



The Council of State Governments
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2011 Innovations Awards Application

DEADLINE: MARCH 28, 2011

ID # (assigned by CSG): 2011- _____

Please provide the following information, adding space as necessary:

State: New York

Assign Program Category (applicant): Criminal Justice (Use list at end of application)

1. Program Name

Office of Criminal Justice Operations

2. Administering Agency

Division of Criminal Justice Services

3. Contact Person (Name and Title)

Joseph N. Morrissey-Director of Operations

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9. Please provide a two-sentence description of the program.

This was a conversion to the paperless receipt, storage and processing of all fingerprint transactions and rapsheet responses. This initiative is a cost savings, reduces waste and improves efficiency through digital storage.

10. How long has this program been operational (month and year)? Note: the program must be between 9 months and 5 years old on March 28, 2011 to be considered.

Since June of 2009, starting preparation begin in 2008.

11. Why was the program created? What problem[s] or issue[s] was it designed to address?

Our Commissioner was committed to having DCJS become as paperless as possible. It was a cost saving and environmentally driven goal. DCJS had a warehouse, known as Central Files, which contained more than 22 million fingerprint cards and over a million related documents. A decision was made to scan and digitally store the data at Central Files, eliminating the need to rent space and employee staff to retrieve the folders. Often the fingerprints, documents and folders were misfiled and could not be found, Also, there was a growing backlog of incoming prints to be filed, that DCJS lacked the manpower to keep pace with. Since the images were being sent digitally were began retaining and storing them, allowing us to print the fingerprint cards as needed. DCJS stopped printing and storing paper copies. This was the most logical next step in NYS commitment to change how business was being done and was in keeping with DCJS objective to receive (thorough livescan/cardscan) and retain all images and documents in digital format. Ultimately all transactions will either be sent digitally, or will be converted to digital by DCJS, processed digitally through our AFIS).

12. Describe the specific activities and operations of the program in chronological order.

There as a statewide initiative to implement Livescan and cardscan through the Criminal Justice Community for all criminal and civil submissions . Central Files folders were pulled and documents prepped for scanning. Program changes made to retain all digitally received images. Our Customer Service Group contacted every agency that submitted fingerprints to DCJS to enroll them in e-JusticeNY so that they would receive rapsheets and arrest notification electronically. With the delivery of all rapsheets sent to an in-box, DCJs ceased the mailing of a printed rapsheet. DCJS stopped printing all routine fingerprint cards. DCJS purchased a card scan that will capture ink and roll images that are mailed in and retain them digitally.

13. Why is the program a new and creative approach or method?

DCJS has always relied on a printed card. We looked at every aspect of where paper could be replaced with digital. This touched the civil as well as the criminal contributors. NYS went with a civil vendor management system that allowed the fees and the fingerprints to be sent electronically. Livescan and cardscan technology had already been in place; DCJS built on that concept and restructured our identification operation. OCJO staff along with OJIS technical staff spent many long hours determining how all the exception processing would be handled without a fingerprint card. New reports were developed that could be e-mailed rather than printed to assist in handling problem transactions. Cardscan allows not only prints to be processed electronically at DCJS, but also forwards the images electronically to the FBI for identification. As part of the cardscan initiative, future programming plans include the ability to resend an FBI card only directly to the FBI for replacement at the FBI, when needed.

14. What were the program's start-up costs? (Provide details about specific purchases for this program, staffing needs and other financial expenditures, as well as existing materials, technology and staff already in place.)

The greatest cost and saving came with the closing of our Central Files. The cost for the conversion of our manual file was 3.3 million. This included the hiring of temporary staff who manually reviewed and purged file folders of unnecessary and duplicate documentation, prepared documents for scanning, boxed fingerprints and related documents for storage at our State Records Center. A vendor was hired for the actual scanning and indexing of fingerprints and documents. Licensing fees were \$47,800 with an annual fee of \$6,700. Three additional scanners were purchased at a cost of \$9,675. The documents are scheduled to be retained for a 3 year period from the end of the project. The annual storage fee at our State Record Center is \$50,000.

15. What are the program's annual operational costs?

The cost for the fiscal year 2010-2011 was \$25,000.00 paid to outsource the scanning of documents. That cost will be eliminated once UCM is implemented and the existing staff is able to perform this task.

16. How is the program funded?

Funding was from monies allocated to replace our State Automated Fingerprint Identification System (SAFIS) aging infrastructure with a State Automated Biometrical Systems (SABIS). The projects were an integral part of the overall SABIS plan to implement a biometric database.

17. Did this program require the passage of legislation, executive order or regulations? If YES, please indicate the citation number.

No

18. What equipment, technology and software are used to operate and administer this program?

To operate the Scanning and Indexing portion of this project we use high speed scanners which can scan up to 50 fingerprint cards or DNA forms at a time. The scanned cards are then indexed by typing in the New York S state Identification Number (NYS ID) from the print card which is then verified by a 2nd operator to reduce risk. A quality control check is done on all cards scanned and an additional quality control step is performed by the Training and Quality Assurance unit where 2% of all scanned cards are checked for proper indexing and scanning. The software currently used is proprietary to the vendor and we continue to use this software as we develop our own to duplicate the scanning and indexing portion of the process. The Retrieval portion is done using three workstations capable of retrieving the scanned images, adjusting contrast with PhotoShop and printing them onto cardstock as requested. Cardless fingerprint processing was implemented with DCJS developed software application.

19. To the best of your knowledge, did this program originate in your state? If YES, please indicate the innovator's name, present address, telephone number and e-mail address.

Yes.

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20. Are you aware of similar programs in other states? If YES, which ones and how does this program differ?

No

21. Has the program been fully implemented? If NO, what actions remain to be taken?

The final phase will be the implementation of the Universal Content Management System (UCM). This will combine our electronic file with the scanned file and allow one single point of retrieval. The downloading of the electronic image is expected to be completed in early June of 2011 DCJS still relies on the services of a vendor for the scanning of documents, once UCM is in place, DCJS staff will be assigned the task of scanning.

22. Briefly evaluate (pro and con) the program's effectiveness in addressing the defined problem[s] or issue[s]. Provide tangible examples.

There is a tremendous savings by elimination a manual process that was extremely labor intensive. Once staff assigned to search files that were stored in a warehouse the size of two football fields. The files consisted of approximately 2300 file cabinets and 40 Cendex tubs. There was a staff of 13 assigned to process requests and maintain the file. We now have a staff of 4 that use computerized equipment to request and print only what is needed from a folder. Documents were often misfiled or misplaced or requested by another individual, with scanning several individuals can access the information at the same time there is no room for filing error. Of course indexing is a vital component and once a document is indexed incorrectly it may not be found. Cardless processing was a matter of adjustment from handling a card to working with reports. One of the greatest errors made when using the label system for marking cards for follow up processing was the potential to put the wrong label on the card, resulting in errors and mishandling. Working with reports ensures that the transaction is handled properly.

23. How has the program grown and/or changed since its inception?

The project initial goal was to reform the receipt, processing and storing of fingerprints and eliminate mailing rapsheets. Once those fingerprints and documents were converted to digital images, a master retrieval system was designed. One of the benefits was the ability to download digital stored images to supplement additional fingers into the new SABIS database for accuracy testing. DCJS is now building a new Domestic Incident Report (DIR) based on the same principles of the scanning project. Forms are being scanned and a database is being built that will be accessed by New York State law enforcement that are responding to a domestic incident call.

24. What limitations or obstacles might other states expect to encounter if they attempt to adopt this program? This undertaking required a multitude of resources. Consultants were hired to work with OCJO and OJIS staff to coordinate all the processes that would be needed. Additional temporary staff was also required for the Central Files conversion. Consultants also provided technical support for Central Files conversion, as the vendor supplied programs would be phased out over time. There was outreach done across NYS to law enforcement to implement livescan and cardscan. Our Office of Program and Development Funding (OPDF) worked with various federal grants to distribute equipment to qualifying agencies. OCJO staff coordinated the implementations of a Civil Vendor Management System to have all civil prints sent in electronically. It took a lot of team work and willingness to commit to the goal established by our executive management.

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2011 Innovations Awards Application Program Categories and Subcategories

Use these as guidelines to determine the appropriate Program Category for your state's submission and list that program category on page one of this application. Choose only one.

Infrastructure and Economic Development

- Business/Commerce
- Economic Development
- Transportation

Government Operations and Technology

- Administration
- Elections
- Information Systems
- Public Information
- Revenue
- Telecommunications

Health & Human Services

- Aging
- Children & Families
- Health Services
- Housing
- Human Services

Human Resources/Education

- Education
- Labor
- Management
- Personnel
- Training and Development
- Workforce Development

Natural Resources

- Agriculture
- Energy
- Environment
- Environmental Protection
- Natural Resources
- Parks & Recreation
- Water Resources

Public Safety/Corrections

- Corrections
- Courts
- Criminal Justice
- Drugs
- Emergency Management
- Public Safety

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CSG Innovations Awards 2011
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This application is also available at www.csg.org.