

**Cabinet Agencies’ Performance Audit Action Item(s) & Status**

**Improving the Completeness of Washington’s Criminal History Records Database**

(See also [cabinet agency response](#) for full context to Washington State Auditor’s Office (SAO) [report](#), June 2015)

Agencies included in the performance audit: Washington State Patrol (WSP).

SAO Issues Summary:

1. Washington’s criminal history record database is incomplete.
2. Missing fingerprints and Process Control Numbers (PCNs) contribute to incomplete criminal history records.
3. Patrol could do more to improve the completeness of the criminal history database known as the Washington State Identification System (WASIS).
4. Several factors make it difficult for the Patrol to take action to improve the completeness of WASIS.

SAO Recommendations (Rec) Summary:

1. Seek changes to state laws and/or administrative rules to require all persons arrested for gross misdemeanors be fingerprinted.
2. Seek changes to state laws and/or administrative rules to require law enforcement agencies and courts use PCNs when entering disposition information.
3. Clarify guidance provided to law enforcement agencies and courts on the use of the Process Control Number (PCN) by providing more specific directions on its use and how to address known issues when reporting criminal history record information.
4. Develop a targeted approach for working with local law enforcement agencies and courts to improve the completeness of the state’s criminal history records, including identifying those not performing as well; working with them to identify areas of weaknesses in their processes and procedures; and providing them with targeted guidance and training to address the identified weaknesses.
5. Continue current efforts to cooperate with the Administrative Office of the Courts to regularly share information and ideas on how to improve the completeness of criminal history records including how to improve communication and interactions with the state’s courts, and how to ensure that courts use PCNs when entering dispositions in the JIS.
6. Develop a process to regularly reconcile the disposition information contained in and received from the Judicial Information System to the disposition information present in the state’s criminal history records database.

The table below shows the current status of action items the agency initiated to address issues identified in the performance audit report. Please see the [cabinet agency response](#) for additional context and any additional steps already taken.

For an explanation of the columns below, [see the legend](#).

Issue /Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
Rec 1 & 2	Complete	Establish a work group with stakeholders to include the	WSP	3/16	Yes	No	No	The work group provided an analysis paper with four options on how to increase the

Issue /Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
		Administrative Office of the Courts (AOC) and Washington Association of Sheriffs & Police Chiefs to determine the best strategy for addressing the recommendation.						number of arrestees fingerprinted – all options would have a workload and fiscal impact.
Rec 1 & 2	Complete	Deliver legislative/rulemaking recommendations to WSP executive staff.	WSP	4/16	Yes	No	No	The legislative/rulemaking options were provided to WSP executive staff in April 2016.
Rec 1 & 2	In progress	Discuss potential legislative changes with OFM.	WSP	9/16	Yes	No	No	<b>2017 update:</b> Due to the workload and budget impact to local agencies associated with any efforts that would increase the number of persons required to be fingerprinted upon arrest, there have not been any proposed legislative changes. <b>2018 update:</b> There have not been any proposed legislative changes.
Rec 3	Complete	Publish and distribute new PCN directions to law enforcement agencies and courts.	WSP	12/15	Yes	No	No	A new “ <i>Submitting Criminal History Record Information</i> ” guide was published and distributed in April 2016. <b>2018 update:</b> The guide to submitting Criminal History Record Information was updated in early 2018. The updated guide is provided to all stakeholder agencies in the state.
Rec 4	Complete and ongoing	Meet with staff from county law enforcement agencies, related courts, prosecutor offices, and jails to discuss requirements for submitting arrest cards and dispositions.	WSP	N/A	Yes	No	No	WSP will continue efforts that began in 2013, including meeting with staff from county law enforcement agencies, related courts, prosecutor offices and jails, to discuss methods and best practices on submitting arrest cards and dispositions. As of June 20, 2017, the first round of these “Stakeholder Meetings” have been held in all 39 counties. A criminal history

Issue /Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
								<p>auditor position, funded by National Criminal History Improvement Project (NCHIP) funds, will continue this stakeholder work by regularly following up with and revisiting counties during the next year.</p> <p><b>2018 update:</b> The second round of stakeholder meetings have been held in 12 counties. NCHIP funds have been requested for the FFY2018 fiscal year to continue this work. WSP has noted process improvements made by local criminal justice agencies to improve and increase disposition reporting.</p>
Rec 5	Complete and ongoing	Collaborate with Administrative Office of the Courts (AOC) on ways to improve the completeness of criminal history information.	WSP	N/A	Yes	No	No	<p>WSP will continue efforts with AOC to regularly share information and ideas on how to improve the completeness and accuracy of criminal history records. These efforts include exploring electronic methods to transmit and receive data in the criminal history records database. AOC is including WSP in the design of a new court record system to ensure requirements are included that will optimize the sharing of criminal history information.</p> <p><b>2018 update:</b> WSP is continuing to work closely with AOC to collaborate on AOC's new electronic data repository to ensure continued improvements in the collection and sharing of criminal history record information.</p>

Issue /Rec	Status	Action Steps	Lead Agency	Due Date	Current Resources ?	Budget Impact?	Legislation Required?	Notes
Rec 6	Complete and ongoing	Reconcile disposition information received from the courts to the disposition information that is entered into the state's criminal history records database is ongoing.	WSP	N/A	Yes	No	No	<p>WSP has already developed a process to daily reconcile the disposition information submitted from the JIS.</p> <p><b>2018 update:</b> The reconciliation process is ongoing.</p>