

State-by-State Summaries for FY 2016 NICS Act Record Improvement Program (NARIP)

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
NGI — Next Generation Identification
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 (\$509,176) The Alabama Law Enforcement Agency (ALEA) will use funds for phase IV of improving the state's CCH system 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. Manual matching of criminal history data has resulted in a major backlog of historical criminal history information in Alabama. Phases I and II established the central data repository for mental health data and set forth a standard for the electronic submission of the data to the central repository. Phase III currently involves establishing an alternative submission method for Probate Judges who have systems that cannot interface with the new repository due to the age of their legacy systems. Similarly, phase III of the domestic violence data processing component is addressing issues with legacy municipal systems that are not able to upload the data standards that were set forth in previous project phases. In addition, phase III is focusing on the issue of automating the vast amount of backlogged historical data into the CCH. Funds will be used to conduct phase IV of the mental health data project. Tasks will include expanding the capabilities of the Alabama Records Transmission of Involuntary Commitments (ARTIC) portal by replacing the aging IT infrastructure of the Mental Health Repository and supporting bug fixes and enhancements within ARTIC. Continued support for the ARTIC portal is critical to keeping the mental health data flowing from the local offices to ALEA. Funds will also be used to hire two employees to manually process NICS checks when someone applies for a gun permit. Phase IV of the mental health data project will be completed with ALEA as the primary agency providing leadership and

subject matter expertise and the University of Alabama Center for Advanced Public Safety (UACAPS) as the technology partner.

Alaska (\$527,189) The Alaska Department of Public Safety (AK DPS) will use funds to: 1) develop a warrant files validation project and, 2) transfer funds to the Alaska Court System (ACS) to support efforts to improve the quality and completeness of records available to NICS. 1) Warrant Files Validation Project. The AK DPS will identify ways in which the warrant entry process can be streamlined. To expedite circulating a warrant, the law enforcement agency that obtains the warrant enters it into the APSIN Warrants database. To get the warrant into NCIC, the originating agency must make a separate entry. Currently, the data fields and message layout are not the same for APSIN and NCIC. This project will develop the process to address the gap in reporting. 2) ACS Project. The AK DPS will pass through funds to the ACS to continue efforts to close the gaps in criminal history records that impede the ability of the NICS to accurately confirm a prohibited prospective buyer of a firearm. The ACS will use funds to automate records for more complete, accurate and timely mental health adjudications, commitments, and criminal competency determinations.

Arizona (\$1,117,414) The Arizona Criminal Justice Commission (ACJC), will administer the following three projects: 1) Continuation of the NICS Task Force. The ACJC will use funds to continue the multi-agency planning and oversight with the NICS Record Improvement Task Force. The ACJC will contract a project management and system analyst to provide a strategic framework, though targeted recommendations, for executive and legislative actions to improve the state's position in preventing prohibited possessors from obtaining firearms. The next steps for the Task Force are to address the domestic violence protection order issue with getting protection orders into NCIC, addressing conditions of release when a firearm has been prohibited and sharing the information with law enforcement, and studying the required systems to send the information to NICS. 2) Fingerprint Card Imaging Project. Funds will be used to image over 283,000 fingerprint cards into the Arizona Criminal Justice Information System (ACJIS) which will subsequently report information to the NICS Index. The Arizona Department of Public Safety (DPS) has imaged over 4,000,000 paper records to electronic format; however, there are roughly 283,000 fingerprint cards that remain to be imaged for NICS related charges. 3) Misdemeanor Domestic Violence and Protection Order Analysis Project. The ACJC will work with law enforcement agencies, courts and victim advocacy groups to assess operational processes and current issues these entities face regarding misdemeanor domestic violence and the orders of protection process. Activities surrounding this project includes: developing and adopting a project plan and detailed methodology for assessing the domestic violence and orders of protection statewide including conducting site visits to different jurisdiction based on volume of protection orders; develop a comprehensive understanding of current business practices and document gaps in the issuing and executing of protection order processes across the state; and analyze the findings and provide recommendations and strategy for improving the reporting on misdemeanor domestic violence convictions and protection order protocols.

Delaware (\$72,000) The Delaware Department of Safety and Homeland Security will use funds to match the records by names in the G4 file (mental health prohibitor file) against records in the court's database. If the court's record matches the information in the G4 file, then Delaware will flag the record as a match. Records of a deceased mental health patient will be flagged. DELJIS

(Delaware Criminal Justice Information System) will also manually check court files to see if a person had an involuntary commitment to a mental facility. DELJIS will then flag all the records that have an involuntary commitment and update the database with this information. The major goal of this project will be to correct historical records that are incorrectly flagged as "mental patients" and are merely a medical transport. A secondary goal will be to reduce the number of appeals submitted as a result of the "denied" responses when the mental health prohibitor is not met.

Hawaii (\$818,076) Hawaii will use funds to continue to build upon the award of the FY2015 NARIP project. The Hawaii Criminal Justice Data Center (HCJDC) is working through the State of Hawaii Department of Human Resources Development's protocol to establish the NARIP Program Manager position which will be responsible for developing a NICS Record Improvement Program Plan for the state of Hawaii, creating a task force of partners, implementing the Plan, and monitoring the Plan's progress. An Information Technology Specialist position is also being added to support the efforts and the projects that will be identified by the NICS Record Improvement Task Force. In addition to establishing, recruiting, and filling these positions, Hawaii will work on improving CJIS-Hawaii, the backbone in the criminal history background check process, by replacing antiquated infrastructure and ensuring all convicted offenders are identified through fingerprints. Funding will also be used for the county police departments to prepare their records management systems to be able to share firearm permit/registration information as well as incident information with the HCJDC. Hawaii plans to work toward meeting the NICS requirements and sharing information that is needed in order to protect the well-being of all citizens.

Kentucky (\$84,363) The Kentucky Justice and Public Safety Cabinet will transfer funds to the Kentucky State Police (KSP) to improve the data quality of criminal history records and the reporting of misdemeanor crimes of domestic violence records to NICS. KSP has no automated process in place to receive misdemeanor disposition data from the courts; therefore, the entire process is 100% manual. Staff must manually add and update disposition data in Kentucky's CCH, as well as search for additional documentation such as the citation or crime report. KSP will use funds for overtime hours for staff to review data, update disposition information within the CCH repository and enter information into the NICS Index. The proposed project will result in increased MCDV records between the state's records management system, NICS, and KSP's CCH repository. The project will improve and increase the amount of criminal history information and NICS entries that is shared between Kentucky and national systems.

Louisiana (\$770,829) The Louisiana Commission on Law Enforcement (LCLE) will transfer funds to the Louisiana Supreme Court (Case Management Information System Division) to improve the data quality of criminal history records and the reporting of mental health records to NICS by implementing an electronic data exchange for the automated, nightly transmission of mental health records from the Department of Health and Hospitals. The project will eliminate manual data entry errors, and reduce the time it takes to make these records available to the databases accessed by NICS; as well as implementing five modern case management systems in Louisiana City and parish courts to automate manual disposition reporting tasks performed by the minute clerks for the transmission of misdemeanor conviction information to NICS. In

addition, LCLE will use funds to support a NICS program manager and a section manager to assist in coordinating and administering the activities of Louisiana's NICS Program.

Maryland (\$323,373) The Maryland Department of Public Safety and Correctional Services (MD DPSCS) will use funds to support two projects; the Missing Disposition Records project and the Department of Health and Mental Hygiene (DHMH) Automated Data Reporting System project. 1) The Missing Disposition Records Project. The MD DPSCS will review, research and link files to existing electronic arrest records in order to reduce the backlog of missing dispositions and comply with federal guidelines. An additional 20,000 records will be researched and updated. 2) DHMH Automated Data Reporting System Project. The MD DPSCS will use funds to continue support of the transmission of information to NICS for persons prohibited from possessing firearms — for mental health reasons. DHMH previously developed a database to automatically and securely report mental health data to NICS. This database, Hospital Management Information System (HMIS), has been used to collect information on individuals who have been committed to a state mental institution for a period of more than thirty days. The database now includes records from private hospitals, as well as individuals who have been committed by the State Office of Administrative Hearings. As a result, all information maintained in DHMH's database is transmitted to NICS. While HMIS maintains and transmits all available information to NICS, MD DPSCS will maintain, enhance, and ensure improved reliability of the infrastructure needed to securely transmit pertinent information to NICS - pertaining to individuals who have been involuntarily committed to a state or private facility.

Massachusetts (\$491,565) The Massachusetts Executive Office of Public Safety and Security (MA EOPSS) will pass through funds to conduct two projects: 1) Automated NICS Reporting Process and 2) NICS Task Force Outreach and Communications projects. 1) Automated NICS Reporting Process Project. The MA EOPSS in partnership with the Executive Office of Trial Courts (EOTC) and the Department of Criminal Justice Information Services (DCJIS) will address the limitations of the current data submission process to NICS by automating the process to allow for the near real-time submission of mental health, substance abuse, and misdemeanor convictions of domestic violence (MCDV) records, as well as, develop and implement an application that will provide DCJIS the ability to manage messages received from NICS. 2) NICS Task Force Outreach and Communications Project. The MA EOPSS will work to establish and support a Massachusetts NICS Task Force. The Massachusetts NICS Task Force will be comprised of key stakeholders with the responsibility for the records systems including the DCJIS, EOPSS, EOTC, as well as a representative from Massachusetts Attorney General's Office, the Massachusetts Chiefs of Police Association, and the Department of Mental Health. Other members will include policy makers, analysts and advisors with knowledge of the issue. The task force's initial efforts will be the development of a comprehensive strategic plan to improve the NICS records with primary attention given to the records identifying persons who have a prohibiting mental health adjudication or commitment. The focus of the NICS Records Improvement Strategic Plan will include analysis and direction for improvements on outreach and training for mental health providers. In addition, the Task Force will work to identify any existing barriers to full compliance and make both short and long-term recommendations.

Missouri (\$691,356) The Missouri State Highway Patrol (MSHP) will administer and monitor the following six projects in collaboration with their partner agencies. 1) Complete Development

of the Show-Me Courts System Project. The Office of the State Courts Administrator (OSCA) will continue to develop the new Show-Me Courts case management system. Funds will be used to hire two Senior IT Programmers who will work with the Show-Me Courts project team to complete the programming for the system that is necessary for associate and circuit level criminal case processing. The development includes: felony conviction reporting; warrant processing; drug and alcohol cases; and criminal level adult abuse actions, including misdemeanor convictions. 2) Missouri Police Chief's Association NICS Reporting Training Project. Funds will be used to provide and support training for NICS reporting. The training will cover the importance of submission of NICS related data and will also include topics on criminal records management, operations and best practices, records retention, technological enhancements, NICS standards, and information sharing considerations. 3) Missouri Office of Prosecution Services (MOPS) Case Management Development Project. MOPS is currently working on the design and development of a new statewide case management system. The development of this system is being funded with FY15 NARIP funds. MOPS will use FY16 NARIP funds to develop a Central Charge Code and Language Repository, an interface with a secure e-mail server, additional server space to house electronic charge information, and a secure web-site to provide training and education to case management users. 4) MOPS Case Management Installation Project. MOPS will implement the electronic case management systems to the final five state prosecutor offices. The Karpel Prosecutor Case Management System will be fully deployed and user-ready once installed. All state charges in the 5 new prosecutor offices will be able to electronically report all state charges which will increase the accuracy and timeliness of the information at the Missouri Central Repository and subsequently to the NICS. 5) MOPS Laptops Project. MOPS will use funds to purchase laptops for prosecutor offices that employ 10 individuals or less. The identified offices must agree to become certified within the Missouri Uniform Law-Enforcement System (MULES) and use an approved electronic case management system for electronic history reporting. 6) MSHP Equipment for Researching Missing Dispositions Project. The MSHP will use funds to purchase electronic equipment to help with the researching of missing disposition information which includes: tablets, monitors, and a document scanner.

Nebraska (\$398,774) The Nebraska State Patrol (NSP) will use funds for three projects to 1) Improve Efforts of the NICS Task Force, 2) Increase Mental Health Reporting and 3) Develop upgrades to the Protection Order Portal. 1) NICS Task Force. NSP will hire a program manager to coordinate efforts among agencies and develop a plan that will measure progress and results. Furthermore, the Program Manager will engage in outreach to areas of tribal law enforcement, prosecuting attorneys, state correctional facilities, and parole agencies, targeting well-established groups and representatives. 2) Mental Health Reporting Project. The NSP, using the Mental Health Portal, automated the reporting of 27,823 mental health records to the NICS Index. Currently, three types of mental health designations, Relief of Disability, Not Responsible by Reason of Insanity (NRRI) and Court-ordered Guardianships, remain outside the Patrol's current reporting capability. Through this project NSP will enhance the Electronic Commitment Reporting Application (ECRA) portal to address Relief of Disability. Specifically, this project will provide electronic solutions within the ECRA to issue Relief of Disability notifications, issue an advisory for the need for removal to the Mental Health Board, and verify remaining paper records to expedite search features. 3) Protection Order Portal Upgrade Project. The NSP will continue to develop and enhance the capabilities of the Protection Order Portal. NSP will

use funds to implement portal access and reporting to Douglas County, the largest county in the state. The addition of Douglas County records into NCIC should ensure that Nebraska will reach, and perhaps exceed, the goal of a 90% entry-rate statewide. Due to the volume of protection order records being issued in Douglas County, and the quantity of existing records available for entry, making these records available nationally is critical.

Nevada (\$303,378) The Nevada Department of Public Safety (NDPS) Records Bureau will use funds to continue efforts to address missing dispositions in Nevada's criminal history record repository. After a statewide review of all court records including mental health adjudications, the Nevada Supreme Court discovered that there were over 800,000 court dispositions that had not been submitted to the Nevada Criminal History Repository in over 20 years. The NDPS will use funding to hire 10 Full-Time-Equivalent (FTE) temporary positions to assist Repository staff with data entering missing dispositions into the Nevada CCH as well as through the III. This effort will ensure that final case outcomes will be available in both state and national systems accessed by the FBI's NICS. Additionally, this team will help correct inaccurate criminal history conversion data and backfill missing electronic disposition information already in the state's CCH into the III system. Currently, the Repository's has 20 FTE State-funded positions to enter these dispositions. This award will supplement those efforts and leverage state and federal funds to identify and match missing dispositions with their corresponding arrests, ultimately, improving the federal reporting of an individual's criminal history record.

New York (\$2,481,605) The NYS, Division of Criminal Justice Services (DCJS), will administer two projects: 1) the Office of Court Administration (OCA) and State Repository Criminal History Record Improvement project and 2) Improving Data Quality and Reporting Compliance for Mental Health Record Submission to NICS. 1) OCA and State Repository Record Improvement Project. The DCJS and the OCA will use funding to expand the Exception Tracking System (ETS) to handle Fatal Errors, which are dispositions received by the court systems that are rejected, but never get applied to criminal histories. Currently, the ETS system only handles "exceptions" that occur when updates are applied to criminal history records and these updates require some type of review by the DCJS's Office of Criminal Justice Operations (OCJO). Fatal errors are sent back to OCA for subsequent analysis and remediation. This project will enhance ETS so that both OCJO and OCA will be able to review and track fatal errors in an automated manner. The DCJS will use funds to automate the reporting of certificates of relief and good conduct by developing a system enhancement between DCJS and the courts to bypass the paper form and mailing process and enable the agencies to update the records immediately with less possibility of errors. OCA will also use funding to update software enhancements to improve automated reporting and error reconciliation of dispositions from the Justice Courts to OCA. 2) Improving Data Quality and Reporting for Mental Health Record Submission to NICS Project. The DCJS will administer funds through the Department of Health (DOH) and the Office of Mental Health (OMH) to focus on the analysis of data errors related to patient identification numbers (ARI) and merges that have been done to historical records that were sent to the NICS Index. Analysis and reconciliation files will be generated and remediation steps will be taken to clean up historical records. Two types of errors that will be focused on are errors in manual data entry of patient records and errors in which duplicate ARI numbers have been reported. A data analyst position will be hired to work with the facilities to clean up the errors in addition to determine how the errors were made in order to reduce the possibility of these types

of errors going forward. In addition to improving the data quality and reporting of mental health information, DOH will move an additional 5 hospitals to automated reporting to the NICS Index. Currently, the 5 identified hospitals are reporting information to the NICS manually.

Oklahoma (\$1,203,288) The Oklahoma State Bureau of Investigation will use funds to improve the timeliness and completeness of records to state and federal fingerprint-based criminal record repositories and other systems accessed by NICS. The proposed project has three parts: 1) replacing Oklahoma's technically ancient AFIS to ensure the continuation of up-to-date criminal history records from Oklahoma into the III; 2) researching and updating dispositions for incomplete III records; and 3) electronically submitting into the NICS Index individuals with federal prohibitions to gun possession identified while processing applications for Oklahoma handgun licenses.

Oregon (\$664,446) The Oregon State Police (OSP) will conduct two projects: 1) NICS Reconciliation Team to research missing data on qualifying records; and, 2) Firearms Instant Check System (FICS) research team to obtain missing record information for persons in "pending" status for a firearm license. 1) NICS Reconciliation Team Project. The OSP will use funds to continue the project from previously funded years with a 2016 team consisting of nine positions. The goal of the team is to ensure that all target records are made available to NICS either through NCIC, III, or the NICS Index in a timely manner. This involves searching older records that were never reported to the repository. Activities for the team members include researching, reviewing, and updating missing and incomplete records. In addition, the team will continue to look for improvements that can be made to further enhance automated record exchanges with contributing agencies. The reconciliation team has maintained a set target of updating 3,000 records per month for older records that are incomplete or missing. Another initiative for the team is to work directly in the field with agencies to build on improvement projects that have been funded by previous NARIP awards. An updated method for agencies to report qualifying mental health records has been implemented and will enhance the real-time reporting from each of the contributing agencies as they make changes within their own record keeping processes. 2) FICS Pending Record Research Backlog Project. The OSP research staff will work toward eliminating the backlog of firearms transfer requests that have been pending due to missing or incomplete records. Due to the complex and varying nature of each transaction as well as a wide range of time involved in each case, the goal for each researcher is to complete as many of the process steps each day in order to reach closure of the transaction and update the Oregon record when applicable. The volume of background checks for 2015 was among the highest in the history of Oregon's program. The first quarter of 2016 continued to produce a higher volume of firearms background checks than the first quarter of 2015. The team continues to make strides in the pending workload while still able to contribute to long-term improvement processes. This project will result in more complete and accurate records available to the NICS.

South Carolina (\$599,556) The South Carolina Law Enforcement Division (SLED) will use funds for two projects: 1) NICS Reporting Unit project, and 2) the Automation of older NICS/CWP (Concealed Weapons Permit) Paper Files into the Electronic Document Management System (EDMS) project. 1) NICS Reporting Unit Project. SLED will use funds to continue to build off past efforts to develop a unit to review, research, verify, enter, and update the information received from the courts into NICS. In addition, they will query the concealed

weapon permit database and armed security officer database for potential prohibited permit/registration holders for revocation and assist with the file automation preparation process. 2) Automation of older NICS/CWP Paper Files into the EDMS Project. SLED will be able to have a single point-of-entry for NICS-related mental health court orders and electronically store all documentation received by state courts. Further, firewall hardware has been updated to meet the need to securely transfer critical information from the state courts to SLED. SLED will use funds to continue to automate and digitally store pre-existing CWP records into the EDMS for comparison of existing CWP records to orders received by state courts regarding entry into the NICS Index. SLED will maintain the EDMS, maintain existing equipment, purchase required supplies, and continue the CWP file automation process into the EDMS.

Utah (\$500,000) The Utah Governor's Office will transfer funds to the Utah Prosecution Council (UPC) and Statewide Association of Prosecutors for its Prosecution Case Management System project. UPC will use funds to complete phase II of the case management system project by providing the resources needed to help all of Utah's 29 counties connect to a centralized system. Having a uniform case management system in prosecutor offices will allow for the exchange of the following types of information regarding defendants: names and aliases, charges filed, dismissal, acquittal or convictions, sentencing orders, compliance with probation (i.e. non/payment of fines, non/completion of treatment (substance abuse, mental health, domestic violence, etc.), probation violations, protective orders issued, etc. Sharing this information will help increase the accuracy of court and criminal history records and help in making records accessible to NICS.

Virginia (\$1,065,681) The Virginia State Police (VSP) will administer and monitor the following four projects in collaboration with their partner agencies: 1) JAVA Computerized History (JCCH) System Project. The VSP will use funds to contract with two IT Specialists to assist in programming the 135 deferred critical functions in the replacement JCCH system and the 140 batch reports. The VSP is currently programming a replacement JCCH which was to mirror the current system; however, in the development of the replacement system approximately 135 features that exist in the current system were deferred in the replacement system. NARIP funding will help in filling in those 135 features to the replacement JCCH. These absent features impact many functions of the automated workflow, including researching and applying dispositions and other criminal history information. 2) POC VCheck System Project. The VSP will use funds to contract with a business analyst and Java Developer to provide enhancements to the existing Firearms VCheck Java system. The VCheck system interfaces with the Virginia Computerized History System (CCH), the Virginia Criminal Information Network (VCIN), the Virginia Mental Health Database, NCIC, III and NICS. The system additions and modifications will assist the POC in providing improved product to the NICS and state counterparts, as well as assist in the development of long-range record improvement and strategy plans in the research, analysis, data quality auditing, and production that can set quantifiable improvement goals and monitor performance achievement. 3) POC Accessibility at Gun Show Events and Outreach Activities Project. The VSP will use funds to cover expenses for one Administrative Procedures Specialist to research and resolve initially non-approved transactions by the determination of lawful eligibility of individuals to purchase firearms. The Specialist will assist existing state-funded employees to provide NICS checks at all gun shows, and will provide associated outreach activities relevant to the sale of firearms by licensed firearms dealers and by

the POC in the private sale of firearms not involving federal firearm licensees. 4) Supreme Court of Virginia (SCV) Scan Mental Commitment and Protective Orders to VSP Project. The SCV will use funds to install image stations to 16 Juvenile and Domestic Relations (J&DR) courts to allow the courts to scan protective orders (POs) to VSP daily as they are issued. The current process includes making copies and mailing or faxing the POs to VSP. The SCV also will build a database to store the POs received from the general and J&DR courts. The secure database will provide a centralized place to store the images of the POs. SCV will provide the VSP access to PDF images of civil commitments and POs and to have the ability to view, download and print the orders. The project will help eliminate the purchase of firearms by personnel with mental (civil) commitment orders or POs by being able to provide the stored signed court orders available on the same day issued for VSP.

West Virginia (\$1,879,885) The West Virginia Administrative Office of the Courts (AOC) will use funds to continue to improve the backlog of court dispositions and the reporting of individuals with mental health adjudications on their records. The backlog is directly related to staffing and resources available to process the incoming disposition forms being submitted by court clerks throughout the state. To build upon the efforts of previously funded projects, the AOC will continue to fund the staff and efforts to reduce the backlog of dispositions. The WV Offender Case Management System (WVOCMS) is the system that collects all demographic information, family and criminal history, assessment information, fees information, incarceration information, drug testing and other identifying information. The system has the capability to house scanned copies of the pre-sentence report, court orders and indictments and record missing dispositions for the pre-sentence and LS/CMI reports. The WVOCMS is the most accurate electronic system to pull indictment and submit case file data with a disposition and a required prohibitor to the WVSP Criminal Record Repository for inclusion in the criminal history file.

The Tulalip Tribes of Washington (\$333,841) The Tulalip Tribes of Washington (TTW) will use funds to conduct a tribal-wide automation project to improve their NICS and federal system reporting. This project will improve the automation, completeness, and transmittal of records to the state and federal systems used by the NICS. The proposed records enhancement project provides for the establishment of the infrastructure, criteria and process required to collect, retain and transmit records including: criminal history records, records of felony convictions, warrants, records of protective orders, convictions for misdemeanors involving domestic violence and stalking, drug arrests and convictions, records of mental health adjudications, and others which may disqualify an individual from possessing or receiving a firearm under federal law.