Summary of 2014 NARIP Awarded Activities

Commonly used acronyms:

AFIS - Automated Fingerprint Identification System
CCH - Computerized Criminal History
GJXDM - Global Justice Exchange Data Model
IAFIS - Integrated Automated Fingerprint Identification System
III - Interstate Identification Index
NCIC - National Crime Information Center
NFF - National Fingerprint File
NIBRS - National Incident-Based Reporting System
NIEM - National Information Exchange Model
NIST - National Institute of Standards and Technology
NICS - National Instant Criminal Background Check System
NSOR - National Sex Offender Registry
XML - Extensible Markup Language

The following provides a description of activities under NARIP grants for each of the States receiving funds in alphabetical order.

Alabama ($770,000) As the agency responsible for maintaining Alabama's criminal history repository and computerized criminal history systems, the Alabama Criminal Justice Information Center (ACJIC) will use these awarded funds to: 1) establish a NICS Record Improvement Task Force of state and local agencies to assist in the development of a NICS Record Improvement Plan; 2) improve the state's CCH to provide the FBI, state, local, and federal law enforcement agencies, and other criminal justice agencies with accurate and up-to-date information directly related to NICS checks, and continue procedures for developing an electronic connection to allow Municipal Court case management systems to submit dispositions that qualify for crimes of domestic violence to Alabama's statewide municipal court repository; and, 3) complete the development of a system that will provide an automated mechanism for Probate Courts to forward orders involving the involuntary commitment of persons for inpatient mental health treatment to ACJIC. The mental health and domestic violence projects will be completed with ACJIC as the primary agency providing leadership and subject matter expertise and the University of Alabama Center for Advanced Public Safety (UA-CAPS) as the technology partner. UA-CAPS is a research and development center within the University of Alabama, which is a state agency that has partnered with ACJIC for many years in the development of criminal justice information sharing tools in Alabama. ACJIC and UA-CAPS have entered into an agreement for the development of software applications systems and support related to these projects.

Alaska ($75,600) On April 22, 2014, the Alaska legislature enacted a new statute which authorizes the state to submit non-criminal mental health adjudications to the NICS Index. Currently, there are no Alaska records being submitted to any files in the NICS Index. Under this award, the Alaska Department of Public Safety will use funds to develop a "denied persons" file within the Alaska Public Safety Information Network (APSIN), the state's unified criminal

justice information system, to collect, store, and transmit mental health adjudications, felony convictions without fingerprints, and qualifying domestic violence protective orders to the NICS Index. These records will become immediately available to law enforcement upon a NICS inquiry to determine firearm eligibility.

Arizona ($769,332) The following goals will be addressed with funding under the FY 2014 NICS Act Record Improvement Program: 1) improve Arizona's record for completeness, automation and transmittal of criminal and mental health records to the NICS; 2) improve completeness, accuracy and accessibility of criminal history records in the Arizona Computerized Criminal History Repository (ACCH) and III; and 3) improve completeness of criminal history records used by the NICS by developing system design for implementing a Global Reference Architecture (GRA) and National Information Exchange Model (NIEM)-based data exchange for the electronic final disposition report. Under this award, the Arizona Criminal Justice Commission (ACJC) in collaboration with the Arizona Department of Public Safety (DPS) and the Arizona Administrative Office of the Courts (AOC) will use funds to: 1) continue support of the multi-agency planning and oversight NICS Record Improvement Task Force and update/modify the Arizona NICS Record Improvement Plan (a deliverable from the 2011 NARIP award) to encourage ongoing collaboration of record improvement efforts among the Arizona NICS Task Force stakeholders; 2) provide technical assistance to 14 counties in the state that are using the county scorecards for continued assessments of record reporting data gaps and quantitatively measuring performance; 3) conduct research and create missing final disposition report forms for the Maricopa County Superior Court for 2,015 cases and automate 5,000 criminal history records making information available to NICS electronically; 4) complete the design and development of new data exchanges for automation of the Final Disposition Report (FDR); and 5) process backlogged and new submissions of Arizona mental health court orders for submission to the NICS Index.

Delaware ($90,000) Under this award, the Delaware Department of Safety and Homeland Security will use funds to match criminal history records in the state's criminal history repository against the G4 file, the file that contains the records that have been validated by Health and Social Services as true commitments and persons prohibited from purchasing or owning a firearm. The remaining records will be matched to those in the complaint/incident file to see if the person is in the incident file as a mental transport. If the person appears, the record will be deleted on the criminal database and recoded in the incident file as a medical transport. Delaware will create a new file for records that do not match either file. These records will be used for other law enforcement purposes. Completion of this project will ensure that Delaware is in full compliance with NICS and ensure that citizens in in the state that are legally permitted to purchase firearms are not erroneously denied due to data quality issues.

Florida ($233,580) The Florida Department of Law Enforcement (FDLE), the state's NCHIP administering agency, currently has in excess of 6.3 million criminal history records containing over 25 million arrest entries. Florida's Computerized Criminal History (CCH) file and Biometric Identification System (BIS) are designed to electronically accept arrest events from booking agencies immediately after the fingerprints are taken. Some of Florida's older arrest events exist at the county level and at the FBI but are not included in CCH file. The availability of complete and accurate criminal history records is critical for screening job applicants, issuing firearm

approvals, and maintaining health and fluidity of criminal justice systems. Under this award, FDLE will use funds to continue to support the state's efforts to improve the data maintained in the CCH file. FDLE will use NCHIP funds to hire temporary staff to identify, retrieve, and enter criminal processes starting with an arrest into the criminal history database and to make corrections to the arrest records on file. As required, staff will also manually add felonies and misdemeanors to files so the arrests become immediately available for firearm purchase, concealed weapon licensing determinations, and for decisions on employment eligibility in fields. Funds will also be used to support efforts to improve the reporting and maintenance of prohibiting mental health records. Each Clerk of the Circuit Court in Florida maintains electronic record keeping systems as mandated by the state. These systems are housed and maintained locally in each county. Each of these 67 separate databases may contain mental health and substance abuse court orders which would disqualify the subject of the order from eligibility to purchase a firearm or receive a concealed weapon permit or firearm license. In 2007, Florida Statute 790.065 was amended and required FDLE to create and maintain a statewide repository (MECOM) for mental health and substance abuse data for the purpose of sharing that data with the NICS Index. The statute requires the data to be submitted electronically to the Department. Since there is no interface between the 67 clerks' offices electronic record keeping system and MECOM, data must be entered twice which is time intensive and increases the risk for error or omission of data. Specifically, funds will support efforts to develop the necessary infrastructure to enable the clerks' offices to connect directly to the MECOM database via the state's Comprehensive Case Information System. Records will be entered into MECOM "real time" as the Clerks enter the orders into individual case management systems. As a result, the duplication process will be eliminated and the timeliness and quality of disqualifying mental health records available to NICS for firearm background check purposes will be improved.

Indiana ($950,000) Under this award, the Indiana Criminal Justice Institute plans to transfer funds to the Indiana State Police (ISP) to: 1) continue the deployment of Odyssey, Indiana's court case management system, to criminal courts in Johnson, Fayette, and Fountain counties; 2) implement interfaces between INPCMS, the Prosecutor's case management system and Odyssey, as well as Odyssey and CHRIS, the State criminal history repository, to improve the accuracy and completeness in the exchange of criminal case information; 3) create an interface between CHRIS and Indiana's Mental Health Database; and 4) enhance ARIES, the law enforcement web portal, to assist state and local agencies in auditing, tracking, and finding missing arrest data to send back to CHRIS. Funds will also be used to cover the staff responsible for coordinating and administering projects under this grant.

Iowa ($407,397) Pursuant to state legislation enacted in 2010, Iowa began reporting disqualifying mental health related orders and judgments issued on or after Jan. 1, 2011, to the NICS. In April of 2011, additional state legislation was enacted to authorize reporting of available disqualifying mental health orders and judgments issued prior January 1, 2011. This legislation included what is sometimes referred to as the "retroactive reporting" provision. To date, the "retroactive reporting" provision has not been fully implemented due to technological and resource barriers. Under this award, the Iowa Department of Public Safety (DPS) will use funds to identify, review, and verify mental health related court cases that have resulted in the issuance of an Order of Commitment. Where such cases lack required information, such as date of birth, records will need to be reviewed to determine if such information can be obtained from

supporting documentation. Identifying information about persons involuntarily committed prior to Jan. 1, 2011, can only be submitted after a thorough review and verification to ensure that identifying information is accurate and that an Order of Commitment has been entered, as many cases are opened but do not result in an commitment order and thus do not meet the criteria to prohibit a person from purchasing a firearm. All mental health cases opened between 1991-2011 will be reviewed and those meeting the criteria will be forwarded to NICS for inclusion in the mental health file in the NICS Index.

Louisiana ($1,165,559) Under this award, the Louisiana Commission on Law Enforcement (LCLE) will use funds to: 1) develop and implement an "Intelligent Minute Entry" module for Louisiana District Courts' Case Management systems statewide to allow court clerks to enter case information once into the court's case management system which can then be used to generate the necessary documents for mental health adjudications, felony convictions (including probation and imprisonment) and other minute entries; 2) identify successes and impediments for the collection and reporting of the disposition and sentencing data for inclusion in Louisiana State Criminal History records and for reporting to NICS; and 3) continue to partially support the services of a Criminal Justice Policy Planner to coordinate NICS record improvement activities.

Maryland ($796,850) Under this award, the Maryland Department of Public Safety and Correctional Services (DPSCS) will use funds to address the NARIP priority to improve the accessibility, timeliness, and completeness of records available to NICS, notably prohibiting mental health records. In December 2008, Maryland's NICS record estimate was approximately 25%. Since this time, Maryland has substantially improved in the state records estimate reporting. In 2013, Senate Bill 281, Firearm Safety Act of 2013, was signed into law. This bill addresses record sharing abilities which will allow the State of Maryland to move forward as it removes the legal barrier to sharing mental health records. As of May, 2014 Maryland had about 6,200 records in the mental health file in the NICS Index. DPSCS will use grant funds to improve its reporting of disqualifying records to NICS, notably for prohibiting mental health information. DPSCS will use funds to complete three projects: 1) Missing Disposition Records-the state currently has a backlog of 137,000 records that are missing critical disposition information for arrests. Funding will support contractual efforts to research 10,000 records with a goal of resolving at least 90% (9,000) missing dispositions and updating criminal history records that are queried by NICS during a background check; 2) Indent/Index and Arrest Disposition Reporting Mainframe Systems Replacement- DPSCS is planning a major update to replace two legacy data systems. The Indent/Index System provides a Master Index of State Identification Numbers, as well as demographic information on persons with a SID Number, and captures fingerprint data which is stored in Criminal records Master File and serves as an Index to CJIS, the Division of Corrections (DOC), and Parole and Probation Files. The ADR Mainframe System provides Criminal History Record Information (CHRI) services to authorized criminal justice agencies throughout the state. ADR is the designated electronic repository for CHRI for the state and court case data, including charges and dispositions that are received from the Judicial Information Systems (JIS) and added to ADR's Court Data Base. Records maintained in these systems are queried during a NICS firearm background check. DPSCS will use funds to assess and document business and technical requirements and specifications that will need to be followed to replace the systems; and 3) Improvements to the Automated Mental Health Data Reporting System- funds will be passed through to the Department of Health and Mental

Hygiene (DHMH) to support its Hospital Management Information System (HMIS) that transmits information on persons prohibited from possessing firearms due to prohibiting mental health reasons to DPSCS for subsequent submission to NICS. Funds will be used to purchase hardware and software needed to safeguard the data and increase access to the information and provide various reporting capabilities to monitor the state's progress in increasing its submission of mental health record submissions to NICS.

Missouri ($920,000) Under this award, the Missouri State Highway Patrol (MSHP) will work with the Missouri Office of Prosecution Services (MOPS) to implement improved criminal history record capture procedures in Missouri prosecutors' offices, and law enforcement agencies. Missouri implemented its first state AFIS in 1989. Since then, there have been several system refreshes and at least two major upgrades. Missouri has been operating the current AFIS version for eight years and has now reached the point where a system upgrade is required if Missouri is to continue AFIS operations, as the current system has incurred significant water damage, is out of compliance with FBI CJIS Security requirements, experiences system downtime with increasing duration and frequency, and has reached the "end of life". Once the AFIS system is upgraded, the workstations will also need to be replaced. Funding is being requested to purchase AFIS workstations for MSHP and several remote partners. These locations were selected based on the estimated number of fingerprints that would be collected and the number of agencies able to use the workstation at the selected location. In addition, MOPS is requesting funding to employ three full-time personnel to assist with the implementation of a new in-house case management system to improve NICS criminal history and disposition reporting by prosecutors.

Nebraska ($509,961) Under this award, the Nebraska State Patrol (NSP) will use funds to continue efforts to reprogram the criminal history repository software to take advantage of the latest application development technologies and establish the foundation for a new Patrol Criminal History (PCH) system. The solution entails the continuation of the two contractors to finish rewriting PCH. The contractors will finish the architecture development to compare and synchronize data between PCH and the AFIS data to increase the number of complete records available to the FBI. A goal of the rewrite is to route disposition information in real time via the state message switch. Funds will also be used to make modifications and programming changes to the previously NCHIP funded protection order portal. The portal will also be enhanced by developing the capability for tribes to submit tribal protection orders through the portal for entry in NCIC. NSP has an interagency agreement in place with one tribe in Nebraska to allow them to submit tribal protection orders to NCIC on the tribe's behalf. NSP is working with other tribes to institute the same agreement.

Nevada ($235,477) Under this award, the Nevada Department of Public Safety (DPS), the state's NARIP and NCHIP administering agency, will transfer funds to the DPS Records Bureau to support staff efforts to enter dispositions into the Nevada Computerized Criminal History System (CCH) and the III so final case outcomes will be available in both state and national systems. Like many states, Nevada is struggling to improve incomplete, untimely, and inaccurate criminal history records. A recent independent audit of the quality of Nevada's criminal history records revealed that the probability of a recorded, complete, accurate, and timely criminal history record in the Nevada Criminal History Repository, housed within the DPS Records Bureau, is 24.91%.

A major contributing factor to Nevada's incomplete criminal history records is the lack of final dispositions indicating the outcome of criminal charges. The state has been making targeted efforts to address its record quality problem and the state's General Services Division (GSD) recently conducted an audit to identify the scope of the problem and develop a strategy to address the reporting of disposition issues. The audit found that, of the 78 courts in Nevada, only 26 courts were consistently reporting dispositions to the Nevada Criminal History Repository and that over 800,000 dispositions have not been submitted to the Criminal History Repository in over 20 years. As a result of those court audits and additional outreach efforts conducted by GSD, as of March 14, 2014, the Repository has received 800,497 dispositions to backfill their corresponding arrest records. FY 2013 NCHIP funds are currently supporting efforts to develop a mechanism to electronically match these missing dispositions with their corresponding arrests, but many of these old dispositions do not contain sufficient information to allow the electronic matching to be successful. Consequently, staff will have to manually handle each disposition to research the missing information before it can be entered into the state's CCH and the III. The state is currently using FY 2013 NARIP funds to support ten temporary FTE's to assist with backfilling the missing dispositions in addition to requesting FY 2014 NARIP funds to hire ten additional FTE positions to support this effort. The state estimates that it will take approximately two years to backfill these missing dispositions. Nevada is a Point of Contact (POC) state under Brady Handgun Violence Prevention Act of 1993. This effort will greatly improve the availability, quality, and completeness of records queried during a background check by ensuring dispositions or prohibiting records are readily available for firearm determinations. GSD certifies that the state submits to NICS information on all persons prohibited from possessing firearms for mental health reasons.

New York ($1,254,127) New York State is making significant progress in furthering the goals of the NIAA of 2007. With the support of prior year NARIP grant funding and strategic planning by the New York State NICS Task Force, the state has completed several critical projects that have led to significant improvements in increasing the availability of mental health and prohibiting records to the NICS Index. The Division of Criminal Justice Services (DCJS), the state NARIP and NCHIP administering agency, will use funds to continue to collaborate with the New York Department of Health (DOH)/Health Research, Inc. (HRI), Office of Court Administration (OCA), and Office of Mental Health (OMH) to complete three projects: 1) DCJS and OCA have used prior year NARIP funds to make significant improvements to the integrity of the state's Criminal History Records but additional analysis and remediation are necessary to improve the quality and accuracy of data available for NICS background checks. For example, the state determined that the highest-volume data transmission errors that are currently being addressed represent only five of 326 possible data errors transmitted daily between OCA and DCJS. DCJS and OCA will use funds to support staff and programming efforts to enhance systems to prevent open arrests, complete the historical clean-up of existing open arrest records, and track and monitor the arrests to ensure that the problem is completely remediated; 2) DOH/HRI is working with approximately 21 (Article 28 and Article 31) hospitals to submit available mental health records automatically to DOH. Currently, 106 hospitals are utilizing a manual process to submit records to NICS and a subset of these are now capable of submitting their records automatically. Automated reporting is preferable as it will result in the more timely submission of mental health records, improve record quality and completeness, and eliminate dependencies on personnel time and effort to accomplish the reporting. Funds will be used to

implement contracts with 10 hospitals that have annual record counts of 900 or more to migrate to automated data submission. DOH and OMH technical staff will also collaborate to improve the data quality of these mental health records; and 3) OMH will use funds to enhance its NICS System to allow the agency to submit updates for pre-existing NICS submissions to correct errors and duplicate entries and include the integration of additional OMH electronic medical record systems. This project will enable faster transaction processing and provide for a more scalable reporting system.

North Dakota ($223,200) Under this award, the North Dakota Office of Attorney General, the state's NARIP administering agency, will transfer funds to the Bureau of Criminal Investigation (BCI) to complete tasks that will improve the state's reporting of warrants to NCIC, which is a key state priority. Currently, not all reporting agencies operate a records management system with a warrants module and ones that do often enter warrants into NCIC via a teletype system or forward paperwork to BCI for manual entry to NCIC through the teletype. The process involves having to complete two separate transactions which is inefficient and prone to human error. BCI will use funds to ensure that all warrants, regardless of extradition status, are submitted to the state repository and forwarded by BCI to NCIC and to provide an easy mechanism for the local offices to submit to the state repository and, subsequently, to NCIC so all state warrants are available at the time of a background check for a firearm purchase. Specifically, funds will be used to build the requisite connections and interfaces to enable local agencies to electronically submit data to BCI (where able), for subsequent transmission to NCIC. For agencies that do not have the capacity to electronically submit the data, BCI will use funds to improve the current submission process through the North Dakota CJIS portal infrastructure. BCI used FY 2011 NARIP funds to make available mental health records to NICS and the state is currently in the process of testing the electronic transfer of prohibiting mental health records from the North Dakota courts and the interface with the FBI. The project is scheduled for completion in September 2014.

Oregon ($579,835) Under this award, the Oregon State Police (OSP), the state's NARIP and NCHIP administering agency, will use funds to complete two projects: 1) continue to support the state's NICS Record Reconciliation Team to research, review, and update missing disposition and arrest record to improve the availability, timeliness, and quality of records available to NICS. The goal of the team is to ensure that records for prohibited individuals are available to NICS either through the III or the NICS Index in a timely manner. The team ensures that all disqualifying mental health records are submitted and maintained within the NICS Index and, as applicable, are removed from the NICS Index upon an order granting relief. The team also continues to look for improvements that can be made to further enhance automated record exchanges with reporting agencies that submit records. In FY 2014, the team will focus its efforts on improving court and District Attorney reporting by developing ways to connect directly to these records systems and/or using the Municipal and Justice Court reporting tool that was created under the FY 2010 NARIP award. It is anticipated that the team will update at least 3,500 records per month for older records that are incomplete or were not reported; and 2) continue to support personnel costs to eliminate the backlog of firearms transfer requests that have been pended due to missing or incomplete records. Oregon continues to experience an ongoing problem with obtaining records from other states that cause a delay or "pended" firearm background request. The number of pended transactions can fluctuate depending on volume of

requests, staffing levels, high profile events or policy discussions regarding gun regulation, etc. With the historical workload volume and recent trends within the Oregon Firearms Instant Check System (FICS) unit, it can be expected that at any given time there are 200-300 "pended" firearm transactions awaiting a final determination of approval or denial. These occur when a potentially disqualifying record is incomplete or does not have sufficient information to make that determination without further, and often, extensive research to gather the data needed. Currently, there is a backlog of approximately 1,000 pended transactions awaiting reconciliation on active firearm purchases. The goal of this project is to reduce the backlog and enable the FICS unit to reach a normal ongoing "pended transaction" workload of 200-300 or less transactions awaiting closure.

South Carolina ($1,494,330) Under this award, the South Carolina Law Enforcement Division (SLED), the state's NARIP and NCHIP administering agency, serves as the point-of-contact to NICS. SLED has been contributing information to the NICS Index since its inception in 1998 as background checks are performed for Concealed Weapons Permit (CWP) eligibility. SLED developed the interface between the State and NICS in 2004 and began entering to the NICS Index at that time. If prohibiting information is uncovered, criminal history information is updated and entries are made into the NICS Index. Due to the recent enactment of the Mental Health Adjudication and Commitment Reporting law, SLED assumed statutory responsibility for entering mental health adjudication records into the NICS Index. Further, state courts assumed a statutory requirement to submit mental health adjudication court orders to SLED within five days of the order being made and historical records for the previous 10 years (or as far back as records were maintained). Prior to assuming these responsibilities, SLED worked collaboratively with the South Carolina Judicial Department, the South Carolina Department of Mental Health, and the Probate Court Association to develop estimates of how many records existed and would require entry each year. Initial estimates showed SLED would be required to enter between 14,000 and 20,000 records into the NICS Index annually; however the largest eight of South Carolina's 46 counties did not participate in the survey which generated the estimates so the total is likely much higher. In FY 2013, SLED received a one-time federal grant through the Improving the Completeness of Firearm Background Checks through Enhanced State Data Sharing program to create the SLED NICS Unit and developed an electronic document management system (EDMS). These funds have been successfully utilized to implement processes and dedicate personnel solely to entering mental health records from state courts into the NICS Index. As of April 2014, SLED made approximately 35,000 entries into the NICS Index, and anticipates this is only a small percentage of the total number of records (both current and historical) to be entered because eight of the largest South Carolina counties have not yet submitted their records for entry. SLED will use NARIP funds to continue to support personnel assigned to the SLED NICS Unit and to maintain the EDMS in order to ensure that all mental health adjudication orders are entered into the NICS Index in the time specified by the S.C. Code of Laws. Additionally, due to the anticipated increase in network traffic, this project will replace firewalls responsible for the secure transmission of NICS information.

West Virginia ($967,365) Under this award, the West Virginia Supreme Court of Appeals (the Court) will use funds to continue its efforts to improve the state's disposition reporting. The Repository currently has a several year backlog on disposition reporting and the Court has also identified mistakes on new disposition reports that must be addressed in order to ensure the

accuracy and completeness of criminal history records. The state is also challenged by an inefficient and incomplete process to report indictments. Currently, the only uniform system that the indictments can be collected and maintained in is the West Virginia Offender Case Management System (WVOCMS). This past year, the Court assessed methods of reporting indictments and information(s) to the Repository for inclusion in the criminal history file. The analysis revealed that many of the dispositions are included, or should be included, in the WVOCMS because probation officers spend countless hours tracking down dispositions for the pre-sentence report that are not on the III report and include copies of the originating charge documents including indictments and information(s). The Court identified this source of electronic data to be the easiest, most accurate form of electronic retrieval of disposition data but staffing constraints are a challenge to capturing, cleaning, and monitoring the data. To address these issues, the Court will use funds to support various personnel positions including six Criminal Records Specialists who will be stationed in courthouses and will work with law enforcement agencies to ensure the disposition reporting is completed correctly and research and enter missing dispositions in records for up to 20 years, in addition to other record entry and data quality assurance functions. Funds will also support four Data Quality Manager positions to retrieve scanned data from the field to initiate an offender in the WVOCM system and research and update missing dispositions, overtime hours for the West Virginia State Police to address the state's current backlog of dispositions, and personnel time to maintain the state's Mental Health Registry to ensure that prohibiting mental health records are available to NICS. Other positions will be supported with grant funds to complete tasks such as scanning all Magistrate court orders for dispositions searches, provide technical assistance and training to reporting agencies, and conducting data quality checks.