

TRAVIS COUNTY

Data Reporting Improvement Plan

Section I

Legislative Requirement

Travis County acknowledges its obligation, under Texas Code of Criminal Procedure Article 60.10, to take the steps necessary to improve the county's disposition completeness percentage to a percentage equal to or greater than 90 percent in the first annual report submitted by DPS to certain state officers and agencies on or after January 1, 2013. In compliance with its statutory requirement, the Travis County Commissioners' Court established a local data advisory board charged with developing and implementing a data reporting improvement plan. The data reporting improvement plan shall (1) describe the manner in which the county intends to improve its disposition completeness percentage; (2) ensure that the county takes the steps necessary for its average disposition completeness percentage to be equal to or greater than 90 percent in the first report DPS submits to certain state officers and agencies regarding local jurisdiction reporting on or after January 1, 2013; and, (3) include a comprehensive strategy by which the county will permanently maintain a disposition completeness percentage at or above 90 percent. Travis County will submit its data reporting improvement plan to DPS on or before June 1, 2010 and understands that DPS is required by the statute to post the plan on the DPS internet website.

The mission of the Travis County local data advisory board is to develop and implement an electronic data reporting program that will accurately capture and report arrests, prosecutor actions, and dispositions to the DPS by creating business processes and internal data quality controls within each agency involved.

Section II

Composition of the Local Advisory Board Members

The Travis County Data Advisory Board consists of the following members:

- Sheriff Greg Hamilton, represented by Lt. Robin Osborn;
- District Attorney Rosemary Lehmberg, represented by Vicki Skinner and Darcie Gordon;
- County Attorney David Escamilla, represented by First Assistant County Attorney Steve Capelle and Assistant Director Vicki Ashley;
- County Clerk Dana DeBeauvoir, represented by Neomia Bailey;
- District Clerk Amalia Rodriguez-Mendoza, represented by Michelle Brinkman;
- Austin Police Department Chief Art Acevedo, represented by Colleen Waters;
- Travis County ITS Department, Chief Information Officer Joe Harlow, represented by Janice Brown.

Should any member of the board become unable to serve for any reason, the elected official or department head represented by that member shall immediately appoint a replacement with the knowledge and experience necessary to carry forward with the work of the advisory board.

Section III

Travis County has an Integrated Justice System which is comprised of multiple subsystems and an interagency database (IDB). This structure allows for data to be shared between multiple criminal justice agencies within the county. The interagency database acts as the core data repository from which data is exchanged from one agency to another. The interagency database is the current data source for Electronic Disposition Reporting of adult records. Juvenile records are compiled and reported separately and currently have a disposition completeness percentage above 90%. Therefore, juvenile records are not addressed in this plan.

The data exchange begins when a person is booked into the Travis County Jail. The booking information is entered into the Correction Management Software (CMS). Upon entry into the CMS, the TRN and TRS are assigned if the charge is a reportable offense. If a State Identification number (SID) does not exist in the Travis County environment, the SID is returned to the county upon assignment from DPS. The required data for Electronic Arrest Reporting (EAR) is reported directly from the CMS.

The CMS submits a subset of the booking data to the interagency database. This subset of data includes the demographic and charge information as well as TRN, TRS and SID. Once the data is submitted to the IDB, the data becomes available for a data exchange with the Prosecutors and Courts subsystems. The case creation process occurs at the same time for both agencies.

The data exchange into the Prosecutor's application is based off the booking date. This information is then transferred into the Prosecutor's database. The data transfer includes the TRN, TRS and SID as well as charge information. Once the data has been transferred into the Prosecutor's application and the case has been filed, the data from the prosecution application is contributed to the IDB. The prosecutor's contributed records are then extracted by a date range and a batch created for the prosecution segment. The batch is then submitted electronically to DPS.

The data exchange into the Court's application is similar to the data exchange for the Prosecutor's application. Once the data is transferred into the Court's application, the record is contributed to the IDB. As the case progresses through the judicial process, the Court's records are updated and contributed. Upon disposition of the case, the disposition information is then extracted from the IDB to create the court segment and submitted electronically to DPS.

When additional charges are filed by the prosecutor, a new case is created with a new TRS in both the prosecution and court subsystems. Both records are contributed to the IDB and then extracted and submitted to DPS. However when a prosecutor decides to reject a charge, the

prosecution segment is not submitted with a rejection. Instead a court segment is submitted with a disposition of dismissal. This is due to Travis County's process of direct filing.

When an arresting agency decides they will not pursue a case or if a TRN is erroneously assigned, a CR-43 correction is manually submitted or an entry is made online into the CCH.

When an arrest in Travis County is made on an out of county warrant and the offender is booked into the Travis Jail, a TRN is not assigned to the booking record. The arrest information is manually compiled and submitted to the County of jurisdiction.

When a Travis County warrant is executed in another county, Travis County will receive the arrest information in paper form from the arresting agency. The TRN/TRS is manually assigned and submitted to DPS. Additionally, the appropriate court record is updated in the Court's application with this information. A copy of the arrest record is forwarded to the appropriate prosecutorial entity for update in their system. Once the TRN/TRS information is updated, the records are contributed to the IDB and extracted for submission to DPS.

Section IV

Travis County's local data advisory board has met weekly with the primary goal of mapping the current electronic data reporting system to determine where failures in reporting occur. As a result, we have discovered multiple points of failure occurring during data exchange due to conflicting, incorrect or incomplete data contributed to the interagency database (IDB). These problem areas, associated with the key functions addressed in Section III above, are as follows:

Arrest Reporting to Repository and Prosecutor:

The Travis County Sheriff's Office ("TCSO") reports arrest records to the DPS electronically by extracting data directly from the corrections management software ("CMS") before any data is exchanged through the interagency database ("IDB"). Therefore, Travis County's arrest records have been successfully transmitted. However, the TCSO has identified some problem areas. Under the current system it is not always clear to the booking officer, at the time that an individual is being arrested on a bond forfeiture/bond revocation warrant, that a TRN/TRS already exists for that offense. Therefore, duplicate arrest records are sometimes being created and reported to the DPS. Similarly, cases are often initiated in the prosecution and court systems when an arrest warrant is issued, but prior to the actual arrest of an individual. When this occurs, there is no TRN/TRS associated with the record. When the individual is subsequently arrested the associated TRN/TRS and SID are not electronically updated in the prosecutors' and court clerks' databases, resulting in an incomplete ER3 and ER4. Also, the electronic arrest reporting ("EAR") interface from the CMS currently submits a generic charge level and degree. For instance, misdemeanor arrests are reported as "misdemeanor undetermined" and felony arrests are being reported as "felony undetermined." This procedure requires the ER3 to always be reported as "change" instead of accepting the charge as reported by the EAR.

Prosecution Reporting to Repository:

The current EDR system does not extract and report data directly from the prosecutors' information management systems ("PIMS"). Data from PIMS is contributed to the IDB and that data is then extracted and compiled for ER3 reporting to the DPS. If any of the data in the prosecution records is incomplete or incorrectly entered, the ER3 will fail. The prosecutors have discovered several problem areas with the entry and exchange of data in their business processes.

The prosecution practice at the felony level of charging multiple counts under a single cause number complicates data entry and EDR. Each count must be assigned a distinct TRS, and an ER3 must be submitted reflecting the prosecutor action for each. Under the current system, the multiple counts and corresponding TRS's must be manually entered into both the prosecutor's and the District Clerk's data management systems. The smallest data entry error will create an inconsistency between the ER3 and the ER4, resulting in a failed disposition report. The practice of re-indictment of felony cases has the same impact.

At the misdemeanor level, due to the large number of cases filed each year, the business process decision at the time of conversion to the county's current data management systems was to accept pre-filled data from the booking record on each arrest, with as little data as possible being manually entered by the prosecutor's office staff. All data required for EDR, under the current system, is extracted from the IDB, and the IDB receives contributions from the booking record, the prosecutors' information management system, and the court clerk's data management system. The audit of the current system undertaken by the local data advisory board has revealed that not all of the data necessary for compiling an ER3 on each arrest is captured by the IDB from the booking record. As a result, many of the ER3's submitted on misdemeanor cases contain incomplete data and the submissions fail.

Travis County's practice of direct filing criminal cases results in a court's file being created at the court clerk's office at the time of each arrest. If the prosecutor subsequently reviews the evidence and/or the arrested individual's criminal history and determines that the charge should be enhanced from a misdemeanor to a felony, (or reduced from a felony to a misdemeanor), the original cause number must be dismissed in order to close the court's file on the original charge. The arrested individual is then assigned a new felony (or misdemeanor) cause number and the case proceeds. Under the current system, the dismissal of the original cause number results in an ER4 that closes the TRS assigned at the time of the arrest. When ER3 and ER4 submissions are later attempted on the new (corrected) charge the submissions fail because the TRS has been closed.

Warrant cases are also a problem area. When a warrant is issued for the arrest of an individual in Travis County, a prosecution packet is submitted by law enforcement to the prosecutor's office and a new case is initiated in PIMS. Because the individual has not yet been arrested, there is no TRN/TRS assigned. When an arrest subsequently occurs, the prosecutor's staff must be notified by central booking and the TRN/TRS must be manually entered into PIMS. Any data entry errors, or failure to enter the data, results in a failed ER3 submission.

The District Attorney's Office will run a weekly report from the Prosecutor Information Management System (PIMS) to assist in identifying any case record that had a prosecutor action event (indictment, information, dismissal, etc.) but did not have a TRS/TRN. Staff will locate the missing TRS/TRNs and add them to the PIMS records.

Prosecution Reporting to Court Clerk:

Travis County's current system does not include any electronic reporting from the prosecutors' offices to the court clerks' offices. Charging instruments are filed in hard copy and indicate that the prosecutor has accepted the charge. If the prosecutor rejects the charge, a dismissal is filed with the clerk indicating that action. If the prosecutor elects to change the charge, the court clerk's office is notified by email and both the prosecutor's record and the court clerk's record are manually changed to reflect the correct charge. Any data entry error, or failure to manually make the change, will result in inconsistent records and the ER3 and/or ER4 submissions will fail.

The County Attorney's Office and District Attorney's Office will use a form to notify the appropriate clerk's office of the transfer of cases between the prosecutor's offices and the disposition code on the original case.

Court Clerk Reporting to Repository:

Under our current system, the court clerks' offices initiate cases in their data management systems by accepting data that is pre-filled into their systems from the booking record and/or from the prosecutor's data management system (PIMS). Any changes to the original data made by prosecutors must be manually updated by the court clerks' staff. Any data entry error, or failure to manually make the change, will result in inconsistent records and the subsequent ER4 submission will fail.

Warrant cases also create a problem area for the court clerks' offices. When a warrant is issued for the arrest of an individual in Travis County, a prosecution packet is submitted by law enforcement to the prosecutor's office and a charging instrument may be filed with the court clerk prior to the individual's arrest. The court clerk's staff must then manually create the court's record in the clerk's data management system. Because the individual has not yet been arrested, there is no TRN/TRS assigned. When an arrest subsequently occurs, central booking must notify both the prosecutor's staff and the court clerk's staff, and the TRN/TRS must be manually entered into both systems. Any data entry errors, or failure to enter the data, by either agency results in a failed ER3 and/or ER4 submission.

Section V

Travis County's review of the current Electronic Disposition Reporting (EDR) process identified several significant factors which have had a direct impact on our overall performance. These key factors are found in our business processes as well as in our software.

To address these issues, Travis County will be redesigning the EDR program. The changes will include adding data elements to the source subsystems, providing a fully automated TRN/TRS tracking module, as well as an error resolution element. Another significant change will be the data source of the EDR extraction. Presently, the source of the EDR data is from the interagency database (IDB). The redesign will extract data directly from each of the source subsystems instead of the IDB. This will eliminate current potential fail points of data not contributing to the IDB.

The subsystems are currently lacking key data capture points which are necessary to formulate a true representation of the action that has occurred. By adding new data elements, it will improve our data collection process, and to the end result will provide the ability to increase our overall reporting accuracy.

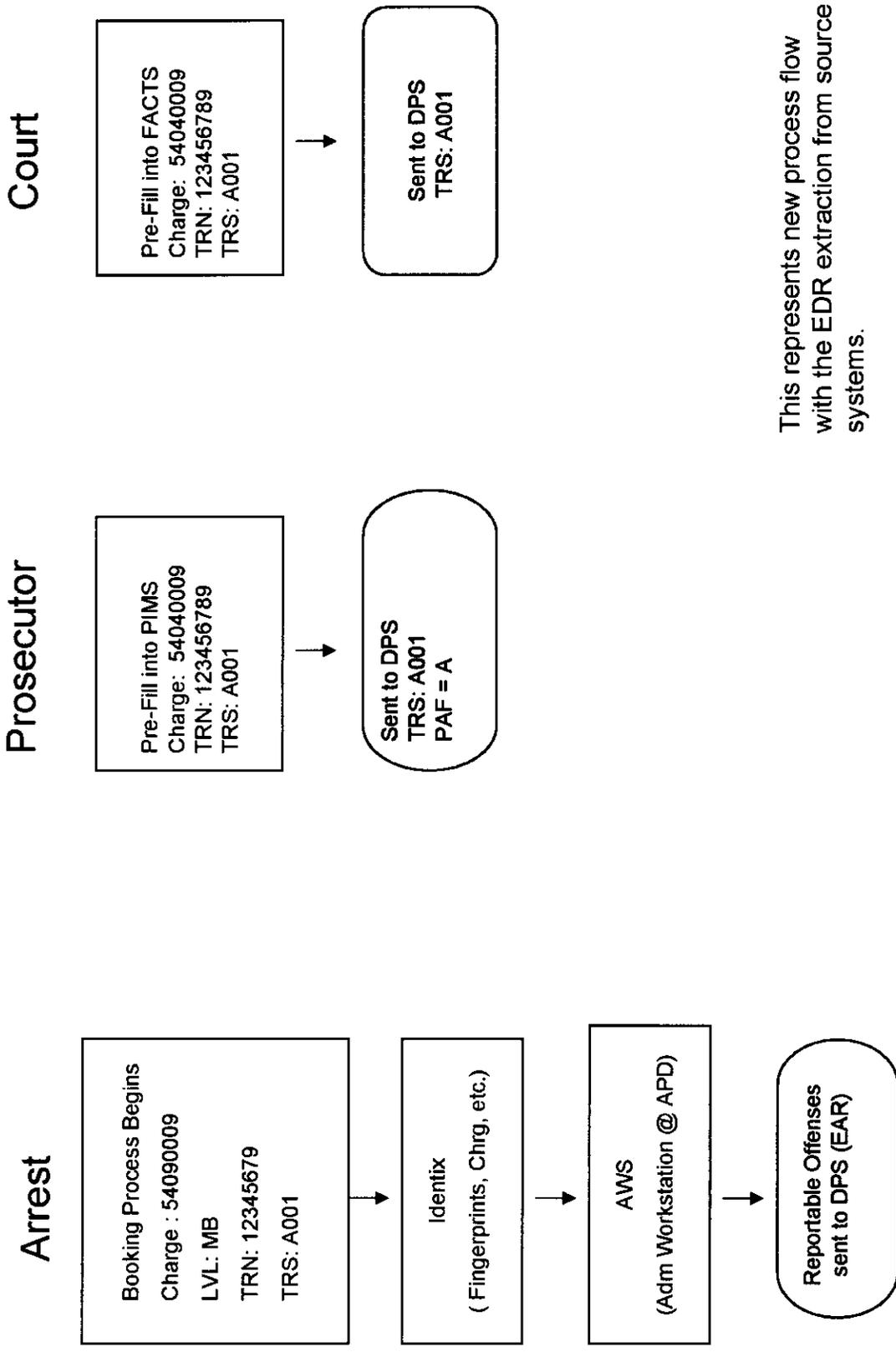
Over the past several years, Travis County has had multiple system migrations and conversions. Each migration presented a set of unique challenges for the EDR program, therefore making it difficult to identify what prior submissions have occurred. With the new design, a fully automated tracking system of the TRN/TRS data will be implemented. This will allow the tracking of the TRN as it progresses through each criminal justice agency, thereby making it easier to monitor the current state of a TRN generated by Travis County. This will greatly improve our compliance and reporting accuracy.

The new programming efforts will also provide enhanced validation processes and procedures. The changes will be in the form of application alerts which will identify key issues prior to the submission of data to DPS. The application alerts will be complimented by a series of validation reports to be utilized by the user to correct erroneous entries prior to extraction. Enhancements will also be made in the processing of the DPS return file. The processing of the return file will identify the errors within the data and direct the user to make the appropriate corrections. The application will then process corrections for resubmission to DPS.

Travis County has already begun the new development effort. The gathering of the requirements is complete and the creation of a specification document is in progress. A request will be submitted to the Travis County vendor to modify the subsystems in order to provide the additional data elements. Based on the level of effort, the new EDR program will be slated for implementation in the first quarter of 2011.

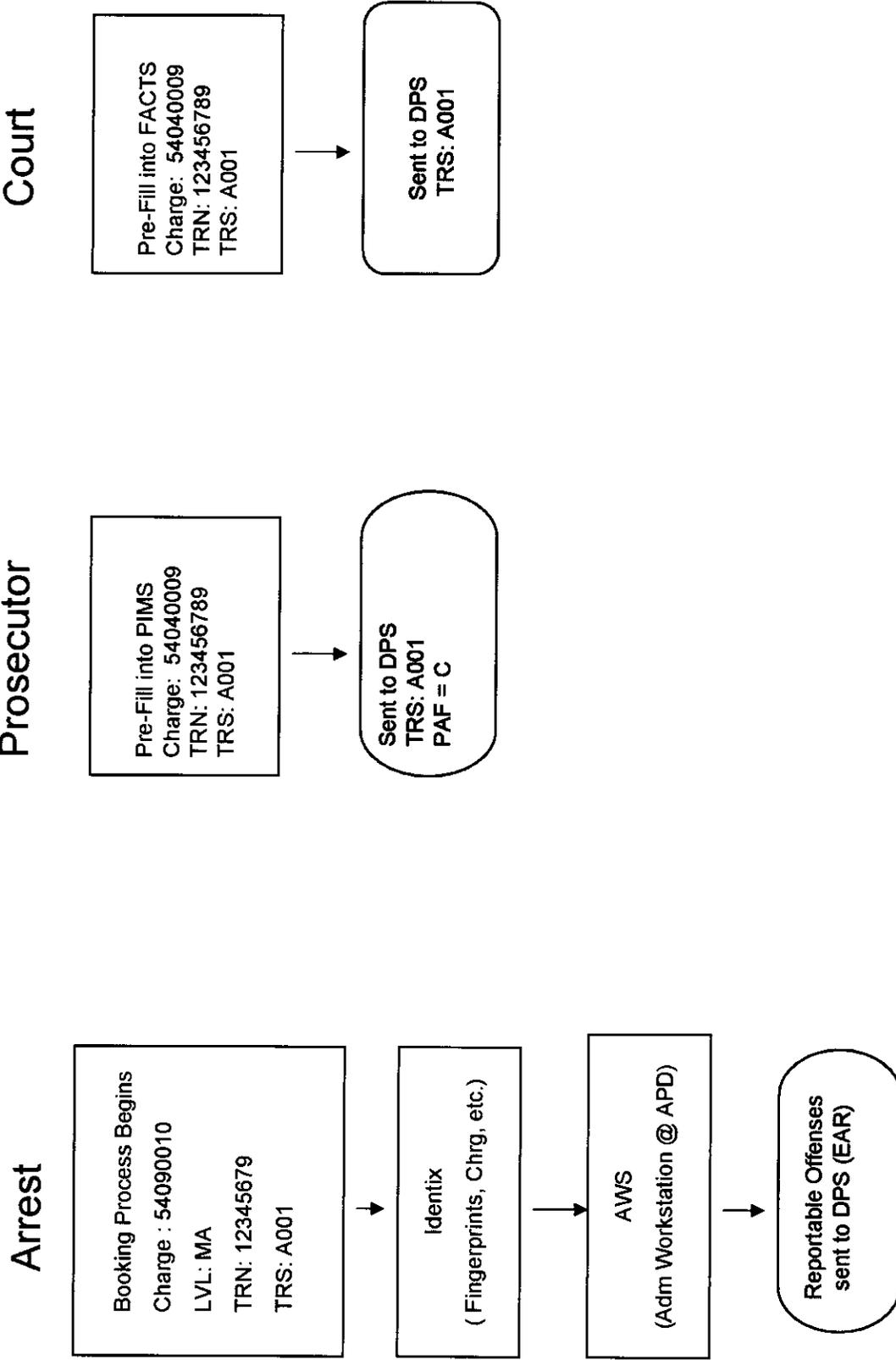
Modifications to Travis County's business processes will be implemented to address key reporting functions. The process flow diagrams reflect the key functions and how they will be implemented in the new EDR program.

Basic Path

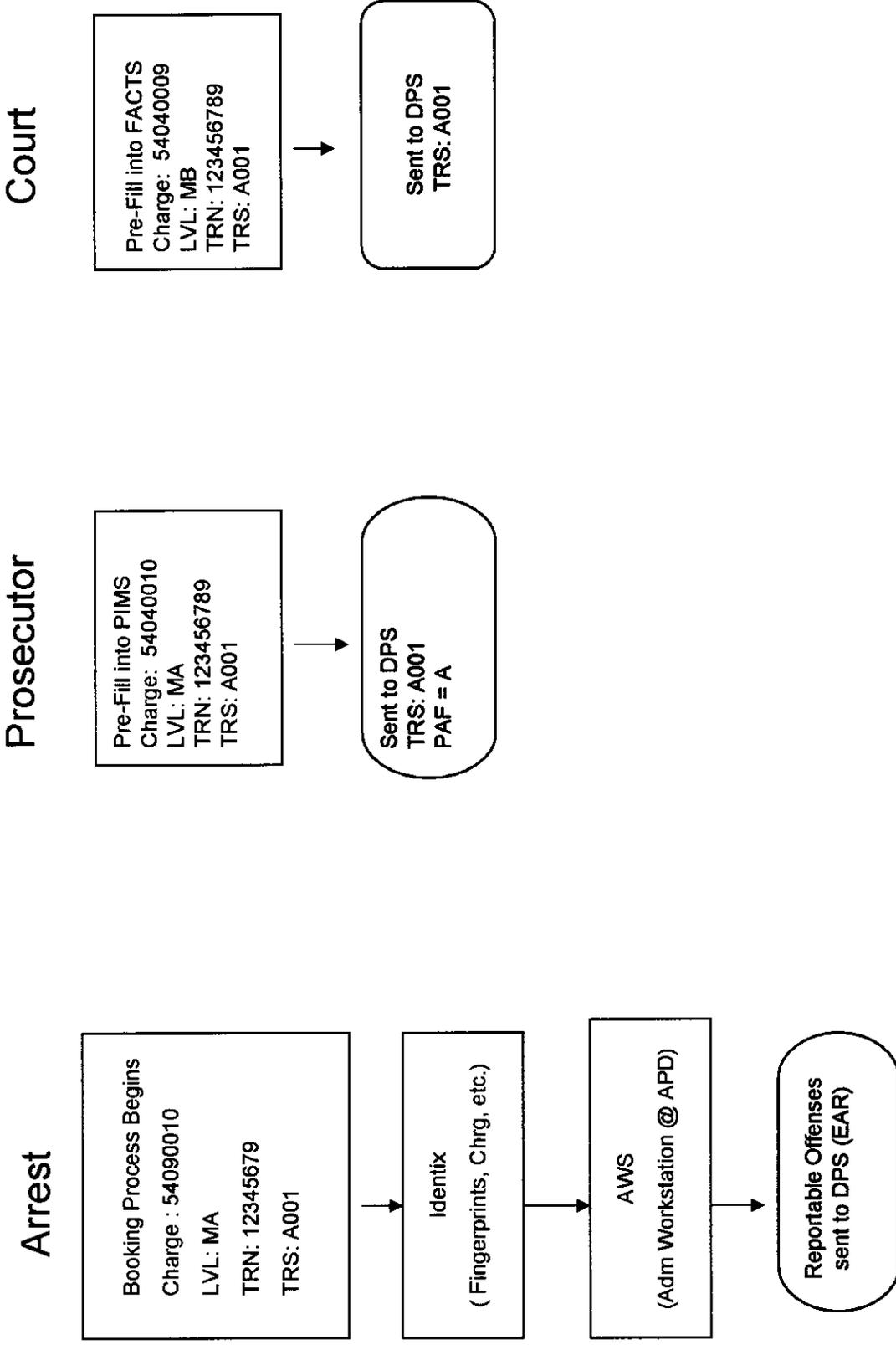


This represents new process flow with the EDR extraction from source systems.

Alternative Path - Prosecutor Changed Charge

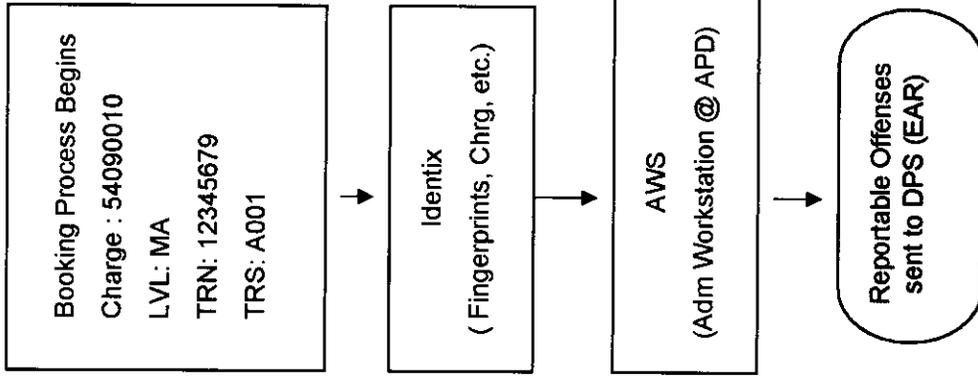


Alternative Path – Reduced at Plea Sentenced to Lesser charge

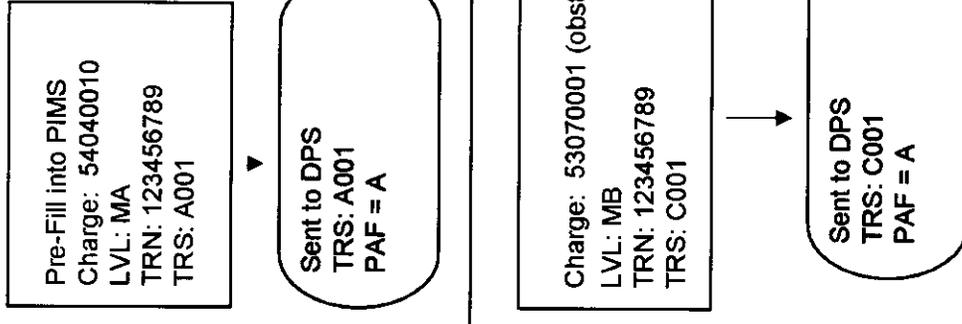


Alternative Path – Misd Refile (Adding charge)

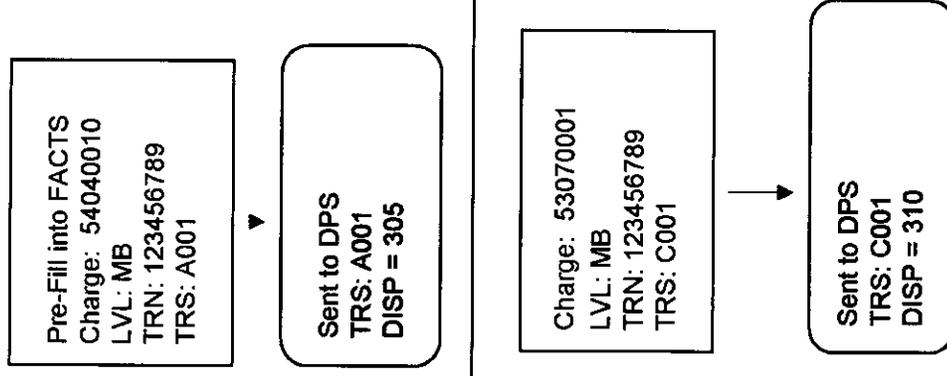
Arrest



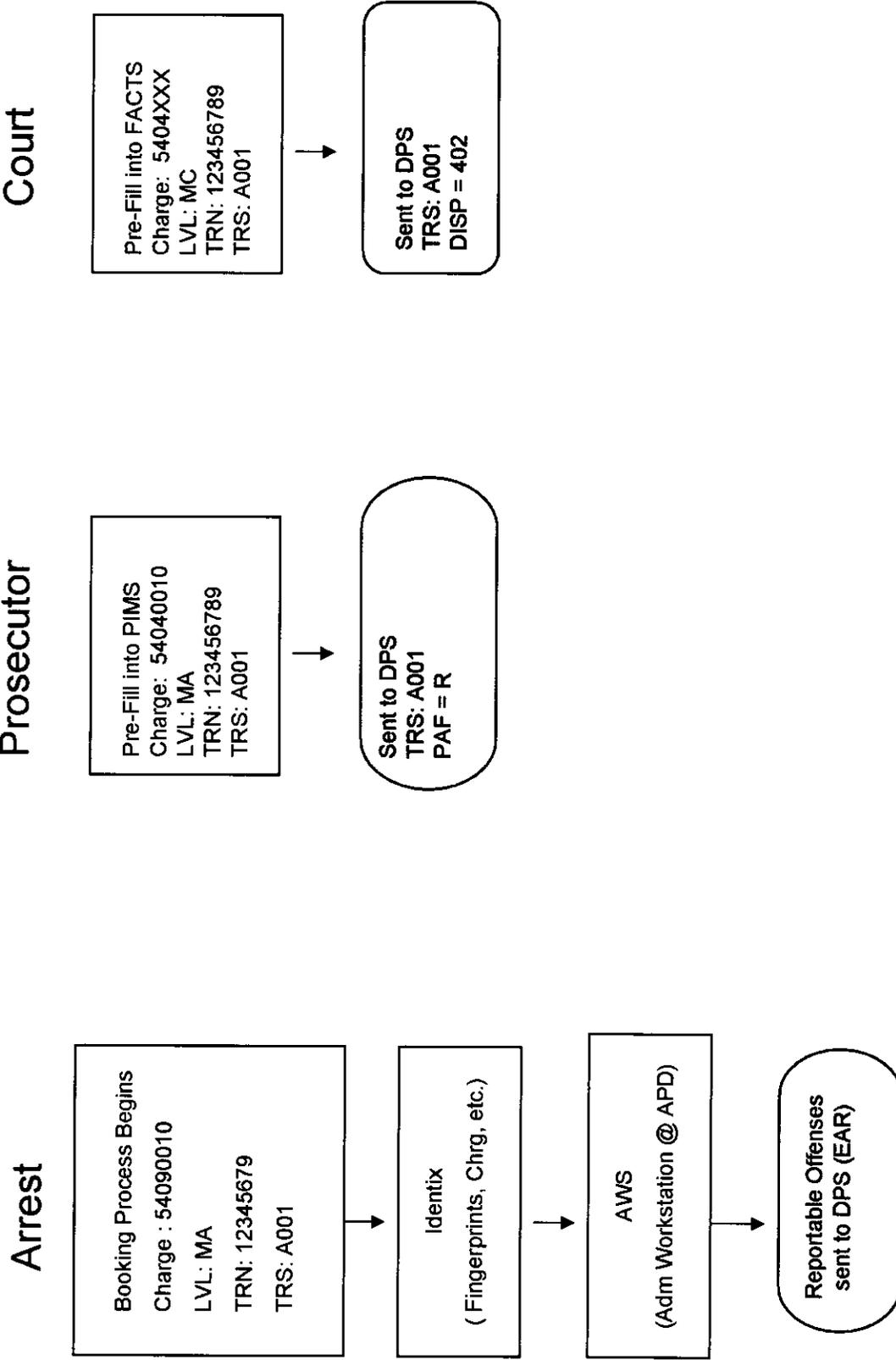
Prosecutor



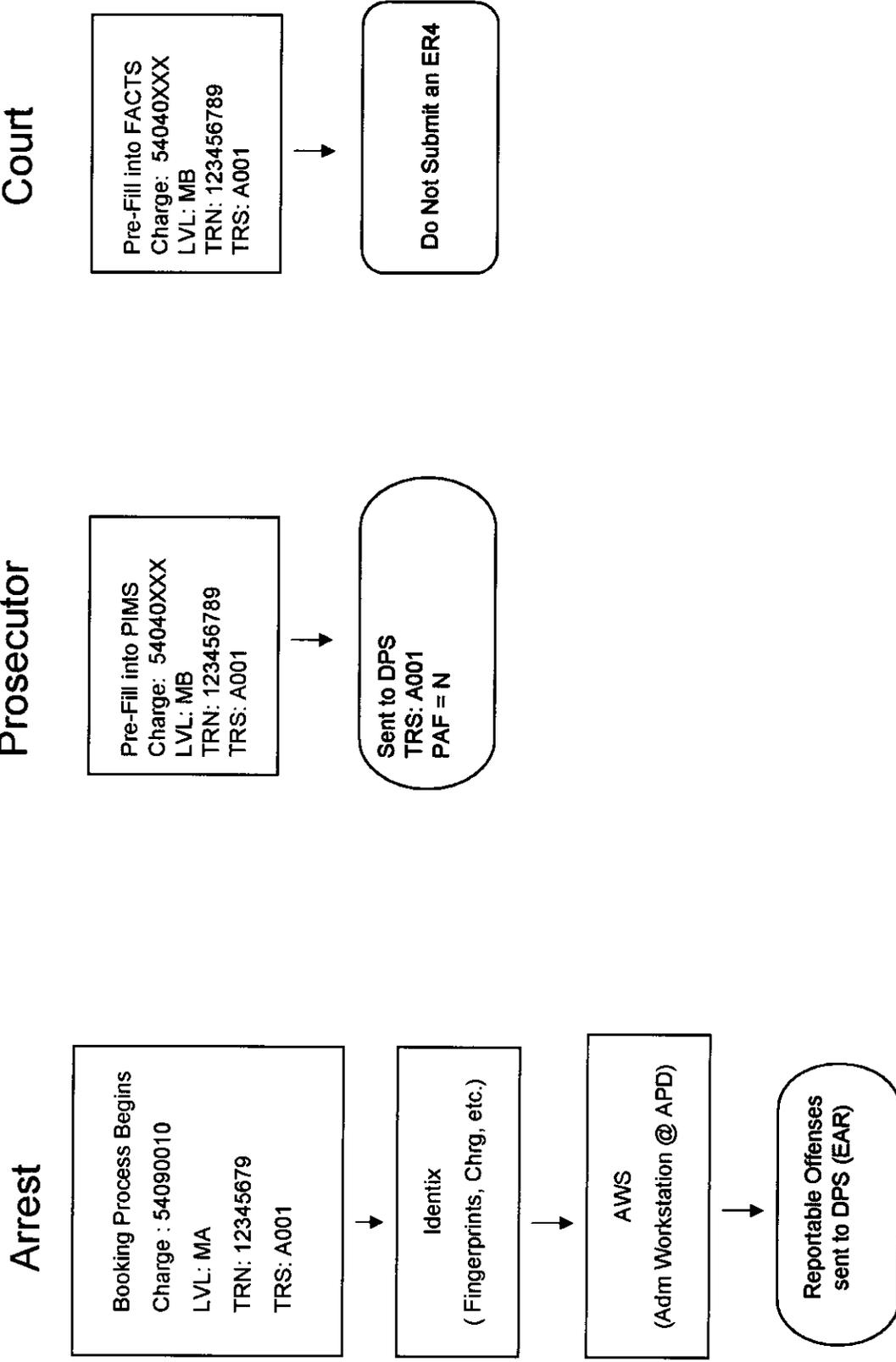
Court



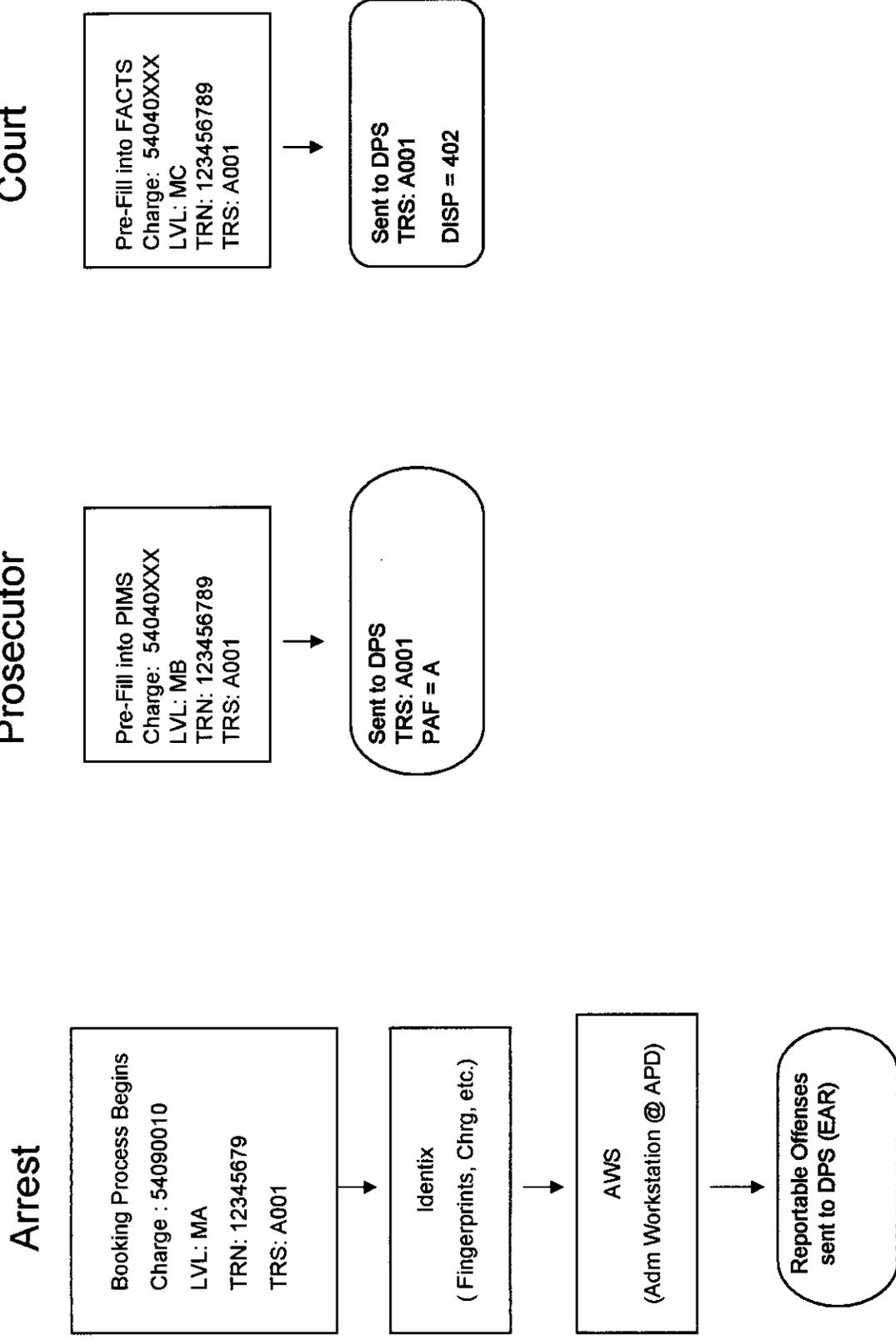
Alternative Path – Reduced to Class 'C'



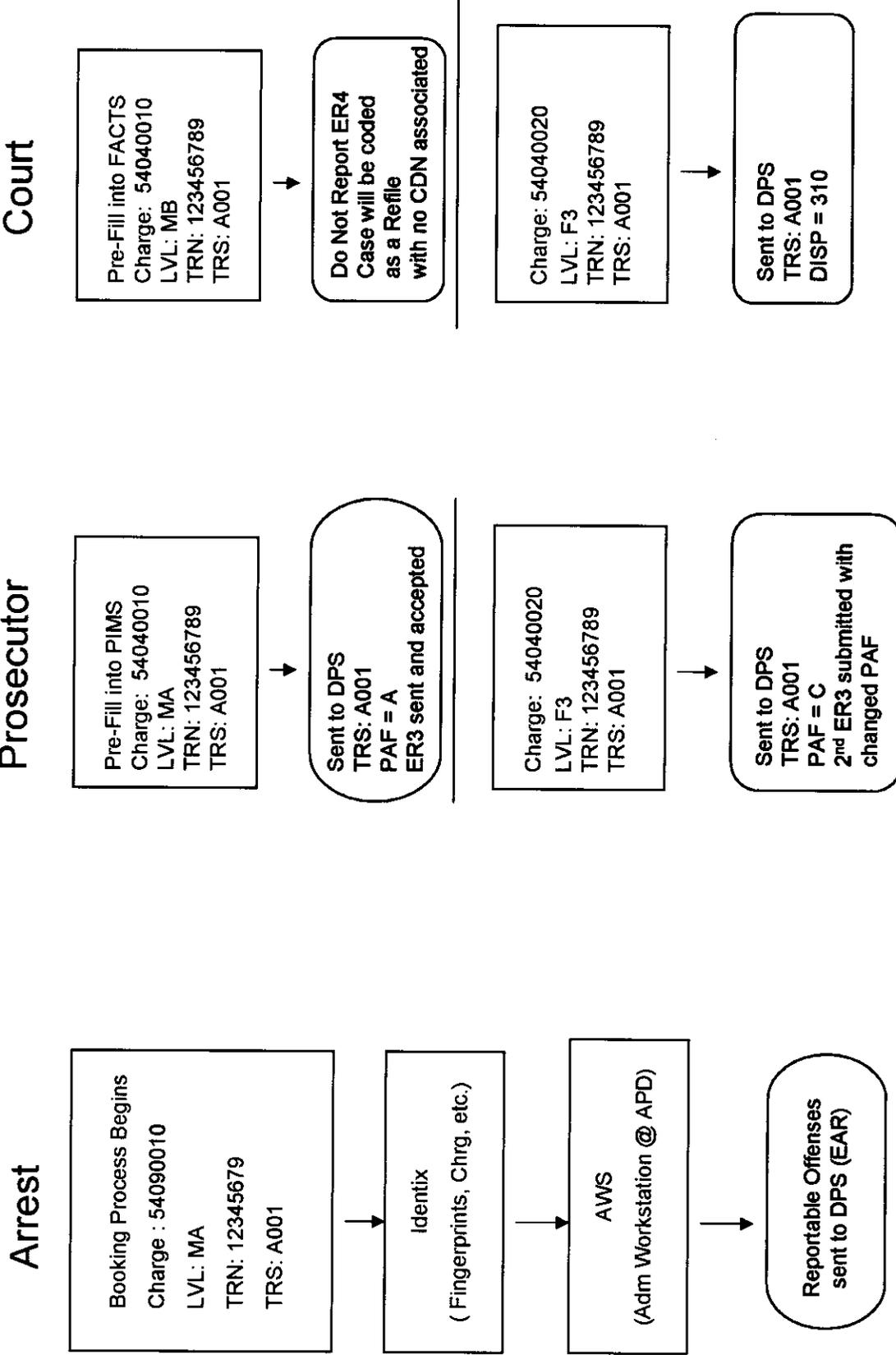
Alternative Path – Prosecutor Rejects the Charge



Alternative Path – Reduced to Class C @ Sentencing

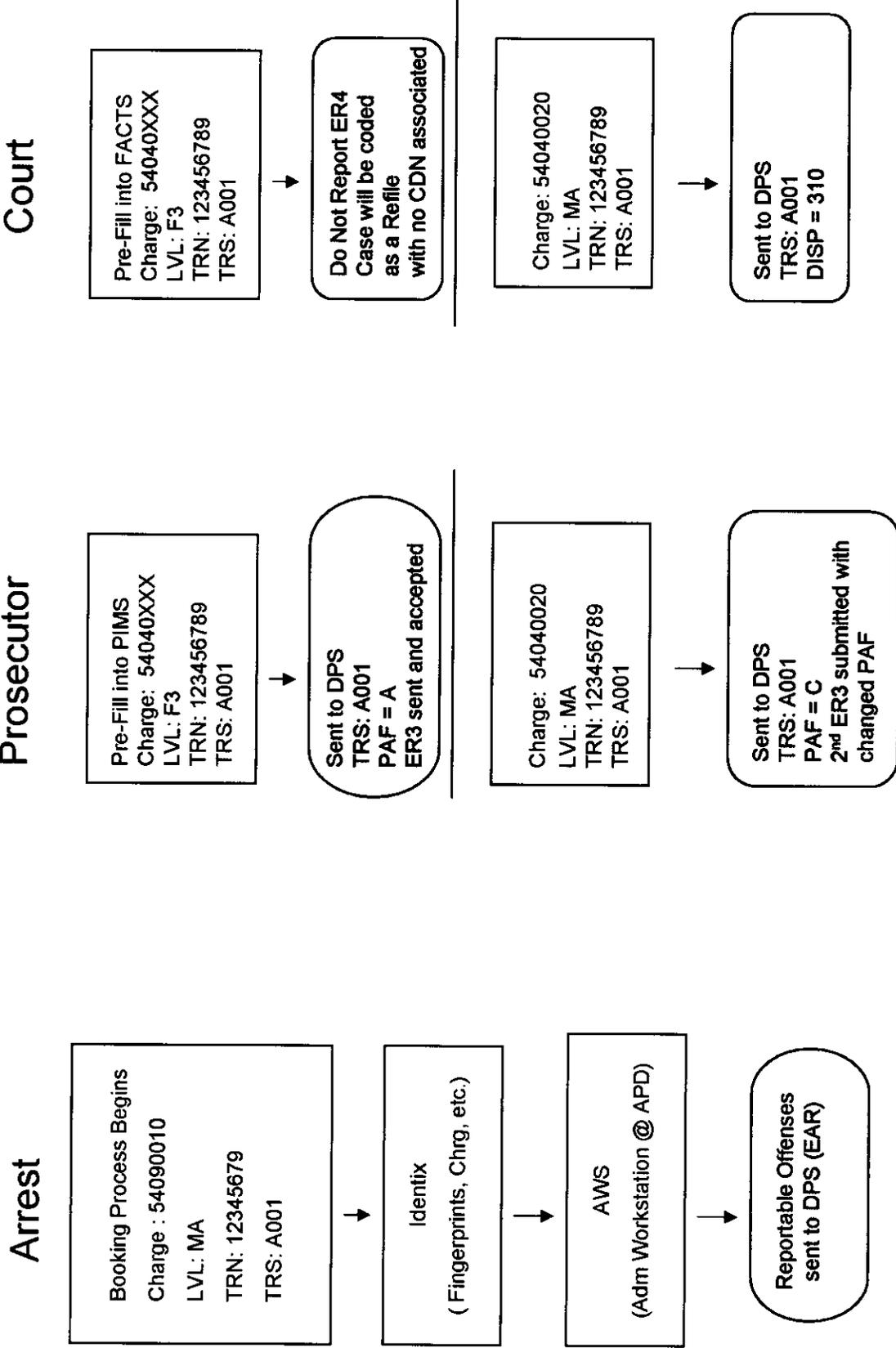


Alternative Path – Enhancement From CA to DA



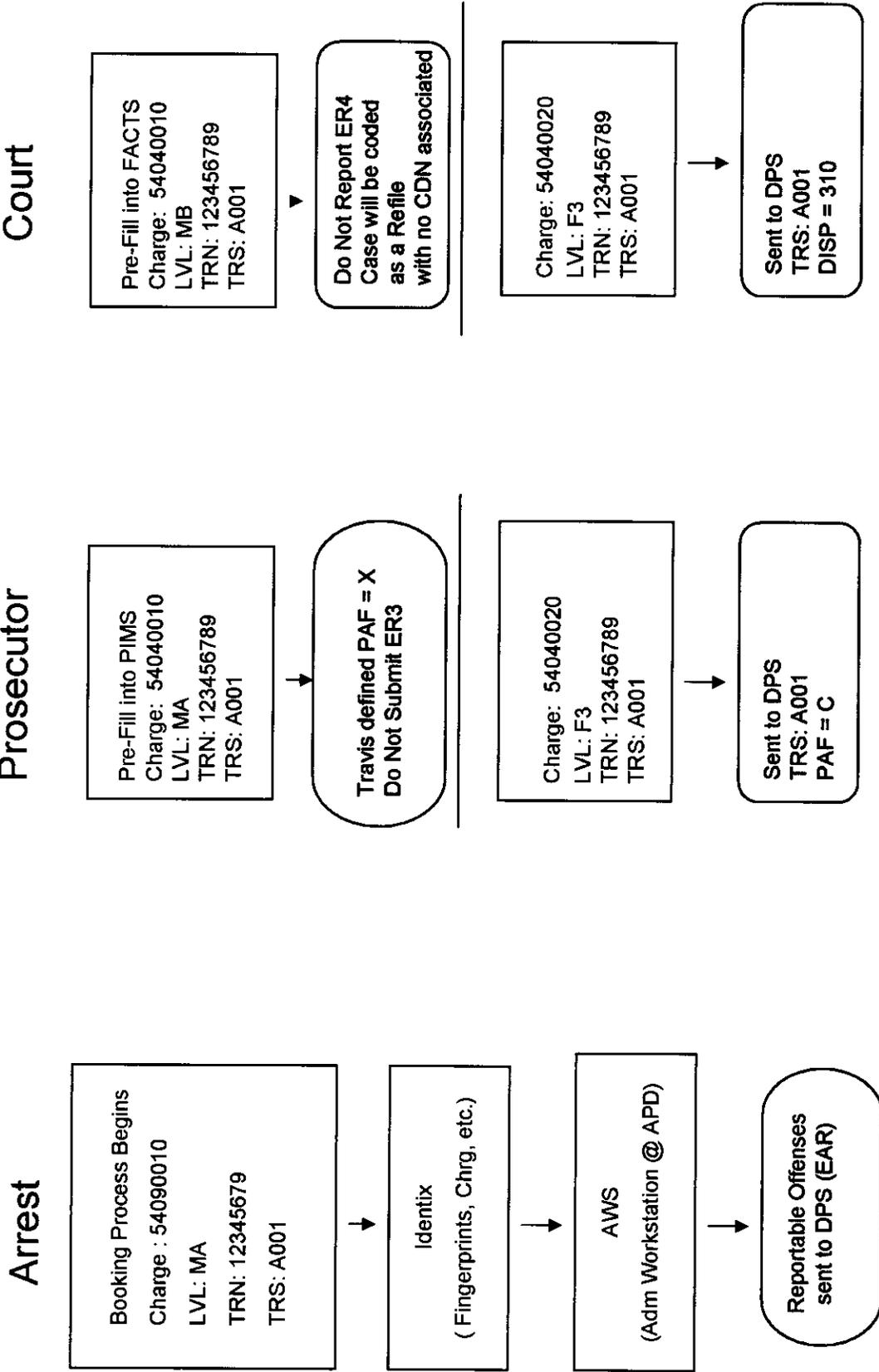
NOTE: May present timing issue if ER4 submitted prior to 2nd ER3

Alternative Path – Reduction From DA to CA



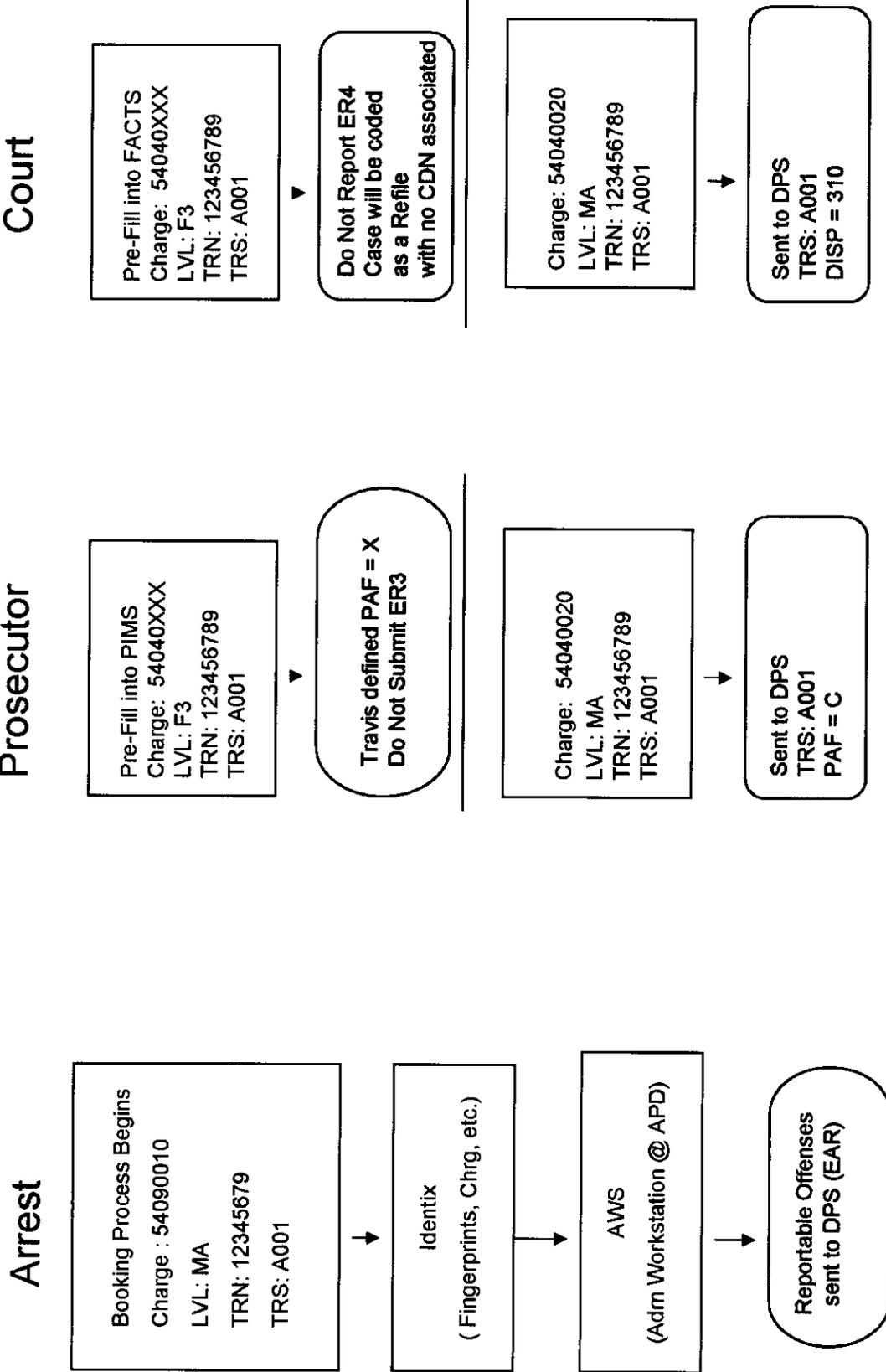
NOTE: May present timing issue if ER4 submitted prior to 2nd ER3

Alternative Path – Enhancement From CA to DA with PAF = X



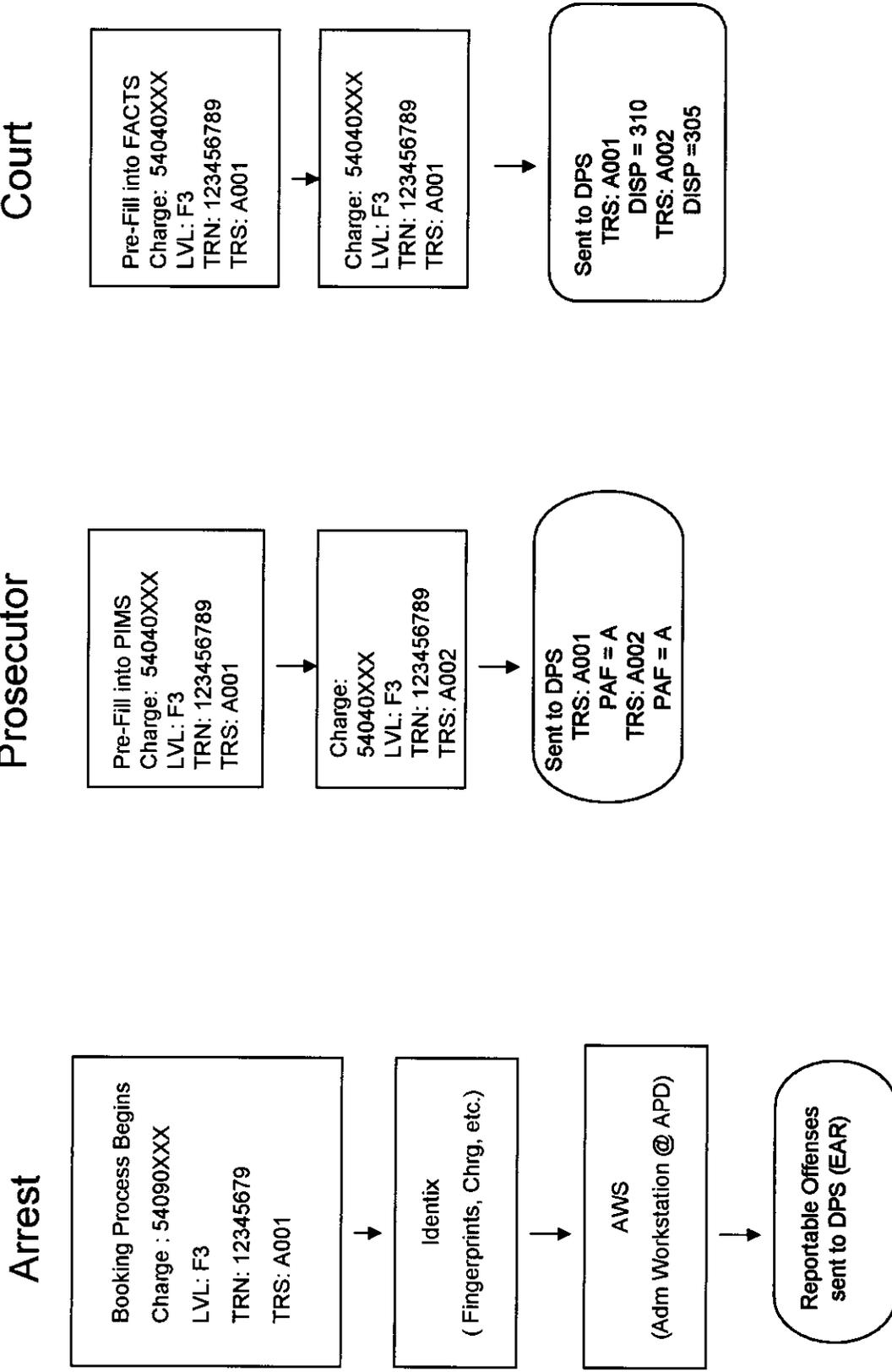
NOTE: IF the PAF = X then do not submit an ER3 or ER4

Alternative Path – Reduction From DA to CA with PAF=X



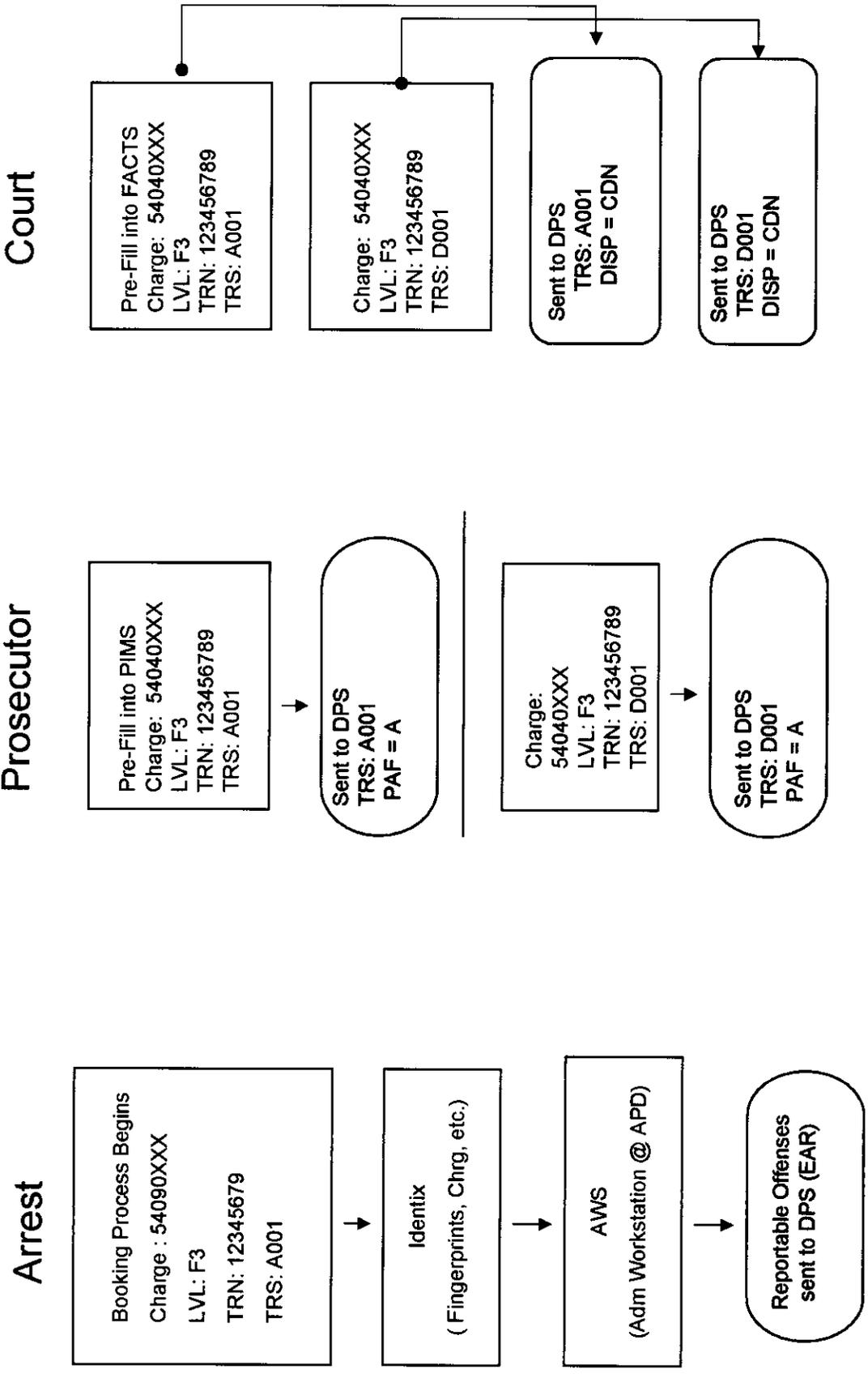
NOTE: IF the PAF = X then do not submit an ER3 or ER4

Alternative Path – Multiple counts

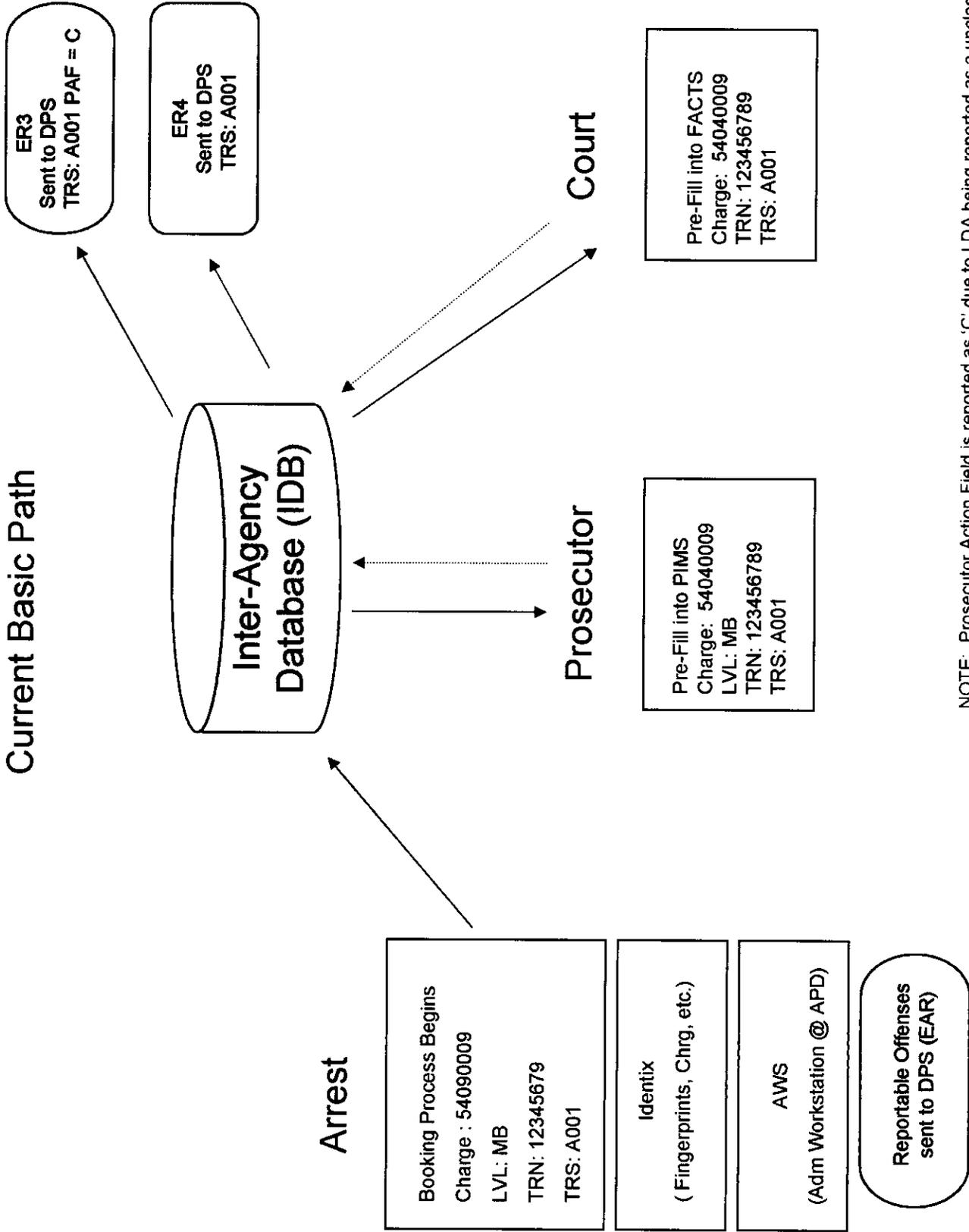


ER3 and ER4 records are submitted for each TRS

Alternative Path – Reindictment



Current Basic Path



Arrest

Booking Process Begins
 Charge : 54090009
 LVL: MB
 TRN: 12345679
 TRS: A001

Identix
 (Fingerprints, Chrg, etc.)

AWS
 (Adm Workstation @ APD)

Reportable Offenses
 sent to DPS (EAR)

NOTE: Prosecutor Action Field is reported as 'C' due to LDA being reported as a unclassified offense.