

KENTUCKY CRIMINAL JUSTICE STATISTICAL ANALYSIS CENTER

THE MISSION

The Kentucky Criminal Justice Statistical Analysis Center (SAC) was established in 1984 as a centralized clearinghouse for criminal justice statistics. A major objective of SAC is to gather concrete data about the criminal justice system in Kentucky and to disseminate that data statewide. With this information, policymakers will be better able to make criminal justice decisions.

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- Persistent Felony Offenders in Kentucky: A Profile of the Institutional Population (1985)
- Child Abuse and Neglect in Kentucky: 1978-1984 (1985)
- The Aftermath of Criminal Victimization: A Statewide Survey (1985)
- An Offender-Based Tracking System Study of Three Judicial Districts in the Commonwealth of Kentucky (1985)
- A Data Inventory of Kentucky's Criminal Justice Agencies (1985)
- Strengthening Kentucky's Capacity to Produce Criminal Justice Statistical Information: A Needs-Use Assessment (1985)

THE CENTER

The Kentucky Criminal Justice Statistical Analysis Center is housed in the Office of the Attorney General, Commonwealth of Kentucky, and operated by the Urban Studies Center--the policy research component of the College of Urban & Public Affairs--in cooperation with the U.S. Bureau of Justice Statistics.

SAC is available to assist you in meeting your data and information needs. For more information contact:

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A DATA INVENTORY OF KENTUCKY'S CRIMINAL JUSTICE AGENCIES

Research Report Series: Number 5

Conducted by
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Kentucky Criminal Justice Statistical Analysis Center

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ACQUISITIONS

AUTHOR'S NOTE

Mr. Jack Ellis, principal investigator of this study, is the SAC manager and a member of the staff of the Urban Studies Center.

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This report is a product of the Kentucky Criminal Justice Statistical Analysis Center.

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COMMONWEALTH OF KENTUCKY
OFFICE OF THE ATTORNEY GENERAL

DAVID L. ARMSTRONG
ATTORNEY GENERAL

CAPITOL BUILDING
FRANKFORT 40601

November 21, 1985

Dear Friend:

The Kentucky Criminal Justice Statistical Analysis Center is now one year old. This report is one of six work products developed by SAC in its first year of operation. Each of these reports validates, I believe, the hard work and effort that went into getting the SAC started.

I am firmly convinced that the lack of good data and analyses has contributed to the problems we face in the criminal justice system. The SAC staff and I are committed to overcoming this deficiency in our criminal justice system.

The entire SAC Team deserves to be acknowledged for their efforts. The SAC has also had strong support and encouragement from the Bureau of Justice Statistics, U.S. Department of Justice--especially from our grant coordinator, Mr. Don Manson.

Please take the time to study this research. We can all learn from it. If you have questions, please feel free to contact me or the SAC staff. Together, we can make a difference for criminal justice in Kentucky.

Sincerely,

DAVID L. ARMSTRONG
Attorney General

DLA/mb

EXECUTIVE SUMMARY

The criminal justice data inventory is a preliminary examination of statistical information data systems in Kentucky government agencies. This study was conducted with personnel from 13 criminal justice agencies which maintain offender and/or victim data at the state level. Six of the agencies collect offender/victim data on an ongoing basis; three of them, Administrative Office of the Courts, the Corrections Cabinet, and Kentucky State Police, have computerized systems and were the primary sources for the information contained in this inventory report. Questions addressed include:

Is There Consistency in the Type of Information on Offenders and Victims Currently Being Captured by the Criminal Justice Agencies?

- Agencies have their own unique definitions for data elements and the type and amount of data varies across agencies.
- Computer systems are not compatible between agencies.

How Much Duplication Occurs Across These Agencies?

- Almost no duplication occurs across agencies. It is primarily limited to intra-agency overlapping.

What is the Extent of Computerization of Data in the Agencies?

- Most agencies have both manual and computerized record keeping systems.
- Four agencies have most of their information computerized.
- Several agencies are preparing to update their computer capabilities or add new hardware.

How Can Data be Requested From Each Agency and in What Form Will the Information be Available?

- Contact person, address, and telephone number from each agency are listed on a four-page grid.
- Cost and time for delivery, as well as the frequency of interim reports, are also included on the grid.

How Can This Data be Utilized by Legislators and State Agency Policymakers?

- The inventory allows for a side-by-side comparison of agency data collection capabilities within the criminal justice system.

What Potential Applications to the Current Criminal Justice System Are Possible?

- Uniformity across agencies in defining common data elements.
- Interagency cooperation and coordination of file layouts in computerized information systems.
- Introduction of a proposed Offender Based Tracking System (OBTS) model to collect information from 12-15 jurisdictions and include 60-70 percent of the total caseload in the Commonwealth.
- Establishment of a central office to administer the necessary modifications to assure compliance to mandated data goals including a unique identifier for each defendant and proper security measures for data maintenance and retrieval.

TABLE OF CONTENTS

Letter From the Attorney General iii

Executive Summary iv

List of Illustrations vii

Acknowledgements viii

Background and Purpose 1

Methods and Procedures 3

 Research Setting 3

 Data Collection 4

 Agency Participation 5

Results of the Inventory 7

 Description of Offender Systems 7

 Kentucky State Police 7

 Administrative Office of the Courts 10

 Corrections Cabinet 11

 Department for Public Advocacy 12

 Description of Victim Systems 12

 Kentucky State Police 14

 Cabinet for Human Resources 14

 Crime Victims Compensation Board 14

 Analysis of State Maintained Data Systems 15

 Types of Data 15

 Storage and Access 15

 Data Collection Time Period 15

 Retention Period 16

 Strengths and Limitations 16

 Form Changes 16

 Cost/Time for Requests 16

 Interim Reports 17

Utilization and Applications 18

References 20

Appendices

LIST OF ILLUSTRATIONS

1. Offender/Victim Data Collection	8
2. Offender Data	9
3. Victim Data	13

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This study of the statistical informational needs and uses in Kentucky is one of six studies completed by the Kentucky Criminal Justice Statistical Analysis Center (SAC) during its first year in operation. Foremost, the data inventory study would not have been possible without the funding from the Bureau of Justice Statistics (BJS), U.S. Department of Justice. Mr. Don Manson, who served as BJS's grant manager for the SAC, provided particularly valuable comments and support. His assistance is appreciated.

It is also important to acknowledge Kentucky Attorney General David L. Armstrong for his vision in seeing a need for such a study. His support and review is appreciated. Mr. C. Bruce Traugher, executive assistant to the attorney general in Kentucky and co-director of the Kentucky SAC, provided direction and valuable input to the development, analysis and presentation of the survey results. Ms. Lisa Wright and Ms. Iris Lewis, of General Armstrong and Mr. Traugher's staff, should also be acknowledged for their responsiveness to the project.

The Kentucky SAC would like to thank state agency personnel for taking the time to grant interviews. This initial inventory will provide useful information for persons in all criminal justice agencies who need offender/victim data. Members of the Ohio SAC assisted in guiding the project over pitfalls encountered in a similar pilot study undertaken earlier in their state.

The project could not have been accomplished without the assistance of a number of Urban Studies Center personnel. Dr. Knowlton W. Johnson was instrumental in conceptualizing the data inventory and the questionnaire. Ms. Betsy Jones helped in designing and printing the state agency grid. Furthermore, Mr. Doug Whitesides was extremely helpful in compiling data from the original questionnaires. The many proofreaders who took the time to make sure this was a quality product deserve recognition with special thanks to Ms. Monica Bowles, Ms. Lisa Johnson, Ms. Keitha Brasler, and Ms. Sharon Mader.

BACKGROUND AND PURPOSE

In 1971, the Law Enforcement Assistance Administration (LEAA) began awarding grant funds to state governments to establish Statistical Analysis Centers (SAC's). The primary goals for these centers are:

- to produce useful research and statistical information for criminal justice policy making;
- to stimulate information systems development which spans the entire criminal justice system; and
- to serve as a clearinghouse for data collected from various sources.

States are eligible for three full years of federal funding to establish and operate a SAC; if proven successful, then each state is expected to appropriate the necessary funds to support the center. Most of the established SAC's also receive additional federal dollars through grants awarded on a year-to-year basis. Currently, 45 states and territories have a state-funded SAC operation.

The Commonwealth of Kentucky presently receives federal funding under this "seed" program to operate a Criminal Justice Statistical Analysis Center. The SAC is housed in the Attorney General's Office and operated by the Urban Studies Center, the policy research component of the College of Urban & Public Affairs at the University of Louisville. This state government-university partnership is more efficient than developing the necessary expertise and capabilities in the Office of the Attorney General.

One of the six research projects selected for the first year of SAC was a Data Inventory of Kentucky's State Level Criminal Justice Agencies. The impetus for this study stemmed from the Joint Committee on Appropriations and Revenue for Courts and Corrections, and the Judiciary in Kentucky held hearings during the summer of 1985 in an attempt to ascertain:

- What kind of data is each agency currently collecting?
- What is the extent of interaction among the criminal justice agencies?
- Is there a foundation for establishing a cooperative, statewide Offender Based Tracking System within these agencies?

Thus, this agency data inventory was designed to focus on "where are we now"--that is, compile an accurate picture of current data collection procedures in order to assist the various agencies and the Kentucky legislature to: 1) assess the efficiency and usefulness of these practices; and 2) begin the process of creating uniformity among the various criminal justice agencies' data collection.

It is important to point out that this report is an **initial** study of state criminal justice data bases in Kentucky. It is not meant to be an exhaustive study of all criminal justice agencies' data and systems. However, it is hoped that the study will stimulate inter- and intra-agency discussion of and cooperation in defining common data elements and using a systems approach, rather than an agency perspective. This report includes a discussion of research methods and data collection results of inventory and analysis of the data systems. A final section examines the utilization and applications of the findings.

METHODS AND PROCEDURES

Research Setting

The criminal justice system in Kentucky is comprised of numerous agencies in state and local governments located throughout the state. In regard to law enforcement at the state level, the Justice Cabinet (whose secretary reports directly to the Governor) is responsible for the state police and several law enforcement training programs, in addition to victim assistance and juvenile justice federal projects. Other police officials at the federal and local levels are located at regional and county levels. Sheriffs' departments are located in each of the 120 counties of Kentucky and municipal police departments are distributed throughout the state.

The attorney general is the state prosecutor of Kentucky which is an elected, four-year position. Commonwealth attorneys are elected, six-year officials. There are 56 commonwealth attorneys' offices, with varying staff sizes, located in each of the judicial districts across the state; these offices handle felony cases. The county attorney, also an elected official in each of the 120 counties, responds to the initial screening for felony cases and processes misdemeanor cases to their completion. Defendants are represented either by private attorneys, the state's public advocates or appointed public defenders. In larger urban areas there is a full-time public defender's office; in most counties of Kentucky, the public advocate function is subcontracted to a local private attorney.

The Kentucky court system is directed by the Administrative Office of the Courts (AOC), with a central office in Frankfort and 56 judicial district offices across the state. Pretrial Services is also under the authority of AOC. In each of these judicial districts, there is an elected circuit court clerk and an appointed staff responsible for administering the affairs of both circuit and district courts.

Kentucky has a supreme court comprised of seven members and a court of appeals comprised of 14 judges in the state. Within each judicial district there are circuit court judges handling felony cases and district court judges responsible for misdemeanor cases and the screening of felony cases.

Kentucky has a Corrections Cabinet whose head reports to the Secretary of the Governor's Executive Cabinet. Corrections is made up of an administrative division, a division of institutional care which includes personnel of the

eight state prisons, and the Department of Community Services and Facilities Management which includes probation and parole. Each of Kentucky's 120 counties has a jailor who is elected every four years and primarily responsible for booking, pretrial detention and contract institutional services.

Juvenile justice is handled on both county and state levels. Determining whether or not a juvenile is involved in a crime is a function of county officials. The Cabinet for Human Resources has one division located in the Department for Social Services that is responsible for the treatment of adjudicated youths. There is also Kentucky Youth Advocates, a private youth assistance organization.

Additionally, numerous governmental and private social support agencies provide services to clients (defendants, offenders, or victims) of the justice system. The state's Cabinet for Human Resources provides social services for domestic violence victims and abusers. There are also private agencies in many counties that provide these services. The State Commission on Women and the Crime Victims Compensation Board offer services for households touched by crime.

Finally, the Governor's Office and the legislative branch of state government are responsible for key criminal justice decisions in Kentucky. In particular, the state legislature has both House and Senate committees on criminal justice issues that are staffed by members of the Legislative Research Commission.

Data Collection

An Alaskan report on statewide agency information systems (Lonner, et al., 1984) provided the framework for the interview form. Subsequently, all 13 state agencies associated with criminal justice issues were contacted. Using the inventory information collection form (Appendix A), the author spoke with persons most familiar with each agency's data forms, procedures and systems.

The most important criteria in choosing which data form to include in this report were based on the collection of information on felony (prison terms of one year or more) cases, plus the idiosyncratic nature and/or the potential usefulness of particular kinds of data. Note, however, that forms which documented transfers, write-ups or status changes within the particular

institutional system were not included (especially those in the Corrections Cabinet).

In the pilot Offender Based Tracking System (OBTS) study (see Report Number 4: An Offender Based Tracking System Study of Three Judicial Districts in the Commonwealth of Kentucky) undertaken by SAC, data items were collected using methods and definitions both similar and dissimilar to elements being used in these agencies. Most OBTS systems focus on tracking an offender through the criminal justice system from initial contact with the police or courts until disposition of the case. The SAC pilot project, on the other hand, took the process one step further to parole or probation of the offender from the courts or corrections. Therefore, the way that the same data elements were defined and collected from several agencies could be compared, allowing SAC to determine the most efficient, comprehensive definition. These comparisons could be very helpful, in light of the fact that several of the agencies are in the process of establishing new, upgrading older and/or modifying current systems.

Agency Participation

In the Administrative Office of the Courts, three positions are responsible for information dissemination: the information and statistics manager who handles data requests for the agency, the Pretrial Services manager and the data processing manager who are responsible for dissemination of information in their respective units. The data processing manager also provides information from the computerized Statewide Criminal History.

The Planning and Evaluation Branch of the Corrections Cabinet handles data requests for the agency. The branch manager disseminates information on institutionalized inmates. Most of the information is computerized on the Offender Record Information Operation Network (ORION). Requests for probation and parole data are handled by the director of the Probation and Parole Division.

All requests for information from the Department of Public Advocacy are administered by the agency's management information specialist.

The Kentucky State Police collect information from arrest to disposition on all cases originating in their agency. All other cases are handled by local agencies throughout the state. The supervisor of the records section handles hardcopy requests for information on arrests. The administrative

section supervisor administers hardcopy requests for disposition information. Dissemination of computerized information on offenders or victims is the responsibility of the director of information services.

The Department for Social Services systems administrator handles any computer requests for case information involving child or domestic abuse. The executive director for the Crime Victims Compensation Board fields any requests for information from the agency.

The remaining seven agencies do not collect offender/victim data on an ongoing basis. These agencies that were contacted during the study include the Commission on Women, Department for Information Services, Department of Justice, Governor's Office, Jailors Association, Legislative Research Commission, and the Office of Attorney General.

RESULTS OF THE INVENTORY

The inventory discovered, not surprisingly, that most of the data currently being collected are centered in three agencies: Kentucky State Police (KSP), Administrative Office of the Courts (AOC), and Corrections Cabinet (Figure 1). Each of these agencies utilize varying degrees of computerization for maintaining the data. Additionally, both the Cabinet for Human Resources and the Department for Public Advocacy have computerized information systems, as well. The Department for Information Services maintains all the computerized systems with the exception of the Administrative Office of the Courts. Several manual systems of information gathering also exist within most of these agencies.

Description of Offender Systems

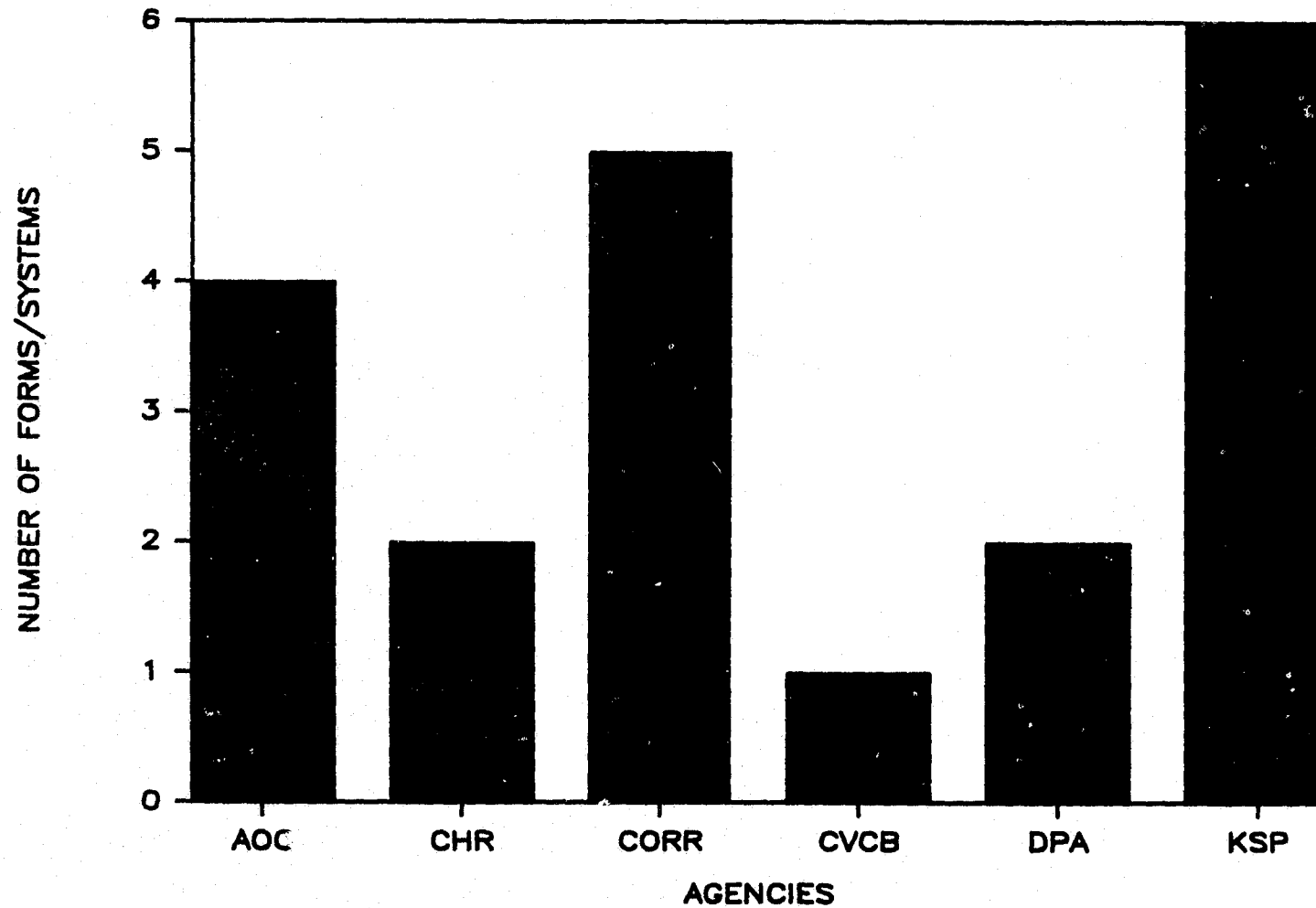
Offender data were compiled using eighteen forms from four agencies: Kentucky State Police, Administrative Office of the Courts, Corrections Cabinet, and Department for Public Advocacy (Figure 2).

Kentucky State Police

The Kentucky State Police, which serves as the first step of the criminal justice system, maintains data primarily on arrest information. A uniform citation is issued for all offenses. Citations, including those for misdemeanor and felony offenses, are computerized after being sent to the central office and each offense can be assigned a unique citation number for tracking purposes. Currently, most local law enforcement jurisdictions use their own citation forms and send only summary information to KSP for federal reports, such as the Uniform Crime Report (UCR). To comply with **voluntary** federal reporting requirements, the Kentucky State Police must use a total of eight separate forms to compile the appropriate data from the summary reports. Two fingerprint cards are also completed upon arrest; one card is sent to the FBI, and one card is retained for the KSP files. These fingerprint cards are made available to any local, state or federal law enforcement agency and can be used for persistent felony offender (PFO) identification.

Figure 1

OFFENDER/VICTIM DATA COLLECTION

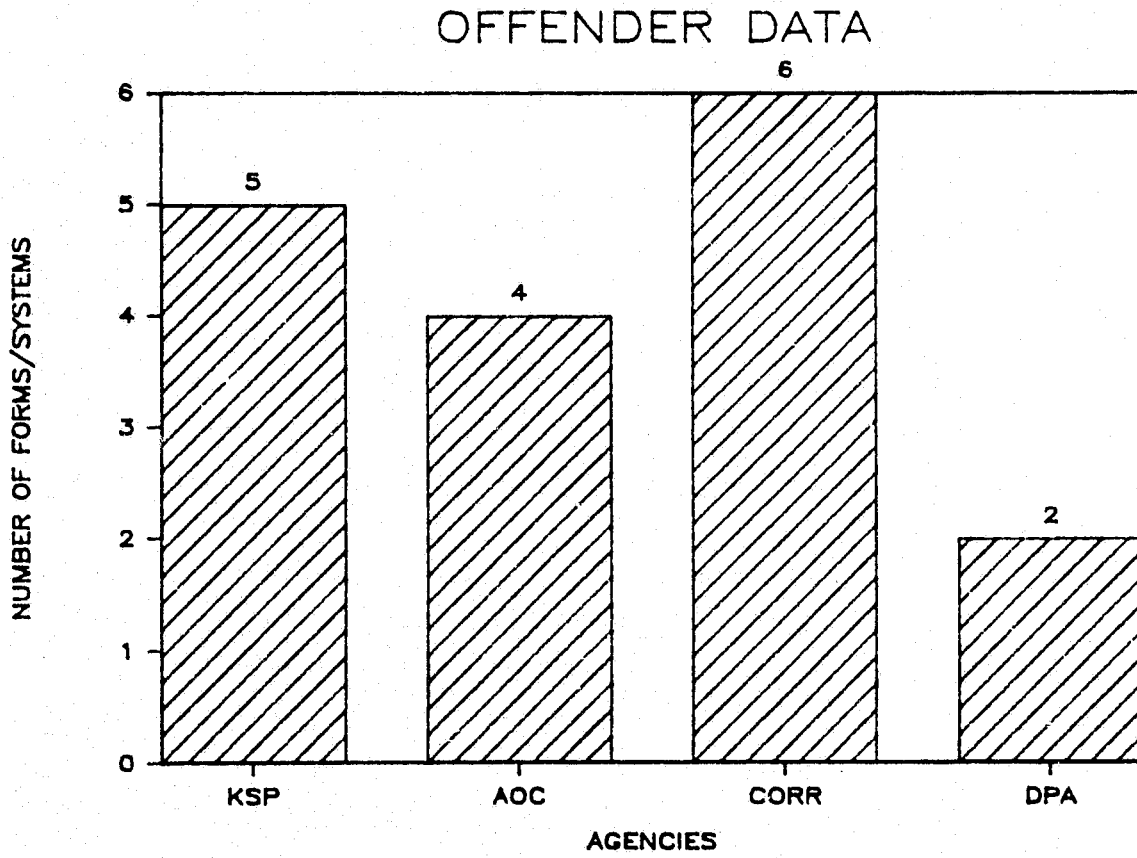


8

AOC -Administrative Office of the Courts
CHR -Cabinet for Human Resources
CORR-Corrections Cabinet

CVCB-Crime Victims Compensation Board
DPA -Department of Public Advocacy
KSP -Kentucky State Police

Figure 2



KSP- Kentucky State Police
AOC- Administration Office Of the Courts
CORR- Corrections Cabinet
DPA- Department of Public Advocacy

The KSP also completes a Court Disposition Report for each closed case. Additionally, a federal Final Disposition Report is required for completing information contained on the FBI Rap sheet. Felony arrest information which is reported by the local or state law enforcement agency responsible for the arrest is nearly 100% complete. However, nationwide, and statewide, only about 50-60 percent of these Rap sheets contain the arrest disposition information. Currently, it is the responsibility of the court to report dispositions to the FBI, and cooperation varies across judicial districts. Failure to comply with federal requirements results in incomplete criminal histories for the FBI records.

Additionally, a Uniform Offense Report (UOR), containing information about the arrest location and offense plus victim and offender data, is completed for each crime. As with the Uniform Citation, not all agencies use the same form; thus the collection of comprehensive data from across the Commonwealth remains impossible on the KSP system. The information in this system is primarily from rural areas because data are limited to state police arrests. Only summary information is received from the urban areas. The Uniform Offense Report is in the process of being revised to consolidate existing child and domestic abuse forms and to reduce duplication.

Administrative Office of the Courts

From an Offender Based Tracking System perspective, the Administrative Office of the Courts is responsible for maintaining the majority of data. Information is collected throughout the criminal justice process from arraignment in district court to disposition in either district court or circuit court. The court clerks are responsible for completing district and circuit court cards on a daily basis. Also, information on juvenile and domestic abuse cases is collected on separate cards by these court clerks in each county.

AOC is currently revising the district and circuit court reporting systems in order to rectify two problems--the new cards will allow for the linkage of each charge to the final disposition and will establish a common identifier for the two systems.

Pretrial Services has a noncomputerized interview form which is designed to provide judges with information for making bail decisions. The local offices of Pretrial Services completes these interview forms for each arrestee

and maintains a card file on offenders in their jurisdiction. The interview form is then used for compiling a monthly statistical report outlining the types of bonds used by defendants, the number of defendants interviewed, the number of arrestees eligible for program release, etc. The monthly summary is then entered on the agency's computer (primarily for management purposes), but is also available to interested persons on a monthly, quarterly, and yearly basis.

The agency has developed a version of an Offender Based Tracking System (OBTS) which is called Statewide Criminal History. The system contains information on traffic violations, misdemeanor, and felony cases. Currently, this system is serving four Kentucky counties (Boyd, Campbell, Kenton, and Montgomery); Fayette County is expected to join the system in the near future. The statewide criminal history is not linked to the Kentucky State Police System of Computerized Criminal Histories (CCH).

Since the criminal history system contains only eleven variables, research capabilities are very limited. However, one very important component contained in the system is a "soundex" which is linked to defendant records. This feature allows the retrieval and screen display of similar-sounding names, which are spelled differently.

Corrections Cabinet

The Corrections Cabinet maintains a variety of forms for the institutional file and for those persons currently on probation or parole. A Classification Form collects data for purposes of identifying problem, violent, and/or other offenders with special needs. The information is entered on a freestanding computerized system tied to Corrections' Offender Records Information Operation Network (ORION), but is not part of it. Although this form is a closed record, certain summary information may be obtained.

The Resident Record Card is included in the institutional file and contains current offenses, sentence calculations, parole eligibility, and several identifying numbers. The card contains minimal demographics and is difficult to interpret. Some of the information on the card is also entered on ORION. The system currently contains information on only institutionalized offenders. The system is easily accessible, reliable and kept current through data entry in the central office of each institution.

One of the drawbacks of the current system's design is the lack of criminal history information. This data is available on the Presentence Investigation (PSI) (described in the next paragraph), and the Corrections Cabinet is planning to add portions of the PSI to the ORION system. However, the system in its present state and size is costly to maintain and research capabilities are limited.

Each local Probation and Parole Office maintains an Initial Felony Probation Card on each defendant. A Client Profile and Presentence Investigation are also hardcopy forms which stay with the file. The PSI contains an extensive amount of data on each defendant, including a detailed account of the offense, employment and family history, past criminal record, education, personal and identifying data, and an evaluative summary. A separate PSI is prepared with each new offense, instead of updating old reports. This report can only be obtained by court order, and no summary information is being recorded.

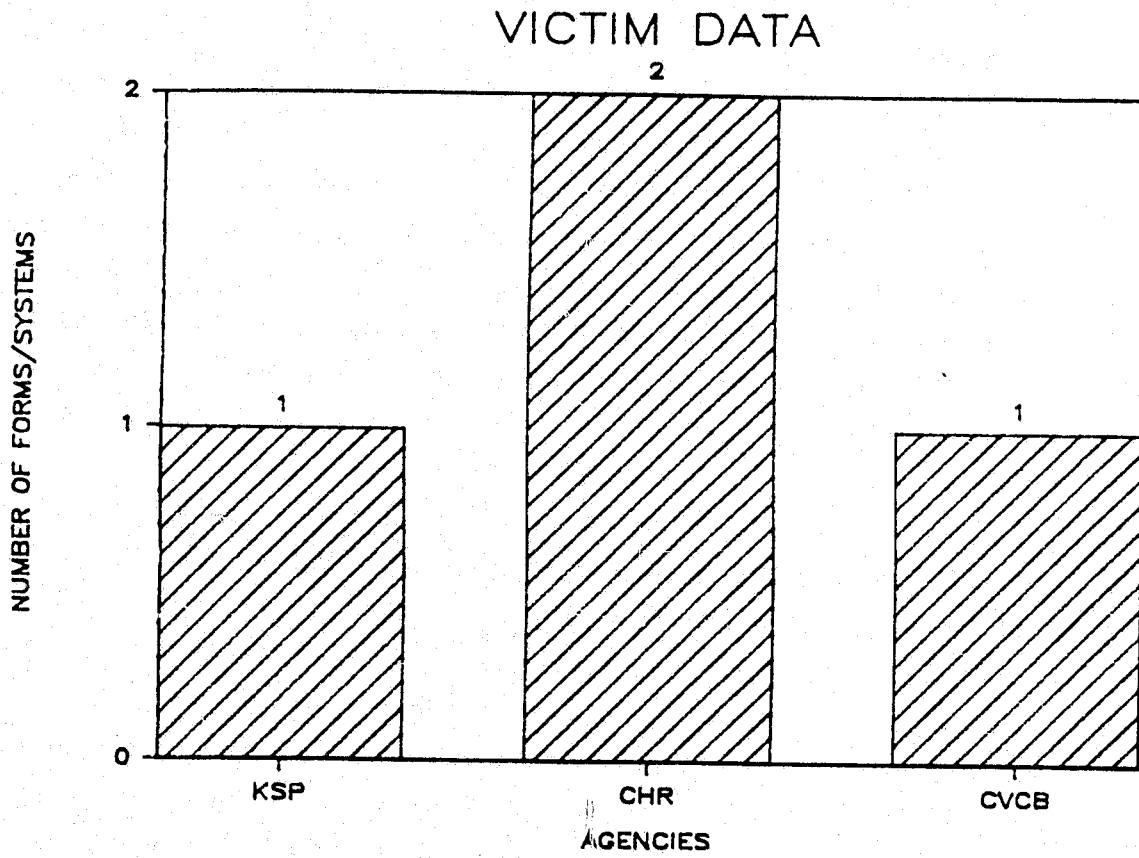
Department for Public Advocacy

The Department for Public Advocacy collects data on client, charges, defense attorney, judge, opening and closing dates, and disposition. Most of this information is acquired at the beginning of a case using the Case Opening Form. The information is then sent to Frankfort and entered on the state computer from disks created at the department. A Client Interview Form similar to the PSI is used to record charges, family and employment history, prior offenses, education, etc. However, the form is kept in each defendant's file, and none of the information is computerized. Data gathered from these forms are used primarily for management information purposes.

Description of Victim Systems

The Kentucky State Police maintains on its computer system various kinds of victim data. More specifically, it maintains domestic and child abuse data for the Cabinet for Human Resources and crime victim claims for the Crime Victims Compensation Board (Figure 3).

Figure 3



KSP-Kentucky State Police
CHR-Cabinet for Human Resources
CVCB-Crime Victims Compensation Board

Kentucky State Police

The Crime Victims Information System (CVIS) was written for the Kentucky State Police under a federal grant. Under the grant, the Victim Assistance Network (VAN) and KSP each supplied personnel to design the system. Both victim and offender data relating to the victim were selected, and are useful for statistical analyses. The CVIS contains about half of the 56 data items on the Uniform Offense Report. Some of the data categories include violation code, stolen property value, relationship to victim, and whether the victim or perpetrator was under the influence of drugs or alcohol. Analysis of the CVIS data was included in the latest edition of Crime In Kentucky. A drawback, as with other state data from the UOR-1 Report, is that information is almost exclusively from rural areas. Data from urban areas are submitted only in summary form on a monthly basis from local agencies throughout the state.

Cabinet for Human Resources

The Cabinet for Human Resources has computerized data on child and spouse abuse. The Initial Child Abuse-Neglect Investigation forms and Adult Protective Services Investigation forms are collected by hardcopy in the local office and sent to Frankfort for keypunching. Both forms are eventually computerized on the state IBM mainframe, but they are essentially freestanding systems. The child abuse form also collects some information on the perpetrator for substantiated cases. Data collection using a new Initial Child Abuse-Neglect Investigation form was begun on July 1, 1985, and the Adult Protective Services Investigation form is to be revised in 1986. The addition of new variables and the linkage of type(s) of abuse to each child necessitated the revision in data collection forms. A limited amount of editing of the data already entered on the system is the only limitation listed for either system.

Crime Victims Compensation Board

The Crime Victims Compensation Board was established to hear claims from crime victims seeking some relief due to a violent, personal crime. At present, the Board has no computer for entering claims or analyzing data but is interested in computerizing parts of the interview forms. The number of claims approved and denied is currently counted manually.

Analysis of State Maintained Data Systems

Types of Data

The information gathered by these criminal justice agencies is 57 percent open-record data; however, summary data from closed records are usually available. All computerized systems have varying types of summary data, normally obtainable in printout form. Since there is no consistency in either what or how data is collected, linking interagency data by tape or disk is difficult and imposes serious limitations on data analysis.

Storage and Access

Most of the data collected by Kentucky criminal justice agencies is in hardcopy form and computerized only after being sent to Frankfort. The exceptions are: 1) the Administrative Office of the Court's (AOC) Statewide Criminal History system, which has terminals in the local offices, and 2) Correction's ORION system, which has terminals located in the institutions. Most of the information entered on ORION is from hardcopy, and duplicate files for each inmate are kept in the central office. The original file is kept at the institution where the inmate is located. Although the AOC maintains its own computer, the agency computerizes only circuit court information--juvenile court, domestic abuse, and district court cards are kept manually.

Data Collection Time Period

The time period for which data has been maintained ranges from 1950 (for PSI's collected by Probation and Parole and fingerprint cards by the state police) to 1984 (for the classification forms in Corrections and Statewide Criminal History system in AOC). The majority of the information has been accumulated beginning in 1978 and up to 1981. Therefore, the vast majority of data currently being supported has been collected for at least five years. Of the computerized systems, data has been maintained by the Kentucky State Police on their own system since 1978 and by the Corrections Cabinet on the ORION system since 1979.

Retention Period

Currently, the retention period for most data is essentially permanent (80 years for the Kentucky State Police). Forms or cards are archived after computerization, or after immediate availability is unnecessary. Several forms presently have no retention period (the Statewide Criminal History system and the Case Opening and Closing form for the Department of Public Advocacy). However, the Administrative Office of the Courts (including pretrial services) has a short retention period of two years for its cards and forms, but no retention schedule for the computerized criminal histories.

Strengths and Limitations

Strengths and limitations vary greatly among forms and agencies, but several persons interviewed for this inventory mentioned difficulty of form interpretation. Additionally, most forms were not designed for use as statistical analysis tools, with the exception of the Crime Victim's Information System acquired from the KSP's UOR-1 report. As previously mentioned, however, the most serious flaw in the data collection systems is the lack of compatibility.

Form Changes

Form changes during the last five years have been minimal; however, additional information on the offender and victim were added to several forms. Continuity of forms/systems is important for any type of analysis. Likewise, with the exception of several AOC cards and the changes of forms for CHR, changes anticipated for the next few years will probably be minor.

Cost/Time for Requests

The cost and time for requesting information varies across agencies, but most hardcopy reports are available free or for a minimal charge and can be processed the same day as requested. Printouts are also available at no or minimal cost to agencies with processing taking approximately a week for existing programs. However, if any programming is necessary, the cost rises substantially.

Interim Reports

The number of interim reports available varies with each report, but most computerized data are available on a monthly basis. No interim reports are available for several of the hardcopy forms, while others have quarterly and/or yearly summary reports.

UTILIZATION AND APPLICATIONS

This data inventory provides a starting point for persons needing offender/victim information. Contact persons from each agency and their addresses and phone numbers are listed on the data inventory grid (Appendix B). In this way, appropriate personnel will have a ready reference for data requests. More importantly, however, the inventory allows for a side-by-side comparison of agency data collection capabilities within the criminal justice system.

The diversity of forms and systems directs attention toward the need for uniformity across agencies, especially for computerized data. Common data elements, such as charge and disposition, need identical definitions within all systems. At the current time, the three largest parts of the state criminal justice system--Kentucky State Police, Administrative Office of the Courts, and the Corrections Cabinet--are looking to modify and/or upgrade their computer systems (KSP is in the process of implementing a new incident-based system.) The timing is right for interagency cooperation and coordination of data elements and file layouts. Such coordination would allow the merging of data files and the possibility of a more systemwide approach to criminal justice problems. Agencies would be able to analyze data utilizing information gathered before and after the offender has passed through each agency's part of the system. This type of analysis would allow law enforcement agencies to follow the offender after disposition, and the Corrections Cabinet would be better able to anticipate inmate population.

An OBTS model should include collecting data from the jurisdictions with the highest felony caseloads. The top 15 to 18 jurisdictions with the largest caseloads would account for 60 to 70 percent of the total number of caseloads for the state. This percentage compares favorably with figures from other states collecting OBTS data. Few states collect 100 percent of the data. To augment the tracking of offenders, each county clerk would need to return the Federal Final Disposition Report (green copy) to the FBI and Kentucky State Police.

The Administrative Office of the Courts currently uses a card system of maintaining data on district and circuit court, and only circuit court data is computerized. A proposed system would put microcomputers into operation in the 15 to 18 jurisdictions previously mentioned with possible expansion to

other jurisdictions in the future. Data could be stripped from these files to match information on the two cards from jurisdictions not included. The information could be entered directly onto the computer from each office, and additional software could be purchased to allow the microcomputer to perform other functions such as word processing and maintaining personnel files or office management information.

To accomplish the tasks outlined above, it may be necessary to establish a central clearinghouse which may be separate from SAC to administer the necessary modifications to the current system and assure compliance to established goals. Suggested goals would include:

- compatibility between systems;
- identical data elements definition;
- a unique identifier for each defendant;
- proper security measures for data maintenance and retrieval; and
- cooperation and coordination among agencies.

State government cannot afford to continue with the fragmented system of criminal justice data collection that currently exists. Policymakers and legislators need sound, complete information to address the serious problems facing them. Besides providing this information, an on-line system could eliminate the need for whatever hardcopy records are currently being maintained.

REFERENCES

Lonner, T.D., Eison, J.R., and Cunningham, P.B. (1984) Legislative Actions and Village Social Health: The Assessment of Change through the Use of Statewide Agency Information Systems Anchorage: University of Alaska, Center for Alcohol and Addiction Studies.

APPENDIX A

Criminal Justice State Agency Data Inventory

APPENDIX B

Data Inventory Questionnaire

APPENDIX B

DATA INVENTORY QUESTIONNAIRE
(System)

AGENCY:

CONTACT:

SYSTEM NAME:

DATA:

STORAGE (Batch or Interactive)

TYPE OF ACCESS (Printouts, Tape, etc.)

KIND (Offender, Victim, Witness, etc.)

LENGTH SINCE START OF COLLECTION (Years)

LENGTH UNTIL DISPOSAL (Years)

CAPACITY TO ENTER (Number of persons)

CAPACITY FOR RESEARCH (Number of persons)

RESPONSIBLE PERSON(S)

STRENGTHS

LIMITATIONS

RELIABILITY

Missing Data -

Accuracy -

TYPE OF COMPUTER SYSTEM (If applicable):

CHANGE OF FORM (Changes in last 5 years/What was changed?):

CHANGES TO SYSTEM IN IMMEDIATE FUTURE:

CONFIDENTIALITY:

COST/TIME FOR REQUESTS:

REQUEST PROCEDURE:

INTERIM REPORTS:

TIME PERIODS (Weekly, Monthly, Quarterly, Yearly)

LEVEL OF AGGREGATION (Incidence, Case, Summary)

PUBLISHED REPORTS:

CRIMINAL JUSTICE STATE AGENCY DATA INVENTORY

AGENCY	Data Maintained	Storage & Type of Access	Time Period For Which Data Are Maintained	Retention Period	Form Change (Last 5 Yrs)	Future Changes	Contact	Cost/Time For Requests	Interim Reports
ADMINISTRATIVE OFFICE OF COURTS Circuit Court Card (AOC 79-930)	OFFENDER DATA (Open Record)	Hardcopy Tapes & Printouts IBM 4300	< 178 > 185	Two Years	None	Link Disp to Each Charge, Common ID for each Offender	Pat Sims, Information & Statistics Manager 403 Mapping Street Frankfort, KY 40601 (502) 564-2350	No Charge for Printouts One Week	Quarterly & Yearly
District Court Card (AOC-945)	OFFENDER DATA (Open Record)	Hardcopy Not on Computer	< 178 > 185	Two Years	None	Link Disp to Each Charge, Common ID for each Offender	Pat Sims, Information & Statistics Manager 403 Mapping Street Frankfort, KY 40601 (502) 564-2350	No Charge for Summary Information One Day	Yearly (Counted Manually)
Statewide Criminal History (Misdemeanor & Felony)	OFFENDER DATA (Open Record)	Terminal Printouts On-line IBM 4300	< 184 > 185	No Retention Schedule	None	None Planned	Mike Donnelly, Data Processing Manager 403 Mapping Street Frankfort, KY 40601 (502) 564-2350	No Charge for Printouts	As Requested
<u>Pretrial Services</u> Interview Form (AOC PT-21)	OFFENDER DATA (Closed Record)	Hardcopy Summary Data on Computer	< 176 > 185	Two Years	Form Condensed to Letter Size	None	John Hendricks, Pretrial Serv Manager 403 Mapping Street Frankfort, KY (502) 564-7486	No Charge for Printouts (Summary Data from PT-11)	Monthly, Quarterly, & Yearly (since '82)
CABINET FOR HUMAN RESOURCES Initial Child Abuse-Neglect Investigation (DSS-150)	VICTIM DATA (Closed Record)	Hardcopy Terminal Printouts STATE IBM	< 178 > 185	Permanent	Perpetrator Info Added, Links to Type of Abuse & Child	None	Jean Kendall, DSS Systems Administrator CHR Building, 6th Floor Frankfort, KY 40601 (502) 564-3850	Minimal Cost Two Weeks	Monthly, Quarterly, & Yearly

CRIMINAL JUSTICE STATE AGENCY DATA INVENTORY

AGENCY	Data Maintained	Storage & Type of Access	Time Period For Which Data Are Maintained	Retention Period	Form Change (Last 5 Yrs)	Future Changes	Contact	Cost/Time For Requests	Interim Reports
CABINET FOR HUMAN RESOURCES Adult Protective Services Investigation (DSS-292)	VICTIM DATA (Closed Record)	Hardcopy Terminal Printouts STATE IBM	< > '79 '85	Permanent	Minimal Changes	To Be Revised in 1986	Jean Kendall, DSS Systems Administrator DHR Building, 6th Floor Frankfort, KY 40601 (502) 564-3850	Minimal Cost Two Weeks	Quarterly & Yearly
CONNECTIONS CABINET Probation & Parole Initial Felony Probation Card (CC-1060)	OFFENDER DATA (Open Record)	Hardcopy Not on Computer	< > '75 '85	Permanent	None	None	Danny Yeary, Director Probation & Parole State Office Building Frankfort, KY 40601 (502) 564-4221	\$.10/copy Immediate	No Reports
Client Profile (CC-1077)	OFFENDER DATA (Closed Record)	Hardcopy Not on Computer	< > '80 '85	Permanent	None	None	Danny Yeary, Director Probation & Parole State Office Building Frankfort, KY 40601 (502) 564-4221	\$.10/copy Offender Only	No Reports
Presentence Investigation Report (CC-1076)	OFFENDER DATA (Closed Record)	Hardcopy Not on Computer	< > '50 '85	Permanent	None	Add Victim Impact Statement	Danny Yeary, Director Probation & Parole State Office Building Frankfort, KY 40601 (502) 564-4221	Copy Available by Court Order	No Reports
Classification Form	OFFENDER DATA (Closed Record)	Hardcopy On-line STATE IBM (ORION)	< > '84 '85	Permanent	Layout Structure & Scoring Level Changed	None	Denise Riggs, Director Planning & Eval Branch State Office Building Frankfort, KY 40601 (502) 564-4360	Minimal Cost	As Requested

CRIMINAL JUSTICE STATE AGENCY DATA INVENTORY

AGENCY	Data Maintained	Storage & Type of Access	Time Period For Which Data Are Maintained	Retention Period	Form Change (Last 5 Yrs)	Future Changes	Contact	Cost/Time For Requests	Interim Reports
CORRECTIONS CABINET Resident Record Card	OFFENDER DATA (Open Record)	Hardcopy On-line STATE IBM (ORION)	< > '70 '85	Permanent	None	None Planned	Denise Riggs, Director Planning & Eval Branch State Office Building Frankfort, KY 40601 (502) 564-4360	\$.10/copy 1-3 days Minimal Cost (Existing Programs) One Week	As Requested
Offender Records Information Operation Network (ORION)	OFFENDER DATA (Open Record)	Disk/Tape Terminal & Printouts STATE IBM	< > '79 '85	Permanent	Continual Development Stage	Interface With Probation & Parole Information	Denise Riggs, Director Planning & Eval Branch State Office Building Frankfort, KY 40601 (502) 564-4360	Minimal Cost One Week	Daily - Yearly As Requested
CRIME VICTIM'S COMPENSATION BOARD Claim Form	VICTIM DATA (Confidential)	Hardcopy No Computer System	< > '76 '85	Permanent	Additional Victim Data	Add Race, H/capped	Ilse Dickerson, Executive Director 113 Third Street Frankfort, KY 40601 (502) 564-2290	FREE Copy to Victim One day	No Reports
DEPARTMENT FOR PUBLIC ADVOCACY Case Opening & Closing Form	OFFENDER DATA (Closed Record)	Hardcopy Printouts STATE IBM	< > '81 '85	No Retention Schedule	None	None	Bill Curtis, Mgmt Information Specialist 151 Elkcorn Court Frankfort, KY 40601 (502) 564-5235	No Charge to Agencies for Printouts One Week	Quarterly & Yearly As Requested
Client Interview (DPA-IV1)	OFFENDER DATA (Closed Record)	Hardcopy Not on Computer	< > '81 '85	Permanent	None	None	Bill Curtis, Mgmt Information Specialist 151 Elkcorn Court Frankfort, KY 40601 (502) 564-5235	No Charge to Clients	No Reports As Requested

CRIMINAL JUSTICE STATE AGENCY DATA INVENTORY

AGENCY	Data Maintained	Storage & Type of Access	Time Period For Which Data Are Maintained	Retention Period	Form Change (Last 5 Yrs)	Future Changes	Contact	Cost/Time For Requests	Interim Reports
KENTUCKY STATE POLICE Uniform Citation	OFFENDER DATA (Open Record)	Hardcopy Terminal/ Printouts On-line STATE IBM	< > '73 '85	Hardcopy- 80 years Computer- 4 years	None	Contingent on Plans with AOC	Ann Banta, Supervisor Records Section 1250 Louisville Road Frankfort, KY 40601 (502) 227-8700	\$.10/copy One Day Minimal Cost (Existing Programs) One Week	Quarterly & Yearly As Requested
Fingerprint Card (KSP-22)	OFFENDER DATA (Closed Record)	Hardcopy Terminal/ Printouts On-line STATE IBM	< > '50 '85	Hardcopy- 80 years Computer- 4 years	Citation #'s & Additional Charges Added to Form	None	Ann Banta, Supervisor Records Section 1250 Louisville Road Frankfort, KY 40601 (502) 227-8700	No Charge to Law Enforcement Agencies One Day	As Requested
Final Disposition Report	OFFENDER DATA (Open Record)	Hardcopy Terminal Only On-line STATE IBM	< > '50 '85	80 years	Federal Form None	Federal Form None	Gary Bush, Records Section 1250 Louisville Road Frankfort, KY 40601 (502) 227-8700	No Charge to Law Enforcement Agencies (FBI Rap Sheet) One Day	As Requested
Court Disposition (UCR-3)	OFFENDER DATA (Open Record)	Hardcopy Terminal Printouts On-line STATE IBM	< > '81 '85	80 years	None	None	Gary Bush, Records Section 1250 Louisville Road Frankfort, KY 40601 (502) 227-8700	No Charge to Law Enforcement Agencies (FBI Rap Sheet) One Day	As Requested
Uniform Offense Report (UCR-1)	OFFENDER DATA (Open Record)	Hardcopy Terminal Printouts On-line STATE IBM	< > '78 '85	80 years	More Offender & Victim Information	Consolidate to Include Child & Domestic Abuse	Maj. Bobby Stallins Records Section 1250 Louisville Road Frankfort, KY 40601 (502) 227-8700	\$.10/copy 1-3 Days No Charge to Agency (P/outs) One Week	As Requested
Crime Victim Information System (CVIS)	OFFENDER AND VICTIM DATA (Closed Records)	Terminal Printouts On-line STATE IBM	< > '81 '85	Permanent	None	None	Maj. Bobby Stallins Records Section 1250 Louisville Road Frankfort, KY 40601 (502) 227-8700	No Charge to Agencies for Printouts One Week	Yearly As Requested