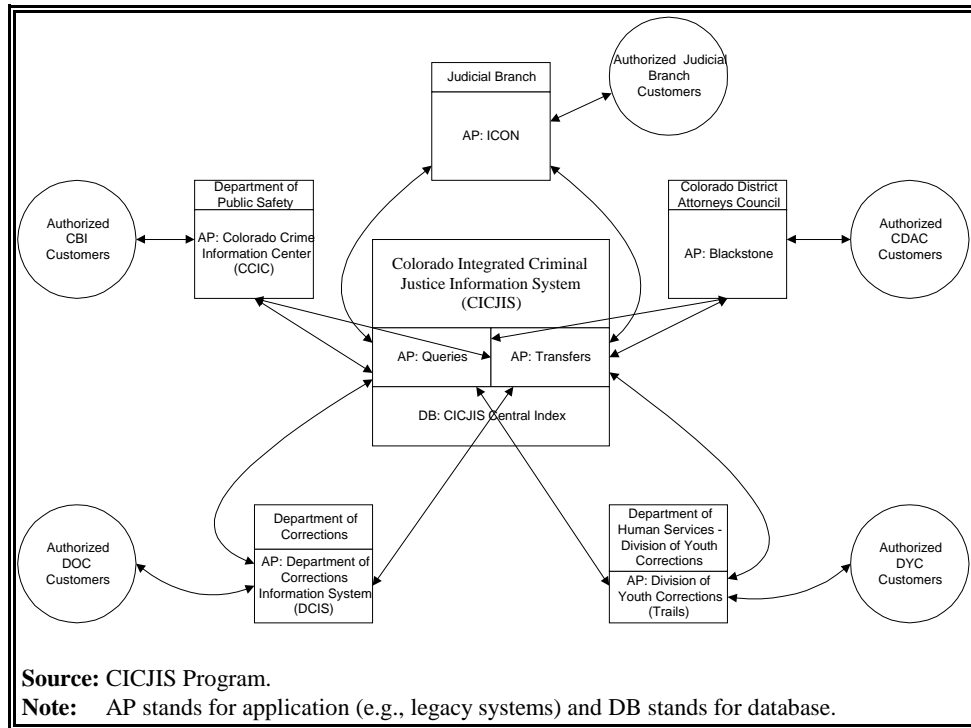
CICJIS System

The CICJIS System facilitates the sharing of critical data among the five criminal justice legacy systems at key decision points in the criminal justice process. For instance, when an offender is arrested, this information is transferred to prosecutors and courts, and when charges are filed by district attorneys, these charges are electronically transmitted to the Judicial Branch. The System acts as a "hub" that links these legacy systems together into one virtual computer system allowing the agency systems to share common data and to provide a single view or source of criminal justice information to criminal justice agencies.

Each of the five agencies owns its data but shares critical data among the other agencies in three ways:

- **Data transfers.** Criminal justice agencies are able to share common data through data transfers that automatically occur based on an event (e.g., final outcome of a court case) at one agency.
- **Queries.** The agencies are able to access unique information stored on remote systems through the ability of an individual at one agency to query information from one or more remote legacy systems.
- **Queries and updates to the CICJIS Central Index.** The CICJIS Central Index stores summary information about each offender in the system and serves as a pointer to locate other information stored on the five legacy systems.

The following diagram shows the functional relationship of the CICJIS System and the agency legacy systems and users.



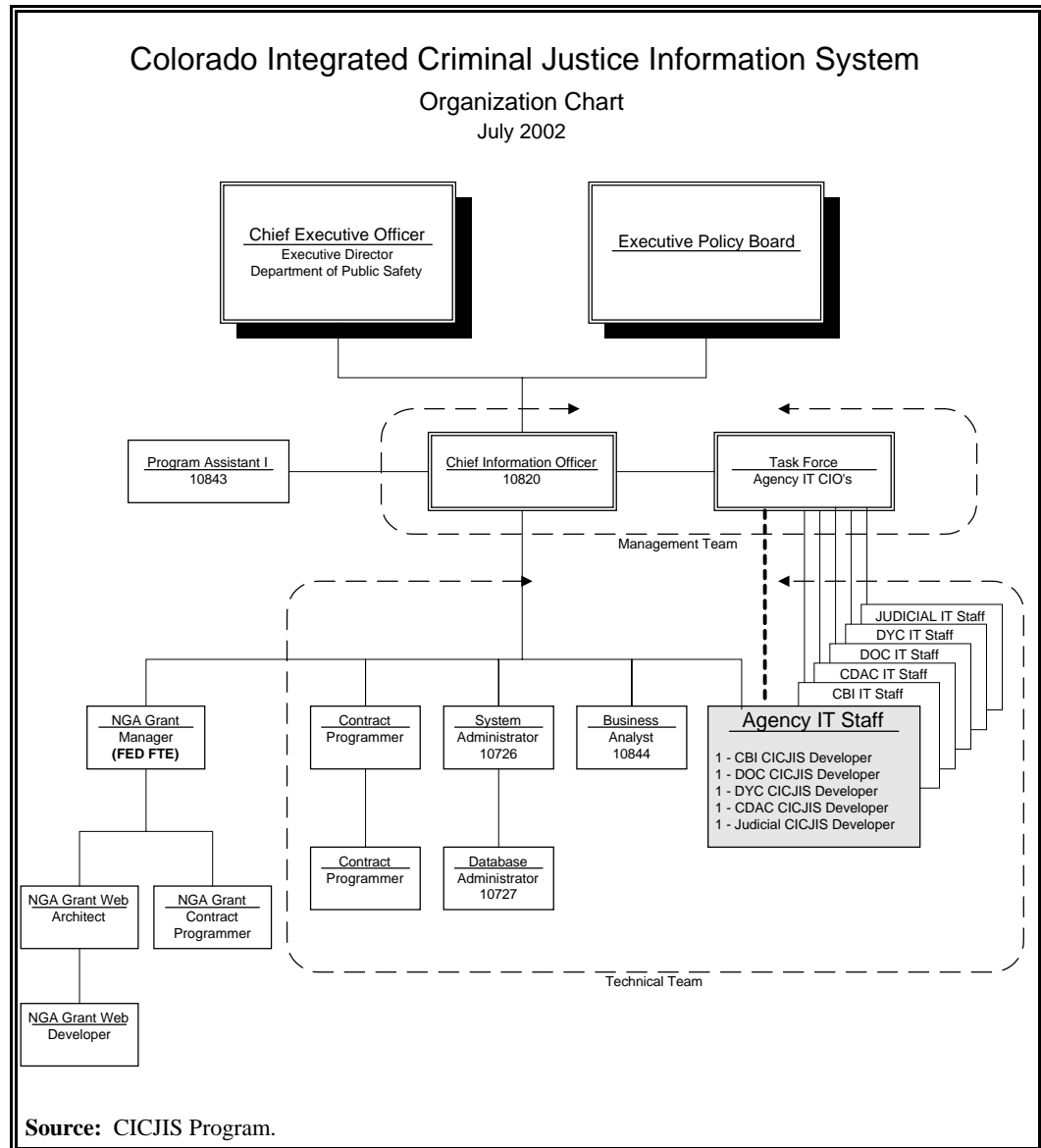
Current CICJIS Organizational Structure

As discussed previously, the CICJIS Program is a joint effort of five criminal justice agencies. Section 16-20.5-103, C.R.S., requires that the executive directors of each of the agencies or their designees serve on the CICJIS Task Force and that the Governor and the Chief Justice of the Colorado Supreme Court jointly designate a member of the Task Force to serve as the Chief Officer, currently known as the CICJIS Chief Information Officer (CIO).

Each of the executive directors has designated an agency chief information officer or other staff to be on the CICJIS Task Force. The Task Force meets weekly to prioritize systemwide modifications and review the CICJIS operations, issues, and concerns. The five agency executive directors have also formed and comprise an additional group, the CICJIS Executive Policy Board, which meets monthly and is the governing board for the Program. In addition, there is a technical group that is made up of information technology representatives from the five agencies, which also meets weekly to design, implement, and test system functions. Finally, each of the five agencies and CICJIS has identified a dedicated CICJIS liaison, four of which are funded through CICJIS. The Judicial liaison is funded through a federal grant.

The CICJIS CIO is responsible for coordinating the implementation of the CICJIS strategic plan and maintaining the System. This position reports to the CICJIS Executive Policy Board and manages CICJIS Central, a small unit administratively linked to the Department of Public Safety. CICJIS Central staff currently include five state FTE (one is currently a vacancy savings) and two contractors who maintain the CICJIS System. Additionally, federal funding supports one state FTE and two contractors. The federal grant positions will web-enable CICJIS queries. Web-enabling queries will provide users an alternative method to view data and let users perform CICJIS queries over secure intranet connections in addition to through their legacy systems. This will give users more complete capabilities for name searches on offenders in the legacy systems and more data in terms of consolidated criminal histories.

The following organizational chart shows the CICJIS Program structure.



Program Funding

The CICJIS Program was initially funded with a \$2.7 million appropriation from the Capital Construction Fund in Fiscal Year 1996. According to the Colorado Financial Reporting System (COFRS) financial data, since its inception, the CICJIS Program has spent approximately \$9.3 million in state and federal funds. Forty-two states plus the District of Columbia are in various stages of integrating their criminal justice information systems, and the models and costs vary widely. The total funding, which varies from \$150,000 in Vermont to \$44.8 million in Florida, as reported by the

SEARCH National Consortium for Justice Information and Statistics can be found in Appendix A.

In addition, there has been approximately \$869,000 expended in total by CBI, the Judicial Branch, CDAC, and DOC in support of the CICJIS Program, of which \$795,000 were federal funds. The Division of Criminal Justice in the Department of Public Safety expended a total of about \$47,000 in federal funds in support of CICJIS in Fiscal Years 1998 and 1999. Below is a summary of CICJIS expenditures by fiscal year, excluding the additional amounts expended by individual agencies.

Colorado Integrated Criminal Justice Information System (CICJIS) Program Expenditures Fiscal Years 1997 Through 2003				
Fiscal Year	State	Federal	Total CICJIS Program	Percent Change
1997 ¹	\$1,659,997	\$181,541	\$1,841,538	-
1998	\$927,363	\$609,787	\$1,537,150	-16.5%
1999	\$722,812	\$77,460	\$800,272	-47.9%
2000	\$1,101,527	\$41,925	\$1,143,452	42.9%
2001	\$1,059,213	\$185,138	\$1,244,351	8.8%
2002	\$902,654	\$490,531	\$1,393,185	12.0%
2003 ²	\$928,719	\$408,056	\$1,336,775	-4.0%
Total	\$7,302,285	\$1,994,438	\$9,296,723	
Source: COFRS.				
¹ The CICJIS Program was appropriated \$2.7 million from the Capital Construction Fund in Fiscal Year 1996; however, expenditures did not occur until Fiscal Year 1997.				
² Fiscal Year 2003 ended on June 30, 2003; data reported here are as of July 24, 2003, prior to final close of the Fiscal Year 2003 records.				

Since Fiscal Year 1999, the CICJIS Program has been funded by an appropriation to the Executive Director's Office of the Department of Public Safety. In Fiscal Year 2002, the last fiscal year for which there were complete data at the time of our audit, the Program's expenditures were approximately \$1.4 million, of which about \$491,000 were federal funds. Below is a summary of Fiscal Year 2002 expenditures by expenditure type.

- \$1.12 million for personal services. The CICJIS Program currently employs four state FTE (one of the Program's state FTE positions is currently vacant),

two state contractors, one federally funded FTE, and two federally funded contractors in addition to five contract CICJIS Liaisons.

- \$263,000 for operating expenses.
- \$11,000 in capitalized property purchases (a one-time cost to relocate the CICJIS Central office).

At the end of Fiscal Year 2003, the CICJIS Program had two open federal grants. The first is a two-year grant that started almost two years ago. It is a \$700,000 multi year grant administered by the National Governors Association to web-enable access to CICJIS data with remaining funds of about \$311,000. The second is a \$180,000 National Criminal History Improvement Program (NCHIP) grant from the U.S. Department of Justice to develop a statewide project plan that documents the current business requirements and identifies the necessary business processes for the various entities with responsibility to register sex offenders.

Audit Scope

Our audit work focused on the functionality of the CICJIS System. We reviewed documentation and interviewed personnel from CICJIS Central, the five criminal justice agencies, and local law enforcement. Additionally, we examined the mission and goals originally envisioned by the Program as well as what the CICJIS System does and who has access to the information. Our review also included an analysis of select data transfers and queries to test whether the System operates accurately and to determine improvements that should be made to the current system to ensure the accuracy and completeness of the data.

Data Integrity and System Functionality

Chapter 1

Background

As discussed in the Overview section, development of the Colorado Integrated Criminal Justice Information System (CICJIS) began with the passage of House Bill 95-1101 in May 1995. The initial phase of the System, the transfer of data among participating criminal justice agencies, was implemented three years later in May 1998. Today, CICJIS links the computer systems and business operations of four state agencies and one quasi-state agency into one virtual and cohesive system.

The CICJIS Program has been recognized nationally as one of the most complete and successful systems of its kind in the country. Additionally, during our audit several criminal justice agencies in other states reported that the Colorado CICJIS Program is considered to be a leader in integrated criminal justice information systems.

Colorado's System was designed to facilitate the exchange of criminal justice information among the five participating criminal justice agencies. This ability to exchange information is important because it enables agencies to both query and access data from other agencies' systems for the purposes of enhancing public safety. CICJIS is a virtual information system, not a single database. It does not "own" data but allows for the transfer and querying of information. To evaluate the performance of the System, we examined data related to the matching of court dispositions to arrest records, performed sample tests on various transfers and queries, and surveyed 64 CICJIS users at both the state and local levels. Overall, we found that the System works as intended. However, we noted some areas in which improvements could be made.

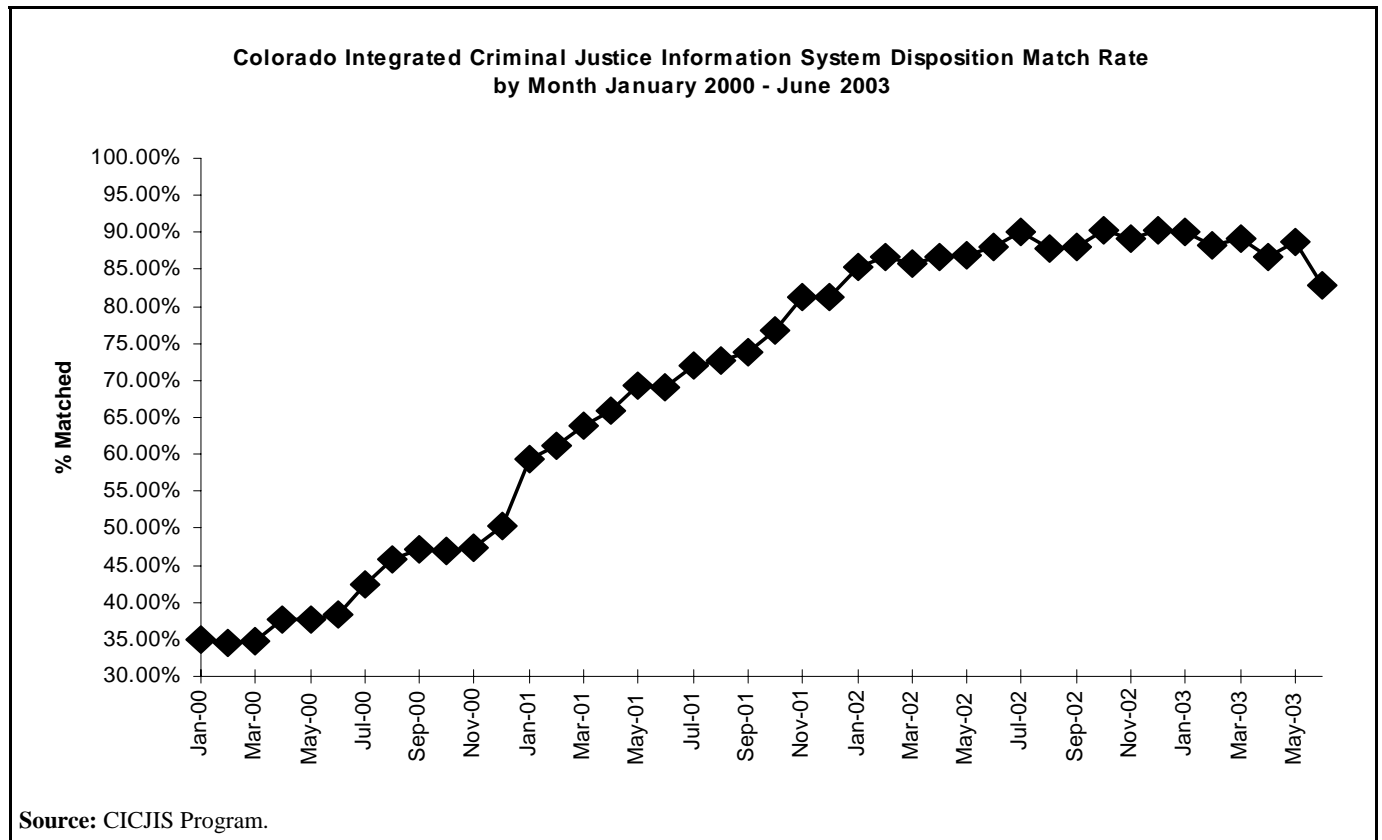
Disposition Matching

One of the primary purposes of CICJIS is to improve public safety by making timely, accurate, and complete information on offenders available to all criminal justice agencies. One of the ways in which CICJIS ensures that an individual's criminal history is complete is by performing disposition matches. A disposition is the

decision in a specific court case and can include verdicts (e.g., guilty), imposition of a deferred sentence, or dismissal of charges. The court case may include several charges, each of which will have a disposition. A disposition match occurs when the Colorado Bureau of Investigation's database, the Colorado Crime Information Center (CCIC), electronically matches through CICJIS a court case disposition from the Judicial system with the corresponding incident on a defendant's Record of Arrest and Prosecution (RAP sheet) within CCIC. The RAP sheet serves as an individual's criminal history. The incidents posted to a RAP sheet can be either an arrest or a summons where the defendant was fingerprinted.

CICJIS tracks two types of felony criminal cases: cases that are the result of an arrest during which fingerprints were obtained from the offender, and felony summons cases. In the latter instance, an arrest has not occurred, and the court has issued a summons commanding the appearance of the defendant before the court. CICJIS began transferring felony criminal court case dispositions, the disposition date, and sentencing information to the CBI's CCIC system in May 1998. For about 10 years prior to CICJIS, Judicial sent criminal dispositions electronically to CBI. The criminal dispositions were gathered in a transfer file during the day and sent in one batch file to CBI nightly. This process encountered numerous technical problems. According to Judicial staff, the disposition match rate prior to CICJIS was approximately 8 to 12 percent. The implementation of CICJIS has resulted in significant improvements in the statewide disposition match rate.

The CICJIS Program considers disposition matches to be an important measure of the System's success. For example, a 40 percent disposition match rate means that 40 percent of the courts' felony dispositions during the month were successfully associated with the relevant incidents in the CCIC system, and 60 percent were not. In January 2000 the Program began to systematically track the match rate. As shown in the following chart, the monthly disposition match rate has increased from a low of 35 percent in January 2000 to 83 percent in June 2003:



According to CICJIS Program officials, at a given point in time the disposition match rates for the most recent month is typically somewhat lower than those of previous months because some of the dispositions that did not match originally will be corrected in subsequent months. These corrections will increase the prior month disposition match rates. Because of these corrections, CICJIS management gives greater emphasis to the year-to-date disposition match average, which is an average rate based on the prior 12 months. For example, in July 2003 the June 2003 year-to-date statewide disposition match rate was reported to be greater than 88 percent, compared with the 83 percent reported for the month of June alone. The 88 percent year-to-date disposition match rate at the end of Fiscal Year 2003 exceeded the Program’s goal of 85 percent. Since the Program began tracking year-to-date data in February of 2002, the year-to-date statewide disposition match rate has varied from 85.8 percent to 90 percent.

Criminal Histories

According to Section 16-20.5-102(3), C.R.S., an integrated criminal justice information system is “capable of tracking the complete life cycle of a criminal case throughout its various stages.” Although CICJIS captures a significant amount of data, not all electronic criminal histories are complete. The CICJIS System does not provide electronic access to complete criminal histories for every offender because not all criminal justice data are available electronically. The five legacy systems that make up the CICJIS System are “point forward” systems, which means that they only include data from specific points in time. Thus, these systems may not contain an offender’s entire criminal history. None of the agency systems incorporated all data from their paper processes when they were implemented because most were point forward from the day of implementation.

As shown in the following table, there is a wide range of dates for which electronic data are available on the legacy systems:

Colorado Integrated Criminal Justice Information System (CICJIS) Time Frames Data Became Available on the Five Legacy Systems		
Agency	Legacy System	Earliest Year for Which Data Are Available Electronically
Colorado Bureau of Investigation (CBI)	Colorado Crime Information Center (CCIC)	1971
Judicial Branch	Integrated Colorado On-Line Network (ICON)	Larger districts: late 1970s Smaller districts: early 1990s
Colorado District Attorneys Council (CDAC)	Blackstone	Metro areas: early 1980s Rural jurisdictions: 1996
Department of Corrections (DOC)	Department of Corrections Information System (DCIS)	1977
Division of Youth Corrections (DYC)	Colorado Trails (Trails)	1984 ¹
Source: Information provided by Task Force members from the five criminal justice agencies.		
¹ The DYC portion of Colorado Trails was implemented in March 2002; however, DYC converted data from as far back as 1984.		

The CICJIS Task Force has estimated that the cost to add the archived data to the legacy systems would be between \$4 million and \$6 million, and the effort would take several years.

Unmatched Dispositions

As mentioned above, CICJIS began transferring dispositions in 1998; however, the Program did not begin to formally measure felony disposition match rates until January 2000. We found that more than 16,000 case dispositions transferred through CICJIS since January 2000 remain unmatched to an incident in CCIC. To get an indication of the types of charges that may remain unmatched, we reviewed the 4,002 unmatched dispositions for the 12 months from June 2002 to May 2003 that were transferred from Judicial through CICJIS to CBI. Our analysis of this sample indicated that 66 percent of these court cases had a felony charge ranging from murder to failure to register as a felony sex offender. Of these felony charges, about 72 percent were class 4 and class 5 felonies, which include manslaughter and vehicular assault in a reckless manner.

The failure to match a disposition with an incident on a RAP sheet can mean that criminal histories stored in CCIC are incomplete and inaccurate. All agencies have access to ICON, however, and can utilize the system to obtain dispositions that can be manually matched to an arrest. This provides users an alternative method to obtain a match if one is not made electronically. It is important that CCIC reflect complete criminal histories because this database is used by all criminal justice agencies for a wide variety of purposes. For example:

- Detectives use this information when conducting investigations.
- District attorneys need complete and accurate histories to make decisions on filing charges, particularly charges related to habitual offenders.
- Probation officers use criminal histories to develop pre-sentence investigation reports for the courts.
- Division of Youth Corrections (DYC) case managers need this information when admitting an offender to detention or assessing a newly committed offender.
- Department of Corrections (DOC) staff use criminal histories to determine an inmate's proper identification, custody classification, and release date.

In addition, complete and accurate data are needed to properly conduct background checks related to gun purchases, child care and teacher licensing, and employment screening. A disposition on the RAP sheet makes it less likely that a person will be wrongfully denied—or permitted—a gun purchase or employment opportunity based

on incomplete information. Further, as pointed out in the CICJIS 2003 Strategic Plan, low disposition rates are problematic because:

A lower disposition match ratio increases the chance of citizen litigation against the state. When the rates are low, we create liability issues and disenchant citizens when an arrested offender was found not guilty and harmed (e.g., denied employment or gun purchase) as a result of incomplete disposition.

As mentioned previously, Judicial has electronically sent dispositions to CBI's CCIC system for about 10 years prior to CICJIS. About 90 percent of these dispositions for that time frame were never matched to a corresponding arrest. While CICJIS has recently made efforts to improve the State's disposition match rate, there are still a large number of older dispositions that have never been matched to an incident. As a result, older incidents on RAP sheets are less likely to have corresponding dispositions. Additionally, due to the fact that the current disposition match rate is not 100 percent, even current incidents may never be matched to dispositions.

As will be discussed in more detail throughout the report, for various reasons some court case dispositions may never be matched with corresponding incidents on a RAP sheet. For example, if a fingerprint was never taken on an incident, the incident will never post on a person's RAP sheet. To provide more complete criminal histories, the Judicial Branch and CBI should work to maximize matching all electronic dispositions to existing incidents stored at CBI. The feasibility of matching dispositions and incidents prior to 1998 will be challenging because this information was not subject to CICJIS business process standards. However, CICJIS should continue to make it a high priority to go back and match dispositions transferred since May 1998 that are currently not connected to a corresponding incident.

Causes of Unmatched Dispositions

We reviewed the current disposition match rates of Colorado's counties from information provided by the CICJIS Program and found that the rates vary significantly. The table below shows the disposition match rate for the 10 counties with the highest volume of court case dispositions:

Colorado Integrated Criminal Justice Information System Disposition Match Rate for the 10 Counties With the Highest Volume of District Court Case Dispositions Between July 2002 and June 2003			
County	Matched Cases	Total Cases	Percent Matched
Adams County	3184	3917	81.3%
Arapahoe County	1421	1582	89.8%
Boulder County	1769	1902	93.0%
Denver County	4034	4731	85.3%
El Paso County	3607	3852	93.6%
Jefferson County	2390	2713	88.1%
Larimer County	1601	1704	94.0%
Mesa County	1264	1282	98.6%
Pueblo County	1331	1413	94.2%
Weld County	1346	1398	96.3%
Total	21,947	24,494	89.6%
Statewide Total	27,898	31,552	88.4%
Source: Colorado Integrated Criminal Justice Information System. Note: Data as of July 2, 2003. County data include incidents originating with county sheriffs' offices, city police departments, and other criminal justice agencies.			

As can be seen in the table above, the disposition match rate varied from a low of 81.3 percent in Adams County to a high of 98.6 percent in Mesa County.

According to information obtained during our audit, most of the factors affecting a county's disposition match rate originate with the local law enforcement agencies, district attorneys, and courts. Problems arise because CCIC is programmed to match certain critical information included on both the RAP sheet and the court case disposition obtained from Judicial's ICON system. The RAP sheet includes information received by CBI from local law enforcement, such as the originating agency identifier (ORI), the arrest number, the name of the arrestee, the arrest charges, and the date the person was arrested.

Individuals may be subject to a criminal court case in three different ways. First, a person may be arrested without a warrant, often during commission of a crime. Second, a court may issue a warrant for an arrest. Third, an individual may be

summoned without an arrest to appear in court to answer charges. Section 16-21-104(1), C.R.S., requires the court to order the defendant to be fingerprinted for all summonses involving felony charges, class 1 misdemeanors, domestic violence, and driving under the influence. In arrests resulting from a warrant or summons, the 16-character court case docket number is supposed to be included on the fingerprint card. The court case docket number is generated by the Judicial Branch and includes identifying information such as the court location, case class, the year that the court case was started, and the sequence number.

When Judicial personnel enter disposition information related to a court case into ICON, the information is then transferred to CICJIS, which transfers the disposition, disposition date, and sentencing information to CCIC for posting on the defendant's RAP sheet. To post the information, CCIC first tries to match the 16-character court case docket number and the first four characters of the defendant's surname between the RAP sheet and the disposition information. If CCIC cannot match on these elements, it attempts to match on the first five characters of the arresting agency number, the arrest number, and the first four characters of the surname.

If CCIC fails to match the critical information on both the RAP sheet and the disposition, the disposition will be stored in an error file until the problem is fixed. Through discussions with personnel from CICJIS, the five criminal justice agencies, and local law enforcement, we identified several reasons why a disposition match might not occur, including:

- **Missing or poor-quality fingerprints.** In accordance with Section 24-33.5-412(3)(II), C.R.S., local law enforcement agencies send fingerprint cards to CBI either electronically or through the mail. The fingerprint card includes the defendant's fingerprints as well as demographic and arrest information. The defendant's RAP sheet will not include the relevant arrest information if a fingerprint is not taken in a felony summons, the fingerprint card is not sent to CBI, or the fingerprint is rejected because of poor quality or missing/bad information. Without the original arrest information, the court case disposition has nothing to match at CCIC. CICJIS staff report that this is the most serious deficiency because a defendant's RAP sheet will be missing both the arrest information and the disposition information, meaning the defendant may appear to have a clean criminal record.
- **Incomplete or erroneous information on the fingerprint card.** The fingerprint card sent to the CBI must have correct information regarding the arrest; otherwise, the information in the court case disposition and the original arrest information will not match. For example, if an individual was arrested by the Aurora Police Department and taken to the Arapahoe County Jail for processing (booking), the fingerprint card would need to include the

arrest number generated by the Aurora Police Department (the arresting agency) as well as its unique agency number. However, many fingerprint cards are submitted with the booking agency's number instead of the arresting agency's number.

One of the most common sources of errors identified by personnel during our survey involves warrant arrests. The 16-character docket number found on the arrest warrant needs to be documented by law enforcement on the fingerprint card in order to ensure a disposition match. Sometimes the number is not added to the fingerprint card or is added incorrectly.

- **Data entry errors.** If law enforcement, the district attorney (on the charging document), and/or Judicial personnel enter or key information incorrectly, such as the arresting agency number, the 16-character docket number, or the arrest number included on either the RAP sheet or the court case disposition, a disposition match will not take place when the court sends the findings to CCIC.

Monthly Unmatched Disposition Reports

Tracking the reasons for disposition match failures to improve performance would allow the CICJIS Program to focus resources more effectively on reducing these errors and thus further increase the State's disposition match rate. Currently each month Judicial staff send CBI a list of all dispositions for that month. CBI then tries to match those dispositions to its CCIC file. CBI then sends a report to CICJIS Central of dispositions without a match on an incident in a RAP sheet. CICJIS then forwards the report to Judicial staff to investigate and fix the unmatched dispositions. The reasons for the rejects are identified and compiled manually by Judicial staff. These reports are then used to plan site visits to counties with low disposition match rates. CICJIS Program staff meet with local law enforcement, court, and district attorney staff to educate users and assist in correcting errors.

The unmatched disposition report contains critical information on dispositions that did not match, such as the defendant's surname, the defendant's State Identification (SID) number or temporary SID number, the docket number (DKT) of the case, and the originating agency identifier (ORI). The information received in the unmatched disposition report is relayed to the local judicial districts who share this information with local law enforcement and the district attorney staff. Some judicial districts research and correct the unmatched dispositions in order that the CCIC system will achieve a match. For instance, a clerk may discover that the arrest number in ICON is different from the one in CCIC. In that case, the most common fix is for the court clerk to change the arrest number in ICON to ensure a match with CCIC. However,

other errors may be more difficult to correct, such as typographical errors in the defendant's surname or different arresting agencies. In these situations, Judicial staff are supposed to contact local law enforcement agencies, who will make the corrections on CCIC or request that CBI make the corrections.

During our interviews with 19 court clerks and district court administrators, personnel reported that the investigation and resolution of unmatched dispositions can be time- and labor-intensive. For instance, one clerk in a medium-sized judicial district reported that staff do not have resources to correct unmatched dispositions in a timely manner. Another clerk in a medium-sized judicial district estimated that she spends about 32 hours per month on disposition error resolution. Problems that cannot be resolved by local jurisdictions are often sent to the Judicial Branch's Integrated Information Systems (IIS) division for further investigation and correction. IIS staff estimated that this workload can involve investigating up to 1,500 cases per month. Staff also report that of the cases investigated, approximately 500 per month are corrected.

While the unmatched disposition report sent from CICJIS to the Judicial Branch includes information that can be used to research why dispositions/arrest filings did not match, the report does not include more detailed information about which specific piece of data is missing or inconsistent. Due to the lack of specific information in the unmatched disposition report regarding the reason why the disposition match did not occur, court clerks and Judicial's IIS staff spend more time than necessary trying to identify the sources of the problems and resolve unmatched dispositions. In other words, staff not only have to find and correct the problematic information, they must also spend time determining what information is incorrect. By providing additional information in the unmatched disposition report on the nature of the errors, CICJIS will enable Judicial staff resources to be used more efficiently and effectively in resolving outstanding disposition matches. This is particularly important in view of the impact of recent budget cutbacks on staffing levels in the courts. Improving the process of resolving outstanding dispositions will help increase the State's disposition match rate. In addition, as the disposition match rate for more recent cases improves, consideration should be given to using resources to match dispositions for cases in which the disposition occurred prior to 1998.

Recommendation No. 1:

The CICJIS Executive Policy Board should provide more complete criminal histories by:

- a. Working with the Colorado Bureau of Investigation and the Judicial Branch to include information in the unmatched disposition error report that would

expedite the resolution of unmatched dispositions and generate monthly reports detailing the reasons why dispositions did not match.

- b. Matching all criminal case dispositions transferred from the Judicial Branch to the Colorado Bureau of Investigation's Colorado Crime Information Center since May 1998 that remain unmatched to a corresponding arrest or summons incident to the greatest extent possible.
- c. Considering the feasibility of matching criminal court case dispositions prior to 1998 that are available electronically.

CICJIS Executive Policy Board Response:

CICJIS currently works in conjunction with the Colorado Bureau of Investigation and the Judicial Branch to improve disposition match rates, and publishes the monthly “unmatched” disposition report.

- a. Agree. Implementation Date: December 2004. We agree that inclusion of additional information in the monthly unmatched report to aid in resolution would be beneficial.
 - b. Agree. Implementation Date: Ongoing. We agree that matching as many as possible since May 1998 to the greatest extent possible is beneficial. For all cases that get a final disposition during the current month, the existing process attempts to match all unmatched dispositions regardless of the initial date of the case, including those since (and some prior to) May 1998. No doubt additional facilitation of more disposition matches would also be beneficial, yet in order to conduct more research intensive matches, more resources, both human and financial are required.
 - c. Agree. Implementation Date: Implemented. We agree that consideration of matching dispositions prior to 1998 would also be beneficial. We have already conducted a feasibility study, and found that doing so is not feasible in that extraordinary resources would be needed with little added value. Specifically, we determined that the effort would cost \$4-6 million dollars, with relatively low resulting matched dispositions due to the lack of standards.
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Data Integrity

Another important aspect of CICJIS's ability to provide timely, accurate, and complete information concerning offenders involves the System's controls over data integrity, or the quality of data input by and transferred among the five criminal justice agencies.

The original design of the CICJIS System was based on a trusted source and trusted host model. This means that the Program relied on the assumption that data from the five criminal justice agencies were accurate, complete, and reliable, and also that the legacy systems had the ability to correctly tie data together. As a result, prior to February 2003, CICJIS did not have adequate controls in place to ensure quality data throughout the System. For instance, users could manually enter an incorrect or different SID number in one legacy system that would then override correct SID numbers in another system. This was due to the fact that there were not sufficient controls in place at the CICJIS Central Index or the originating agency to stop data transfers that contained non-matching information. However, the Program took a significant step to improve systemwide data integrity when in February 2003 it implemented one of the original deliverables, CICJIS v2.0, which establishes controls to recognize some of the discrepancies among data between the five legacy systems and the Central Index. The Central Index acts as a hub through which all data transfers pass before being disseminated to the individual agencies. As part of CICJIS v2.0, agencies are automatically notified when errors are detected at the Central Index and must correct these errors before the data transfer is sent to the other legacy systems. If the originating agency cannot determine why the information is failing, the agency works with CICJIS and/or the recipient agency to resolve the problem. Each agency receives daily reports listing all errors related to transfers of its data.

To improve the data integrity of the System, it is important that CICJIS continue to monitor the effectiveness of these reports and the resolution of the errors identified. Systemwide data integrity is critical in order for users to be able to rely on the System in lieu of manual procedures. With the implementation of better controls over data integrity, the Program should work to ensure that the information on errors related to data transfers is used to achieve greater accuracy and completeness of data throughout the System and thereby increase the level of users' confidence. CICJIS staff can determine common errors and then increase CICJIS agency training and communication efforts to help users better understand the System.

Recommendation No. 2:

The CICJIS Executive Policy Board should continue to improve data integrity within the system by:

- a. Determining frequent sources of errors identified by the CICJIS v2.0 upgrade.
- b. Establishing methods to resolve the problems identified and then taking appropriate steps to increase training and communication efforts.
- c. Developing benchmarks to monitor the improvement of data integrity systemwide.

CICJIS Executive Policy Board Response:

- a. Agree. Implementation Date: Implemented and ongoing. We agree that identification of issues, their sources and causes should be determined. CICJIS Central staff currently monitors production errors, and reviews various types of errors to determine frequent sources and causes. Tracking errors, as well as their sources and causes have been in production since the CICJIS 2 implementation in February 2003, and will continue to be part of the CICJIS Program's ongoing maintenance activities.
- b. Agree. Implementation Date: Implemented and ongoing. We agree that methods to resolve errors should be established. CICJIS Central staff currently works with each agency on their error types to establish business process procedures for error correction. Further, where possible, some error causes are rectified by code changes at CICJIS, at the source agency, or both. Other errors are caused by data entry errors, and must be corrected by source agency personnel. Increased training helps with some simple errors, yet some data entry errors are expected to continue indefinitely and will require manual correction. The establishment of methods to resolve errors has been in production since the CICJIS 2 implementation in February 2003, and will continue to be part of the CICJIS Program's ongoing maintenance activities.
- b. Agree. Implementation Date: Contingent upon resources. We agree that benchmarks to monitor data integrity system wide would be beneficial. CICJIS is currently working on benchmarking system performance in addition to the continued data integrity benchmarks with an independent

vendor. Federal funding will be sought to provide additional benchmarks in accordance with developing federal standards.

Tests of CICJIS Functionality

While disposition matching is a valid indicator of the accuracy of information exchanged within the CICJIS System, it does not measure the accuracy of the System's primary functions—data transfers and queries. In order to determine how well the System is performing, we tested seven CICJIS functions, including five data transfers and two data queries. We found that transfers and queries generally functioned as intended.

Data transfers involve moving information from one legacy system to another, while data queries allow users of one legacy system to view information stored in another legacy system. To test the data transfers, we compared the consistency of information transferred between legacy systems for a sample of transfers. To evaluate the data queries, we performed queries from various legacy systems and compared that information with the source data. The functions tested are listed below:

- **RAP Sheet Query.** The CICJIS System enables Judicial and Corrections users to query RAP sheets from CBI's CCIC system. Every fingerprinted arrest or summons received by CBI is posted to a RAP sheet. By statute, CBI is charged with serving as the State's criminal history record repository. The CCIC system contains about one million criminal histories. Based on our testing, we did not note any discrepancies between the RAP sheets stored in CCIC and the RAP sheets queried from Judicial or DOC.
- **Restraining Order Transfer.** The CICJIS System electronically transfers restraining orders issued by the courts from the Judicial Branch to CBI. Similar to warrants, restraining orders were previously manually entered into CCIC by law enforcement personnel. We tested a sample of these transfers and did not note any discrepancies between the restraining order information stored in CCIC and the restraining order information stored in ICON.
- **Arrest Charges Transfer.** CICJIS electronically transfers arrest information from CBI to both the Judicial Branch and the Colorado District Attorneys Council (CDAC). Arrest charges are made by the arresting agency for violations of state or municipal laws. Prior to CICJIS, court clerks and district attorney staff would receive a paper copy of the arrest information from local law enforcement agencies and manually enter that information into their respective systems. Based on our testing, we did not note any

discrepancies between the electronic arrest information stored in CCIC and the arrest information stored in both ICON and CDAC's Blackstone system.

- **DA Charges Transfer.** The CICJIS System automatically transfers charges made by a district attorney (DA) to the Judicial Branch. A district attorney's office files charges based on evidence provided by law enforcement and DA investigators. The charges filed by the DA may or may not match the original arrest charges, depending on the determination made by the DA's office. The transfer of DA charges ensures the timely notification of charges filed to the Judicial Branch and reduces redundant data entry at Judicial. We tested a sample of these transfers and did not note any discrepancies between the charge information stored in the CDAC Blackstone system and the charge information stored in ICON.
- **Warrant Query and Transfer.** The CICJIS System enables the querying of warrants from CBI's CCIC system by Judicial, DOC, and Division of Youth Correction (DYC) users. The System also automatically transfers warrants from the Judicial Branch to CBI. Prior to CICJIS, paper warrants were issued by the courts and manually entered into ICON. Local law enforcement officers would periodically pick up paper copies of the warrants and reenter the information into CCIC. The CICJIS System automates that process.

Based on our testing, we noted an issue with the warrant query. At the time of testing the warrant query from DOC displayed certain warrant information in the wrong fields and sometimes out of order. The display problem made it difficult to read the comments on warrants queried from DOC. DOC staff were unaware of the problem until we notified them, and they have subsequently fixed the problem.

- **Mittimus Transfer.** The CICJIS System electronically transfers Judicial mittimus to either DOC or DYC, depending on whether or not the defendant is sentenced as an adult or a juvenile. A mittimus, or mitt, is an order of the court directing either DOC or DYC to take custody of a defendant for the specified sentence period. The mittimus includes demographic information on the offender, case charges, the court disposition, the sentence order, and restitution information.

Based on our testing, we noted that for 6 out of the 10 adult mittimus we reviewed, the assessed restitution amount listed on the ICON mittimus differed from that on the DCIS mittimus. In each of these six instances, the assessed amount in ICON was greater than that in the Department of Corrections Information System (DCIS); the discrepancy varied from \$25 to about \$10,600. Judicial staff report that financials (e.g., court fees, fines, and restitution) change too frequently for the Branch to electronically send an

amended mittimus for every change in the assessed or balance amounts over the sentence period. In addition, we noted that for 1 out of the 10 adult mittimus reviewed that the plea data did not match between the ICON and the DCIS mittimus. According to both Judicial and DOC staff the original plea was displayed on the DCIS mittimus rather than the most recent plea. Although we did not test this, both Judicial and DOC report that the plea issue has subsequently been corrected.

We tested the mittimus transfer as a result of concerns expressed by DOC users. Three out of the four DOC staff we interviewed still rely on the paper mittimus mailed from the Judicial Branch. DOC staff have concerns regarding the consistency of information between the electronically received mittimus order and the paper mittimus received from Judicial. For instance, one user reported that the length of sentence will sometimes not be available electronically. In addition, the credit for time served will sometimes not match between paper copies of the mitt sent from Judicial and the electronic version received by DOC. Furthermore, there are concerns that the electronic information is not populating DCIS correctly.

Because of the statewide importance of the transfer of information between Judicial and Corrections, we recommend that the Department of Corrections modify its current query functions to include detailed information from ICON through CICJIS. According to staff at the Judicial Branch, this additional access, once implemented, will also allow users such as DOC to access detailed court information regarding sentencing, including restitution. This will provide additional controls over parole and other inmate-related decisions.

The Department of Corrections reported that it implemented modifications to the CICJIS query in August 2002. This means that DOC staff currently have access to updated court charges and sentencing information. However, while this query provides DOC staff access to accurate and up-to-date Judicial information, it does not represent a permanent solution to the concerns surrounding the discrepancies between the DOC DCIS system and Judicial's ICON system. Although DOC currently receives electronic versions of mittimus documents as well as updated or amended mittimus documents on every case, the Department does not currently have a way to update its system based on these amended mittimus documents, which can include restitution changes, victim changes, and information on sentencing changes.

In addition, our testing during the CICJIS audit found that the assessed restitution amounts did not match for 11 out of the 20 juvenile mittimus we reviewed, and that the balance of the restitution amounts did not match for 10 out of the 20 juvenile mittimus. In these test cases, the restitution amounts in the ICON mittimus were updated after the initial Judicial mittimus transfer to Colorado Trails occurred. Judicial staff reported that restitution amounts that are added or paid down by defendants are not transferred to DYC. The DYC staff contacted reported that they

call court staff to determine the current restitution balances. A limited number of DYC staff do have direct access to ICON and could access both the Financial Summary and Register of Actions screens, which provide updated restitution balances. The DYC staff contacted reported that they were not aware that the current restitution balances were available through their ICON access. Directly accessing this information will reduce the time currently taken by both Division of Youth Corrections and court staff to determine updated restitution amounts.

Recommendation No. 3:

To improve the accuracy of data contained in its information systems, the Department of Corrections should:

- a. Utilize the updated CICJIS query to obtain more detailed restitution and sentencing information from the Judicial ICON system prior to closing a restitution case or releasing an inmate.
- b. Evaluate the feasibility of making programming changes to the DCIS system that would allow for the upload of Judicial ICON information such as mittimus and amended mittimus transfers.

Department of Corrections Response:

- a. Agree. Implementation Date: Partially complete August 2002, remainder contingent upon resources but no later than December 2003. We agree that utilization of the updated CICJIS query to obtain more detailed restitution and sentencing information will be beneficial. The programming to access the Judicial ICON data warehouse, through CICJIS, with access to restitution and sentencing information currently exists, implemented in August 2002. The DOC plans to use the updated version of the query upon completion of the CICJIS On-line Presentation System (COPS) project.
- b. Agree. Implementation Date: Contingent upon resources. We agree to evaluate the feasibility of making programming changes to enable DOC staff to verify information and upload validated data into the DCIS system.

Recommendation No. 4:

In order to improve the accuracy of data contained in its information system, the Department of Human Services should ensure that Division of Youth Corrections staff are better informed on how to utilize the direct access to ICON to obtain current restitution balances.

Department of Human Services Response:

Agree. Implementation Date: Staff training August 31, 2003, COPS implementation December 31, 2003. The Division of Youth Corrections (DYC) will inform the appropriate DYC staff that access to current restitution balances is available to them utilizing their direct access to ICON and provide them with instructions on how to obtain that information using both the Financial Summary and Register of Actions screens. Use of the direct access to ICON to access current restitution balances will continue until the CICJIS On-line Presentation System (COPS) queries for both the Financial and the Case History (Register of Actions) are available for use by DYC staff.

User Input on CICJIS Functionality

In addition to the above system tests, we surveyed 64 users, including judges, court clerks, district court administrators, probation officers, representatives from DOC and DYC, assistant district attorneys, chiefs of police, police officers, sheriffs' deputies, jail administrators, and CCIC coordinators. During these interviews users reported that a major problem which related to CICJIS functionality was with the Corrections Client Listing (CCL) Response notification sent to probation officers.

CICJIS is currently programmed to notify probation officers when one of their probationers' names is queried in CCIC or when the probationer is contacted by local law enforcement. The notification, called CCL Response, includes information such as the name of the probationer, the agency that ran the name, the time and date the name was queried, and the operator who queried the name. Probation officers then follow up with the operator, often the dispatcher, to get more information regarding the contact.

Some of the probation officers we spoke with indicated that the CCL Response notification lacked specific information. Previously any and all queries of a probationer's name in the System by entities such as law enforcement, court staff, CICJIS, district attorneys and corrections automatically sent the notification to probation officers. As a result, probation officers reported that they often spent time

unnecessarily following up on contacts that would generally be considered unimportant, such as a routine traffic stop. According to CICJIS Program staff, changes to the CCL Response notification were implemented in April 2003. The notification now allows anyone who queried a probationer's name to determine whether or not a notification should be sent to the probation officer, depending on the nature of the contact. They do this by adding narrative on the contact or query in the dialog box, which then sends the notification to the probation officer. If the dialog box is not filled in, the notification is not sent. CBI personnel report that the changes to the notification function appear to be working properly. However, the CICJIS Program will have to periodically test the CCL Response notification to ensure continued functionality.

Recommendation No. 5:

The CICJIS Executive Policy Board should work with the Judicial Branch, the Department of Corrections, and the Division of Youth Corrections to:

- a. Ensure that CICJIS System users are properly trained and informed regarding the new functionality of the CCL Response notification.
- b. Conduct a follow-up survey of both law enforcement and Judicial staff to measure user satisfaction with the added features of the CCL Response notification.

CICJIS Executive Policy Board Response:

- a. Agree. Implementation Date: Contingent upon resources. We agree that inclusion of additional information on the changed CCL process should be included in existing agency normal methods of communication and training. The Colorado Bureau of Investigation notified all CCIC users of the changed CCL functionality via the quarterly newsletter. Additionally, the Board of Working Advisors (BWA) was included in discussions regarding survey results and supported the change in CCL functionality.
 - b. Agree. Implementation Date: December 31, 2003. We agree that a follow-up survey should be conducted to determine the level of satisfaction with the changed CCL functionality solution and process.
-

User Feedback and Training

During our survey we found that users from the five criminal justice agencies do not always know how to use all CICJIS capabilities on their legacy systems. Additionally, we identified several misconceptions about the capabilities of the CICJIS System. For example, our analysis of the survey results showed that users requested access to data that they already had the ability to obtain through CICJIS queries.

CICJIS was designed to be transparent to users, and many are not aware that they are using CICJIS. CICJIS allows users to utilize their own legacy systems to obtain data that has been transferred from other systems through CICJIS. The five agencies have maintained the independence of their legacy systems, and each “owns” its data. CICJIS is responsible for facilitating the sharing of the data among the agencies but cannot mandate that the agencies use CICJIS query functions. This means that each agency determines what CICJIS functionalities it will use regardless of what are available.

Training is a critical component to the effective use of an information system. CICJIS users should have adequate training to ensure that they know what data are available and how they can obtain the data. User manuals, operations manuals, and training materials should be prepared and updated as part of every information system. Ongoing training focused on the daily use of the system should also be provided to agency personnel to maintain their knowledge, skills, and abilities to the level required to perform effectively.

The CICJIS Program has performed limited training, specifically during implementation of a new function such as the implementation of electronic warrants. CICJIS Central reports it primarily focuses its training on counties with low disposition match rates. However, most training for CICJIS use occurs at the individual agencies and is typically included in their legacy system instructions and training. We found that all five legacy systems have individual user manuals, but only three of these manuals document how to use the CICJIS System. Each of the agencies has tailored its CICJIS training to meet its individual agency needs, which results in inconsistent levels of training. Given the potential for frequent user turnover at the agencies (e.g., the 36 newly elected sheriffs), training and user manuals are key to the effective utilization of the CICJIS System.

The CICJIS Program does not currently have a comprehensive training program or a user manual. The criminal justice users need to have training on how best to use CICJIS to obtain the greatest benefits, including increased productivity, reduced duplication of effort, and more complete criminal histories. As we previously

mentioned, each of the five criminal justice agencies owns its data and therefore determines the functionalities for its users. The CICJIS Program reports it is not responsible for providing a comprehensive and valid CICJIS user manual. However, CICJIS training and user manuals should be made available at each individual agency, and the CICJIS Program should provide users with a comprehensive overview of the System.

Recommendation No. 6:

The CICJIS Executive Policy Board should work with the five user agencies to improve CICJIS by:

- a. Incorporating CICJIS training into existing legacy system training programs to include, at a minimum, what data each of the five criminal justice agencies can access and how system users can access these data.
- b. Developing a CICJIS overview that describes the System and directs users to the individual agency's training manuals for additional information specific to each agency.
- c. Updating the CICJIS overview and the individual agencies' user manuals, as needed, whenever new functionality is implemented.
- d. Performing user surveys to identify training needs and assess usefulness of CICJIS instruction in user manuals at the five criminal justice agencies.

CICJIS Executive Policy Board Response:

- a. Agree. Implementation Date: Contingent upon resources. We agree that CICJIS training should be incorporated into existing agency training programs, including data availability and accessibility options by user group. Three of the five agencies currently include such CICJIS training in their existing agency training programs, and the one is in progress to do so.
- b. Agree. Implementation Date: Contingent upon resources. We agree to develop a CICJIS overview that describes the program and references each agency's training manual.
- c. Agree. Implementation Date: As needed. We agree to update the CICJIS Overview and agency materials as needed and at a minimum

wherever new functionality or processes are implemented. If usage of CICJIS changes for agency users, the training and updates will be driven from and incorporated by the impacted agency.

- d. Agree. Implementation Date: As needed. We agree that performing user surveys to identify training needs and assess usefulness of the agency materials would be beneficial.

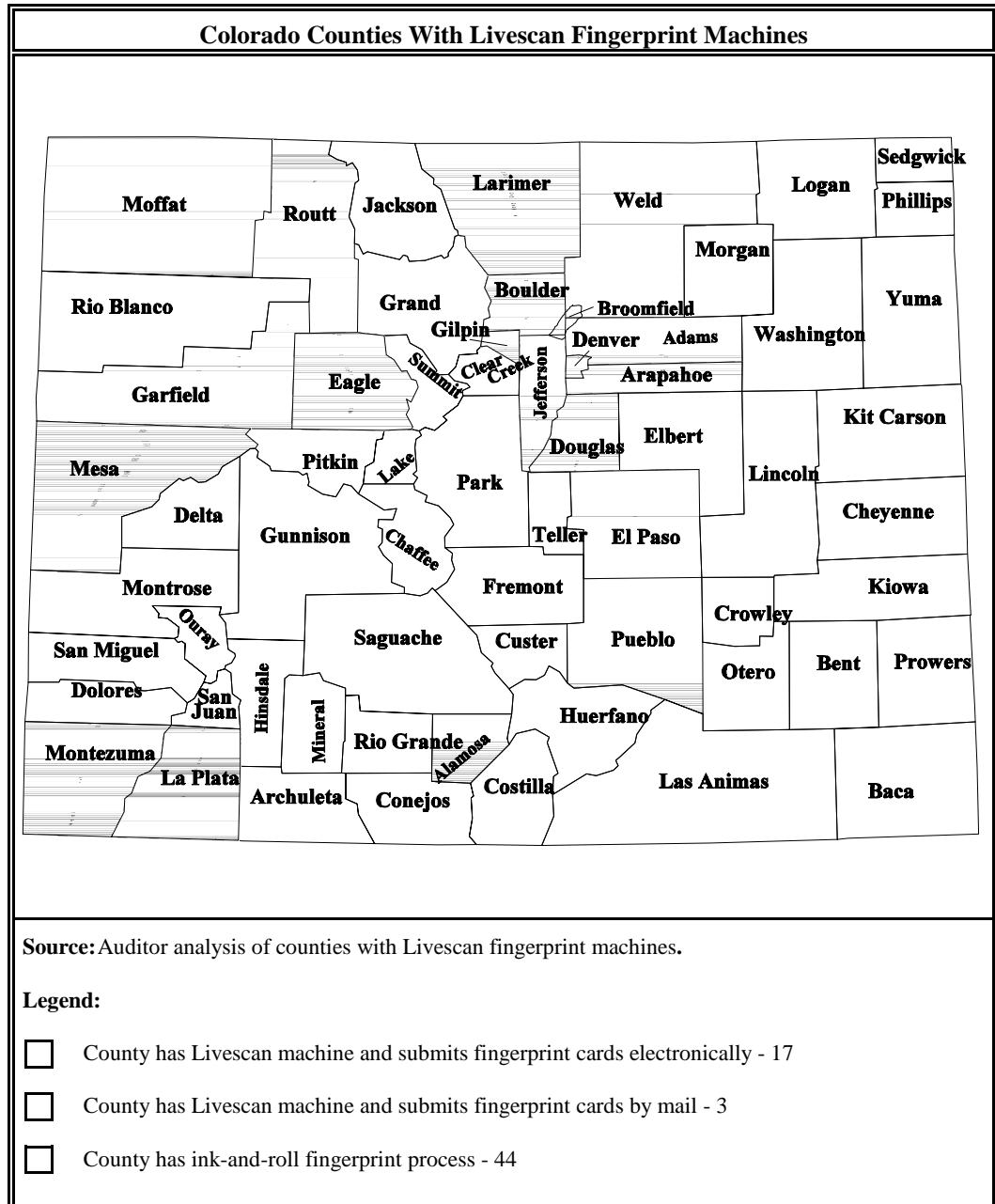
Fingerprinting Options

When an individual is arrested and taken into custody, the person is processed (booked) at either a local police station or the county jail. The booking process includes recording arrest information, demographic information, and fingerprints. Currently Colorado law enforcement agencies may use one or both of the two methods for taking criminal fingerprints: modern Livescan technology and the traditional ink-and-roll method.

Livescan is an electronic fingerprinting process. Some areas in the State, primarily the more populated areas, have Livescan machines that electronically scan fingerprints. Along with demographic and arrest information, Livescan fingerprints can be sent electronically to CBI immediately after booking. Until recently, a few areas in the State with Livescan did not have the technological capability to send fingerprints electronically. CBI staff report that with recent system upgrades those areas will soon be able to transmit Livescan fingerprints electronically. Other areas in the State, primarily rural areas, use the traditional ink-and-roll method of fingerprinting. Ink-and-roll involves manually rolling an arrestee's fingerprints in ink and applying those prints to a fingerprint card. As mentioned previously, demographic and arrest information is included on the fingerprint card. Section 24-33.5-412(3)(II), C.R.S., requires local law enforcement to forward the fingerprint card to CBI within 72 hours after booking.

Data provided by CBI show that in Calendar Year 2002 about 79 percent of arrests in Colorado were processed using Livescan machines. Of those, 85.5 percent were submitted electronically, and 14.5 percent of the fingerprints were processed by Livescan but mailed to CBI. As discussed below, one of the primary benefits of Livescan machines is that they have the capability to transmit fingerprints electronically to CBI. Thus, the benefits of Livescan are reduced for those agencies that must mail in the Livescan fingerprints. CBI staff report that there are technical and training issues that need to be worked out before those agencies can begin to submit fingerprints electronically. Below is a map of Colorado that shows the geographic portions of the State that have Livescan technology. Currently 17

counties possess Livescan machines and transmit the fingerprints electronically, 3 counties have Livescan machines but mail in the fingerprint cards, and 44 counties use the ink-and-roll method.



In addition to county jails, there are also eleven police departments, five courts, and three other governmental offices that utilize Livescan machines.

Livescan Advantages

There are numerous advantages to the use of Livescan technology. The primary advantage is the ability to submit fingerprints electronically to CBI virtually instantaneously. CBI staff report that within one to two hours a Livescan print will be in the CBI's Automated Fingerprint Identification System (AFIS) and the arrest data will be in the CCIC system. By contrast, ink-and-roll fingerprints must be mailed to the CBI. Depending on how quickly the fingerprint cards are mailed, delivered, and keyed in by CBI staff, it can take a number of days for the prints to be entered into CCIC. CBI staff report that most mailed cards take between three days and three weeks to get into both AFIS and CCIC, but that some arrive years later. CBI Identification Unit staff also reported that one law enforcement agency discovered a stack of fingerprint cards that had never been mailed to CBI in the desk drawer of an employee who had retired six months earlier. Data provided by CBI show that between 1999 and 2001 the average time between the date of arrest and the date the information was entered into CCIC was 13 days for all fingerprint cards, including both Livescan and ink-and-roll. Clearly, during the period between the date of arrest and the date information is entered into CCIC, CBI and other CICJIS users do not have access to critical arrest information. This diminishes the timeliness and accuracy of criminal justice information in Colorado.

A second benefit of realtime transmission of fingerprint cards is the ability of law enforcement officers to properly identify arrestees who may be giving false information about their identities. This can occur if the individual does not have photographic identification or possesses falsified identification. False identities are a major concern; data provided by CBI indicate that approximately 45 percent of individuals with RAP sheets stored at CBI have at least one alias. Accurately identifying arrestees helps ensure that wanted individuals are not improperly released from custody before they are correctly identified. Another benefit of realtime transmission of fingerprints is that if the quality of fingerprints does not meet CBI standards, the local law enforcement agency can quickly be notified and can re-fingerprint the arrestee while the individual is still in custody.

Finally, the quality of Livescan fingerprints is typically better than ink-and-roll prints. CBI will reject and require reprinting of low-quality fingerprints submitted by local law enforcement agencies. In Calendar Year 2002, CBI received 230,698 fingerprints for processing; of these, 181,519 were Livescan prints and 49,179 were the traditional ink-and-roll fingerprint cards. CBI rejected 266 fingerprints, of which 98 were Livescan and 168 were ink-and-roll. While the total fingerprint reject rate is extremely small at 0.12 percent, the reject rate for ink-and-roll fingerprints is 0.34 percent compared with 0.05 percent for Livescan fingerprints.

Cost of Livescans

Although there are important benefits to the use of Livescan, cost is a significant barrier to statewide implementation of Livescan fingerprinting. Livescan machines and associated software can cost \$25,000 for a desktop version, while larger, more advanced Livescan machines can cost more than \$50,000. Substantial volume discounts are typically available for purchases of more than 12 units. In addition to up-front hardware and software costs, there are ongoing maintenance and support costs involved in using Livescan equipment. On average, warranties to cover maintenance expenses can be \$5,000 per year. Smaller law enforcement agencies with low arrest volumes may not be able to justify or have the funds needed to purchase and maintain the Livescan equipment. However, the benefits to the agencies and the State of using Livescan grow as the number of arrests increases.

Fingerprinting and Disposition Matches

As discussed previously, missing or poor-quality fingerprints can have a negative impact on the State's disposition match rate. If an arrest was not posted to a RAP sheet either because a fingerprint was not taken, the fingerprint was not mailed to CBI, or the fingerprint was poor quality, a match will not occur. Furthermore, no record of the arrest or the eventual outcome of the prosecution will be available on the RAP sheet, meaning that RAP sheets will contain incomplete criminal history information.

In May 2003 the County Sheriffs of Colorado (CSOC), in collaboration with CBI, applied for a federal grant of \$922,500 under the State Homeland Security Grant Program to procure Livescan machines. If awarded, the grant will allow for the purchase and installation of Livescan equipment in the 44 remaining counties in Colorado that do not currently have the equipment. If the full amount of the grant request is not obtained, the CSOC plans to prioritize counties in terms of the highest to lowest number of arrests. While the grant monies will provide for the initial purchase of the Livescan equipment, as mentioned above, the ongoing costs associated with maintenance, support, and connectivity issues need to be addressed as well.

Recommendation No. 7:

The CICJIS Executive Policy Board should work with the Colorado Bureau of Investigation to:

- a. Continue efforts to obtain federal grant monies that would enable Livescan technology to be installed in all sheriffs' office booking facilities in the State.
- b. Coordinate and negotiate the procurement of Livescan machines in order to take advantage of volume discounts.
- c. Consider the need for necessary maintenance, support, and connectivity for the Livescan machines and develop a plan to provide this to the counties.

CICJIS Executive Policy Board Response:

- a. Agree. Implementation Date: In progress. We agree that continued efforts to fund the additional purchase of Livescan machines would be beneficial for the State, although the feasibility of enabling Livescan technology to be installed in all booking facilities in the State needs to be addressed. Such an effort should be handled as a new initiative or project and should follow a systems development lifecycle. In conjunction with the County Sheriffs of Colorado (CSOC), the State has already applied for federal funding, and we will continue to pursue such funding if denied.
 - b. Agree. Implementation Date: Pending final grant award. We agree that wherever possible, volume discounts will be pursued.
 - c. Agree. Implementation Date: Pending final grant award. We agree that the need for necessary maintenance, support, connectivity and funding for the Livescan machines needs consideration, yet producing a plan to provide this for all booking facilities may be unachievable due to regulatory constraints. Neither CICJIS nor CICJIS agencies have regulatory authority for the local booking facilities. We have found that the locations most able to support the technology funds and maintains their own Livescan machines as well as provides support and connectivity.
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Administration: The Future of CICJIS

Chapter 2

Background

The Colorado Integrated Criminal Justice Information System (CICJIS) currently supports the exchange of information contained in five state-level criminal justice legacy systems. As noted earlier, CICJIS itself stores minimal information; primarily, it is a computer information system that enables participating agencies to access and query data electronically from each other that previously were available mainly through paper-based means. The agencies that currently share data through CICJIS include the Judicial Branch, the Department of Corrections (DOC), the Colorado Bureau of Investigation (CBI) within the Department of Public Safety, the Division of Youth Corrections (DYC) within the Department of Human Services, and the Colorado District Attorneys Council (CDAC).

Chapter 1 discusses the primary functionalities of CICJIS as well as some of the limitations on the historical data available through the system. This chapter discusses additional limitations on the types of data currently available through CICJIS—for example, comprehensive data on misdemeanor and traffic violations. These limitations were self-imposed during the initial planning and design phases of the System in order to demonstrate successes before expansion to other case types and agencies. As a result, the System does not include the transfer of all types of criminal justice data. The CICJIS Program has recognized in its strategic plan that additional steps should be taken to address these limitations to make criminal history information more complete and further promote public safety. The following section outlines the significant areas that are not currently included in the information transferred through CICJIS and the status of the Program's efforts to integrate these missing areas into the system. Several additional administrative issues related to the organizational structure of CICJIS are also discussed.

Expansion of Data Included in CICJIS Program

Currently CICJIS is able to transfer arrest data from the Colorado Bureau of Investigation to the Judicial Branch and Colorado District Attorneys Council on any arrest in which the individual is fingerprinted, regardless of the class of the charge (e.g., felony, misdemeanor, or traffic). However, Judicial, CDAC, DOC, and DYC only transfer information from their systems for felony and juvenile cases. This means that if charges were filed in the case of an arrest for a misdemeanor, CDAC's information on charges filed by the district attorney and the Judicial Branch's information on the disposition of the case from the court would not be transferred electronically through CICJIS. Users generally rely on obtaining hard copies of this information or contacting other criminal justice agencies. An important exception is warrants and restraining orders; for these, Judicial transfers information across all case classes, including civil and domestic. Therefore, if a judge issues a restraining order or a warrant, that information will be transferred to the other agencies through CICJIS.

In addition to reviewing documentation on the CICJIS Program and in order to understand the types of additional information that need to be included in the Program for the System to be more comprehensive and therefore more useful, we surveyed a sample of 64 system users from the five agencies. We found that users from all five agencies agree with the CICJIS strategic plan that more case types need to be included in the Program.

Colorado Sex Offender Registry

CBI maintains the Sex Offender Registry, which is intended to be a complete listing of all individuals convicted of an unlawful sexual behavior offense. Most sex offenders convicted after 1991 are required to register with the local law enforcement agency where they reside. Senate Bill 02-10 in part modified Section 16-22-104, C.R.S., to require the courts, within 24 hours after sentencing a person convicted of unlawful sexual behavior, to electronically file the initial sex offender registration of the person with CBI. This is a new legislative mandate because registration at conviction was previously not required. Therefore, it is the State's intention that sex offenders will also be tracked while they are in custody of the State.

Since Senate Bill 02-10 was enacted after CICJIS was already in place, CICJIS does not now automatically transfer information regarding individuals who are registered as sex offenders by the courts for listing on the Registry maintained by CBI.

However, the collection and transmission of sex offender information are important for public safety.

Under House Bill 03-1034, CICJIS will facilitate the data transfer of sex offender registration information beginning on January 1, 2004. As of that time, CICJIS will be the initial method by which sex offender registration information is directly transferred from the courts to CBI's Sex Offender Registry.

Misdemeanor and Traffic Offenses

Comprehensive data on charges filed and dispositions for most misdemeanor and traffic arrests and summonses are not available through CICJIS transfers. However, users are able to query legacy systems for some of this information. For example:

- Judicial's Integrated Colorado On-Line Network (ICON) system currently contains court records and dispositions for misdemeanor and traffic offenses filed in the state-funded courts. This does not include Denver County Court and municipal court records. As a result, ICON only contains data on about 86 percent of misdemeanors and 60 percent of traffic offenses statewide as of 2001, the latest year for which data are available.
- The Colorado District Attorneys Council's (CDAC) Blackstone case management system contains case files and information on charges filed by district attorneys for more serious misdemeanor offenses. Blackstone also includes some traffic offenses, especially those that are the result of a charge subsequent to a more serious charge (e.g., speeding subsequent to a driving under the influence charge).

During our survey, users reported that they considered the inclusion of all misdemeanor and traffic offenses vital to enhance the future use of the CICJIS System. System users and representatives from Judicial, DOC, DYC, and CDAC stated that having access to complete data on misdemeanor and traffic offenses through CICJIS would better enable them to identify frequent offenders, obtain more comprehensive offender profiles, and better assess the needs of offenders.

To partly resolve the need for more comprehensive misdemeanor and traffic data, the Program plans to implement the CICJIS Online Presentation System (COPS) on October 30, 2003. The project will access misdemeanor and traffic cases based on confidence factors. For example, the COPS application may display with 90 percent certainty that the class 1 felony offender queried is the same person as the class 3 misdemeanor offender. Users will have this information to use as a guide for decision making (e.g., determine if the nature of a misdemeanor offense would have

an influence on bond recommendations by district attorneys). As a result, COPS will provide users with more consolidated criminal histories and more complete name searches because it will gather names from all five legacy systems. However, a minority of current users will not be able to benefit from the COPS project either because they do not have access to the application through the State's intranet or their agency elected not to use the COPS application interface.

Denver County Court

As discussed above, Judicial's ICON does not include City and County of Denver Court records. This is because Denver County Court and municipal courts are constitutionally not part of the state court system.

Our user survey found that the incorporation of court records particularly from Denver County Court is important to CICJIS System users. Denver County Court provides a significant percentage of court records statewide. According to the Judicial Branch news release dated December 3, 2002, Denver County Court was responsible for 29 percent of county court filings in 2001, the latest year for which data are available. These filings excluded from CICJIS do not include felonies, because felony complaints are bound over to Denver District Court after the preliminary hearing stage. All felony cases heard in district courts are available through the CICJIS System. However, System users from Judicial and DOC indicate that the exclusion of the remaining data is significant.

In November 2002, Denver County Court and the State Court Administrator's Office agreed to share data between their case management systems. The first phase will provide ICON users read-only access to Denver County Court records over the Internet. This is scheduled to be completed in summer 2003. Judicial staff report that Denver County Court users have had access to the ICON system for years. In phase two, Denver County Court data will populate the ICON system and make electronic information available between Denver County Court, ICON, and CICJIS System users beginning in Calendar Year 2005.

Municipal Courts

As previously mentioned, ICON does not include municipal court records, because municipal courts are under the jurisdiction of local municipal governments and are not state-funded courts.

During our survey we found that users support the integration of municipal court records into CICJIS for court and probation purposes. For probation officers, having municipal court dispositions would be beneficial, particularly for more serious

offenses, when preparing pre-sentence investigation reports or planning supervision. Court clerks report that system data would be more complete if municipal court records were included. For example, sometimes domestic violence cases are heard in municipal courts instead of district or county courts and, thus, are not currently available through ICON and CICJIS queries.

Recently some municipal courts have asked to be integrated into the ICON system. Judicial is currently piloting integration projects in the Broomfield and Fort Morgan municipal courts. Once these pilot projects are complete, several other municipal courts such as Centennial and Lakewood have demonstrated interest in being incorporated into ICON by the end of Calendar Year 2003. Judicial will continue to include all municipal courts into ICON that want to participate.

The expansion of the Program is critical in order for CICJIS to realize its vision to "provide the right information to the right people at the right time and place in the criminal justice process." The CICJIS Program, in recognition of the importance of including additional state and local entities and more information in the System, anticipates expansion of the System to include records from the Division of Motor Vehicles within the Department of Revenue in the future. These are important efforts and should be continued to enhance the overall value of CICJIS to the criminal justice community and the public.

Recommendation No. 8:

The CICJIS Executive Policy Board should continue to enhance the CICJIS Program by periodically assessing the needs of users in the Colorado criminal justice community systemwide and expanding the CICJIS Program scope to incorporate additional entities and information as appropriate.

CICJIS Executive Policy Board Response:

Agree. Implementation Date: Implemented and ongoing. We agree that the needs of criminal justice community users and other potential benefactors should be periodically assessed. CICJIS currently considers Program scope expansion and enhancement opportunities, and follows a process to prioritize various initiatives based on business case, as well as human and financial resource availability. The process includes conceptual discussions, business case evaluation, project plan development, resource availability and assignment, and scheduling the project. Over time, various efforts can change priority, be removed from efforts under consideration, change in concept, and be consolidated with other efforts.

Original System Deliverables

To receive approval of its plan from the Commission on Information Management (IMC), the CICJIS Program was required to submit quantified measures, or system deliverables, on what functionalities the System would include to the IMC. In June 1996 the CICJIS Task Force developed the list of 60 deliverables for CICJIS (see Appendix B for list). The Task Force comprises executive directors' designees from the five participating agencies. The list was based on information compiled by Task Force members who traveled throughout the State and met with users in the five criminal justice agencies to determine a comprehensive list of data transfers and queries that would integrate the five agencies' legacy systems. These interviews included Judicial, probation, law enforcement, DYC, DOC, and Front Range district attorney staff.

The CICJIS Task Force removed 10 of the original deliverables from the list because they were deemed unnecessary or duplicative of functions already in place. However, two of the original deliverables that were not removed from the list have not yet been implemented. One of these deliverables is the Detention Transfer, which would allow the initial case transfer for the detention incident record to be connected with the court case. As a result, CICJIS will be able to forward all subsequent case-based transactions such as the SID update to DYC. The other deliverable is the Sealed Records Transfer, which would enforce system security standards by ensuring that only authorized system users can view court-sealed records. At the time of our audit, CICJIS personnel had not established final implementation dates for these two deliverables.

The CICJIS Program should identify realistic implementation dates and complete the two remaining deliverables. If personnel believe that these deliverables are no longer needed or are not cost-effective, the CICJIS Program should justify to the Joint Budget Committee why these deliverables should be deleted.

Recommendation No. 9:

The CICJIS Executive Policy Board should determine if the two remaining deliverables are still necessary to enhance the system and, if so, develop a schedule for their implementation.

CICJIS Executive Policy Board Response:

Agree. We agree with reviewing and determining the necessity of inclusion of the two remaining original deliverables in the CICJIS Implementation project.

Implementation Date: Detention transfer completed December 2003. The Detention deliverable is partially complete. Detention information, including supervision contacts from DYC to CICJIS was implemented in November, 2001. The information is available on the existing current status query, yet has not been incorporated into the agency legacy system query results. Expected completion of the additional information in both legacy and in the new web current status query results is scheduled to be delivered with the COPS web query project, targeted for December 2003.

Implementation Date: No date provided. The Sealed Case transfer deliverable may no longer be necessary. Further research on statute and form changes is required to make final determination. It appears statute makes it the responsibility of the petitioner to collect all of the appropriate information and notify the agencies of these decisions. Further, it appears that it is not the responsibility of the court to serve these paper copies. For example, there are some situations where individuals or agencies need to be notified that are not part of the CICJIS transfer process, and therefore, paper will need to be continued for those notifications. Major statutory changes would be necessary to eliminate the need for paper.

CICJIS Governance Structure

Administratively, CICJIS is an independent program that relies on the equal participation of the five criminal justice agencies. While housed in the Department of Public Safety for administrative and funding purposes, CICJIS policy and direction are established by the Executive Policy Board, which consists of the executive directors of the five criminal justice agencies. Section 16-20.5-103, C.R.S., states that:

The program shall be implemented by the criminal justice information program task force. . . Membership of this task force shall be comprised of the executive directors of the department of public safety, corrections, human services, Colorado district attorneys

council, and the state court administrator or their respective designees.

This governing board for CICJIS is currently referred to as the Executive Policy Board (Board). The Board has designated a subcommittee to oversee the day-to-day operations of CICJIS. This group is referred to as the Task Force and is composed of two agency CIOs, one Deputy Director, one Special Projects Manager, and one Information Technology Program Manager. The Task Force meets weekly to discuss issues regarding the CICJIS System.

While statutes are clear in defining the membership of the CICJIS governing board, statutes do not anticipate whether the future expansion of the CICJIS System should affect the composition of the Board. For example, municipal courts are moving toward inclusion into CICJIS. On the state level, the CICJIS Program anticipates that eventually records from the Division of Motor Vehicles within the Department of Revenue could be part of the system. To effectively represent the views of all stakeholders, the Board should have a mechanism in place to expand its membership. To date, the Executive Policy Board has not determined how to incorporate additional state and local criminal justice entities into the CICJIS Program.

Governance Structures of Other States

We reviewed the governance structure for CICJIS with similar information for several other states with integrated criminal justice systems. While states differ in the design and governance of their criminal justice information systems, the states we surveyed generally agree on which characteristics of governance are beneficial for the systems and their users. Specifically, states we reviewed agreed on the importance of having the courts, various law enforcement and corrections agencies, and local agencies involved in their systems.

According to data reported by the SEARCH National Consortium for Justice Information and Statistics, 42 states plus the District of Columbia have established integrated criminal justice projects. These states have adopted various governing structures for their integrated criminal justice system programs. Many of the states have included more entities in their governing structures than Colorado. For example, while Colorado has representatives from the Departments of Public Safety and Corrections, the Judicial Branch, the Division of Youth Corrections, and a district attorney organization, the following states include other members in their governing structures:

- Wyoming includes judges, court clerks, state law enforcement, local law enforcement, private attorneys, public representatives, and information technology managers.
- Oregon includes the Oregon State Police, Oregon Criminal Justice Commission, Oregon Department of Transportation, State Board of Parole and Post-Prison Supervision, Board on Public Safety Standards and Training, Oregon Association of Chiefs of Police, Oregon Sheriffs Association, Oregon Jail Managers Association, Oregon Department of Administrative Services, Oregon Association of County Data Processors, Oregon Liquor Control Commission, and the Oregon Department of Fish and Wildlife.
- Nebraska includes the Nebraska Parole Board, Nebraska Crime Commission, League of Nebraska Municipalities, Nebraska Association of County Officials, Clerks of the District Court Employees, Nebraska State Patrol, Police Officers Association of Nebraska, Police Chiefs Association of Nebraska, Nebraska Sheriffs Association, Nebraska Probation Administration, Nebraska County Attorneys Association, Nebraska Criminal Defense Attorneys Association, and Nebraska Attorney General's Office. Representatives of the Nebraska Department of Education, Department of Roads, and Department of Motor Vehicles. Additionally, representatives from the Legislature and the Legislative Fiscal Office have actively participated in the integrated system committee meetings.
- Kansas includes representatives from the Supreme Court and the Governor's Office.
- Oklahoma includes representatives from Telecommunications Systems, Oklahoma Bureau of Narcotics and Dangerous Drug Control, Oklahoma Association of Chiefs of Police, and Oklahoma Sheriffs Association.
- Wisconsin includes representatives from 26 state and local entities. The members include technology professionals, law enforcement officers, prosecutors, clerks of court, and representatives of the funding organizations.

Because of the significant size and complexity of integrated justice systems in the states, periodically reviewing governance is important. CICJIS has evolved from a start-up project to a more mature phase of its life cycle. It is now prime for expansion and enhancements. This is an ideal time to review governance and reporting relationships and reevaluate its mission. Because the composition of the governing body is statutorily prescribed, this may require statutory changes.

CICJIS CIO

Another issue related to CICJIS's organizational structure that may need to be addressed through statutory change involves the placement of the System's chief information officer. Section 16-10.5-103, C.R.S., requires that the Governor and the Chief Justice of the Colorado Supreme Court jointly designate a member of the Task Force to serve as the Chief Officer; as noted earlier, the statutory Task Force is in practice referred to as the Executive Policy Board. The Board has designated a subcommittee made up of designees from participating entities to oversee day-to-day operations, and this latter group is referred to as the "Task Force."

Currently the CICJIS Program's Chief Officer, referred to as the CICJIS Chief Information Officer (CIO), reports directly to the Executive Policy Board but is not a member of the Board itself. This is not consistent with statutes, which require that the CIO be appointed from among the statutorily defined members of the Board. Instead, the CIO is a state position funded through the Department of Public Safety. As the CICJIS Program director, the CIO monitors the status of CICJIS projects, identifies current and potential problems with the System, and supervises the CICJIS Central staff. Additionally, the CIO provides vision and direction for the program while also representing CICJIS at Joint Budget Committee hearings.

Representatives from the five agencies told us that the CICJIS CIO needs to be independent of both the Task Force and the Executive Policy Board because the CIO needs to be unbiased and build consensus among the five agencies. Representatives expressed that the CIO position should remain as it is, an independent position supervised by the CICJIS Executive Policy Board members. While it is reviewing the governing structure of CICJIS, the Executive Policy Board should determine if it needs a statutory change to define the position of the chief information officer.

Recommendation No. 10:

The CICJIS Executive Policy Board should review the current governing structure to accommodate the future growth of CICJIS and seek statutory change as appropriate, including any needed clarification on the organizational placement of the chief information officer.

CICJIS Executive Policy Board Response:

Agree. Implementation Date: March 2004. We agree that the CICJIS Program governance structure should be periodically reviewed upon

significant Program scope changes. Further, we agree that the current governance structure should be reviewed to consider statutory changes or clarifications, particularly with respect to the role and organizational placement of the Program's chief officer.

Appendix A
Total Funding for Integrated Justice Information Systems by State

Total Funding for Integrated Justice Information Systems As Reported on the SEARCH National Consortium for Justice Information and Statistics Web Site		
State	Integrated Justice Information System	Total Funding
Alabama	Office of Law Enforcement Systems Integrations and Standards	\$248,000
Alaska	Alaska Criminal Justice Information System	\$15.3 million
Arizona	Arizona Criminal Justice Integrated Information System	\$241,000
Arkansas	Arkansas Integrated Justice Information Systems	\$910,563
California	California Integrated Criminal Justice Enterprise Information System	No information reported
Colorado	Colorado Integrated Criminal Justice Information System	\$8.6 million *
Connecticut	Connecticut Criminal Justice Information System – Offender Based Tracking System	\$23.6 million
Delaware	Delaware Criminal Justice Information System	\$10 million
Florida	Florida Criminal and Juvenile Justice Information System	\$44.8 million
Georgia	Georgia Criminal Justice Record Improvement Plan	\$12 million
Hawaii	CJIS – Hawaii	No information reported
Illinois	Illinois Integrated Justice Information System	No information reported
Indiana	Project Hoosier Safety Acting for Everyone Together (SAFE-T)	No information reported
Iowa	Iowa Justice Information System	\$179,395
Kansas	Kansas Criminal Justice Information System	\$12 million
Kentucky	Unified Criminal Justice Information System	\$37.3 million
Louisiana	Louisiana Integrated Criminal Justice Information System	\$1.5 million
Maryland	Maryland Integrated Inter-Agency Justice Information Systems	\$1.1 million

**Total Funding for Integrated Justice Information Systems
As Reported on the SEARCH National Consortium for Justice Information and
Statistics Web Site**

Michigan	Michigan Criminal Justice Information System	No information reported
Minnesota	The Minnesota Approach to Integration: An Enterprise Information Architecture	No information reported
Missouri	Missouri's Integrated Justice Information System	No information reported
Montana	Montana Criminal Justice Information Services Project	\$500,000
Nebraska	Nebraska Criminal Justice Information System	\$3.9 million
Nevada	Nevada Criminal Justice Information System	\$1.6 million
New Jersey	New Jersey Criminal Justice Information System	\$8 million
New Mexico	New Mexico Justice Information Sharing Project	\$368,465
New York	eJusticeNY	No information reported
North Carolina	North Carolina Criminal Justice Information Network	\$38 million
North Dakota	North Dakota Criminal Justice Information Sharing Plan	\$1.4 million
Ohio	Ohio Criminal Justice Information System	No information reported
Oklahoma	Oklahoma Integrated Criminal Justice Information System	over \$9 million
Oregon	Oregon Criminal Justice Information Standards Program	No information reported
Pennsylvania	Pennsylvania Justice Network	\$9 million
Rhode Island	Rhode Island Justice Link Public Safety Network	No information reported
South Carolina	South Carolina Criminal Justice Information System Initiative	No information reported
Tennessee	TBD	\$2 million
Texas	Texas Integrated Justice Information System	No information reported
Vermont	Vermont Criminal Justice Integration Services	\$150,000
Virginia	Virginia Integrated Criminal Justice Information System	\$20 million

**Total Funding for Integrated Justice Information Systems
As Reported on the SEARCH National Consortium for Justice Information and
Statistics Web Site**

Washington	Washington Justice Information Network	No information reported
Washington, D.C.	JUSTIS	\$3 million
Wisconsin	Wisconsin Justice Information Sharing Project	No information reported
Wyoming	Wyoming Judicial Technology Initiative	No information reported

Source: Unaudited information reported on the SEARCH National Consortium for Justice Information and Statistics Web Site (www.search.org) as of July 23,2003.

* See Overview pg. 17 for current CICJIS updated total funding figures.

Appendix B
Original Colorado Integrated Criminal Justice Information System
(CICJIS) Deliverables

Colorado Integrated Criminal Justice Information System Original 60 Deliverables		
Number	Deliverable Description	Actual Implementation Date
1	Arrest Charge Information to District Attorneys (DAs) from Fingerprint through Colorado Bureau of Investigation (CBI)	December 31, 2000
2	District Attorney (DA) Filings to Courts and CBI	December 31, 2000
3	Arrest Information to Courts and DAs if Fingerprint not available or by Summons	December 31, 2000
4	Scheduled Event Query from Judicial by Division of Youth Corrections (DYC)	December 31, 2000
5	Updates to Charges filed by DAs to Courts and CBI	December 31, 2000
6	Court Scheduled Events to DAs	December 31, 2000
7	Case Disposition to CBI and DAs – Department of Corrections (DOC) and DYC if necessary	December 31, 2000
8	Sentencing Information to DAs and CBI	December 31, 2000
9	Parties in Case to DAs – DOC and DYC if necessary	December 31, 2000
10	Mittimus to DYC or DOC	December 31, 2000
11	Youth Level of Supervision Inventory (YLSI) Assessment to DYC from Courts	December 31, 2000
12	Level of Supervision Inventory (LSI) Assessment to DOC from Courts	December 31, 2000
13	Victim Information from DAs to Courts – DYC and DOC if necessary	December 31, 2000
14	In and Out of Custody from Courts, DOC, and DYC to CBI	June 30, 2001
15	Restraining Orders from Courts to CBI	December 31, 2000
16	Warrants from Courts to CBI	December 31, 2000
17	Cancellation of a Want on a Warrant from CBI to Courts	December 31, 2000
18	Escape Information from DOC and DYC to Judicial and CDAC	removed by Task Force because not required
19	Alerts from All Agencies to the Central Index Database	June 30, 2001

Colorado Integrated Criminal Justice Information System Original 60 Deliverables		
20	Bond Information from the Courts to DAs	December 31, 2000
21	Messaging after a Contact by Law Enforcement Agencies (LEA) through CBI to Judicial, DOC, and DYC	June 30, 2001
22	General Messaging or Mail System from All Agencies to All Agencies	December 31, 2000
23	Detention Information from DYC to Judicial and DOC	remains unimplemented
24	Escape Information from DYC and DOC to CBI	removed by Task Force because not required
25	More Detailed Assessment Data from Probation to DOC	removed by Task Force because not required
26	Sealed Record Orders from Courts to Other Agencies	remains unimplemented
27	Update Translation Tables from Agencies to Central Index	December 31, 2000
28	Offender Current Status from Central Index by All Agencies	June 8, 2001
29	Arrest Information from CBI by Judicial and DAs	December 31, 2000
30	Probation Case History from Judicial by CBI	removed by Task Force because not required
31	Criminal History from CBI by Judicial, DAs, and DOC	December 31, 2000
32	Driver's History from CBI by Judicial, DAs, and DOC	December 31, 2000
33	Defendant Information from DAs by CBI	December 31, 2000
34	DOC Profile by CBI, DAs, and Judicial	removed by Task Force because not required
35	DYC Profile by DAs, Judicial, and CBI	removed by Task Force because not required
36	LSI from DOC and Judicial by DOC, Judicial, and DAs	December 31, 2000
37	YLSI from DYC by DOC, Judicial, and DAs	December 31, 2000
38	Minute Orders from Courts by DAs	December 31, 2000
39	Rap Sheets from CBI by DOC, DYC, Judicial, and DAs	December 31, 2000
40	Restraining Orders from CBI by DOC, Judicial, and DAs	December 31, 2000
41	Wanted Vehicles from CBI by DOC, Judicial, and DAs	removed by Task Force because not required

Colorado Integrated Criminal Justice Information System Original 60 Deliverables		
42	Warrants from CBI by DOC, Judicial, DAs, and DYC	December 31, 2000
43	Detainers from DOC by CBI	removed by Task Force because not required
44	DA Alerts from DAs by CBI	December 31, 2000
45	Arrest Information from CBI by DYC	June 30, 2001
46	Criminal History from CBI by DYC	December 31, 2000
47	Driver's History from CBI by DYC	June 30, 2001
48	Restraining Orders from CBI by DYC	June 30, 2001
49	Wanted Vehicles from CBI to DYC	June 30, 2001
50	Article Pawning from CBI by DAs	removed by Task Force because not required
51	DA Alerts by Judicial, DOC, and DYC	December 31, 2000
52	Mittimus Information from Judicial by CBI	December 31, 2000
53	Probation Case History by CBI, CDAC, DYC, and DOC	removed by Task Force because not required
54	Financial Query from Judicial by DOC and DYC	December 31, 2000
55	Transfers Will Keep Agencies IDs in sync with SID or Pseudo SID and Each Other in CICJIS Index Database	February 18, 2003
56	Transfers Will Update the CICJIS Index with Any Status Change and Pertinent Information Regarding the Events	June 30, 2001
57	Translations of Data Between Each Agency Will Take Place with Each Transfer	December 31, 2000
58	Security Will Be Maintained at the CICJIS Level but Agencies Can Control Security through Their Own Normal Means	December 31, 2000
59	Help Desk Applications Will Be Developed for CICJIS to Centrally Manage User Problems	December 31, 2000
60	Decision Support – Central Index Database Will Be Loaded with Data from Legacy Systems and as Many Offenders Will Be Matched as Possible. Old and New Offenders Will Continue to Be Linked Once the System Is Live, Permitting Statistics Across the Various Systems. As the Data Dictionary Has Been Established Measures Across Systems Will Be Possible, Including the Population of “Data Marts”	June 30, 2001
<p>Source: Office of the State Auditor summary of the Original 60 Deliverables document provided by the CICJIS Program.</p>		

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