



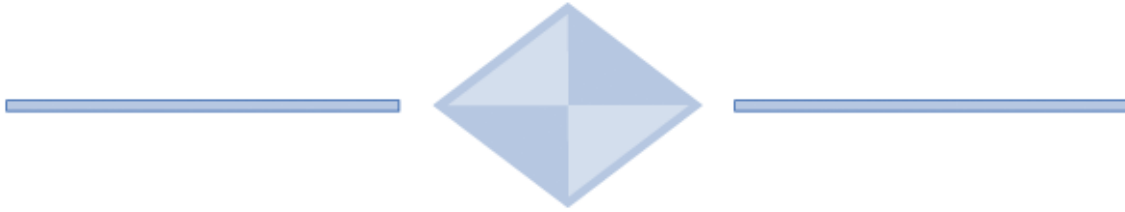
INFORMATION SYSTEMS INTEGRATION:

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Most of the documents in this compilation, *Information Systems Integration: A Library of SEARCH Resources for Justice and Public Safety Practitioners*, were previously published by SEARCH. They have been reissued and in some cases updated since their original date of publication.

These documents are intended to serve as a library of resources for practitioners undertaking justice information systems integration efforts. They provide information that reflects a logical progression in justice integration initiatives: understanding what integration is, setting up a governance structure to oversee the integration effort, planning and managing integration initiatives, and performance measures to demonstrate the success of a jurisdiction's integration efforts.

The components of this library are:

- [Integration in the Context of Justice Information Systems: A Common Understanding](#)
- [Governance Structures, Roles and Responsibilities](#)
- [Roadmap for Integrated Justice: A Guide for Planning and Management](#)
- [Measuring the Success of Integrated Justice: A Practical Approach](#)

Integration in the Context of Justice Information Systems: A Common Understanding

By David J. Roberts

October 2001

(Updated/Re-issued 2004)

This report was prepared by SEARCH, The National Consortium for Justice Information and Statistics, Gerald E. Wethington, Chairman, and Ronald P. Hawley, Executive Director.

David J. Roberts, Deputy Executive Director, wrote this report.

This report was produced as a product of a project funded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, under Cooperative Agreement No. 98-DD-BX-0066, awarded to SEARCH Group, Incorporated, 7311 Greenhaven Drive, Suite 145, Sacramento, California 95831. Contents of this document do not necessarily reflect the views or policies of the Bureau of Justice Assistance or the U.S. Department of Justice.

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Integration in the Context of Justice Information Systems: A Common Understanding

Contents

Introduction	1
Integration of Justice Information	2
Expanding Demand for Information Sharing	3
Interagency Information Exchange	5
Functional Components of Integration	8
Foundation Principles of Integration	9
Defining Governmental Responsibilities Regarding Integration	10
Conclusion	12
Endnotes	13

Introduction

The integration of justice information systems, and information sharing generally, are not entirely new ideas. Agencies and jurisdictions throughout the nation have long recognized the importance of integrating information systems to share critical data, documents, images and transactions at key points in the justice process where decisions must be made. Many State and local jurisdictions are now actively developing plans and programs to substantially integrate their justice information systems and enable broad-scale information sharing.¹

Integrated systems improve the quality of information, and thereby the quality of decisions, by eliminating error-prone redundant data entry. In addition, by sharing data between systems, integration typically improves the timely access to information, a critical factor at many justice decision points (for example, setting bail). Moreover, integration enables the sharing of crucial information without regard to time or space; multiple users can access the same records simultaneously from remote locations around the clock.

Integration also substantially improves the consistency and reliability of information, and enables immediate access by key decisionmakers. Errors in justice information can be greatly reduced by eliminating redundant data entry, which not only results in lower labor costs, but also significantly improves the quality of justice — an intangible that too often is measured by the size of civil suits resulting from improper confinement, improper release or other errors traceable to poor data quality or untimely access to critical information.

Nearly every State throughout the nation is actively planning or implementing integrated justice information systems.² In addition, the U.S. Department of Justice has recognized the importance of integrated information systems strategic planning and coordination, and is sponsoring two important national projects. The Global Justice Information Network and the Office of Justice Programs' Strategic Funding Initiative are both designed to examine justice information systems integration and how the U.S. Department of Justice can best assist State and local jurisdictions in their move toward integration.³

In addition, near the end of 1998, the Congress passed, and the President signed, historic legislation that vastly improves the business of justice and enhances public safety. Beginning Fiscal Year 1999, Public Law 105-251, which includes the *Crime Identification Technology Act* (CITA), authorized \$250 million per year for each of the next 5 years (\$1.25 billion total) for State grants to promote the integration of justice system information and identification technology.⁴ CITA included the first sizable grant program to support justice information systems integration, clearly addressing one of integration's main obstacles — the lack of funding.

Agencies and jurisdictions throughout the nation have long recognized the importance of integrating information systems to share critical data, documents, images and transactions at key points in the justice process...

The integration of justice information is...a broad and significant process that is dynamic and multifaceted...and part of the ongoing evolution in justice business practices.

Given this environment, this *Integration in the Context of Justice Information Systems* report is designed to provide a common framework and vernacular for justice systems integration to assist practitioners, developers and other stakeholders involved in planning efforts.

Integration of Justice Information

Integrated justice information sharing generally refers to ***the ability to share critical information at key decision points throughout the justice enterprise***. It should be noted that integration also includes the sharing of information with traditionally non-justice agencies (for example, other governmental agencies, health and human services organizations, treatment service providers, schools and educational institutions, licensing authorities, etc.) and with the public, which is increasingly demanding greater and more varied access to an expanding array of government information and services. Moreover, this information sharing and access extends across agencies and branches of government at the local level (that is, ***horizontal integration***), as well as interested parties in other local, State and Federal jurisdictions (that is, ***vertical integration***), and may well include civil information, such as non-support orders, civil orders of protection, etc.

Building integrated justice information systems does not mean that all information between agencies is shared, without regard to the event, the agencies involved or the sensitivity of the information available. Rather, agencies need to share critical information at key decision points throughout the justice process. There is explicit recognition that this sharing of information can be accomplished by any of a variety of technical solutions, or a combination of technical solutions, including data warehouses, consolidated information systems, middleware applications, standards-based document sharing, etc. Integrated justice does not presume any particular technological solution or architectural model.⁵

Moreover, the integration of justice information is properly viewed as a broad and significant ***process*** that is dynamic and multifaceted in nature, and part of the ongoing evolution in justice business practices, not as a simple project to share information with discrete beginning and termination points. Building integration and information-sharing capabilities in justice often contemplates fundamental changes in business practices across agencies and jurisdictions, and between branches of government. As a consequence, integration typically raises important legal, constitutional and policy issues that must be addressed. Moreover, integration and sharing of information between justice agencies, with other governmental agencies, and with the general public raises new and important privacy and confidentiality issues that must also be addressed.⁶

Integration also affords an important opportunity to *reengineer operations* in substantive respects. Mapping the information exchanges among justice agencies, and between justice and non-justice agencies and other users, often identifies significant duplication in data entry, redundant processing and circuitous business processes that are evidence of the piecemeal automation practices endemic in most jurisdictions. Careful strategic planning and attention to detail in design sessions can illuminate fundamental flaws in information exchange that can be corrected in integrated systems development. Too often agencies have simply “paved the cow path,” rather than critically examining the dynamics of information exchange and building automation solutions that incorporate the reengineering of business processes.

These factors demonstrate the inherent complexity of building information-sharing capabilities in the justice enterprise, and underscore the importance of focusing on the ongoing process of information exchange.

Expanding Demand for Information Sharing

It is important to recognize that integrated justice information sharing is designed not only to meet the operational needs of participating justice agencies, but also to address the increasingly expansive information demands of society. The need to electronically share accurate and complete information in a timely and secure manner has been triggered by a host of State and Federal legislative directives enacted in recent years.⁷ These mandates represent significant new expectations relating to reporting provisions and information-sharing requirements, which have served as national catalysts to integrated systems development at the State and local levels.⁸

These programs are designed to improve public safety and the well-being of our citizens in such ways as:

- restricting the sales of firearms to persons without criminal records, a history of mental illness or other prohibiting factors;⁹
- restricting and/or monitoring licensing of elder-care, child-care and health-care service providers and other occupations with special access to disadvantaged or vulnerable persons;¹⁰
- dealing with significant financial responsibilities;¹¹
- providing community notification of the location or release of sexually violent predators;¹²
- deporting illegal aliens who have been convicted of crimes;¹³
- locating missing children;
- providing protection from domestic violence and stalking;¹⁴
- ensuring the safety of abused and neglected children;¹⁵

Integration is designed not only to meet the operational needs of participating justice agencies, but also to address the increasingly expansive information demands of society.

[Integrated systems] will improve the capacity to meet reporting requirements arising from implementing Federal legislation, as well as State legislation and policies. . . .As a result, the goal of protecting the public is more effectively achieved.

- providing for the support of children and denial of benefits to some law violators and the incarcerated;¹⁶
- conducting national security background checks for employees of specified agencies, such as the Central Intelligence Agency and the Department of Defense;¹⁷
- establishing eligibility for enlistment in the armed forces and participation in programs that require a determination of trustworthiness;¹⁸
- providing identification and clearance of partners, directors, officers and employees of National Securities Exchange members, brokers, dealers, registered transfer agents and registered clearing agencies;¹⁹
- conducting criminal history background checks of individuals granted unescorted access to nuclear power facilities or access to Safeguards Information by power reactor licensees;²⁰ and
- a plethora of State occupational licensing laws for the medical profession, attorneys, private investigators and others.

These forces, some effectively external to the justice system, nevertheless profoundly influence the design and development of information systems and the plans for information sharing/integration. The systems that are integrated will improve the capacity to meet the reporting requirements arising from implementing Federal legislation, as well as State legislation and policies. Integrated systems, therefore, enhance the ability of the decisionmaker by enabling more efficient access to justice information. As a result, the goal of protecting the public is more effectively achieved.

Moreover, these legislative requirements frequently spawn funding programs to support State and local jurisdictions in the development of systems, or the resources for these efforts. Several of the reporting requirements and other requirements imposed on State criminal justice agencies by the Congress are tied to Federal funding; that is, these obligations are, in some cases, established as conditions of Federal funding. In other cases, failure to implement particular requirements result in a loss of existing grant entitlements. For example, the National Criminal History Improvement Program (NCHIP) implements grant provisions in the *Brady Act*, the *National Child Protection Act*, the *1994 Violent Crime Control Act*, the *Wetterling* and related Acts, and the *Crime Identification Technology Act*, which pertain to the improvement of criminal history record systems. Primarily, the program is aimed at increasing the accuracy and completeness of State criminal records and the extent to which these records are maintained in automated systems, and appropriately flagged, so as to be immediately available to the National Instant Criminal Background Check System (NICS).

Another example is the Five Percent Set-Aside Program, which is a part of the Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant funds allocated to States. This program requires that each State receiving Byrne funds use at least five percent of its total award for the improvement of criminal justice records.²¹ Included in this program are the requirements to establish a criminal justice records improvement task force, conduct an assessment of the completeness and accuracy of criminal history records within the State, identify the reasons that record quality is low, and develop a records improvement plan with mandated periodic updates. On the other hand, States that failed to meet applicable deadlines imposed by the *Wetterling* and related Acts for registration of specific classes of sex offenders, establishment of methods for community notification, and participation in the National Sex Offender Registry maintained by the Federal Bureau of Investigation, are subject to a mandatory 10 percent reduction of Byrne funding.

The specific requirements, whether they be by direct order of the Congress or by being made conditions of grant funds, are all designed to promote public safety. To do this, local justice entities — such as prosecution, trial courts, corrections and parole, where the work of criminal justice is largely done — must be able to promptly and accurately transfer information to the State criminal history repositories and other agencies in need of essentially “real-time” data.

These programs not only represent demands placed on justice and governmental information systems, and external pressures to integrate and enable information sharing, but they also often provide needed Federal support for State and local development and implementation. Nevertheless, to be successful, Federal funding by itself is never sufficient, and State and local jurisdictions must also support the initiatives.

Interagency Information Exchange

Defining integrated justice information sharing as “the ability to share critical information at key decision points throughout the justice enterprise” properly focuses attention on *information sharing* as the principal objective. Justice agencies have a series of *information exchanges* — or transactions — at these decision points.

At booking, for example, the arresting agency typically transmits certain information regarding the arrestee to the State criminal history records repository (for example, name, age, sex, race, driver’s license number, electronic image of the arrestee’s fingerprints, etc.) to record the arrest transaction in the instant case, but also to verify the arrested person’s identity and determine whether the person has a criminal history record in the resident State, or in other jurisdictions around the nation. In addition, this transaction may also query other State and

national information systems to determine whether there are any outstanding warrants, detainers or other holds on the arrestee. Moreover, this transaction may also trigger automatic “notification” of the arrest to the State or county Department of Health and Human Services (HHS), for example, if the arrestee is a foster parent on whom HHS has “subscribed” for “notification” of arrests for disqualifying offenses, as well as similar “notifications” to the Departments of Welfare, Motor Vehicles, Education, etc.

For these transactions, the local arresting agency does not need to share all information regarding the arrestee or the event leading to the arrest, but only that information necessary for the discrete transactions “check for outstanding warrants” and “verify identity and report arrest transaction to the criminal history repository.” These same transactions are completed by law enforcement agencies throughout the nation whenever they make an arrest.

These transactions, and many other routine information exchanges and queries, might be characterized as *conversations*, that is, discrete exchanges of information between two or more agencies. These conversations occur at regular events (for example, at arrest, charging, initial appearance, adjudication, sentencing, licensing, registration, etc.), and it is believed that the transactions are remarkably consistent in jurisdictions throughout the nation.

Some of the conversations are very basic: “Give me information on anyone with a like name and date of birth,” followed by, “Here is the information you requested on all the subjects I have with similar names and dates of birth.” In this conversation, the agency requested information from another agency, which returned nonspecific information; the sending agency did not need to know how the requesting agency would use the information or what further actions the requesting agency might need to take. Other conversations affect the recipient system more directly: “Here is a disposition report and sentence to append to a specific person’s criminal history record.” This conversation requires the recipient agency to know exactly to whose record the new information should be appended in order to store it in its database. It might also trigger some form of notification to other interested agencies. Some conversations can be complex: “Based on the enclosed set of charges, issue a warrant for the subject’s arrest,” followed by, “I will set up a case and issue a warrant, while notifying the sheriff whose jurisdiction this falls under, and at the same time indicating the geographic radius for extradition based on the seriousness of the offense.” In this instance, subsequent conversations might yield entry of the warrant in local, State and national warrant systems.

The analogy to a “conversation” is particularly appropriate, given the nature of the information exchanges contemplated in integrated justice. The exchange is complex and evolving: one agency may initiate an exchange, which will trigger a response by a second (recipi-

ent) agency; this response, in turn, may trigger additional value-added exchanges by the (original) initiating agency, which can then incorporate information — such as a State identification number (SID) — generated in the first exchange.

Content is a fundamental component of the conversation or exchange. The substance of the exchange is the information itself. Exchanges, to be effective, must convey appropriate information (that is, information that is relevant and responsive) in sufficient detail to meet the needs of the initiating/recipient agency.

In addition to content, however, it is also important to recognize that these exchanges, like conversations, must have both a **context** and a **protocol**. Parties to a conversation must have some agreement, formal or implicit, that their communication is going to focus on a topic of relevance (or at least interest) to each party, and there may be specific objectives for the conversation, for example, a query of a statewide warrant system to determine whether an arrestee has an outstanding warrant, or sending disposition and sentencing data to the criminal history records repository to update an offender's criminal history record. In addition to context, there must also be agreement regarding the protocol for the conversation, which may include such elements as the language that will be used, the roles of the participants, and how misunderstandings will be resolved. Automated exchange of charging information between the local prosecutor and the local court must be in terms that are understandable and interpretable by both. Local jails, for example, may be required to submit booking records, fingerprint images and mugshots to the State criminal history records repository in mutually agreed-upon formats for the repository to properly interpret the information and append it to the appropriate record. Protocol, in the context of justice information sharing, largely refers to **standards** that enable sharing of critical information.

Many of the primary events that trigger conversations between agencies in the criminal justice process were generally identified in the excellent schematic of the criminal justice process created in 1967 for the President's Commission on Law Enforcement and the Administration of Justice,²² recently updated by the Bureau of Justice Statistics, U.S. Department of Justice.²³ From this historical research, and from the ongoing work of several jurisdictions in integrated systems implementation, we know many of the key events that trigger the conversations, the agencies involved, and the general nature and content of information exchanged in the conversations. It is important to note, however, that this schematic represents the general life cycle of criminal justice case processing, not the systematic processing of information throughout the entirety of the justice enterprise.

Documenting the key information exchange points, and the context and content of the conversations that occur at each of these events — that is, creating an accurate model of justice information system

processing, which includes identifying common events that trigger conversations, the agencies involved, the nature and content of these conversations, and the exchange conditions affecting the transactions — will greatly facilitate integrated systems planning and design. The Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, has funded a project by SEARCH to complete this important research²⁴ and in doing so, to lay the foundation for integrated systems planning and implementation at the local, regional, State and Federal levels.

Functional Components of Integration

Integrated justice information sharing generally refers to the ability to access and share critical information at key decision points throughout the justice enterprise. The functions we normally consider in integration efforts between agencies include the ability to:

1. Automatically *query* local, regional, statewide and national databases to assess the criminal justice status of a person, such as determining whether a person is currently wanted by another jurisdiction, has charges pending in another jurisdiction, is currently under some form of correctional supervision, or has a criminal history at the local, State or national level.
2. Automatically *push* information to another agency, based on actions taken within the originating agency (for example, reporting arrest information — together with supporting fingerprints and mugshot — to the State and national criminal history repositories based on new information in the local database; when a law enforcement agency makes an arrest and enters this information in its records management system, it should “push” information to the prosecuting attorney’s office for use in the prosecutor case intake process).
3. Automatically *pull* information from other systems for incorporation into the recipient agency system (for example, populating a correctional information system with offender information captured in the presentence investigation, together with court sentencing information).
4. *Publish* information regarding people, cases, events and agency actions (for example, both electronic and paper publishing of information regarding scheduled court events, crime mapping, availability of community resources, criminal history records, sex offender registries, etc.).²⁵
5. *Subscription/Notification* of key transactions and events regarding subjects, events and cases (for example, probation agencies and individual probation officers should be able to

formally subscribe to a notification service that will automatically notify them whenever one of their clients is arrested or otherwise involved in the justice system, as should prosecutors with cases pending against a defendant, judges who have suspended sentencing or otherwise suspended proceedings regarding a defendant, and social services agencies and others interested in particular transactions throughout the justice enterprise).

Justice agencies throughout the nation already share considerable information. It is important to recognize that city, county, regional, statewide and national systems currently exist to facilitate access to and sharing of key information among many of the actors in the justice enterprise. In addition, some of the information exchange contemplated in these five basic functions is currently accomplished with existing technology or is being developed in new systems, but much is also still done manually through the ceaseless efforts of local practitioners. Integration efforts are designed to automate many of these operations, reengineer systems and processes, and achieve new capabilities with greater efficiency and effectiveness.

Foundation Principles of Integration

Integration is designed to address the operational needs of justice agencies, as well as a host of outcome-based societal objectives. In spite of these varying objectives, there are several fundamental principles that guide the development of integrated justice information systems.²⁶

1. Information is captured at the originating point, rather than reconstructed later.
2. Information is captured once and reused, rather than re-captured when needed again.
3. Integrated systems fulfilling these functions are comprised of, or derived from, the operational systems of the participating agencies; they are not separate from the systems supporting the agencies.
4. Justice organizations retain the right to design, operate and maintain systems to meet their own operational requirements. However, as with any network capability, participants must meet agreed-upon data, communication and security requirements and standards in order to participate.
5. Whenever appropriate, standards will be defined, with user input, in terms of performance requirements and functional capabilities, rather than hardware and software brand names.
6. Security and privacy are priorities in the development of integrated justice capabilities, and in the determination of standards.

7. Integration builds on current infrastructure and incorporates capabilities and functionality of existing information systems, where possible.
8. Because of the singular consequences of decisionmaking throughout the justice enterprise, establishing and confirming the positive identity of the record subject is crucial.

These guiding principles are fundamental to integrated systems development in justice, and clearly apply to information technology (IT) systems development generally as well.

Defining Governmental Responsibilities Regarding Integration

The definition of integration implies different roles and responsibilities for agencies at the local, State and Federal levels.

Local agencies and jurisdictions have primary responsibility to:

- Support and maintain *information systems* within their own, individual agencies.
- Establish and enable the *sharing* of the day-to-day information that serves as the operational currency of locally integrated systems (for example, sharing of general case information, court calendar and scheduling information, etc.).
- Participate in statewide integrated *systems planning* efforts.
- Implement *standards* jointly developed with the State in support of statewide systems and integrated justice.
- Accept and implement an *interface with State systems* or other solutions that support statewide integrated justice initiatives.

States have primary responsibility to:

- Build *statewide information repositories/systems* that support the operational information needs of local and State users (for example, criminal history records, statewide warrants database, correctional information systems), and including non-justice systems and users, such as social services, education and the general public, etc.
- Develop and support *standards* consistent with national standards to enable sharing of information between local jurisdictions, to State systems and other States, as well as with national systems.
- Operate as a *gateway* to relevant national/Federal information repositories/systems (for example, Integrated Automated Fingerprint Identification System (IAFIS), National Crime

Information Center (NCIC), National Incident-Based Reporting System (NIBRS), etc.).

- Develop the *infrastructure* that will support and enable integration of local agencies statewide (that is, to share data within their local environment, as well as with the State and national systems). Infrastructure development in this sense means that the State has responsibility for technical systems (for example, statewide fiber optic lines that permit sharing of information, law enforcement teletype systems, radio systems, and programs that will support general levels of automation within justice agencies), as well as the development of open system standards that will lay the foundation for integrated systems planning and implementation at the State and local levels.
- Mandate *statewide coverage* for critical systems, functions and capabilities.
- Enable *sharing* of information statewide.
- Enable local agencies and jurisdictions to *buy IT resources and solutions* off State contracts.
- Provide *leadership* for statewide IT planning and development and, in the context of this effort, particularly focusing on integrated justice.
- Provide *funding* for statewide IT and integrated justice initiatives, and in support of local jurisdictions and agencies to enable their active participation.

The Federal government has responsibilities, similar to those of the State governments, to:

- Develop, maintain and support *national and Federal systems*.
- Ensure *integration* of national systems.
- Serve as the *gateway* to international systems.
- Create and maintain the national and Federal *infrastructure* necessary to support integration of Federal, State and local systems:
 - Nationwide information repositories/systems.
 - Technical infrastructure that enables the automated sharing of information between agencies and jurisdictions.
 - Data and information standards to enable sharing of information between local jurisdictions, to State systems and to national systems.
 - Leadership for IT planning and development and, in the context of this effort, particularly focusing on integrated justice.

- Funding for statewide IT and integrated justice initiatives, and in support of local jurisdictions and agencies to enable their active participation.

Recognizing these fundamental differences in roles and responsibilities is critical in planning and implementing integrated justice information sharing.

Conclusion

This report was designed to define the broad landscape and universal principles generally associated with integrated justice information sharing. Definitions, functions, principles and responsibilities were presented in an effort to establish a common framework and vernacular for integrated justice.

Just as the needs and operational imperatives of government continuously evolve, so too will fundamental elements of integrated justice information sharing. Indeed, the way we do *business* across the broad spectrum of the justice enterprise is ever changing, and that has profound implications for the design, management and operation of critical information resources.

Building consensus around these complex issues of integrated justice, however, is only a first step in effective planning, design, implementation and support. Once jurisdictions have defined a realistic and articulate definition and vision of integration, they must also establish an effective governance structure, follow established strategic planning principles, understand how existing systems and IT resources and projects relate, understand the host of organizational, technical, legal and policy issues surrounding integration, and recognize the long-term management issues that must be addressed, as well as critical funding and systems support.

Substantial support for ongoing research, the development of on-line resources, effective training and direct technical assistance in integrated justice information sharing has been provided by the Office of Justice Programs, U.S. Department of Justice.²⁷ Moreover, there are a host of national organizations and professional associations that are completing research, providing training and technical assistance, and providing other support for jurisdictions in planning, implementing and supporting integrated justice.²⁸

Endnotes

¹ See Bureau of Justice Assistance (BJA), *An Overview of OJP Bureaus, Offices and COPS Information Technology Initiatives*, NCJ 189098 (Washington, D.C.: U.S. Department of Justice, June 2001), available at <http://www.ojp.usdoj.gov/BJA/txt/NCJ18909.pdf>, for a summary of integrated justice activities currently supported by the Office of Justice Programs (OJP), U.S. Department of Justice.

² See <http://www.search.org/integration> for profiles of State and local jurisdictions actively developing integrated justice systems.

³ In response to the call for a Global Justice Information Network in then-Vice President Gore's *Access America* report in 1997, then-Attorney General Reno took a leadership role in coordinating with local, State, tribal, Federal and international justice entities. For advice in this effort, Attorney General Reno created the Global Justice Information Network Advisory Committee, which is chartered under the Federal Advisory Committee Act and is presently led by Chairman Col. Michael Robinson, Director, Michigan State Police, and Vice Chairman Gary R. Cooper, Executive Director, SEARCH. For current information on activities supported by Global, see <http://www.it.ojp.gov/global/index.html>. The *Access America: Reengineering Through Information Technology* report is available online at <http://govinfo.library.unt.edu/npr/library/announc/access/accessrpt.html>.

⁴ Codified at 42 U.S.C. § 14601.

⁵ See *Concept for Operations for Integrated Justice Information Sharing* (Lexington, Ky.: NASCIO, forthcoming), a report of the National Association of State Chief Information Officers (NASCIO) that focuses on justice agency integration at the State and local levels. The *ConOps* report is designed to define the universal attributes for information sharing that are inherent in contemporary visions of integrated justice and, from this research, to identify the information technology (IT) architectural implications for State CIOs. This research, conducted in conjunction with OJP, is also expected to help leverage the significant investment Federal, State and local governments are making in integrated justice, and help coordinate these efforts with broad trends in e-government objectives and IT development. An earlier version of this *Integration in the Context of Justice Information Systems* report guided development of the *ConOps* report, and this revised version has, in turn, built upon research completed for the *ConOps* report, which was written by SEARCH Deputy Executive Director David J. Roberts under contract to the NASCIO Architecture Committee.

⁶ See http://www.it.ojp.gov/topic.jsp?topic_id=42 for references to documents addressing privacy and confidentiality of justice information.

⁷ See, for example, the *National Child Protection Act of 1993*, Pub. L. 103-209, codified at 42 U.S.C. §§ 5119 *et seq.*; the *Brady Handgun Violence Prevention Act*, Pub. L. 103-159, 107 Stat. 1536, codified at 18 U.S.C. § 922; the Lautenberg Amendment, Pub. L. 104-208 (contained in the *1997 Omnibus Appropriations Act*), codified at 18 U.S.C. § 922(g); Immigration and Naturalization Service (INS) alien conviction notification provisions, 42 U.S.C. § 3753(a)(11); the *Jacob Wetterling Crimes Against Children and Sexually Violent Offender Registration Act* (including *Megan's Law*), Pub. L. 103-322, § 170101, codified at 42 U.S.C. § 14071; and National Protection Order File provisions, Pub. L. 104-236, codified at 42 U.S.C. § 14072.

⁸ SEARCH, *Report of the National Task Force on Federal Legislation Imposing Reporting Requirements and Expectations on the Criminal Justice System*, Criminal Justice Information Policy series, NCJ 183458 (Washington, D.C.: Bureau of Justice Statistics, U.S. Department of Justice, August 2000).

⁹ *Gun Control Act of 1968*, as amended, 18 U.S.C. § 922(g).

¹⁰ *National Child Protection Act of 1993*, as amended, 42 U.S.C. § 5119.

¹¹ Pub. L. 92-544.

¹² *Jacob Wetterling Crimes Against Children and Sexually Violent Offender Registration Act* (as amended by *Megan's Law*), Pub. L. 103-322, § 170101, codified at 42 U.S.C. § 14071; *Pam Lychner Sexual Offender Tracking and Identification Act of 1996*, 42 U.S.C. § 14072; and *Victims of Trafficking and Violence Protection Act of 2000 (Aimee's Law)*, Pub. L. 106-386, § 2001.

¹³ INS alien conviction notification provisions, 42 U.S.C. § 3753(a)(11).

¹⁴ National Protection Order File provision of the *1994 Violent Crime Control and Enforcement Act*, Pub. L. 103-322, amending 28 U.S.C. § 534; and the *Gun Control Act of 1968*, as amended, 18 U.S.C. § 922(g)(8).

¹⁵ *Adoption and Safe Families Act of 1997*, Pub. L. 105-89.

¹⁶ *Welfare Reform Act of 1996*, Pub. L. 104-193.

¹⁷ *Security Clearance Information Act*, Pub. L. 99-169, codified in part at 5 U.S.C.A. § 9101(b)(1), as amended.

¹⁸ 10 U.S.C.A. § 520a.

¹⁹ 15 U.S.C. § 78q(f)(2).

²⁰ 10 C.F.R. § 73.57.

²¹ *Crime Control Act of 1990* § 509, codified at 42 U.S.C. § 3759.

²² President's Commission on Law Enforcement and the Administration of Justice, *The Challenge of Crime in a Free Society* (Washington, D.C.: Government Printing Office, 1967).

²³ See revised schematic at <http://www.ojp.usdoj.gov/bjs/flowchart.htm>.

²⁴ SEARCH, The National Consortium for Justice Information and Statistics, is presently engaged in a project funded by BJA to identify key dimensions in the exchange of critical information at key decision points in adult felony and misdemeanor case processing in several jurisdictions throughout the nation. The research is aimed at defining fundamental attributes of justice information sharing. See David J. Roberts, David H. Usery and Amir Holmes, *Background Report — Planning the Integration of Justice Information Systems: Developing Justice Information Exchange Points* (Sacramento, Ca.: SEARCH, February 2000). For current information regarding the project, see http://www.search.org/integration/info_exchange.asp.

²⁵ The “publish” function, as defined here, recognizes the affirmative publication and distribution functions normally associated with delivering information to subscribers, as well as publication in channels that simply make the information available to users via Websites, fax-on-request, posting in public places, etc.

²⁶ For a similar discussion of guiding principles for integrated justice, see Infrastructure/Standards Working Group, Global Justice Advisory Committee, *The Global Justice Information Network: An Introductory Report on Infrastructure* (Washington, D.C.: U.S. Department of Justice, June 2000) p. 11. The report is available online at <http://www.search.org/publications/integrated-justice.asp>.

²⁷ For a broad overview of initiatives in support of integrated justice information sharing, see Bureau of Justice Assistance, *An Overview of OJP Bureaus, Offices and COPS Information Technology Initiatives*, NCJ 189098 (Washington, D.C.: U.S. Department of Justice, June 2001), available at <http://www.ojp.usdoj.gov/BJA/txt/NCJ18909.pdf>. In addition, see <http://www.it.ojp.gov> for on-line resources.

²⁸ The SEARCH Integrated Justice Website, <http://www.search.org/integration>, provides a variety of reports, case studies, project descriptions, profiles of State and local jurisdictions, and other resources to assist in integrated justice information sharing. In addition, other organizations also provide technical assistance, training and resources to jurisdictions in integrated systems planning and implementation. See, for example, National Governors Association, <http://www.nga.org/>; Center for Technology in Government, http://www.ctg.albany.edu/resources/htmlrpt/justice_for_all/index.htm; International Association of Chiefs of Police, <http://www.theiacp.org/pubinfo/researchcenterdox.htm>; National Association of State Chief Information Officers, <https://www.nascio.org/>; and other organizations and initiatives supported by OJP agencies at the primary OJP site: <http://www.it.ojp.gov>.

Governance Structures, Roles and Responsibilities

By Kelly J. Harris

September 2000

(Updated/Re-issued 2004)

Prepared for

Who Decides? An Overview of How States Are Addressing Delegation of Authority and Decision-making in Managing Integrated Justice Information Systems:

A Report on the Findings of A Survey of the Governance Structures of Statewide and State-level Integrated Justice Information Systems Initiatives

By the
National Criminal Justice Association

For the
U.S. Department of Justice
Office of Justice Programs
Bureau of Justice Assistance

This background report was prepared by SEARCH, The National Consortium for Justice Information and Statistics, Gerald E. Wethington, Chairman, and Ronald P. Hawley, Executive Director.

Kelly J. Harris, Deputy Executive Director, Programs, wrote this report.

This report was produced under contract to the National Criminal Justice Association (NCJA), awarded to SEARCH Group Incorporated, 7311 Greenhaven Drive, Suite 145, Sacramento, California 95831.

Contents of this document do not necessarily reflect the views or policies of the Bureau of Justice Assistance or the U.S. Department of Justice.

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Contents

Introduction	1
Integration: Defined for Justice Information Systems	1
State Responsibilities for Integrating Justice	3
Forces Driving Justice System Integration	4
Technology: The Enabler	4
Users Demand More	5
Public Expectations and Demands	6
Local Initiatives	6
National Initiatives	6
Why Governance Structures are Critical to Success	7
Structure	8
Formation	10
Membership	10
Roles and Responsibilities	12
Vision, Scope and Objectives	12
Operational Issues	13
Analyzing and Improving Business Processes	14
Technology and Standards	15
Funding Issues	16
Other Key Issues	17
Continuing Leadership	17
Conclusion	18

Introduction

Information technology and systems integration is not a phenomenon isolated to the justice community; indeed, all government has recognized the value and myriad benefits associated with information sharing, including improved information quality, enhanced decisionmaking, elimination of error-prone and redundant data entry, and timely access to information when it is needed most.

But for the justice community in particular, major initiatives at the federal, state and local levels, combined with growing user needs and public demand for justice information, together with significant advances in information and security technologies are driving efforts to exchange and integrate data among justice agencies, and with other agencies critical to their mission. During this past decade, states across the nation have established governance structures to guide development of integrated justice information systems.

This report provides detailed insight into the establishment of these governing structures, their responsibilities and roles. It examines recent developments in integrated justice planning and implementation across the country, and how and why states have established committees governing these projects.

Integration: Defined for Justice Information Systems¹

Justice information systems integration is not a new idea — agencies throughout the nation recognize the importance of integrating information systems to share critical data, documents, images and key transactions. State and local jurisdictions are actively developing integrated justice plans and programs.

Integrated systems improve the quality of information, and thereby the quality of decisions, by eliminating error prone redundant data entry. In addition, by sharing data between systems, integration typically improves the timely access to information, a critical factor at many justice decision points (e.g., setting bail). Moreover, integration enables the sharing of crucial information without regard to time or space; multiple users can access the same records simultaneously from remote locations around the clock.

The concept of “integrated justice information systems,” however, means different things to different people in different contexts. The

¹ This section was adapted from “Organizing for Change,” David J. Roberts, SEARCH, for the 1999 Bureau of Justice Assistance, U.S. Department of Justice and SEARCH National Conference on Integrated Justice Information Systems, February 1999.

This report provides detailed insight into the establishment of . . . governing structures, their responsibilities and roles. It examines recent developments in integrated justice planning and implementation across the country, and how and why states have established committees governing these projects.

It is important to recognize that building an integrated justice information system does not mean that all information between agencies is shared, without regard to the event, the agencies involved or the sensitivity of the information available. Rather, it means sharing critical information at key decision points throughout the justice process.

extent to which justice agencies across the country are integrating depends on a number of variables, not the least of which is the definition and scope of the individual integration project. In many cases, integration takes the form of a single agency integrating its many information systems, such as a state police agency integrating its criminal records system with mugshot and fingerprint identification databases. Significant improvements in efficiency and effectiveness can be achieved when internal information systems communicate critical data in a timely manner.

Other projects have taken a broader approach, integrating information systems between different agencies with different functions, but that need to share key pieces of data at critical points in the justice process. Integration encompasses a variety of functions designed to enable the timely and efficient sharing of information² within and between agencies.

It is important to recognize that building an integrated justice information system does not mean that all information between agencies is shared, without regard to the event, the agencies involved or the sensitivity of the information available. Rather, it means sharing critical information at key decision points throughout the justice process.

At arrest, for example, the arresting agency typically transmits certain information regarding the arrestee to the state criminal history records repository (e.g., name, age, sex, race, driver's license number, electronic image of the arrestee's fingerprints, etc.) to record the arrest transaction in the instant case, but also to verify the arrested person's identity and determine whether they have a criminal history record in the resident state, or in other jurisdictions around the nation.

In addition, the agency will also query other state and national systems to determine whether there are any outstanding warrants, detainers, or other holds on the arrestee. For these transactions, the arresting agency does not need to share all information regarding the arrestee or the event which led to the arrest, but only that information necessary for the discrete transaction "check for outstanding warrants" or "verify identity and report arrest transaction to the criminal history repository."

² The term "information" is used here in its broadest sense to include data, images (photo, document and fingerprint), case records, calendar events, and electronic messages.

Beyond improving the internal operations of justice agencies, integration is more expansively viewed as enabling the sharing of critical information between agencies. Integration efforts are often referred to as horizontal (e.g., among different divisions of the same court system, or between the state police, court and correctional systems) or vertical (e.g., from limited to general jurisdiction courts, from trial to appellate and state supreme courts, and from local agencies to state and national/federal systems).³ Interagency integration, whether horizontal or vertical, generally refers to the ability to access and share critical information at key decision points throughout the justice process.

Justice agencies throughout the nation already share considerable information. It is important to recognize that regional, statewide and national systems currently exist to facilitate access to and sharing of key information among many of the actors in the justice enterprise. In addition, some of the information exchange is currently accomplished with existing technology or is being developed in new systems, but much is also still done by hand through the ceaseless efforts of justice practitioners. Integration efforts are designed to automate many of these operations, reengineer systems and processes, and achieve new capabilities with greater efficiency and effectiveness.

State Responsibilities for Integrating Justice

It is important to differentiate responsibilities at the local, state and federal levels regarding integrated systems planning, implementation and support. Local justice agencies are responsible for acquiring, creating and maintaining information systems that meet their internal operational needs. In addition, they have an interest and responsibility to share information with other agencies within and outside their immediate jurisdiction, and a continuing need to access and report information to regional, statewide and national systems.

The state has responsibility for creating a statewide infrastructure that will enable agencies to share information with other local jurisdictions throughout the state in a common format, and to share information with statewide systems so local agencies throughout the state will have access to the information, as well as to other states and localities. The state, therefore, is largely responsible for building the infrastructure necessary to support horizontal integration initiatives, and has

³ "Report of the National Task Force on Court Automation and Integration," prepared by SEARCH, The National Consortium for Justice Information and Statistics, 1998, page 3, published by the Bureau of Justice Assistance, U.S. Department of Justice, June 1999.

Distributed

Processing System: a computer system designed for multiple users that provides each user with a fully functional computer.

Open architecture: a system in which all the systems specifications are made public so that other companies will develop add-on products, such as adaptors for the system.

primary responsibility for creating, adopting and maintaining state information systems and serving as the gateway for national and federal systems.⁴ Generally, it is not the state's responsibility to ensure that local justice agencies electronically share person, event, case or process data within the local unit of government, but rather, to build and maintain the infrastructure necessary to enable that level of integration.

In a similar vein, the federal responsibility is primarily for building and maintaining the national information infrastructure necessary to enable sharing of key information between states and to serve as a gateway for state and local agencies to various national and federal information systems.

Forces Driving Justice System Integration

For decades, the justice community has considered how to better share data and integrate information systems. During the 1990s, a number of major events conspired to place justice system integration at the top of the IT priorities list of many states. In particular, technological advances, combined with national and state initiatives, and growing user and public demand for justice information were responsible for renewed capabilities and interest in integrated justice. The new millennium and the events of September 11, 2001, moved justice integration efforts into the fast track to play a crucial role in helping to prevent terrorism and enable first responders access to the vital information they need to protect our communities.

Technology: The Enabler

Technology provided the jump-start to effective integration. Rapid advances in information system and identification technologies have steadily driven justice agencies toward the automation and integration of their information systems.

With the advent of distributed processing systems, open architecture⁵ and powerful database applications, information systems integration can be accomplished faster, cheaper and easier — with more robust applications — than ever before.

⁴ It should be noted, however, that in some jurisdictions, the state has opted to create and maintain information systems that meet the operational needs of local users as a method of enabling integration. This distributed approach means that the state has assumed a significant data processing support strategy.

⁵ Distributed Processing System: a computer system designed for multiple users that provides each user with a fully functional computer. Open architecture: a system in which all the systems specifications are made public so that other companies will develop add-on products, such as adaptors for the system. Both definitions from Webster's New World Dictionary of Computer Terms, Seventh Edition, 1999.

Although justice agencies collect much of the same data, albeit for different uses, they no longer must agree on identical hardware and software systems to achieve integration. Internet technology, middleware applications and data warehousing solutions, to name a few, allow individual agencies to acquire and maintain hardware and software components that best meet their operational needs, but also allow participation in an open network. Today's technology can easily accommodate and incorporate crucial data stored in existing, older systems into the integrated system. The greater challenge is the condition and structure of the data.

Almost every state has plans to implement integrated justice information systems or has already done so.⁶ Many state and local jurisdictions have successfully integrated legacy applications using a variety of strategies and technologies. In many of these jurisdictions the quality of data and the differences in data structures and meaning have been a challenge. Fortunately, two advances are poised to help with this problem — the Global Justice XML Data Model (GJXDM)⁷ and the Justice Information Exchange Model (JIEM).⁸ GJXDM is expressed in eXtensible Markup Language (XML) technologies. XML lets you encapsulate the meta-data (data that explains the underlying data) and even associated business rules, and data access policies to each data element. “Tags” allow any receiving agency to sort through the data and select that part of the data they want to consume, and/or a middleware “backbone” can utilize the tags to intelligently push data based on the encapsulated business rules and data access policies. The JIEM tool that has been created by SEARCH with funding from the Bureau of Justice Assistance, U.S. Department of Justice can be used to first map the business process and the “as is” exchanges and then a “to be” model that models the future state. The latest release of the JIEM tool also includes a reference model of 665 exchanges that have been distilled from the works of many jurisdictions around the country.

Users Demand More

Justice practitioners have become comfortable with computers in their agencies, and recognize the functionality that effective information systems can provide. This has caused a paradigm shift in the industry from developing computer systems merely to house data, to designing

Today's technology can easily accommodate and incorporate crucial data stored in existing, older systems into the integrated system. The greater challenge is the condition and structure of the data.

⁶ For profiles of state and local jurisdictions that are developing integrated justice, see <http://www.search.org/integration/default.asp>. For integrated justice case studies, see http://www.search.org/integration/about_integration.asp#publications.

⁷ To learn more about the Global Justice XML Data Model, see <http://it.ojp.gov/jxdm/>.

⁸ To learn more about the Justice Information Exchange Model, see http://www.search.org/integration/info_exchange.asp.

Public demand for crime control has given rise to a number of federal and state laws authorizing access and use of criminal justice information. . . . These well-intentioned laws assume a level of automation and integration that is only just emerging in justice agencies throughout the nation.

robust, interactive information systems that work proactively to effectively target crime and improve decisionmaking.

Police agencies use incident data to map criminal activity and analyze trends for better resource allocation; judges access complete, accurate and up-to-the-minute record information on defendants to make informed bail and sentencing decisions; and correctional agencies use offender information to make appropriate housing and release decisions. For users, data sharing and exchange is an essential tool for the effective administration of justice.

Public Expectations and Demands

As the public becomes more adept in its use of computers and the Internet, it expects justice agencies are likewise taking full advantage of the latest technology. It is only when a tragic crime occurs that may have been prevented by the sharing of key information that the public often becomes aware of the lack of data sharing among justice agencies.

Public demand for crime control has given rise to a number of federal and state laws authorizing access and use of criminal justice information. In addition to authorizing access to criminal history background information for noncriminal justice decisionmaking (such as employment or handgun purchases), other laws have established registries and notification programs for certain types of offenders, such as sexual predators. These well-intentioned laws assume a level of automation and integration that is only just emerging in justice agencies throughout the nation.

Local Initiatives

States are aware that local jurisdictions are beginning to integrate their justice systems as well. States realize that setting standards and undertaking more comprehensive planning efforts are critical to ensuring that local integrated justice information systems can effectively and efficiently communicate and share information with each other and the state and are, therefore, assuming leadership roles in this area.

National Initiatives

In 1997, the U.S. Attorney General recognized the importance of integrated information systems strategic planning and coordination, and sponsored two important national projects: The Global Criminal Justice Information Network⁹ and the Office of Justice Programs Strategic Funding Initiative.

⁹ For current information on Global, see http://www.it.ojp.gov/topic.jsp?topic_id=8.

In addition, near the end of 1998, Congress passed, and the President signed, historic legislation that would vastly improve the business of justice and ultimately enhance public safety. Beginning Fiscal Year 1999, Public Law 105-251, which included The Crime Identification Technology Act, authorized \$250 million per year for five years (\$1.25 billion) for state grants to promote the integration of justice system information and identification technology. The Technology Act included the first sizable grant program to support justice information systems integration, overcoming one of integration's main obstacles.

Together, these driving forces were instrumental in placing pressure and renewed emphasis on states to integrate their justice information systems and pursue critical data exchange.

Why Governance Structures are Critical to Success

Sharing and exchanging justice information in an automated fashion is a complicated process. It requires the state to play a leadership role in building the infrastructure that enables statewide information sharing, and to create, adopt and maintain state information systems and standards. Clearly, this is a significant challenge for state and local public policymakers and justice administrators.

The administration of justice includes numerous justice and non-justice agencies, many of which operate myriad systems for collecting, maintaining, analyzing and sharing data and information critical to carrying out their respective missions. Creating the capacity to share information and data among and between agencies, levels of government and a variety of disciplines means overcoming established barriers to data exchange. Representatives of the various agencies, disciplines and levels of government, therefore, must come together and formulate and agree to a unified strategy for achieving interoperability. These are not exclusively technical issues that can be addressed by programmers and data processing managers. To the contrary, planning for and implementing integrated justice is a complicated business that involves a multifaceted array of political, organizational, legal, technical, cultural and personal issues that must be addressed. Because of the inherent complexity of these issues and the constitutional separation of powers that is also present, some formal organizational structure is a necessary first step to ensure that the principal participants, stakeholders and users are intimately involved in the project.

Defining a governing body, whether by executive order, statute, informal organization or by a memorandum of understanding that establishes a mission, membership, decisionmaking structure, etc., is arguably one of the key components to planning and implementing a

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successful state integrated justice information system. The governance structure ensures a place at the table for all relevant agencies and users and formalizes and ensures equality in decisionmaking (e.g. all members have an equal vote in decisions at hand). It is the vehicle through which agencies, stakeholders and users participating in integrated justice strategically plan for integrated systems implementation, and, as such:

- Articulate a united vision and determine the scope and focus of integrated justice;
- Identify legal, policy, administrative, funding and technical requirements and other obstacles to achieving integration;
- Define and sanction project objectives, tasks and timetables;
- Garner support from other state decisionmakers;
- Monitor planning, implementation and management activities;
- Define integrated justice operational requirements;
- Oversee systems acquisition;
- Resolve obstacles to implementation; and
- Review system performance and make recommendations concerning systems improvements, enhancements and next phases.

Structure

States have structured their governing bodies in different ways, but all integrated justice governance structures contain three key components that focus on the following tasks: providing project leadership, defining the business of justice, and analyzing technical environments, policies and solutions.

Integrated justice projects require significant buy-in at the executive level and thus an oversight or decisionmaking committee is the critical first component to the governance structure. This “executive committee”¹⁰ comprises the elements of authority and the decisionmaking processes and procedures that a state has put in place to oversee the planning, implementation, operation and management of an integrated

¹⁰ For purposes of this report, we will refer to the oversight/decisionmaking committee as the “executive committee,” though the term “executive” does not refer to a branch of government, but rather that the heads of agencies or the “executives” generally participate in this group (e.g., the governor, chief justice, attorney general, chief of state police, commissioner of the department of corrections, etc.).

justice information system. This committee is comprised of justice agency leaders/decisionmakers and other key representatives in the integration project who represent all involved agencies and disciplines, from a variety of jurisdictional levels.

The executive committee might be a committee whose chair is vested by the governor or through statute with all decisionmaking authority, or it could be a committee that makes recommendations to an agency official who, in turn, makes decisions (e.g. the governor, legislature, finance offices, state chief information officer).

To complete the governance structure, two other components are essential: operational and technical committees. While the executive committee sets policy, makes key decisions and commits agency resources, its members are not generally involved in the daily operational information flow within and between the agencies, nor do they (or should they) know the technical solutions to these issues. The operational committees are essential for understanding, analyzing and defining the business of justice within a state, while the technical committees assess current technical environments and the technical policies and solutions that enable integrated justice.

Any number of operational and technical committees may be established, depending on the vision and scope of the integrated justice information system. Operational committees may include those that focus on specific policy issues, such as data access and availability issues; information flow; and funding strategies. Similarly, technical committees may be numerous and include groups to focus on technical standards, infrastructure and security to name a few.

This essential three-tiered committee structure incorporates expertise, leadership and specialized skills from different groups of individuals, each group addressing the three key components to successful integrated justice planning: leadership, defining the business of justice, and analyzing technical environments and solutions.

The integrated justice governing structure will then form any additional number of necessary subcommittees, working groups and ad hoc committees and rely on them to focus on particular issues, tasks and business processes that require in-depth analysis, documentation, development and/or reorganization, or to carry out the research on and development of a variety of project-specific plans, models, policies, and directions. In fact, these groups will provide most of the research and recommendations on the major issues identified in this section, and then bring the results to the governing body for review and endorsement.

This report refers to the oversight/decisionmaking committee as the “executive committee,” though the term “executive” does not refer to a branch of government, but rather that the heads of agencies or the “executives” generally participate in this group (e.g., the governor, chief justice, attorney general, chief of state police, commissioner of the department of corrections, etc.).

So important is the governance structure that many are formalized in state statute or executive order. Not only does this formalization help garner legislative/gubernatorial support for the effort, but it also makes the governing structure a formal and permanent mechanism for integration planning and implementation.

Formation

Often the idea to integrate justice information systems is driven by operational users of the information systems. Other than in high profile cases, operational users — the street cop, the court clerk, the jailer — are the individuals who most often experience the frustrations with a system that fails to accurately and efficiently exchange and share data and information. They are impacted by the failure to access instant information on warrant or bail status or the inability to access criminal history information for appropriate decisionmaking, etc. But as passionately as the users often campaign for an integrated justice information system, without a proper governance structure, successful planning, acquisition and implementation of an integrated justice project cannot move forward. Those who have tried have failed to move the idea past the concept stage to reality.

So important is the governance structure that many are formalized in state statute or executive order. Not only does this formalization help garner legislative/gubernatorial support for the effort, but it also makes the governing structure a formal and permanent mechanism for integration planning and implementation. Other states' governing body representatives have signed memoranda of understanding or executive agreements to ensure agency commitment. Given the long-term nature of integration projects and the often constant turnover in leadership of state-level and elected positions, a formal and binding agreement or a mandate can be an effective means for states to ensure the continued existence of the integrated justice governing body.

Membership

Members of the governance structure include representatives of relevant state and local entities that contribute to, use and have a vested interest in the criminal justice system and generally include representatives from all three branches of government, thereby recognizing the critical issue of separation of powers. Key stakeholders are engaged in the early stages of integrated systems planning so that they help define the effort, invest in its development, and recognize their continuing responsibility for its success.

Members of the executive committee are the highest-level officials of the identified entities, such as the state court administrator, director of corrections, superintendent of state police, state senators and representatives, as well as mayors, police chiefs and county prosecutors (and, in some cases, even the governor, attorney general, and chief justice of the supreme court). These are the people who have the power to dedicate agency resources and commit personnel to get the project done. They have the ability to drive the project forward, remove barriers, and provide powerful leadership.

In addition, the state chief information officer or information technology representative is an important member of the executive committee. This individual's participation is essential in assuring that integrated justice planning contemplates statewide IT planning efforts and vice versa.

Funding agency representatives should play a role in the governance structure. Involving funding representatives early gives them a stake in the project and educates them, which, in turn, assists in selling an integrated justice information system, come budget time.

Beyond justice agency leadership representation, depending on the scope of the project, it may be necessary to include representatives of other important agencies and organizations on the committee.

If health, education and/or social service agencies are expected to provide and receive information from the integrated justice, representatives should be involved in the governance structure. In some cases, such as when health, education and social services are not agencies within the scope of the current integrated justice effort, ex officio roles may be created on the committee to allow input from these and other interested constituencies. This will assist in developing integrated justice consistent with other major statewide technology initiatives, and vice versa.

Membership on subcommittees, working groups and ad hoc committees consist of a cross section of representatives from the scope agencies. Generally they are comprised of various levels of staff from upper and middle management, technical departments and end users.

In short, project success depends on user involvement in the planning process and governance structure. Without it, even the most well intended and state-of-the-art technology is likely to fail, as it was designed without the support, input and commitment of the end users.

Getting the right players involved is crucial for securing buy-in to the project and developing a comprehensive vision. Having all affected and participating parties represented on the governing body is essential when it comes to establishing credibility with other government officials, decisionmakers and funding agencies and will, most importantly, assist in achieving commitment to, as well as a sense of ownership for the project, by all of the agencies and groups involved.

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Roles and Responsibilities

The governing body provides critical leadership in integrated justice strategic planning, and one of its initial responsibilities is articulating a vision, defining the scope, and establishing objectives for the integrated system. Completion of these tasks provides specific guidance to project staff in planning and designing a system that will meet the operational requirements defined by the executives at the outset.

The integrated justice governing body will have myriad issues to contend with during the planning, implementation, management and future enhancement of integrated systems. Although the number and complexity of those issues will vary from state to state, all governing bodies will have to contend with on-going strategic planning and incorporate such major activities as developing the vision, scope and objectives; developing operating procedures for the governing body; defining operational requirements; dealing with technology and standards; securing funding and providing continuing leadership throughout the life of the project.

Vision, Scope and Objectives

The governing body provides critical leadership in integrated justice strategic planning, and one of its initial responsibilities is articulating a vision, defining the scope, and establishing objectives for the integrated system. Completion of these tasks provides specific guidance to project staff in planning and designing a system that will meet the operational requirements defined by the executives at the outset. The vision brings a tangible reality to what it is the state will address by integrating justice information systems. The vision articulated for integrated justice will play a major role in defining the scope and developing realistic project objectives and milestones.

The mission defined for the Kentucky Unified Criminal Justice Information System, for example, is: to provide for the collection and availability of accurate up-to-date information relating to individuals charged with or convicted of a criminal offense in a timely and easily accessible manner to the criminal justice community while maintaining appropriate security and privacy standards.

From these broader “visionary” statements, project personnel can derive and pursue the objectives that will define what agencies and processes are to be included within the integration initiative, and they can be sufficiently narrow from a practical standpoint to enable successful completion and demonstrative benefits, such as these objectives from the Kansas Criminal Justice Information System:

- Develop and maintain the systems necessary to ensure an accurate, timely and comprehensive collection of criminal history information that meets local, state and federal standards for data quality and timeliness
- Develop and maintain the system in such a way to ensure that it is compatible with the emerging national criminal justice information environment

- Increase utilization of the system by providing on-line access to the appropriate information for the system's primary and secondary customers
- Ensure the system's ability to migrate over time with technology advancements
- Increase cost effectiveness of the system by reducing the manpower associated with the inputs and outputs of the system at both the state and local level
- Ensure the state's ability to manage and continue to expand the functionality of the system
- Increase public safety by developing and implementing a centralized criminal justice information repository

Defining the scope of an integrated justice information system allows the governance structure to accomplish two necessary tasks. First, it establishes realistic boundaries for the effort so that work can begin and milestones reached. Second, defining scope assists in identifying which agencies are "in" the project and should be involved in the planning effort, while acknowledging the expanding breadth and scale of the justice enterprise (e.g., the growing noncriminal justice use of criminal justice data, as well as the growing movement to community-based justice model). While ultimately the governing body must decide where the project boundaries lie, the exercise of defining scope allows the governing body to take into consideration other agencies that, while not in scope during initial planning phases, in the future, may become part of scope.

Operational Issues

As the governance structure is key to successful planning and implementation, it must become a dynamic organizational structure that can effectively manage and commit to on-going planning and systems management. Thus, members of the governing structure must develop shared decisionmaking processes that recognize the operational priorities of the constituent agencies while coordinating funding and development activities.

The governance structure must carefully contemplate the varying agency responsibilities associated with different levels of government, constitutional separation of powers, privacy and security of data and emerging role of the state chief information officer. The governing structure must also be capable of evolving as systems mature.

In short, integrated justice governance requires leaders and decisionmakers to make a paradigm shift from equipment management to strategic information technology planning and, in doing so, must address the needs of a variety of agencies and disciplines.

Planning for integrated justice presents the perfect opportunity to carefully analyze the current “business” of justice and enhance and improve inter-agency workflow to realize improved efficiency, quality and timeliness of information.

Given the diverse structure and membership of the governing committees, they must develop operating procedures that dictate how they will conduct business and make decisions. Those procedures range from establishing policies for electing Chairs, to agreeing upon voting procedures and management strategies. How will the committees make decisions on difficult issues, such as prioritizing acquisition among agencies? What will be the criteria for making decisions? How will conflicts/difficulties — if they occur — be resolved? Early in its formation, the governing structure must decide how it will deal with a host of issues during planning and once the system is operational.

In addition, governing body members must acknowledge that inter-organizational turf issues, as well as personal differences between agency administrators, staff and/or technical people are common. A process for dealing with these challenges needs to be established. The integrated justice information system will also have to address and respect the operational differences from agency to agency, such as the differences that occur between agencies that track cases, versus those that track individuals.

Another major operational issue that committees wrestle with is how to deal with constant changes in committee membership. For the executive committee, many of the high-level representatives hold elected positions, which means membership is in constant flux. How these positions will be filled is an important consideration as an integrated justice project can come to a halt if important decisionmakers are absent.

Resource availability is of primary concern to effective governance. Ample resources, measured both in terms of funding and staff time, are critical for committee members to travel to meetings and for accomplishing specified tasks, conducting research, developing documents and other project deliverables, as well as for providing guidance and consultation.

Analyzing and Improving Business Processes

Planning for integrated justice presents the perfect opportunity to carefully analyze the current “business” of justice and enhance and improve inter-agency workflow to realize improved efficiency, quality and timeliness of information.

Agency operational experts (managers and end users) and those who are intimately involved with the processing of justice information must develop the operational specifications for the integrated justice information system. This involves a realistic assessment of the way business is currently conducted and contemplating ways to make processes more efficient, effective and accurate. It will also result in the development of rules about the sharing and exchange of justice information. Many times it requires introspective analysis of why

things have historically been done the way they are, and making decisions about changing those processes (e.g. is this done because there is a law or mandate? Or is this done because this is the traditional way of doing things?). The governance structure will make important decisions about business processes and improving the business of justice in the state.

Technology and Standards

Although the governing body and its associated committees will not necessarily be responsible for designing technical solutions, they will have to address policy issues associated with current and future technical implementation. Of major concern to all members of the governance structure will be the existing investment each agency has in current automated systems and data. Many agencies have developed systems that effectively meet the individual agency's operational needs, however, were not specifically designed with integration in mind.

The technical committee will also grapple with historical information systems development that failed to incorporate information sharing standards, and that rarely was completed according to a comprehensive plan. The result for many states is that individual agencies have developed information systems that often duplicate, many times conflict, and often do not readily communicate with other information systems.

Another major concern for the governing body is the availability and expertise of existing technical staff support. Government agencies often find that qualified technical staff is not readily available and, when they are, hard to keep in government service. Technical staffs are generally insufficient in number, inadequately trained, and splintered among the various agencies. They are often also committed to their own agency's information system projects and cannot dedicate the additional time necessary to focus on integrated systems development. The governing body will have to address how it will dedicate sufficient number and appropriately trained operational and technical staff to the integration project.

Integrated justice requires the adoption of standards so that agencies can share critical data at key decision points. There are a wide range of standards that have been developed at both the state and federal level to help ensure justice information sharing capabilities. In addition, private industry has developed standards for much the same purposes. States must understand and incorporate these existing federal and state standards as they develop automated systems and contemplate industry standards. Failure to do so risks the future information sharing benefits of integrating the nation's justice information systems. The lack of standards furthers the piecemeal approach to technology implementation and aggravates integration attempts when agencies

Integrated justice requires the adoption of standards so that agencies can share critical data at key decision points. There are a wide range of standards that have been developed at both the state and federal level to help ensure justice information sharing capabilities. In addition, private industry has developed standards for much the same purposes.

Integrated justice poses a unique challenge in that budgets do not necessarily exist to fund a state integrated justice information system. Development of integrated justice presumes a coordinated funding strategy across constituent agencies...this requires comprehensive planning, financial commitments and shared decisionmaking among the agencies.

later find their systems fail to communicate with others. This is particularly critical as an integrated justice information system will ultimately have to communicate with other statewide automated systems.

The state must also maintain a central place for state and local government level agencies to obtain, update, and review those standards as they develop their own automated systems to comply with the standards.

Funding Issues

Clearly, how to fund integrated justice planning, acquisition, implementation, management and future enhancement is a paramount issue. Historically, funding for such systems has taken place in a piecemeal fashion — in past years, rarely was funding made available for the full planning and implementation of integrated justice. But that situation is changing at both the state and federal levels with the growing recognition of the importance of integrated justice and various federal grant programs as well as homeland security initiatives.

Federal funding is critical as it provides necessary “seed monies.” But beyond that, state governing structures must also pursue different methods of planning and using state and local funding streams to provide ongoing support. Members of the governing structure must make a fundamental shift in historic approaches to funding technology. Given the explosive growth and accelerated evolution of technology (e.g., computer storage capacity and processing speed is doubling more than annually), agency directors, policymakers, legislators and other funding decisionmakers must plan to fund technology on an ongoing and continuous basis, and develop annual budget and strategies that do so. Integrated justice poses a unique challenge in that budgets do not necessarily exist to fund a state integrated justice information system. Development of integrated justice presumes a coordinated funding strategy across constituent agencies. Obviously, this requires comprehensive planning, financial commitments and shared decisionmaking among the agencies.

Another key funding challenge is that agencies participating in integrated justice generally have made major investments in existing technologies and legacy systems that may have limited long term utility, yet still effectively meet the daily operational needs of the agency. The role and functionality of these systems will have to be considered by the executive committee.

Effective fiscal planning for integrated systems development should also evaluate the operational benefits of the integration strategy. Although financial planning often suggests a “cost” benefit strategy, integrated justice planning is often more functional when an operational benefit approach is taken. Realistically, it will require significant

financial investment and simply attempting to assess “money saved” is not an effective strategy for assessing the benefits to integration. Instead, it will be important to analyze the improvement in the administration of justice (e.g. quicker positive identification of suspects, improved and accurate data essential for critical decisions about offender sentencing, employment and gun purchases, enhanced public safety, etc.).

Finally, nationwide, a shift is occurring in the way states fund information technology. States are recognizing the need for a coordinated approach to systems development and have incorporated life cycle planning for systems. There has been a move toward not only coordinated funding for systems development, but also attempts to look at alternative funding strategies. In addition, a concentrated effort is being made to reform traditional government procurement strategies, particularly when it comes to information technology. State integrated justice governing structures must be aware of and incorporate state-wide strategies for funding, procuring and supporting major technology implementation.

Other Key Issues

There are numerous other policy and management issues that must be addressed. For instance, the governing body will be concerned with appropriate security of the integrated justice information system. It will be essential for the governing structure to develop and adopt clearly articulated policies and effective technical solutions for securing the system, as well as determine access and availability of the system and data. Other major access and privacy issues will arise, such as will the public have access, and to what data? Does information acquire new privacy rights as it is integrated with other data, and, if so, how will these issues be addressed?

Continuing Leadership

The responsibilities of the governance structure continue beyond strategic planning for the integrated system. Indeed, the governing responsibilities may change significantly throughout the life of the project, from planning, to pursuit of funding, to system implementation oversight, to new system management and testing, to planning for system enhancements.

The governing body’s role is dynamic and will continue to change, but it does not end with the purchase of technology. Rather, the governance structure must remain, although its structure, membership and primary focus may change with each phase of system implementation.

States whose integrated justice governing bodies have been in place for a significant period of time have reported a new challenge, “keeping the momentum.” The problem, some say, is keeping members

The governing body’s role is dynamic and will continue to change, but it does not end with the purchase of technology. Rather, the governance structure must remain, although its structure, membership and primary focus may change with each phase of system implementation.

interested and attending committee meetings — a challenge when some members have dedicated time and effort to the committee for a number of years or since its inception. But just as systems development and implementation follows a continuing and cyclical life (planning, design, implementation, testing and planning), so must that of the governance structure. The implications are manifesting themselves in many states as the realization of the need to do business differently. Integrated justice is no longer a “project” with a set lifespan, but an ongoing method of doing business in the justice community.

Conclusion

The trend across the country is clear: states rely on governance structures to successfully move the integrated justice project from concept to actuality. Every state planning for and implementing an integrated justice information system has one, because they all must have a formal mechanism for shared decisionmaking. States have taken different approaches in defining their governing bodies, and there are experiences and lessons to be learned from these varied efforts that can help other states involved or beginning to plan for integrated justice.

Roadmap for Integrated Justice: A Guide for Planning and Management

By Lawrence P. Webster

March 2004

This report was prepared by SEARCH, The National Consortium for Justice Information and Statistics, Gerald E. Wethington, Chairman, and Ronald P. Hawley, Executive Director.

Lawrence P. Webster, Justice Information Exchange Project Manager, SEARCH, wrote this report.

This report was produced as a product of a project funded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, under Cooperative Agreement No. 99-DD-BX-0069, awarded to SEARCH Group, Incorporated, 7311 Greenhaven Drive, Suite 145, Sacramento, California 95831. Contents of this document do not necessarily reflect the views or policies of the Bureau of Justice Assistance or the U.S. Department of Justice.

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Roadmap for Integrated Justice: A Guide for Planning and Management

Contents

Chapter 1. Introduction	1
How to Use this Roadmap	1
What is Strategic Planning for Justice Integration?	2
Why Plan for Justice Integration?	3
Where Does Strategic Planning Fit in the Integration Process?	4
Who is Responsible for Strategic Planning for Justice Integration?	5
Who is the Audience for the Strategic Plan?	5
What Resources are Available to Help with Justice Integration?	6
What Should the Integrated Justice Strategic Plan Contain?	7
Chapter 2. Strategic Planning Process: An Overview	9
Stage I: Develop a Preliminary Plan	10
<i>Objective 1: Educate the Policy Group and Staff</i>	10
<i>Objective 2: Adopt a Planning Process</i>	11
<i>Objective 3: Develop Preliminary Plan Components</i>	11
<i>Objective 4: Staff the Integration Initiative</i>	11
<i>Objective 5: Organize Stage II Planning Activities</i>	13
<i>Objective 6: Publish the Preliminary Strategic Plan</i>	13
Stage II: Undertake Detailed Planning Activities	13
<i>Objective 1: Organize Committees</i>	16
<i>Objective 2: Monitor Committee Activity</i>	16
<i>Objective 3: Review Committee Work Products</i>	16
<i>Objective 4: Develop a Communication Plan</i>	16
Stage III: Prepare and Implement a Final Plan	17
<i>Objective 1: Establish a Process to Implement and Maintain the Strategic Plan</i>	17
<i>Objective 2: Publish and Distribute the Strategic Plan</i>	17
<i>Objective 3: Implement the Strategic Plan</i>	17
Chapter 3. Strategic Planning Template — Stage I:	
Develop a Preliminary Plan	19
Section 1. Prepare an Introduction	19
Section 2. Establish a Common Understanding	21
<i>Access to Information</i>	21
<i>Automated Information Exchange</i>	22
<i>Intelligent Integration</i>	22

Section 3. Describe the Governance and Leadership Structure	24
Section 4. Provide Charter Materials	25
Section 5. Develop a Mission Statement	27
Section 6. Develop a Vision Statement	28
Section 7. Develop Guiding Principles	30
Section 8. Identify Strategic Issues	32
Section 9. Describe Goals, Objectives, and Performance Measures	33
<i>Goals and Objectives</i>	33
<i>Performance Measures</i>	35
Section 10. Develop Operational Requirements	37
Section 11. Outline a Plan for Stage II Work	40

Chapter 4. Strategic Planning Template — Stage II:

Undertake Detailed Planning Activities	41
Section 12. Examine Best Practices	41
Section 13. Undertake Environmental Scanning	42
Section 14. Build a Business Case	43
Section 15. Assess Readiness for Integration	44
Section 16. Review the Current Technology Environment	45
<i>Infrastructure</i>	45
<i>Applications</i>	46
<i>Interfaces</i>	46
Section 17. Analyze Information Exchange	46
Section 18. Develop Standards	48
Section 19. Address Legal Issues	50
Section 20. Evaluate Risk Management	52
Section 21. Develop a Communication Plan	53
Section 22. Design and Describe the Integration Architecture	54
Section 23. Determine Resource Needs	55
Section 24. Develop a Prioritized Project List	55

Chapter 5. Strategic Planning Template — Stage III:

Prepare and Implement a Final Plan	57
Section 25. Describe the Project Management Methodology	57
Section 26. Outline Tasks and Responsibilities for Strategic Plan Implementation	57
Section 27. Outline Long-term Plans to Strategically Manage the Integration Effort	58

Appendix A: Integrated Justice Needs Assessment Questionnaires 59

Appendix B: Technology Assessment Questionnaire 61

Introduction

Roadmap for Integrated Justice: A Guide for Planning and Management is a tool to support state, regional, and local justice integration efforts. It was created to help policy leaders of the justice enterprise understand their roles and responsibilities, so they can provide the strong leadership that is essential for integration project success. It was created to assist technical and operational managers of justice organizations who will play critical roles in implementing integrated justice. Finally, it was designed to provide resources to integration project team members who will quickly discover that the constitutional, political, policy, legal, organizational, budgetary, management, and operational barriers to justice integration often dwarf the technological issues. Successful integration is a complex and arduous process that requires participation and cooperation from every level of every organization in the justice enterprise, but the rewards of success are distributed in the same manner throughout the entire justice system.¹

No state or local integration initiative can afford to proceed without first learning from the experience of others.

How to Use this Roadmap

Every integration initiative is different. The information in this guide should be adapted to meet the needs of each jurisdiction. Smaller jurisdictions may choose to combine, skip, or delay some of these planning activities until later in the process. Large and complex jurisdictions may require even more detailed planning and analysis than is outlined here. Sites with limited funding or that need to show tangible results quickly may choose to alter the order of the steps in the process. Regardless of circumstances or environment, the principles and practices outlined here have proven helpful in integration efforts throughout the country. Application of this strategic planning methodology will increase the probability of success and improve the quality of deliverables in this important venture. No state or local integration initiative can afford to proceed without first learning from the experience of others. It is hoped that *Roadmap for Integrated Justice* will be a useful tool in sharing this experience.

¹ This document is excerpted in a *Justice IT Brief*, “Measuring Progress: A Summary of Key Milestones In Support of Justice Integration,” published by SEARCH in August 2003. The milestones are a simplified version of a planning process that SEARCH has developed and documented; they can be used to show how far down the path of integration a jurisdiction has traveled. The milestones are: (1) initiate a process and institutionalize a governance structure, (2) continue planning, (3) develop and use performance measures, (4) analyze information exchange, (5) adopt or develop standards, (6) create a sound integration architecture, (7) develop the infrastructure, (8) improve agency/organization applications, and (9) establish interfaces. Download the report (PDF, 386K) at <http://www.search.org/publications/pdffiles/milestones.pdf>.

What is Strategic Planning for Justice Integration?

The essence of planning is found in three questions:

- Where are we?
- Where do we want to go?
- How do we get there?

Strategic planning refers to planning that is both long-term and broad in scope. In the context of integrated justice, it clearly assumes an enterprise approach involving leaders of all key justice organizations within a jurisdiction.

Strategic planning is applied in several contexts:

- Strategic planning for an **organization** focuses on what the organization does, how the environment in which it exists will change over time, and how the organization must respond to be prepared for the future.
- Strategic planning for **information technology (IT)** is a much more technical activity that is done within the scope of the strategic plan of the organization. The IT strategic plan focuses on how to adapt technology to help the organization achieve its goals. It is concerned with building a flexible and robust infrastructure, and the applications that support the work of the organization.
- Strategic planning for **integrated justice** is an enterprise activity that is tightly coupled with both organizational and IT planning in each of the justice organizations. Because of the periodic nature of planning, it may take several years for the organizational plans, the IT plans, and the integration plans to achieve a state of harmony.

The justice enterprise is not a classic organization; it is a confederation of independent entities that—while they are separate from a constitutional, political, organizational, and budgetary perspective—are operationally interdependent. No justice organization can achieve success without reliance on the work of its partners. The justice enterprise relies on cooperation and communication between its policy leaders for direction and support. It depends on the collaboration of managers to coordinate business processes between organizations. It requires efficient information exchange at the operational level to do its work.

Strategic planning for integrated justice is different from strategic planning for an organization or for information technology. There is no unified command and control decisionmaking structure. In most cases,

there is no institutional decisionmaking structure at all—one must be created to support the integration initiative. Not only does the enterprise span justice disciplines—law enforcement, prosecution, courts, corrections, etc.—it also bridges a wide and diverse geographical area and multiple levels of government—city, county, state, and federal. Often integration initiatives rely on dozens of different funding sources and must have the support of numerous political leaders. The development of a relevant and effective strategic plan for justice integration is a monumental task, when viewed solely from a political perspective.

Integrated justice strategic plans are in many respects IT plans, but are more concerned with architecture, infrastructure, and interfaces, than with applications. This means that the integration plan focuses more on operational requirements of system interfaces than on functional requirements of applications. Much of the work related to application acquisition, development, and enhancement will remain within the justice organizations that will use them. Planning ensures that these applications will fit together in the overall integration strategy.

The strategic plan for integrated justice is a high-level framework for interorganizational activity that must mesh with individual agency business and IT plans. For this reason, the strategic plan must be written at the conceptual level. Specific detail is relegated to individual project plans—the purpose of strategic planning is to provide a high-level roadmap to ensure that activity on many discrete projects results in the accomplishment of the overall goal of the enterprise. The strategic plan for integrated justice supports the development of an architecture that can support dozens of interfaces between diverse organizations and applications, which will handle hundreds of unique information exchanges and hundreds of thousands of transactions.

Why Plan for Justice Integration?

Integrated justice does not occur by chance. In fact, efforts to develop custom interfaces between justice system applications without an overall plan in place may make it more difficult and expensive to develop other interfaces in the future. Key decisions will not be coordinated if there is no planning, resulting in commitments to multiple, conflicting architectures that will frustrate future efforts to coordinate enterprisewide information sharing.

Strategic planning for integrated justice is essential to success.

- It is the primary vehicle for obtaining and enforcing agreements between independent justice organizations.
- It helps create a true justice enterprise in which individual agencies work together to achieve common goals, rather than

Integrated justice strategic plans are in many respects IT plans, but are more concerned with architecture, infrastructure, and interfaces, than with applications.

The purpose of strategic planning is to provide a high-level roadmap to ensure that activity on many discrete projects results in the accomplishment of the overall goal of the enterprise.

competing against one another for scarce resources.

- It is a method of sharing resources, sacrifices, and successes in a deliberate way to address the most pressing needs of the justice system.
- It creates a sense of ownership within justice agencies for the integration initiative.
- It provides a baseline of accountability against which progress can be measured.
- It provides a mechanism to communicate goals and objectives internally, to policy and funding bodies, and to constituents.
- It helps in building strong interagency teams that can resolve issues that may never have been addressed in the past.

Where Does Strategic Planning Fit in the Integration Process?

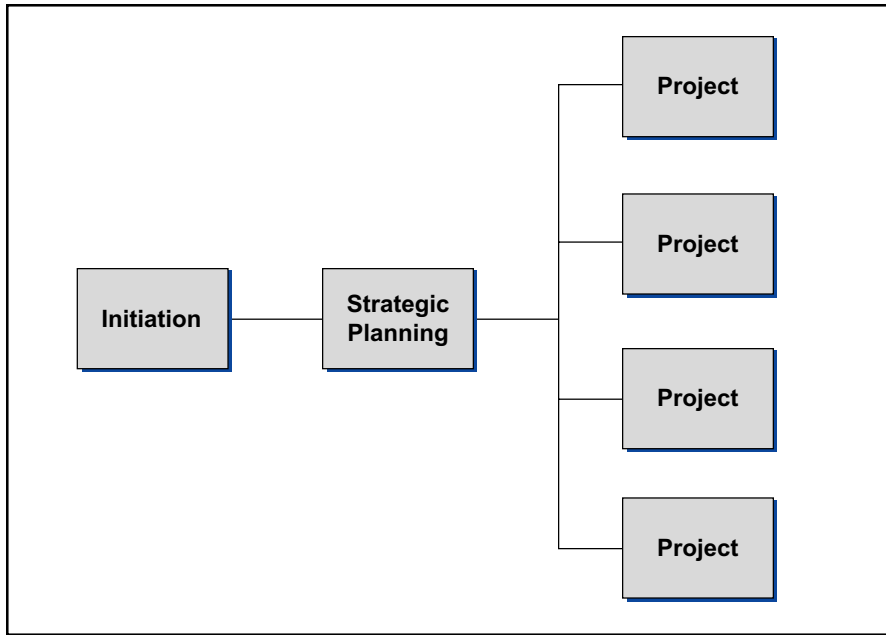
Integration initiatives can be viewed as having three parts:

1. *Initiation.* Initiation includes the decision to pursue an integration initiative and the creation of a governance structure to guide the effort.

2. *Strategic Planning.* The policy group² creates a plan that charts the overall course for the integration initiative, defining what must be done, who must do it, and when it must be completed. The strategic plan contains a list of individual projects that must be finished before integration can be achieved. These projects may include adopting or developing process, data, or technology standards; reengineering business processes; building technology infrastructure; creating, modifying, or replacing applications used by justice organizations; or creating interfaces between applications so they can share information electronically. The strategic plan establishes a process for managing these individual projects to completion.

3. *Project Planning and Management.* Most of the work of integration occurs when the projects identified in the strategic plan are undertaken. For each individual project, a plan must be developed, resources must be identified and acquired, and the plan must be executed and managed.

² The term *policy group* is used throughout this document to refer to the board, commission, task force, committee, etc., that may fill the role of the governance structure for the integration initiative.



The Justice System Integration Process

Who is Responsible for Strategic Planning for Justice Integration?

Strategic planning is the first step to be performed after the policy group for the integration initiative is established. The strategic planning process produces an agenda for the future that is shared by the entire justice enterprise. The policy group can use it to ensure that all short-term and internal activities are moving the justice system closer to its long-term goals, and to make certain that resources are focused on the most pressing justice system needs.

The policy group is responsible for strategic planning for justice integration. Group members are solely responsible for policy-level issues, and are assisted by numerous committees that address technical, legal, budgetary, and operational issues. While knowledgeable staff plays a key role in strategic planning, its work must be approved and adopted by organizational heads in the policy group.

Who is the Audience for the Strategic Plan?

The strategic plan should be written for policy leaders, funding bodies, operational staff, etc. It should not be a technical document, although separate technical publications will be a byproduct of the strategic planning process. To ensure that the plan is accessible to the intended audience, it should not be overly long and the writing style should be somewhat informal and nontechnical. It should be the product of the

policy group, not of an outside consultant or facilitator, although these types of individuals may assist in its preparation.

What Resources are Available to Help with Justice Integration?

Before beginning planning activities, a jurisdiction should have committed to the integration initiative and established a governance structure that includes key justice system stakeholders. Two documents are available from SEARCH to assist local practitioners in accomplishing these Stage I preliminary steps. The first is *Integration in the Context of Justice Information Systems: A Common Understanding*.³ This publication explains, in broad terms, what integration is and why it is important. It is an excellent resource in developing the initial understanding and commitment to pursue integrated justice. The second document is *Integrated Justice Information Systems Governance Structures, Roles and Responsibilities: A Background Report*,⁴ which explains how to create a decisionmaking structure and process that will maximize the probability of success.

This document, *Roadmap for Integrated Justice: A Guide for Planning and Management*, provides an overview of strategic planning. It includes a number of tools to assist with strategic planning, which are referenced throughout the guide.

Other resources—from SEARCH and others—are available to assist state and local project leaders with strategic planning and integration in general. They include:

- Online integrated justice profiles (over 60 state and local profiles)⁵
- Integration case studies (Colorado; Delaware; Marin County, California; Metro/Davidson County, Tennessee)⁶
- No-cost technical assistance⁷

³ David J. Roberts, *Integration in the Context of Justice Information Systems: A Common Understanding* (Sacramento, California: SEARCH, October 2001). Download (PDF, 248K) at <http://www.search.org/integration/pdf/IntegrationDef.pdf>.

⁴ Kelly J. Harris, *Integrated Justice Information Systems Governance Structures, Roles and Responsibilities: A Background Report* (Sacramento, California: SEARCH, 2004). Download (PDF, 76K) at <http://www.search.org/images/pdf/Governance.pdf>.

⁵ <http://www.search.org/integration>.

⁶ http://www.search.org/integration/about_integration.asp#publications.

⁷ <http://www.search.org/tech-assistance>.

- Regular national symposia on justice integration issues⁸
- The Justice Information Exchange Model (JIEM)⁹
- The JIEM Reference Model¹⁰
- Web site of the Bureau of Justice Assistance (BJA), U.S. Department of Justice¹¹
- Web site of the Office of Justice Programs' Information Technology Initiatives¹²
- XML for integrated justice¹³
- Other integration publications and resources¹⁴

What Should the Integrated Justice Strategic Plan Contain?

Roadmap for Integrated Justice contains a suggested template for developing a strategic plan, along with sample content based on work done in many states. The template maps to the strategic planning process are summarized in Chapter 2. This process is comprised of three stages, described in greater detail in Chapters 3-5:

- **Stage I:** Develop a Preliminary Plan (Chapter 3)
- **Stage II:** Undertake Detailed Planning Activities (Chapter 4)
- **Stage III:** Prepare and Implement a Final Plan (Chapter 5)

Each stage involves a number of components, as outlined on page 8.

⁸ <http://www.search.org/conferences/default.asp>.

⁹ <http://www.infoexchange.search.org>.

¹⁰ <http://www.search.org/integration/jrm1.pdf>.

¹¹ <http://www.ojp.usdoj.gov/BJA/>.

¹² <http://www.it.ojp.gov>.

¹³ <http://www.search.org/xml>.

¹⁴ <http://www.search.org/integration>.

Strategic Planning for Justice Integration

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

- Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
- Section 19. Address Legal Issues
- Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

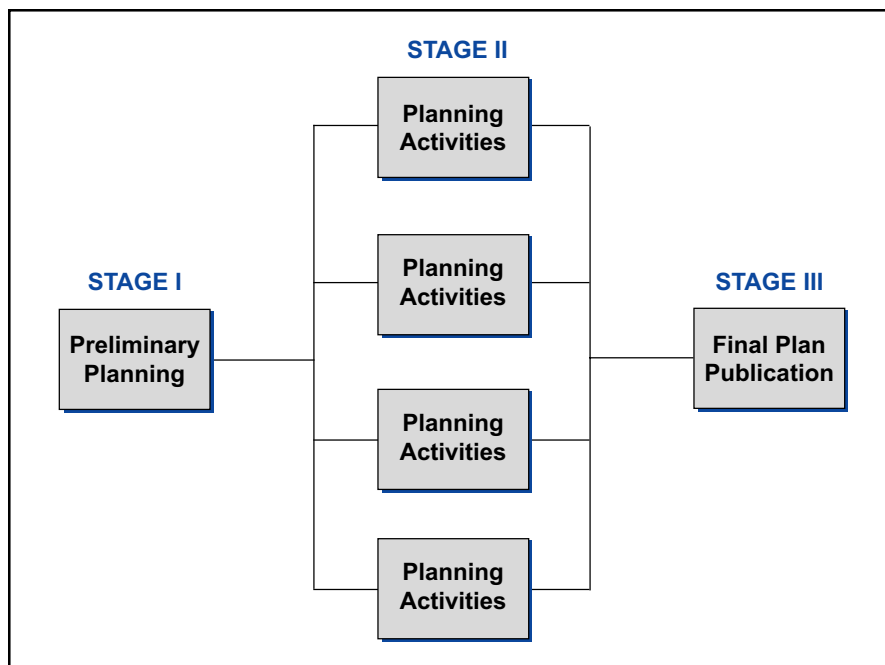
Stage III: Prepare and Implement a Final Plan

- Section 25. Describe the Project Management Methodology
- Section 26. Outline Tasks and Responsibilities for Strategic Plan Implementation
- Section 27. Outline Long-term Plans to Strategically Manage the Integration Effort

Strategic Planning Process: An Overview

Strategic planning for justice integration should occur in three stages:

- **Stage I** establishes a common understanding and vision for the initiative (Develop a Preliminary Plan)
- **Stage II** involves a period of detailed analysis and design (Undertake Detailed Planning Activities)
- **Stage III** involves preparation, publication, and implementation of the final strategic plan, which includes a prioritized list of projects for implementation (Prepare and Implement a Final Plan)



The Strategic Planning Process

Stage I: Develop a Preliminary Plan

The first stage of the strategic planning process consists of a series of meetings of the policy group, the organization of committees, possibly the hiring of a chief information officer for the initiative, and publication of the preliminary strategic plan. All of this work is the responsibility of the policy group.

SEARCH staff can assist with these initial sessions through its technical assistance program (funded by the U.S. Department of Justice, Bureau of Justice Assistance (BJA)),¹⁵ private industry can provide a facilitator on a contractual basis, or the jurisdiction can contact leaders of successful integration efforts from other parts of the country. Information contained in this guide can be adapted for presentation by local leaders as well.

A modest amount of funding usually is required for initial planning efforts, which is used to fund travel for justice system leaders to participate in meetings, attendance at integration symposia, workshops, or similar educational programs, and in some cases, to hire staff to support the integration effort. In recent years, BJA has provided planning grant funds through the National Governors Association.¹⁶ Other existing grant programs also have been used in some states to offset these costs.

There are six objectives for Stage I of planning activities:

Objective 1: Educate the Policy Group and Staff

The initial meeting of the policy group and key staff that will be involved in the integration initiative should focus on education. An important step in gaining the commitment of policy leaders of justice organizations is to have a common understanding of what integration is and what the justice community desires to accomplish. While presentations at meetings can help in accomplishing this objective, participation in educational programs, such as a SEARCH Integration Symposium, offers a much wider range of information and experience for the policy group and staff.

¹⁵ See <http://www.search.org/tech-assistance/default.asp>.

¹⁶ Information on the availability of integration planning funds, when they are available, can be found at <http://www.ojp.usdoj.gov/fundopps.htm>.

► Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Objective 2: Adopt a Planning Process

The second objective of the initial meeting of the policy group is to develop a planning process to which everyone can agree. This roadmap guide provides such a methodology, which can be tailored to suit each jurisdiction. The policy group should adopt the planning process formally, to ensure agreement and to solidify commitment to the effort.

Objective 3: Develop Preliminary Plan Components

A third objective of the initial (or subsequent) meeting of the policy group is to begin the process of developing policy components for the plan: a common definition, mission, vision, guiding principles, strategic issues, goals, and operational requirements statements. This will create a shared vision, commitment, and ownership for the initiative within the jurisdiction.

The initial meeting of the policy group should conclude with assignments to various groups and individuals to prepare the first 10 sections of the strategic plan (the plan components referenced in the graphic on page 8), which involves reviewing appropriate materials provided in this template and from other sources, and drafting language that fits the local justice environment. A subsequent meeting or meetings can be used to refine these statements and prepare them for publication in the strategic plan.

Objective 4: Staff the Integration Initiative

If the jurisdiction has sufficient resources, it should hire a chief information officer (CIO) for the integration initiative as quickly as possible. If not, it should assign an existing staff person from one of the justice organizations to perform this function. The sooner the CIO is in place, the more quickly local leadership will be able to take charge of the planning process, instead of relying on outside facilitators. It is important for the justice enterprise to begin to feel ownership of the initiative as soon as practical. If resources are not available to hire a CIO, then decisions should be made about assigning existing personnel from justice organizations to work on the integration initiative.

Sample Chief Information Officer Job Description

Job Overview

The Chief Information Officer will:

- Manage and coordinate the integration effort across all branches and levels of government in the jurisdiction, under the direction of the policy group
- Report to the policy group and support its operation
- Maintain good working relationships with all stakeholder organizations
- Manage, coordinate, integrate, and facilitate various committees that address integration issues
- Serve as liaison between the policy group and government organizations, other interest groups, the media, and the public in matters related to justice integration

Responsibilities

- Assess technology options and assist leaders of stakeholder organizations in understanding, selecting, and implementing the most appropriate technology architecture, infrastructure, and applications
- Facilitate the development and implementation of strategic and individual project plans
- Manage integration projects, including tasks, assignments, schedules, resources, risk, procurement, and deliverables
- Spearhead efforts to modify statutes, rules, and operating procedures in support of justice integration
- Develop budgets and manage resources allocated to the integration effort
- Hire and manage staff assigned to developing and maintaining integration components
- Coordinate the work of staff related to the integration initiative in stakeholder organizations
- Manage contractors, vendors, and other professional service providers engaged in the integration effort
- Plan, organize, and manage meetings
- Evaluate continuously and periodically the progress of integration activities
- Other duties as assigned

Required Knowledge, Skills, and Abilities

- Knowledge of justice system issues, operations, management, and information technology
- Knowledge of national trends and best practices in justice integration
- Experience in developing, implementing, and managing information systems
- Ability to think and act strategically, to innovate, and to solve old problems in new and creative ways
- Ability to manage projects, staff, and finances in a complex environment
- Ability to motivate, inspire, and develop consensus in diverse groups
- Ability to communicate effectively in meetings, conversations, reports, presentations, correspondence, proposals, and marketing materials
- Skill in negotiation and team-building

Objective 5: Organize Stage II Planning Activities

Another important objective for the policy group during the first stage of strategic planning is to organize operational, technical, legal, and policy groups to conduct Stage II planning activities. *Roadmap for Integrated Justice* suggests 13 activities for detailed study (as described further in Chapter 4), but the policy group may choose to modify this list as appropriate for the jurisdiction. Policy group members should agree on a work plan for completing all of these activities. **Note:** Work in some of these areas cannot begin until others are nearing completion, so good planning is essential. (This Stage II work plan will be placed in Section 11 of the preliminary strategic plan, as shown in the graphic on page 8.)

Objective 6: Publish the Preliminary Strategic Plan

The final objective in the first stage of planning is to publish the preliminary strategic plan, consisting of the 11 sections of the planning template that are explained in Chapter 3, as modified locally. It should be published electronically on an integrated justice Web site, and distributed on paper to justice organizations throughout the jurisdiction. The plan will be a roadmap for the next 6-12 months of activity, until it is replaced by the final version of the plan, so it should be distributed as widely as possible within the stakeholder organizations.

Stage II: Undertake Detailed Planning Activities

A number of planning tasks will require more focused attention by justice system specialists. These tasks vary from jurisdiction to jurisdiction, although many will be common throughout the country. Stage II planning consists of work by practitioners to address issues identified by the policy group. SEARCH recommends that the policy group consider the following activities:

- **Best Practices:** Evaluate integration efforts in other parts of the country to learn what works and what does not
- **Environmental Scanning:** Review relevant scientific, technical, economic, social, and political events and trends that may affect integration activities
- **Business Case:** Assess and document how well the jurisdiction currently is doing with information sharing
- **Integration Readiness Assessment:** Determine how ready the state or local jurisdiction is for an integration initiative

Stage I: Develop a Preliminary Plan

► Stage II: Undertake Detailed Planning Activities

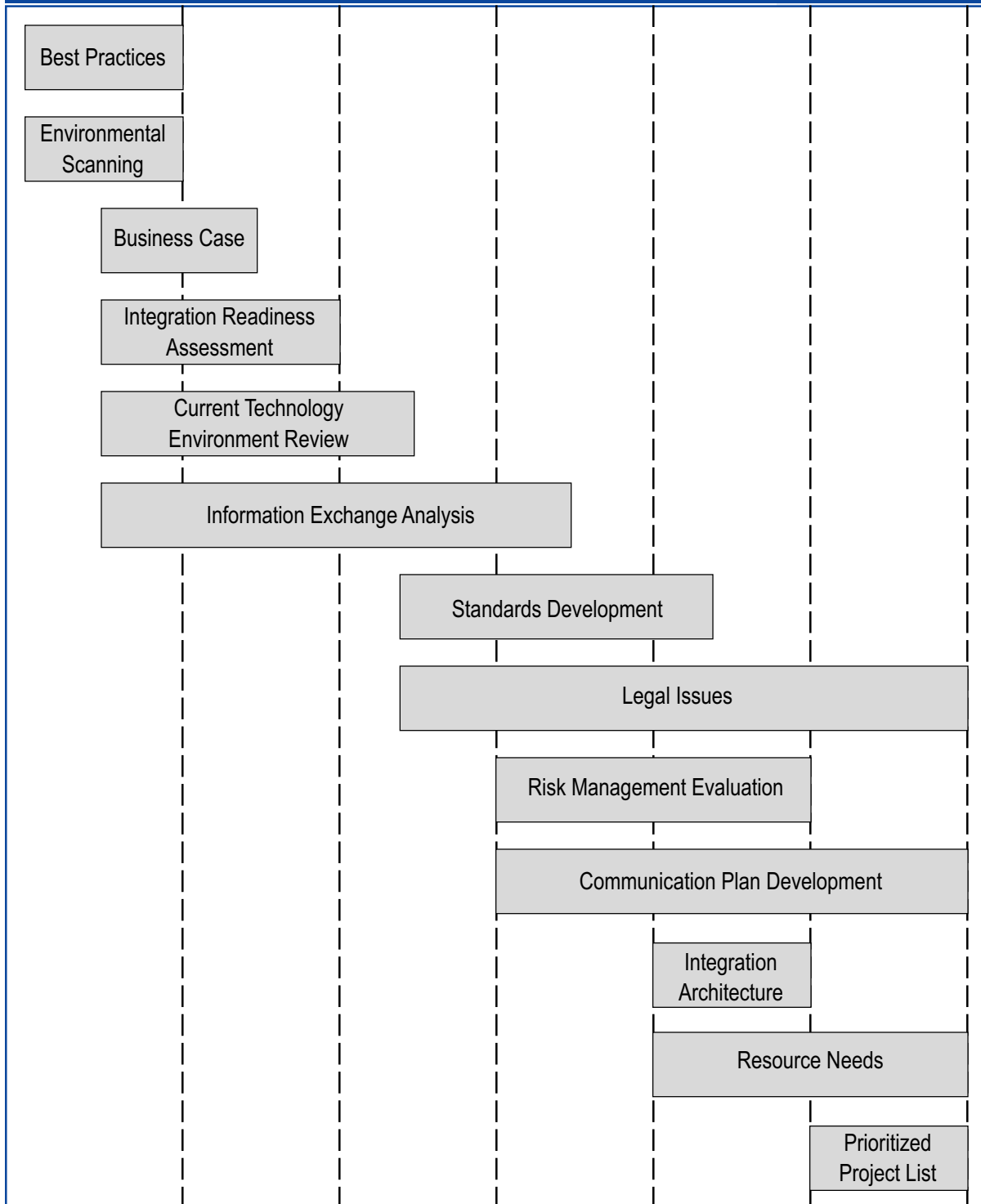
- Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
- Section 19. Address Legal Issues
- Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

- ***Current Technology Environment Review:*** Review existing technology infrastructure, applications, and interfaces throughout the justice enterprise
- ***Information Exchange Analysis:*** Analyze current business processes and information flow, to determine specific interfaces that must be developed between organizations and applications
- ***Standards Development:*** Review emerging national standards and adopt and develop local data standards that define uniform business processes and a common format for information when it crosses organizational boundaries
- ***Legal Issues:*** Craft information policy to address confidentiality, privacy, public access, dissemination, security, quality, and ownership of data
- ***Risk Management:*** Establish a methodology for assessing and managing risk during the planning and execution stages of integration projects
- ***Communication Planning:*** Formulate an education and communication plan to gain universal support and commitment in the justice community for the integration venture
- ***Integration Architecture:*** Design an integration architecture for the jurisdiction
- ***Resource Needs:*** Assess the staff, space, equipment, and other resource needs of the integration initiative and potential sources of funding
- ***Prioritized Project List:*** Establish a prioritized list of projects necessary to complete the integration initiative

The chart on page 15 illustrates possible time dependencies between these tasks.

Integration Stage II Strategic Planning Activities



Stage II Strategic Planning

Stage II strategic planning should be completed in 8-12 months, depending on available resources. The policy group has four objectives for this planning stage, as outlined below. The responsibilities of the individual committees are explained in the plan template in Chapter 4.

Objective 1: Organize Committees

The policy group should determine what committees will be formed, who will participate, leadership and other particular responsibilities of individuals, the specific charge for each group, and a schedule for beginning and completing committee work. The charge should describe the expected deliverables and outline the process for reporting progress to the policy group.

Objective 2: Monitor Committee Activity

The policy group should meet regularly with committee leaders during Stage II planning to monitor progress and to address problems that may arise. Since much of the work of the committees is dependent on the timely completion of work by other groups, it is essential that all committees remain on schedule. The policy group can play an important role in quickly and efficiently resolving issues that are beyond the capacity of the committees.

Objective 3: Review Committee Work Products

As each committee finishes its work, the policy group should conduct a careful review of each deliverable. The policy group should formally accept these products after review is complete. In some cases, the actual work product will be incorporated into the strategic plan, but more often, a summary will be published. One of the assignments of each committee should be to prepare the appropriate summary or other material for inclusion in the plan.

Objective 4: Develop a Communication Plan

A key Stage II planning activity is to develop a plan for communication, education, and outreach following publication of the strategic plan. Until the final plan is published, the policy group should bear this responsibility. The policy group should ensure that stakeholders are aware of activity and progress during all Stage II planning activities. It is essential to maintain momentum and interest to keep enthusiasm, participation, and support high.

Stage III: Prepare and Implement a Final Plan

Objective 1: Establish a Process to Implement and Maintain the Strategic Plan

Integration planning must be an ongoing visionary process integrated with internal IT and business planning processes of each of the stakeholder organizations. Over the course of several years, as internal and enterprise directions begin to merge, momentum for integration will be institutionalized. The role of the policy group then transforms from building support for the initiative to providing oversight to dozens of projects all over the state or local jurisdiction.

The strategic plan should clearly state that additional planning and project management will be necessary for each of the individual projects—the policy group will only monitor and manage at a high level. It will be up to the organizations involved in the effort to do the work and provide most of the resources. The plan should explain how the policy group will perform this management function.

The policy group should continue to manage the integration initiative as projects on the priority list are addressed. At some point, it will be necessary to update and revise the strategic plan, perhaps at two- to three-year intervals, in order to show progress; to allow for changes in circumstances, laws, and technology; and to update priorities. The strategic plan should explain the maintenance approach that is adopted by the policy group. The same process that was used to create the plan can be used to update it in the future.

Objective 2: Publish and Distribute the Strategic Plan

Once all of the Stage II analysis and design work is complete, the policy group should prepare the final version of the strategic plan. The group should add a summary of each of the Stage II Detailed Planning Activities to the materials prepared for the preliminary strategic plan. The group should then distribute the final strategic plan in a similar manner to the preliminary plan.

Objective 3: Implement the Strategic Plan

One of the final sections of the strategic plan should be a list of projects and priorities for future action. Some of these projects may be addressed by local government organizations and others by the state. Some can be addressed by existing staff or funded through grants; others will require state, county, or city appropriations. The role of the policy group will be to monitor the completion of projects on the list, making necessary adjustments in priorities along the way and lobbying for needed resources.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

► **Stage III: Prepare and Implement a Final Plan**

Section 25. Describe the Project Management Methodology

Section 26. Outline Tasks and Responsibilities for Strategic Plan Implementation

Section 27. Outline Long-term Plans to Strategically Manage the Integration Effort

As part of its ongoing management role, the policy group can work with stakeholder organizations to create action plans for the top few priority projects on the list. An action plan is a plan to create a plan—assigning someone to take responsibility to get the project going, including initial tasks and timeframes.

Periodic review of these projects by the policy group can help keep enthusiasm high as progress is realized and successes are shared throughout the enterprise. Of course, the availability of resources or other opportunities may dictate that projects are not addressed in the exact order established by the policy group in the strategic plan.

Strategic Planning Template — Stage I: Develop a Preliminary Plan

This strategic planning template offers a suggested format for planning the implementation of a justice integration initiative, including sample content from many locations. It contains 27 components—accomplished in three discrete stages—that are essential to integration project success.

Stage I involves preparation of a *preliminary strategic plan*. It establishes a common understanding and vision for the integration initiative. The policy group should complete template Sections 1-11 as its Stage I activities, then publish the preliminary strategic plan on an integrated justice Web site, and distribute it to justice organizations throughout the jurisdiction.

Note: The next two stages of the strategic planning template will involve Stage II’s *detailed planning activities* (template Sections 12-24, as described in Chapter 4) and Stage III’s preparation of a *final strategic plan* (template Sections 25-27, as described in Chapter 5).

Section 1. Prepare an Introduction

The strategic plan introduction should contain a number of important items that will help the reader understand the context of the document, where it originated, why it was prepared, etc. Most of this information will be a byproduct of work done to prepare the body of the plan, so it is easiest to complete at the end of the process. The following items could be considered for inclusion in the introductory section of the plan:

- A cover letter signed by members of the policy group
- A table of contents
- A brief introduction that summarizes the purpose of the plan and its scope
- An executive summary, if desired
- A description of the strategic planning process, including how the plan will be updated in the future
- Historical background on how the integration initiative began
- A list of participants in the planning process, including all subcommittees
- An overview of how the document is organized

Stage I: Develop a Preliminary Plan

- ▶ Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Some jurisdictions have placed some of these items, if they are particularly large, in an appendix to the plan. For example, some strategic plans will include a list of everyone who participated in the planning process in an appendix. Some sites have created additional appendices for definitions and lists of acronyms.

Sample Introductory Section Elements

Endorsement Letter from the IIJIS Governing Board

“To the Governor, Members of the General Assembly, and Citizens of Illinois:

We, the undersigned members of the Illinois Integrated Justice Information System (IIJIS) Governing Board, believe this Strategic Plan sets forth strategies to accomplish our goal of integrating Illinois justice information. Implementation of this plan will provide justice practitioners with the tools needed to better protect our citizens by sharing complete, accurate, timely, and accessible information.

Our individual organizations collectively reaffirm our commitment to the IIJIS Strategic Plan and look forward to improving the quality of justice through more informed decisionmaking.

As we move forward, we must continue to champion this cause, hold ourselves accountable for achieving these goals, and work together to ensure our continued success.

Respectfully,

[Illinois Integrated Justice Information System Governing Board]”

State of Nebraska Criminal Justice Information System Strategic Plan

“The purpose of this plan is to identify a structured CJIS environment that allows for the sharing of information by state and local agencies throughout the criminal justice community. It addresses the strategic direction of criminal justice information management in Nebraska and identifies initiatives that would help ensure that the desired environment is reached.”

New Mexico Justice Information Sharing (JIS) Project Strategic Plan 2000-2002

“Criminal activity in the State of New Mexico and the United States poses an on-going and serious threat to the safety and security of our citizens, ... a fundamental and primary responsibility of New Mexico government. New Mexico and the nation at large have recognized the need for all organizations involved in the justice system to collect and share complete and current information on criminals and criminal suspects.... Only a comprehensive, coordinated integrated effort by the information management services of each justice entity can provide the information needs of government and its citizens.”

Section 2. Establish a Common Understanding

The preliminary strategic plan should include a *definition of integration* upon which all members of the policy group can agree. The definition should be general enough that it will not restrict future activities, but not so vague that it is not helpful in educating readers. Because “integrated justice” means different things to different people, it may be helpful to provide insight into the differences between definitions used in various locations.

Access to Information

Almost every definition of integration includes providing broader access to information. This definition anticipates the ability to query the applications of other justice agencies. Three types of information often are described:

- **Identity of the subject**
 - Demographics
 - Identifiers
 - Fingerprints
 - Mug shots
 - Scars, marks, tattoos, etc.
 - Drivers license photograph
 - DNA
- **Current legal status**
 - Outstanding warrants or wants
 - Pre-filing diversion
 - Pending cases
 - Pretrial release status
 - Post-filing diversion
 - Deferred prosecution, judgment, or sentence
 - Probation status
 - Current incarceration or detention location
 - Parole status
 - Sex offender status
 - Firearms restrictions
 - Protection orders
 - Drivers license status
- **History**
 - Criminal history
 - Drivers history
 - Juvenile history

Stage I: Develop a Preliminary Plan

Section 1. Prepare an Introduction

► **Section 2. Establish a Common Understanding**

Section 3. Describe the Governance and Leadership Structure

Section 4. Provide Charter Materials

Section 5. Develop a Mission Statement

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Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Automated Information Exchange

Justice organizations have always exchanged information. Because of the operational data interdependencies that exist, no criminal justice organization today could do its work without receiving and sending paper. Any definition of integrated justice would be incomplete if it did not include the automation of this information exchange—replacing paper processing with electronic interfaces between justice system applications to make data exchange faster and more accurate.

Intelligent Integration

The most sophisticated definitions of integration include the ability of information to find appropriate justice system officials before they know that they need it. For example, a probation officer supervising an offender, a prosecutor handling a case, and a judge who has released a defendant on bond should be notified immediately if that individual is arrested anywhere in the state. These kinds of advanced subscription/notification systems already have been implemented in certain parts of the country.

There are other applications of intelligent integration, such as being notified if someone is scheduled to appear in a court proceeding, but will not be present because he or she is in custody at another location. Similarly, alerts could be generated if people were scheduled for an activity, if they had a conflicting commitment elsewhere. This technology could provide real-time messages to managers when performance measures were not being met, such as when response time for an information exchange was higher than acceptable, if detainees were approaching the maximum period of detention without being charged, or if jail population exceeded an imposed limit.

The following are examples of integration definitions.

- **Integration** is the ability to access and share critical information electronically at key decision points throughout the justice enterprise.
- **Integration** is the automation of information exchange between justice and justice-related organizations.
- **Integration** is providing complete, accurate, and timely information to justice system decisionmakers, when and where it is needed.

A SEARCH publication provides a more extensive discussion that may be helpful in developing a local definition of integrated justice.¹⁷ Illinois' strategic plan, for example, defines integration as follows:

¹⁷ The SEARCH Special Report, *Integration in the Context of Justice Information Systems: A Common Understanding*, is available at http://www.search.org/integration/about_integration.asp#publications.

Definition of Integration

Within the confines of the justice community, integration describes those processes that deliver information and intelligence to decisionmakers at all levels. Judgments are made everyday that affect the life, liberty, property and safety of our citizens. The quality of these decisions is a direct consequence of the quality and amount of information available at the time a decision is made.

Advances in information and identification technologies, and in the ability to share and deliver this information, are revolutionizing the way business is done in the justice community. As a result, our definition of integration is evolving and expanding as quickly as the changes in the technology that drive it. For example, not too long ago, system integration was considered mostly in the context of the justice/public safety community. Today, the lines between criminal and civil justice are fading. The old prohibitions on access to criminal history are being replaced with public access via the Internet to sex offender registries.

Who are today's decisionmakers? The cop in her cruiser checking the warrant file via a cellular connection from a laptop. A judge on the bench making a bail decision based on the criminal history information on his computer monitor. The prosecutor who is deciding whether a defendant should be treated as a first time or a habitual offender. A public defender showing his client an online report

from the toxicology lab, describing its analysis of a substance seized during his arrest. A probation officer who receives notice that one of his probationers was arrested last night in a nearby state. A prison official about to release an inmate for completion of a sentence, unaware that this same inmate is wanted by a jurisdiction 1500 miles away. A court scheduling clerk who sets a case for trial, not knowing that one of the attorneys in the case is already booked for a murder trial in another court.

The focus of integrated justice, through the electronic exchange of information, is to increase the chances that in each of these instances, the best decision will be made. Some of the same information previously shared only among public safety agencies is today being used by civil courts that process juvenile cases, issue protective orders, or go after assets when child support or restitution payments are not made. Gun dealers, drug treatment providers, social service agencies, daycare operators and school administrators use it.

The examples given here of information shared through integrated systems are no longer based in fantasy. They are in use today and describe the ultimate potential of shared information. However, the stark reality is that for most jurisdictions, critical decision-support information is not available, sometimes within the same organization, or between agencies within a jurisdiction, or between neighboring municipalities, counties, and states. And in those places where informa-

tion is shared, the data being shared are frequently of poor quality.

The kinds of information that can be shared are changing, too. In a digital environment, fingerprints, photos, maps, investigative records, drug test results and satellite tracking of ankle bracelets—all can be conveyed across existing networks.

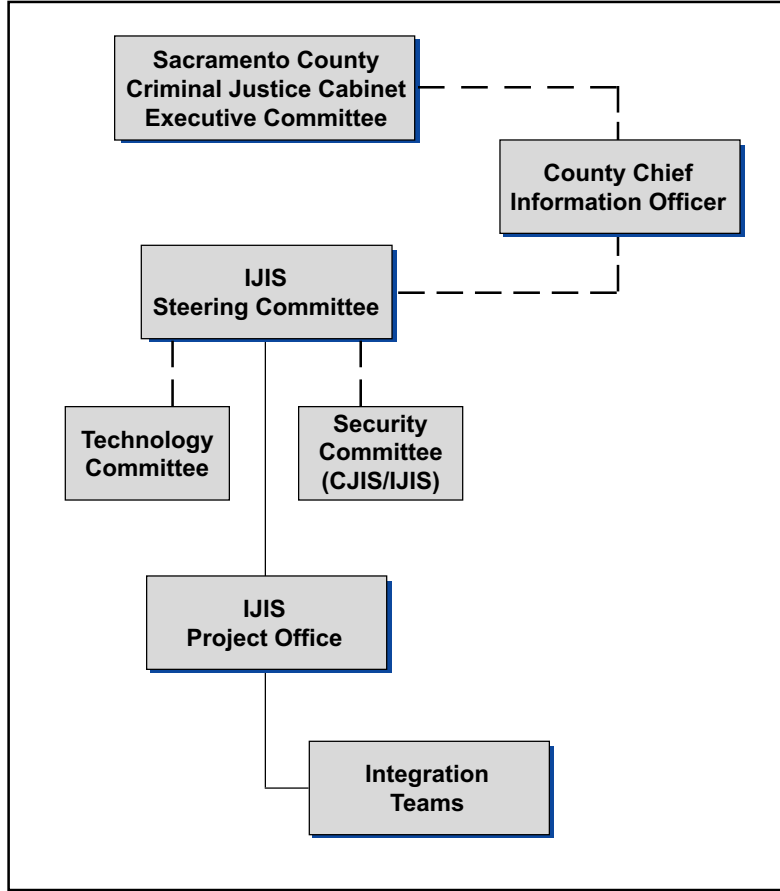
In a world where the same VISA card can be used in Paris, France, or Paris, Tennessee, public patience is wearing thin with a justice community where critical public safety information is not immediately available from the next county. Aside from the more obvious public safety implications of disconnected information, another result is the waste of public resources that occurs when the best decision is not made, thousands of times every day. Police officers scheduled to testify on their day off, incurring overtime expense. A prisoner is not delivered on the day of trial, wasting precious judicial, legal and courtroom resources. A juvenile who has failed out of three previous placements is assigned to a first offender's drug treatment program.

Making better decisions improves public safety and results in the efficient use of public resources. Having the right information at the right place and at the right time results in better decisions. Integration of information systems is what enables the delivery of that information.¹⁸

¹⁸ Illinois Integrated Justice Information System Strategic Plan 2003 – 2004.

Section 3. Describe the Governance and Leadership Structure

This section of the strategic plan should describe (and perhaps show with a diagram) the governance structure established by the integration charter and how it relates to the justice organizations. It should include all of the committees, subcommittees, or work groups created to complete planning tasks and to do the actual work of integration. The policy group could also add a description of the process used by the governing body to manage integration—its operating rules.



Sacramento County (CA) IJIS Governance Structure

Stage I: Develop a Preliminary Plan

Section 1. Prepare an Introduction

Section 2. Establish a Common Understanding

► Section 3. Describe the Governance and Leadership Structure

Section 4. Provide Charter Materials

Section 5. Develop a Mission Statement

Section 6. Develop a Vision Statement

Section 7. Develop Guiding Principles

Section 8. Identify Strategic Issues

Section 9. Describe Goals, Objectives, and Performance Measures

Section 10. Develop Operational Requirements

Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Section 4. Provide Charter Materials

This section of the strategic plan should summarize the charter for the integration initiative. The policy group should include a copy of the actual statute, order, joint powers agreement, or memorandum of understanding in this section or attach it as an appendix to the strategic plan.

Integration charters typically cover a number of areas:

- Establishment of the policy group
- Statement of the group's purpose
- Composition of the group and who makes appointments
- Members, service, and qualifications
- Leadership of the group
- Staffing for the initiative
- Duties and responsibilities of the policy group
- Authority to establish committees
- Authority to contract, hire staff, etc.
- Budget

Additional areas are found in some of the charters (more often in orders or memoranda of understanding than in statutes) and, while they are useful in helping people understand what the integration initiative is all about, they are not as essential as the previous list. They are:

- Definitions
- Reasons for establishing the policy group
- Benefits of integration
- Guiding principles for integration

Finally, a few areas that are included in some charters may not be helpful to the effort, for a variety of reasons. They may predetermine the outcome of the initiative before any study has been done, may hinder the efficiency of operation by imposing unnecessary requirements, or may limit the flexibility of leaders in getting the job done. These areas should not be included in the charter unless they are necessary to ensure its adoption:

- Rules for conducting business
- Technical architecture
- Subcommittee structure

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure

► Section 4. Provide Charter Materials

- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Memorandum of Understanding In Support of the Sharing of Information Within Washington’s Criminal Justice Community

“**Whereas**, state and local members of the Washington Criminal Justice community pledge to work in partnership in promoting the development of electronic information sharing; and

“**Whereas**, state and local criminal justice agencies are committed to the cost efficient, secure, and effective exchange of electronic data; and

“**Whereas**, state and local criminal justice agencies pledge to work cooperatively in the development of a governance plan to ensure equitable representation and stability in the development of a shared criminal justice information system,

“**Therefore**, the undersigned agree to the following:

“State and local parties agree that no ‘Justice Information Network’ related system or component will be designed, developed, or integrated into the network without effective participation of state and local stakeholders.

“The Department of Licensing (DOL), Department of Corrections (DOC), Office of the Administrator for the Courts (AOC), Washington State Patrol (WSP), and the Attorney General (AG) will actively work to ensure that their new or enhanced information systems are designed to provide for the electronic sharing of information.

“The Washington Association of County Officials (WACO), Washington Association of Prosecuting Attorneys (WAPA), Washington Association of Sheriffs and Police Chiefs (WASPC), Association of Washington Cities (AWC), Washington State Association of Counties (WSAC), and Washington State Association of County Clerks (WSACC) agree to promote the benefits, and cost effectiveness of the Justice Information Network, and actively support and encourage cooperation and coordination in local system design that ensures compatibility and integration with a state-wide shared Justice Information Network.

“The Department of Information Services (DIS) agrees to support a Project Coordinator for the development and stewardship of the Justice Information Network.

“The undersigned pledge to support the development of a Justice Information Network Governance structure between state and local agencies by July 1, 1998, through a cooperative dialog within the forums known as the Executive Committee, and the Justice Information Committee.

“Promotion and adoption of a governance proposal shall be promulgated by the Ad-hoc Justice Information Network committee hosted by WACO and the Information Services Board.”¹⁹

Other samples of charters can be found in the integration profiles on the SEARCH Web site.²⁰

¹⁹ 2001 – 2003 *Integrated Justice JIN Blueprint: Digital Justice*. Information Services Board, Justice Information Committee, and CJIA Executive Committee.

²⁰ See <http://www.search.org/integration>.

Section 5. Develop a Mission Statement

A *mission statement* is a concise declaration of the purpose and responsibilities of an organization: why it exists, what it does, and for whom. Integration policy groups have similar missions in every jurisdiction, with minor differences that are based on the organizational structure of the justice enterprise, scope of the information-sharing effort, integration model or architecture that has been selected, and distribution of work responsibilities between staff assigned to the policy group and participating agencies.

This sample mission statement was derived from a number of the best statements developed by integration policy groups in various locations:

Mission

- Plan and manage the integration of the justice enterprise
- Establish policy, priorities, standards, procedures, and architecture
- Provide leadership, guidance, encouragement, and direction to the information-sharing initiative
- Promote the integration concept within the justice community and with funding bodies and other government entities across all branches and levels of government
- Direct the development of integration applications and support services

Some jurisdictions have developed mission statements for the justice enterprise, rather than for the policy group. This approach is appropriate if the policy group has responsibility for oversight of justice system activities beyond the integration initiative, as is the case in some states.

DELJIS Mission Statement

“The mission of the DELJIS Board of Managers is to establish policy for the development, implementation, and operation of comprehensive, integrated information systems in support of the agencies and courts of the criminal justice system of the state.”²¹

²¹ Delaware Annotated Code, Title 11, Chapter 86 § 8603.

²² 2001 – 2003 *Integrated Justice JIN Blueprint: Digital Justice*, page 4. Information Services Board, Justice Information Committee, and CJIA Executive Committee.

Washington Justice Information Network Mission Statement

“The mission of the Justice Information Network (JIN) is to ensure that any criminal justice system practitioner in the state will have complete, timely, and accurate information about any suspect or offender. This information will include identity, criminal history and current justice status; will come from data that has been entered only once; and will be available on a single workstation with a single network connection from an automated statewide system. This system and the services it provides will be known as the Justice Information Network.”²²

Section 6. Develop a Vision Statement

Vision is a description of an organization's desired future. It reflects an idealized view of how the justice system will operate when all of the objectives of the integration initiative have been accomplished. It represents a target state of operation—the ultimate result of the integration initiative. Vision statements should be both aspirational and inspirational.

When it is not practical, realistic, and achievable, vision is merely hallucination. Some vision statements are inherently flawed because they suggest unattainable results. For example, when a vision statement claims that a system will meet all current and future needs of the user community, it suggests that applications can be designed to fulfill unarticulated requirements. When a vision statement asserts that integration is possible without replacing applications, adding staff, or spending money, it ignores the magnitude of change necessary to succeed. When it alleges that applications can be sufficiently flexible to adapt easily to all new technologies, it demonstrates a critical naïveté concerning technology evolution. Creating unrealistic expectations in a vision statement can be a fatal error in an integration initiative.

This sample vision statement was derived from planning materials from a number of state and local integration efforts:

Vision

- An effectively administered and technology-enabled justice enterprise that is swift and fair, controlling and reducing crime, and enhancing the safety, security, and quality of life of all citizens
- Justice system officials making better decisions based on complete, accurate, and timely information (data, documents, images, etc.) that is immediately available, where and when it is needed, without regard to time or location
- Justice organizations having access to all pertinent information concerning offenders: identification and all aliases; current legal status (e.g., outstanding warrants, all pending cases, probation or parole status, restraining orders); and history (e.g., arrests, prosecutions, convictions, and sentences for felonies, misdemeanors, and other offenses)
- All justice and justice-related organizations exchanging information electronically in a standard format, rather than on paper, minimizing human effort and redundant data entry, and maximizing breadth of distribution, speed of communication, and organizational productivity, which ensures greater efficiency of operations, accuracy of information, and economy in the use of public resources
- Justice system officials being automatically and immediately notified if any event (arrest, case filing, release from custody, etc.) occurs that involves an individual with whom they are involved
- Public policy decisions being enhanced by the availability of comprehensive, timely, reliable, and systemwide statistical information
- All justice and justice-related organizations complying with business process, information, and technology standards that they collaboratively developed and maintain, and coordinating integration plans with business and IT plans of the individual organizations

Some jurisdictions employ a detailed narrative of how justice officials can use the integrated system—a *concept of operations*—to articulate their vision of integrated justice, as shown below.²³

Concept of Operations

“Our future vision for criminal justice integration is one where law enforcement officers throughout the state have access from their vehicles to state and federal databases that provide them with the information they need to perform their duties more efficiently and safely. The officer’s ability to make situational assessments will be improved because s/he will have access to warrants, outstanding relief from abuse orders, conditions of parole or release and mug shots from criminal records repositories in Vermont and other states via the FBI, INS and other federal sources.

The officer will have a global positioning device to allow for crime mapping and sharing of positional information with other interested parties, such as state and federal highway accident reporting programs who use this data to target road improvements. If the officer makes an arrest, the information s/he enters will be sent over secure computer networks to the State Attorney’s case management computer system. Pertinent information from the arrest record will also be shared with the Office of the Defender General and sent to the Vermont Crime Information Center (VCIC) to begin to write the criminal record.

The State Attorney will prosecute the case by electronically filing with the Courts, using a common data dictionary to describe the criminal offense. This dictionary will be used by all criminal justice

agencies in the state and will be updated as national standards are adopted. The Courts will electronically notify all parties of hearing dates and when the hearing takes place, the judge will have online access to the defendant’s records, including the arrest record and any outstanding warrants. If the defendant is a repeat offender, the judge may also electronically receive any past violations of parole, and personal incarceration history from the Department of Corrections (DOC).

As the hearing or trial progresses and preliminary and final judgments occur, they will be electronically sent to VCIC for updating the criminal record. The judge electronically signs other criminal justice documents such as relief from abuse orders, violations of probation or conditions of parole, warrants and sex offender registry information. These items are immediately available to law enforcement agencies and become part of the criminal record. If the offender is to be incarcerated, the mittimus with charge and sentencing information will be sent electronically to the DOC for them to create or add on to the offender’s corrections record. If the offender is sentenced to community service the electronic record will be sent to the appropriate parole board. DOC will electronically update and share the prisoner records with local and federal agencies, such as Social Service agencies for child protection and child support, the IRS and others.”

Kentucky UCJIS Vision

“The Commonwealth of Kentucky’s Unified Criminal Justice Information System is a singular, logical, flexible information system for trained justice professionals. It is built upon uniquely identified individuals and events and utilizes the most effective enterprisewide business processes, to electronically capture, and securely and responsibly disseminate, at the earliest opportunity, accurate and complete data in order to increase public safety.”²⁴

²³ This example from the State of Vermont illustrates a concept of operations, a lengthier expression of a vision statement.

²⁴ *UCJIS Strategic Plan Revision 4: Unified Criminal Justice Information System Strategic Alliance Services Request for the Commonwealth of Kentucky*, page 1-1.

Section 7. Develop Guiding Principles

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Guiding principles are short declarations of the most important values or beliefs that guide the justice system officials in the performance of their duties and pursuit of their goals. They are important to strategic planning because they may highlight cultural differences between justice disciplines that must be addressed if system leaders are to work together effectively. For example, typical integration efforts include issues relating to whether information should be made public. The same information, which at the front and back end of the process may be considered confidential, is public record during adjudication of a court case. As justice system leaders communicate and understand these differences, they can be more successful in working together at the enterprise level.

By articulating guiding principles separately, the policy group can avoid confusion and save time when defining mission, vision, goals, etc. Many integration plans developed in the past have lacked focus or have been overly complex because they confused guiding principles with other elements of the strategic plan.

The following list of sample guiding principles is lengthy; a strategic plan should contain only a small number of the highest priority principles:

- We acknowledge the independence of the justice and justice-related organizations participating in the integration initiative, while recognizing the interdependence of their operations—no one justice organization can operate effectively without the cooperation of the others.
- We value the efforts of federal, state, and local governments to plan for the future and encourage integration solutions that are consistent with those efforts.
- We appreciate the work currently being done at the national level to develop functional, process, information, and technical standards and seek their implementation in our justice enterprise as quickly as practical.
- We respect the privacy, due process, and other rights of all citizens under the United States and state constitutions.
- We seek to protect the confidentiality of investigatory and deliberative processes to ensure the effective operation of the justice system.
- We understand and support the constitutional mandate of open and public trials and recognize that records of those actions also should be available to the public as defined by federal and state law.

- We realize the necessity of protecting information, networks, and equipment from unauthorized access to ensure the integrity of justice information.
- We accept the responsibility to be accountable for the performance of the justice system and for proper stewardship of public funds and other resources.
- We will provide services that contribute to public trust and confidence in the justice system.
- We recognize the need for innovation and creativity in planning and developing integration technology.
- We seek opportunities to collaborate and cooperate with justice and justice-related organizations at all levels of government to enhance the performance of the justice system as a whole.
- We realize that both sending and receiving justice system organizations have equal responsibility to ensure the correctness of information and the timeliness of updates.
- We understand the need to develop technology tools that minimize cost and maximize effectiveness of justice operations.

Florida Guiding Principles

“The Council developed a set of broad *Guiding Principles* for the effective and efficient sharing of information among criminal justice agencies, which were subsequently codified into Florida law for all agencies to follow. These *Guiding Principles*, found at s. 943.081, and repeated with some modification at s. 282.3032, F.S., and included in *Appendix A*, are summarized below:

- Cooperative planning
- Including all stakeholders from the outset
- Maximizing information sharing
- Maximizing public access
- Electronic sharing of information via networks
- Elimination of charging each other for data
- Elimination of redundant capture of data”²⁵

²⁵ *Improving Criminal and Juvenile Justice Information for the 21st Century*, Florida Criminal and Juvenile Justice Information Systems Council, Information Resource Strategic Plan 2003 – 2007.

Section 8. Identify Strategic Issues

Strategic issues are fundamental trends, events, and policy choices that influence the ability of the justice enterprise to achieve its mission, vision, and goals. Strategic issues generally involve conflict over what to do, how to do it, how fast to do it, who should do it, and who should pay for it. They represent general directions, rather than routine problems or specific operational obstacles, and may be internal or external to the justice system. They should be addressed so justice organizations have a common understanding of the environment in which they are planning, and so that plans that are developed address all potential obstacles realistically.

Strategic issues will vary from location to location. The list developed by the policy group should be placed in priority order, with only the most significant issues included in the strategic plan. The following sample strategic issues may be relevant to many integration initiatives:

- Because the growth of revenues available to state and local governments is not keeping pace with the cost of providing services, increases in resources to support integration initiatives may be difficult to obtain.
- There will be tension between state and local governments over who should fund elements of the integration initiative, particularly when required enhancements to internal systems are seen as primarily benefiting external organizations.
- The major political parties do not agree on approaches and priorities for justice initiatives, but bipartisan support for integration is necessary if needed resources and legislative mandates are to be obtained.
- Citizens are independent and prefer not to centralize government functions and information unless absolutely necessary.
- Justice agencies perform competing and often conflicting roles in processing offenders and cases, which could influence the ability of these organizations to work together to automate information exchange.
- Many justice organizations are led by independently elected officials who may have differing views about the importance and priority of participating in the integration initiative. As elected and appointed officials change, disruption of integration efforts may occur.
- Rapid technological advances will pose a challenge to integration in government organizations that are not able to move quickly, as solutions may become obsolete before they can be fully developed and implemented.

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- ▶ Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Alabama LESIS Strategic Issues

- Uncertainty regarding continuity, funding, support of all three branches of state government.
- Need for an early success to build momentum.
- Need for good working relationships with all affected agencies.
- Need for a realistic plan that can be implemented.
- Determination of the optimal communication network. This will involve knowledge of the current statewide infrastructure as well as the alternative paths for creating an integrated system that can serve all state agencies.
- Development of financial plans for LESIS and for each of the participating agencies to obtain and allocate the resources needed.
- Establishing a qualified executive director and assuring that he has the political and physical resources necessary to operate the office.
- Need for a decisive Board of Directors.²⁶

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Section 9. Describe Goals, Objectives, and Performance Measures

Goals and Objectives

Every plan has a structure of goals, objectives, etc. Although the terminology may vary, the result should be the same. In a project plan, the goals and objectives will be much more detailed and specific than in a strategic plan. In a strategic plan for integration, these items are a detailed breakdown of the mission statement in the context of the integration definition, or how the organization intends to accomplish its mission. For example, goals and objectives could describe how a jurisdiction intends to provide complete, accurate, and timely information (identity of the subject, current legal status, and history) to justice system decisionmakers.

²⁶ *Strategic Plan*, Alabama Office of Law Enforcement Systems Integration and Standards.

Example:

Goal 3: Every authorized justice system official will have access to complete, accurate, and timely statewide information concerning the identity of subjects, their current legal status, and their justice system history.

Objective 2: Drivers license digital photographs will be transmitted to authorized justice system officials within 2 minutes of their supplying the name and date of birth of a subject.

This example illustrates how the strategic plan outlines, defines, and clarifies what must be accomplished by the integration initiative. The sample goal and objective might spawn a project or projects to make drivers license photographs available to justice system personnel, including dealing with policy issues surrounding distribution of this information, upgrading system resources to support the expected increased volume of requests, and upgrading infrastructure to handle non-text transmissions. Extensive project planning and management would be required to realize this objective, but it is not necessary to provide all of the detail in the strategic plan.

Although strategic plans are necessarily broad in coverage and long-term in scope, goals and objectives still must be comprehensive, specific, concise, concrete, and measurable. They should be comprehensive in that, when all are completed, the defined mission of the policy group will have been realized. They must be specific by identifying exactly what must be done. They must be concise in that the statements are simple, efficient, clear, and unambiguous. They must be concrete by referring to real, tangible outcomes. They must be measurable by specifying quantifiable results, so that there can be no doubt as to when and whether the goal or objective has been achieved.

There are literally hundreds of goals and objectives that could be defined for an integration effort—the policy group should select those that reflect areas of greatest need and will show the greatest accomplishment.

Integration profiles on the SEARCH Web site contain goals from integration efforts around the nation.

Texas Justice Information Integration Initiative Goals

Goal 5: Establish a statewide data sharing infrastructure.

Strategy 1: Identify statewide requirements for handling data and processes identified in goals 2, 3, and 4, including those of courts, and medium and small counties and municipalities.

Strategy 2: Identify funding sources to upgrade existing infrastructure.

Deliverable 1: *Gap analysis* that maps each user's data needs and the sources identified under Goal 2 to infrastructure through which the data can be received and/or sent. This will identify additional infrastructure needed for each user or entity.

Deliverable 2: *Operations plan* for consolidating and updating statewide justice data infrastructures. The plan will identify priorities and provide a phased implementation schedule based on the information gathered by DIR and TPOC and the infrastructure gap analysis. It will also recommend funding as identified in the funding report below.

Deliverable 3: *Infrastructure funding report* listing current funding alternatives along with contacts, criteria, and other important parameters.²⁷

Performance Measures

A *performance measure* is a quantifiable indicator of whether or not a particular goal or objective has been met. Performance measures are just as applicable to strategic plans as they are to project plans. They help ensure the success of the integration effort by building in numerous intermediate indicators of progress and checkpoints to monitor status. Performance measures also create accountability within the justice enterprise, with funding and policy oversight bodies, and with the public. They must be defined with the goals and objectives during the strategic planning process, to ensure that the proper data can be collected during the course of a project to demonstrate success.

SEARCH has prepared a separate publication that explains how to develop project, functional, and business objectives that can serve as performance measures.²⁸ In essence, a measurable business objective must include these elements:

²⁷ *Texas Justice Information Integration Initiative Plan*, pages 13-14.

²⁸ Teri B. Sullivan and Bob Roper, *Measuring the Success of Integrated Justice: A Practical Approach*, A SEARCH Special Report, Issue II (Sacramento, California: SEARCH Group, Inc., September 2003). Download it (PDF, 149K) at <http://www.search.org/publications/pdffiles/perfmeasures.pdf>.

- a basic measure
- a direction for the measure
- an object of the measure
- an expected value of the measure
- where the measurement will occur
- when the measurement will be obtained

For example:

Objective 12: Increase the percentage of court dispositions in felony cases that match arrest records at the state criminal history repository to 95 percent statewide by June 30, 2005.

Illinois Goals

“Strategic Issue 2: Integrated collecting and sharing of justice data.

Strategic Goal 2: Coordinate and share data electronically.

Objective 2.1: On an ongoing basis, encourage participating agencies to provide information that is standards-based and consistent to increase the ability to share electronically.

Objective 2.2: On an ongoing basis, encourage timely, accurate, and complete electronic capture and dissemination of information to authorized users of justice data.

Outcomes: Increased public safety and security, better justice decisionmaking, seamless exchange of meaningful data, more information available, improved timeliness, accuracy, and completeness of information.

Performance measures: Year 1, number of stakeholders adopting standards/regulations for electronic information exchange; Year 2, percent increase of stakeholders adopting standards/regulations for electronic information exchange; percent increase of agencies sharing information electronically.”²⁹

²⁹ *Illinois Integrated Justice Information System Strategic Plan 2003 – 2004*, pages 20, 22.

Section 10. Develop Operational Requirements

Business planning focuses on strategies for improvement, while systems planning focuses on functional requirements. Integration planning centers on *operational requirements*, or the particular needs associated with moving information between organizations.

Operational requirements are specific performance goals for the integrated system. They define information exchanges by the provider or custodian of the information, the recipients of the transaction, the nature (or content) of the exchange, the maximum time acceptable to deliver the information, and the currency of the data being transferred.

There may be some overlap between operational requirements and measurable objectives, so a site may choose to only do one or the other. If a site chooses not to prepare operational requirements, its leaders should ensure that goals and objectives express performance goals and objectives specifically and in a measurable way. Despite the redundancy, it is recommended that sites do both. Integration goals and objectives encompass more than operational requirements. Operational requirements represent a specific articulation of how integration is going to solve operational problems of information sharing. Operational requirements are an excellent tool for articulating how the justice system will be different once integration is complete. Since a detailed analysis of information exchange probably has not been conducted at this point in the planning process, the operational requirements represent a baseline measure of user needs against which future accomplishments can be compared.

Several states have developed extensive lists of operational requirements, most of which relate to responses to inquiries. Similar requirements should be defined for data transfers and notifications. The samples on pages 38-39 have been supplied by Michigan, Oklahoma, and Montana. See integration profiles on the SEARCH Web site for a complete list (www.search.org/integration).

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures

► Section 10. Develop Operational Requirements

- Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Operational Requirements

- Every Montana criminal justice agency shall be able to determine the Montana correctional status (incarcerated, on parole, on probation, under community services or correctional supervision) within 2 minutes, with status currency of 24 hours.
- Every Montana criminal justice agency shall be able to obtain the Montana criminal history record of a person who has one, within 4 minutes, with history currency of 24 hours.
- Every Michigan public safety agency shall be able to obtain a record (of a person who has one) through an inquiry by name and date of birth, within 1 minute and to the officer within 2 minutes, with history currency of 24 hours. The records received should include all those records available in the current Law Enforcement Information Network (LEIN), Criminal History, SOS, National Law Enforcement Telecommunications System (NLETS), National Crime Information Center (NCIC), and Interstate Identification Index (III) files.
- Every public safety agency with a live scan terminal connected to the state shall receive positive fingerprint identification within 2 hours of the submission.
- Every law enforcement agency shall be able to forward to the appropriate criminal justice agency a warrant request for electronic review, approval, and entry into the LEIN system.
- Every public safety agency should be able to determine pre-adjudication information, including pending charges, bail and bond release, and conditions within 24 hours accuracy.
- Every public safety agency should have the capability to download records from all centrally held databases with security established according to legal capabilities, and reporting and analysis capability down to the Origination Agency Identifier (ORI) level with security to provide the potential for ad hoc reporting.
- Every public safety agency shall have access to a newly created, centrally held image repository. This repository shall maintain mug shots, palm prints and images of scars, marks, and tattoos. This information shall be returned to a search request as a supplement to the Criminal History Record Information System (CHRIS).

Operational Requirements, continued

- Each public safety agency shall have the general ability as an authorized subscriber to information regarding a broad range of actions taken associated with specific people, cases, and addresses. These include: 1) The ability to subscribe to activity on registered records; 2) The ability to subscribe to additional activity on investigation systems (STATIS) and inquiries; 3) Electronic notification of justice agency actions; and 4) Notification of court actions, prosecutor actions, etc.
- Each public safety agency shall have a minimum capability to capture and submit electronic records to the state repository.
- Every public safety agency will have available to them all centrally held databases a minimum of 99% of the time.
- 1) Every Oklahoma criminal justice agency shall be able to determine if a person is the subject of an Oklahoma warrant and Victim Protective Orders (VPO) within 1 minute, with warrants and VPO currency of 3 hours.
- 6) The Oklahoma criminal history system will include a history of each reception to and discharge from any correctional facility, parole, probation, and post-sentence supervision.
- 7) The Oklahoma criminal history will include a final disposition for each charge of each arrest; a final disposition is a decline to prosecute, conviction, acquittal, dismissal, and for convictions it will also include the sentence.
- 8) Every Oklahoma criminal justice agency shall be able to exchange electronic mail (email) with any other Oklahoma criminal justice agency.
- 9) Each Oklahoma criminal justice agency shall have access to a case management system suitable for its in-agency use and for preparing and transmitting required reports to every criminal justice agency.

Section 11. Outline a Plan for Stage II Work

During Stage II, committees of operational, technical, and legal experts must carry out a number of detailed planning activities. The policy group should determine which projects should be included in this process, based on the recommendations of this roadmap guide and any additional ideas that may be generated during the first stage of planning. Section 11 of the preliminary strategic plan contains an outline of how this work will be accomplished. At a minimum, the following information should be provided for each Stage II planning activity:

- A description of the task to be performed
- Names of individuals assigned to the committee to do the work
- The date by which it and any intermediate tasks should be completed
- Any budget amounts or other resources allocated to the project
- A description of the final product that should be produced

Section 11 is the concluding section of the preliminary strategic plan. The final strategic plan—once it is developed and published—will incorporate Sections 1-10 of the preliminary plan, but Section 11 will be removed.

Stage I: Develop a Preliminary Plan

- Section 1. Prepare an Introduction
- Section 2. Establish a Common Understanding
- Section 3. Describe the Governance and Leadership Structure
- Section 4. Provide Charter Materials
- Section 5. Develop a Mission Statement
- Section 6. Develop a Vision Statement
- Section 7. Develop Guiding Principles
- Section 8. Identify Strategic Issues
- Section 9. Describe Goals, Objectives, and Performance Measures
- Section 10. Develop Operational Requirements
- ▶ Section 11. Outline a Plan for Stage II Work

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Strategic Planning Template — Stage II: Undertake Detailed Planning Activities

This strategic planning template offers a suggested format for planning the implementation of a justice integration initiative, including sample content from many locations. It contains 27 components—accomplished in three discrete stages—that are essential to integration project success.

Stage I (Sections 1-11) involved preparation of a *preliminary strategic plan*, as described in Chapter 3. Stage II involves 13 *detailed planning activities* that are undertaken by committees of operational, technical, and legal experts established by the policy group. The detailed planning activities, which are described in this chapter, comprise Sections 12-24 of the strategic planning template.

Template Sections 1-10 and 12-24 then will become components of the *final strategic plan*. Stage III planning activities, as described in Chapter 5, will produce the final parts (Sections 25-27) of the plan.

Section 12. Examine Best Practices

One of the first steps in an integration initiative should be to examine the work that has been done in other locations. Many lessons have been learned that can save a jurisdiction considerable time, expense, and pain. By having a committee research best practices in other locations and summarize it for everyone involved in the integration initiative, the policy group will ensure that their integration effort gets off to a good start.

The best practices committee should begin by reviewing Web-based materials and publications. A considerable amount of information is available, as illustrated by the list of resources in Chapter 1. Having a broad overview of integration activity nationwide will be a solid foundation for additional research.

Depending on timing, there may be an integration symposium or other conferences or workshops that can provide additional information on best practices. These events combine a tremendous amount of useful information into a condensed and concise educational opportunity.

Finally, the best practices committee should focus on jurisdictions in similar circumstances, arranging to speak with integration leaders by telephone, or even making a site visit. Sending a local team to view first-hand a successful integration site can be a fruitful investment of resources. Being able to discuss mistakes, lessons learned, and environmental barriers with veterans will assist local project efforts.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

- ▶ Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
- Section 19. Address Legal Issues
- Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Section 12. Examine Best Practices

► Section 13. Undertake Environmental Scanning

Section 14. Build a Business Case

Section 15. Assess Readiness for Integration

Section 16. Review the Current Technology Environment

Section 17. Analyze Information Exchange

Section 18. Develop Standards

Section 19. Address Legal Issues

Section 20. Evaluate Risk Management

Section 21. Develop a Communication Plan

Section 22. Design and Describe the Integration Architecture

Section 23. Determine Resource Needs

Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

While the collection of this valuable information is an essential activity, it will be wasted effort if it is not made accessible to everyone involved in the justice integration initiative. It is essential that these lessons be summarized in the strategic plan and distributed throughout the justice enterprise.

Section 13. Undertake Environmental Scanning

Environmental scanning is a systematic process of gathering and analyzing diverse kinds of information to better understand and prepare for the future. Environmental scanning enables decisionmakers to understand the changing nature of the environment and interconnections between scientific, technical, economic, social, and political events and trends. By reviewing large quantities of data, decisionmakers are able to spot signals of coming change that will affect the environment in which integration will be achieved. Environmental scanning involves four activities: 1) deciding what to scan, 2) scanning sources for information, 3) deciding what information is relevant to planning activities, and 4) deciding how to use the information. In the context of planning for integrated justice, it also is necessary to summarize this information for use by the policy group and others engaged in the integration initiative.

The policy group should assign a committee to perform environmental scanning activities. These activities should not be focused purely on emerging technologies, but should include policy, economic, social, and political issues. They also should be directed at nonjustice developments in the public and private sectors. Very often, the best ideas for justice technology are found in applying approaches developed in other disciplines.

Numerous Internet-based futurist and environmental scanning sites are available to assist the environmental scanning committee.³⁰ In addition to Web sites, there are discussion lists, books, and other resources to assist this effort. It is clear that understanding future directions for technology will be the most significant aspect of environmental scanning, and resources are available that focus on this area.

The policy group should compile a summary of environmental scanning findings and include it in this section of the strategic plan.

³⁰ See, for example, www.cpfonline.org, www.infinitefutures.com, and www.leadingfuturists.biz/scanning.htm.

Section 14. Build a Business Case

A main premise of an integration initiative is that justice system officials do not have complete, accurate, and timely information to make decisions. Another is that moving information on paper is slow, error-prone, and too limited in range to serve the needs of the justice community. While most justice officials sense the inadequacy of available information and the cost of doing business on paper, few have attempted to document the magnitude of these problems. Most integration initiatives have been driven by anecdotal information, rather than by sound measures of need.

The public believes that justice system officials know the identity of suspects and defendants, that they have a complete history of their prior arrests and prosecutions from any state, not just for felonies, but for misdemeanors, infractions, traffic, juvenile offenses, etc., and that they know about all pending cases and any terms of supervisions or orders that may apply. In fact, justice system decisionmakers generally see only the tip of the iceberg. But finding out how much we do not know is not an easy task. If justice system officials are to make a case for integration with political leaders and the public, they must have good information about the problem.

The purpose of building a business case is to quantify problems with information flow in the justice system. Do justice officials have all of the right information to make correct decisions? How much confidence do they have in that information? Can the integration initiative fix these documented problems?

The efficiency of the justice system is another issue that should be addressed in the business case. How much effort is wasted capturing information from paper documents and entering it into information systems—information that is already in electronic form in other locations? How significant a problem is the fact that justice organizations store data in their own formats, with little or no consideration of the needs of other entities? What are the nature and magnitude of delays in the paper flow pipeline?

Building the business case should include preparing and distributing questionnaires to justice system officials at the state and local levels. A separate questionnaire should contain issues to be discussed and documented by the policy group. Some of the questions relate to the perceptions of justice system officials, while others reflect statistical facts that are readily available or that can be determined with some research. *Appendix A, Integrated Justice Needs Assessment Questionnaires*, contains sample forms for collecting this business case information.

The purpose of building a business case is to quantify problems with information flow in the justice system.

If planning for integration is based on faulty assumptions, the effort will not succeed.

The business case section of the plan should contain an analysis of the results of the integration needs assessment survey. It should summarize the conclusions drawn from the collected information, and should be as concise as possible. Detailed data from survey responses, if it is included in the strategic plan, should be attached as an appendix.

Section 15. Assess Readiness for Integration

Few jurisdictions have conducted a systematic assessment of the readiness of the justice enterprise for integration, beyond studying the level of technology in use. How committed are justice system officials to improving the quality of their decisions? How capable is staff in justice organizations of making significant changes in business processes? Are resources available to address critical needs? Because integration efforts are major commitments, it is important to establish a basis for the decision to proceed.

Readiness for integration includes a number of factors. Technology issues are less important to this evaluation, as they are addressed in Section 16. More vital here are organizational, political, and cultural issues. At the organizational level, an agency that already collects statewide data in a common format at a centralized location is in a much better position to participate in integration than a justice function that is county-based, with no automation. In every state, some justice disciplines are more advanced in their use of technology than others. A diffuse and decentralized operation still can play an important role in an integrated system; it simply will require more time and effort to get to that point.

The political and cultural climate also is an important consideration that should be addressed by the analysis. If the leaders of key justice system components are not interested in integration, it will be much more difficult to move forward. For example, some local law enforcement agencies might be perfectly satisfied with a paper-based process. As long as there are a significant number of other agencies interested in participating, particularly the ones that handle a high volume of cases, it is safe to proceed without having everyone on board. Unwilling leaders may change their minds as they see the benefits of success in other parts of the enterprise.

Some organizations may lack the technical competence to participate, even although they are willing. These agencies present different challenges that can be addressed.

The important thing is to have a good reading of the strengths and weaknesses of the enterprise. If planning for integration is based on faulty assumptions, the effort will not succeed.

The readiness assessment is similar to the needs assessment described in Section 15, but addresses a different set of questions. Like the business case section of the strategic plan, the readiness assessment should contain a succinct, policy-level summary of conclusions that can be drawn from the data collected from justice agencies. Detailed survey results are best placed in an appendix or omitted from the report.

In short, this section of the strategic plan should tell policy leaders about the readiness of the justice enterprise to proceed with integration. In some instances, there are problems that cannot be overcome in the short term. The policy group can use this information to craft a strategy to work around these seemingly insurmountable issues.

Section 16. Review the Current Technology Environment

As a part of Stage II planning, it is important to undertake a study of existing technology infrastructure, applications, and interfaces between systems in the jurisdiction. This assessment can be conducted with a questionnaire that should cover all of the areas of interest in an integrated system.³¹ The state should distribute the questionnaire to all justice agencies in the state, as well as any non-justice organizations with which the justice system exchanges significant amounts of information, although 100 percent return from local agencies is not required.

This assessment should be simple and should focus on areas that will affect integration. It is not necessary to count the number and age of every personal computer and software application in the state, for example. The information should provide a general picture of how ready each organization is to participate in an integration effort. A maximum of a few weeks should be allowed for the assessment to be conducted.

Infrastructure

With respect to infrastructure, the most important elements are communications bandwidth and available protocols, which will be essential to establishing linkages through which information can flow. The internal computing environment also may be of interest, particularly if justice organizations are saddled with antiquated hardware and software that might pose a barrier to integration.

³¹ A sample technology assessment questionnaire is included as Appendix B.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

- Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- ▶ Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
- Section 19. Address Legal Issues
- Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Section 12. Examine Best Practices

Section 13. Undertake Environmental Scanning

Section 14. Build a Business Case

Section 15. Assess Readiness for Integration

Section 16. Review the Current Technology Environment

► Section 17. Analyze Information Exchange

Section 18. Develop Standards

Section 19. Address Legal Issues

Section 20. Evaluate Risk Management

Section 21. Develop a Communication Plan

Section 22. Design and Describe the Integration Architecture

Section 23. Determine Resource Needs

Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

Applications

Justice-related software applications also should be catalogued as a part of the assessment. The focus should be on systems that contain case and offender information, not administrative systems, such as budget and finance, personnel, jury management, etc. It is helpful to know the age of the systems, the operating environment, who developed and maintains the system, etc.

Interfaces

Many justice agencies already pass information electronically between information systems. It is important to capture information about these interfaces during the assessment process, including data, structure, formats, validation criteria, and business rules governing these exchanges. If the interfaces have been documented, a complete copy should be obtained. These data will feed into the information exchange analysis, discussed in Section 17.

Information that is collected about infrastructure, applications, and interfaces will form a baseline for measuring the gaps between the existing and desired technology environment. It is impossible to chart a course to improve the use of technology in the justice enterprise without a complete and detailed description of what is currently in place.

This section of the strategic plan should contain a policy-level summary of conclusions drawn from the survey of technology use in the justice environment. It should cover three areas: infrastructure, applications, and interfaces. It should be a description of the current, *as is* system, and may describe the gaps between this current system and the vision statements created earlier in the planning process. Comprehensive detail should not be included in the plan—the narrative should simply describe what was done, the general level of response to the survey by justice agencies, and significant conclusions that affect the priority of projects that will be conducted following publication of the plan. Details collected during the survey should be preserved and made available to the committee developing the system architecture.

Section 17. Analyze Information Exchange

A thorough *analysis of information exchange* between justice organizations is essential to the success of the integration initiative. By simply bringing agency staff together to review information processing, many states have been able to make dramatic improvements in working relationships and information flow. Although most employees have a general understanding of how information is passed between organizations, very few grasp the fine details outside of their own domain.

SEARCH has been working for some time on the Justice Information Exchange Model (JIEM) project. Staff has collected data from more than 20 state and local criminal justice systems, and is conducting an analysis of that information to understand similarities and differences in business processes between jurisdictions. The JIEM Reference Model³² of data exchange that is emerging from this project will assist states with their internal evaluation efforts and save considerable work in integrating systems.

The JIEM project describes data sharing in terms of the agencies participating in the exchange, the event and process that trigger the exchange, the actual information that is transferred, and the conditions that may cause variations in the process. For example, a felony arrest and a misdemeanor arrest may trigger the creation of different forms that may be sent to different organizations.

As a part of this project, SEARCH has created an information-modeling tool—the JIEM Modeling Tool—that can facilitate the analysis of data exchange in the states. It is Web-based software provided at no charge, and agencies can contribute information from remote locations without special software or hardware. The tool is available for immediate use.³³

Already it has been determined that there are about 60 justice system events that trigger the exchange of information between organizations. The nature of these exchanges varies from state to state, primarily because of organizational differences. As JIEM project staff have made adjustments for these organizational differences, they have determined that exchanges in different states are remarkably similar.

A justice enterprise must identify and analyze each information exchange between justice and justice-related agencies, if it is to create automated interfaces to replace the transfer of information on paper. This will require the participation of operational experts from each justice discipline, meeting weekly for several hours over a two- to three-month period. Once all of the exchanges have been documented, the policy group can evaluate the results, selecting the specific exchanges that are most important to automate, based on urgency, importance, frequency, and other factors. The JIEM Modeling Tool provides assistance in making these determinations.

Clearly, it will not be possible to include every local agency in this information exchange analysis. Many states have selected a few counties to participate in this exercise as pilots, then allowed other jurisdictions to review the results to see if anything has been missed.

³² See <http://www.search.org/integration/jrm1.pdf>.

³³ To learn more about the Justice Information Exchange Model, see http://www.search.org/integration/info_exchange.asp.

JUSTICE INFORMATION EXCHANGE MODEL (JIEM) PROJECT

SEARCH has collaborated with the IJIS Institute to develop a JIEM Certification Program. JIEM certification entitles individuals to use the tool to assist justice organizations in state and local jurisdictions with modeling justice system information flow and business rules by identifying, describing, documenting, and defining key interagency information exchanges. For more information, see http://www.search.org/integration/info_exchange.asp.

A more realistic solution is to define standards for the interchange of information. This means that agencies can do whatever they want with their data internally, so long as they can put it in a common format before transmission across organizational boundaries.

Most states also have limited the scope of their initial efforts based on case type, age of offenders, etc. Often the first attempt to document information exchange involves adult felony and serious misdemeanor case types, although other approaches can be equally effective.

The JIEM Modeling Tool can play another role in the state's integration initiative. Just as it is used to document current information flow and business practices, it also can be used to design the new environment, incorporating improved processes and electronic equivalents of paper processing. Used in this way, it can contribute to the development of integration architecture.

The policy group must initiate three types of projects following strategic planning efforts. First, it must act to **correct deficiencies** in the current infrastructure to allow information exchange to occur. Second, it must **institute or upgrade applications** so that justice organizations have the proper electronic information to move through the system. Third, it must **identify the highest priority exchanges** for automation. The analysis of information exchange provides the information to help the policy group determine these priorities.

The JIEM Modeling Tool can provide hundreds of pages of documentation that can be used by system engineers, as well as operations experts, to design electronic interfaces and appropriate modifications to business practices. This section of the strategic plan is not the place for all of that information to be published. Rather, it should contain a summary of the highest priority exchanges for automation, based on frequency, urgency, importance, and other factors. The detailed information developed during this process will be invaluable during construction of integration interfaces.

Ultimately, the selection of interfaces to develop first is a policy and political decision. Project work, and benefits derived from that work, should be spread throughout the justice community, not concentrated in a single discipline or organization, if general support for integration is to be maintained. This section of the strategic plan should provide the information needed by the policy group to make these hard decisions.

Section 18. Develop Standards

It would be preferable for all justice organizations to share a common data structure and format, but transition to such a scheme, were it possible, could take a decade or more to complete. A more realistic solution is to define standards for the interchange of information. This means that agencies can do whatever they want with their data internally, so long as they can put it in a common format before transmis-

sion across organizational boundaries.³⁴ The standards are published and distributed throughout the justice enterprise, and a maintenance mechanism allows for adjustments as the needs of organizations and the capabilities of technology change. Integration then becomes a much simpler exercise of moving standard information from place to place, rather than the more complex process of mapping and translating data as it moves through the system.

Fortunately, internal data structures tend to be much more complex than is required outside an organization, so standard structures for integration can be simpler than they are within justice applications.

Some information lends itself to standardization throughout the justice system; NCIC standards for personal descriptors, for example, can be used in any justice-related organization.

Perhaps the biggest challenge facing justice agencies in most states is in developing a standard referencing method for offense codes. Most organizations rely on the statutory reference for offense codes, but because there is not a one-to-one relationship between statutes and chargeable offenses, most append something to the end to make each code unique. The problem is that every agency in a state may do this differently, which creates barriers to the smooth flow of offense information in an integrated system. In addition, local ordinance violations often have unique numbering systems for each city and county.

Many states have created committees to develop standard offense codes that all justice organizations can use. These groups also can address other data standards as well. State legislatures can assist by ensuring that new laws and amendments to existing laws have clear and unambiguous code references. One state is even in the process of re-codifying its criminal code so there is no confusion about how offenses are to be charged and coded. A number of creative approaches also have been developed to deal with local ordinances.

The policy group should create a data standards committee as a part of Stage II planning activities. This group should function under the direction of the policy group, and should begin its work as soon as the results of the information exchange analysis are available. While it will complete the majority of its work within two or three months, the data standards committee will have ongoing responsibilities for many years to come.

³⁴ Some integration architectures place this data translation at a central point in the network so individual agencies are not required to perform the task.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

- Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- ▶ Section 18. Develop Standards
- Section 19. Address Legal Issues
- Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

The differing cultures of justice organizations, with respect to information policy, will produce some of the most significant disagreements in integration projects.

There are a number of standards development activities currently underway at the national level.³⁵ Those tasked with developing standards locally should be cognizant of these efforts and follow the progress of these groups, as they may save the state considerable time, money, and effort. At present, the emphasis is in three areas: 1) functional standards for case and records management systems; 2) an integrated justice data model; and 3) reference documents commonly exchanged in the justice enterprise. The focus of the second and third areas of emphasis is XML technology. In the near future, reference exchanges and other factors that govern data exchange will be available.

The standards development section of the strategic plan describes progress of the standards development committee in working out common tables, fields, and codes to describe justice information. It should contain recommended standards that have been completed by the committee, and that are ready for policy group adoption. It should explain how suggested modifications can be provided by justice officials throughout the state. Finally, a maintenance process in the plan should describe how the committee will maintain and monitor implementation of the standards throughout the state.

It is recommended that standards adopted by the policy group also be published on an integration Web site so that all justice agencies in the state can have access to them. New standards can be placed on the Web site for public comment, to help ensure wide acceptance. The policy group should post updates to standards, and develop an email notification system to ensure that key individuals in justice organizations know about changes as soon as possible.

Section 19. Address Legal Issues

Another important issue that must be addressed during Stage II planning is information policy. The differing cultures of justice organizations, with respect to information policy, will produce some of the most significant disagreements in integration projects. Some organizations traditionally protect information resources to preserve the integrity of the investigative and deliberative processes. Others view justice system activities as open and public, and do their best to make information available to everyone.

³⁵ For further information on standards efforts in progress, see http://www.search.org/integration/about_integration.asp, <http://www.it.ojp.gov/index.jsp>, http://www.ncsconline.org/D_Tech/Standards/Standards.htm, and <http://www.search.org/xml/default.asp>.

In reality, both approaches are correct and must be respected. The nature of information access and distribution changes during the life of a case. During an investigation, confidentiality is extremely important to avoid jeopardizing a prosecution and to protect the privacy rights of suspects who are not guilty, as well as victims and witnesses. Court proceedings generally are required by the constitution to be open, and records of those proceedings also are considered public. Information that would not be released during an investigation might now be disseminated widely. Similarly, access to that same data may be limited following the proceedings, particularly if expungement or sealing orders are issued. Many states limit by state law the distribution of arrest and conviction information held in state repositories.

Implementation of an integrated system will raise all kinds of questions that have not been addressed before, so it is important to be prepared. Agencies may not be willing to share information they consider to be confidential with another organization that may release it to the public. These kinds of situations can create friction and confusion, often causing coalitions to crumble.

The following is a list of information policy issues that may arise:

- Privacy
- Confidentiality
- Data ownership
- Security
- Public access
- Data dissemination
- Data quality

The policy group should establish an information policy committee to manage these issues during the integration process. Each justice discipline should be represented in the group, and law-trained individuals should be appointed when possible. Whenever an information policy issue arises in any other committee or in the policy group, it should be referred to this committee, which should be charged with researching existing policy, laws, and regulations that are relevant to the issues being raised. Existing law may not resolve the issue, but can define a range of legally permissible options. In these circumstances, the information policy committee should outline the options and draft a recommended policy for consideration by the policy group.

There are a number of other legal issues that can be referred to this group, beyond those related to information policy. For example, legal issues related to authority and constraints are important to consider as the justice enterprise begins to work together in new ways, spanning

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

- Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
- ▶ Section 19. Address Legal Issues
- Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

city, county, state, and federal government responsibilities. There are legal issues related to technology procurement as well.

The information policy section of the strategic plan should contain a summary of issues addressed by the information policy committee, along with proposed policy to address those issues. The policy group should review and approve all such policies before their release and publication.

The information policy committee, like the data standards committee, will continue to fill a role in the integration initiative long after publication of the strategic plan. It should also develop a plan for its ongoing work and distribution of new and amended policies, which should be included in this section.

Section 20. Evaluate Risk Management

Risk management is a mature discipline in both software engineering and project management. Because of the complex organizational, funding, technical, and other issues inherent in integration efforts, risk is high and must be managed continuously. While the policy group bears ultimate responsibility for risk management, it is recommended that a risk management committee be formed to assist in this important work.

During the strategic planning process, the committee should search for and identify areas of risk, attempting to determine what could go wrong during plan execution. Once areas of risk are identified, the committee should analyze each to define the timeframe, impact, and probability of each potential risk. Risks should then be classified and prioritized.

Working with the policy group, the risk management committee should then determine which risks are important to deal with and help implement strategies to address each of them. These strategies might include continuous monitoring, contingency planning, communication, etc. The final version of the strategic plan should document risks and strategies.

Once the strategic plan is published and implemented, the real work of the risk management committee begins. As numerous project plans are developed and executed, the committee should monitor activities and report to the policy group regularly. The risk management committee plays a key role in keeping the integration initiative on track.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

- Section 12. Examine Best Practices
- Section 13. Undertake Environmental Scanning
- Section 14. Build a Business Case
- Section 15. Assess Readiness for Integration
- Section 16. Review the Current Technology Environment
- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
- Section 19. Address Legal Issues
- ▶ Section 20. Evaluate Risk Management
- Section 21. Develop a Communication Plan
- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

Section 21. Develop a Communication Plan

The integration effort must have the support of the policy leaders of justice and justice-related organizations at all levels of government if it is to succeed. In addition, it must have broader political and public support. This does not occur just because integration is a good idea and the right thing to do. It requires a coordinated, well-planned effort by justice leadership throughout the justice enterprise.

The results of the needs assessment should provide the information needed to help make a business case for integration. The preliminary strategic plan should provide the vision and the direction. What is needed is a way to communicate this information to everyone who should hear it. This is the purpose of a communication and education plan.

A number of materials can be prepared very early in the integration initiative to help build support. The following list is based on ideas developed in other states:

- Justice integration Web site
- Electronic integration newsletter
- Annual state and regional educational conferences
- Media coverage
- Pamphlets or brochures
- Participation in national integration workshops and symposia

The communication planning section of the strategic plan should contain the communication and education plan developed by the communication planning committee. Because a relatively small number of individuals will participate directly, and because integration requires broad support throughout the justice community to succeed, the communications plan is very important. To maintain enthusiasm and momentum, a great deal of effort must be expended in this area for many years to come. The plan should detail a long-term agenda of activities to keep the integration agenda on the front burner of the justice enterprise.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Section 12. Examine Best Practices

Section 13. Undertake Environmental Scanning

Section 14. Build a Business Case

Section 15. Assess Readiness for Integration

Section 16. Review the Current Technology Environment

Section 17. Analyze Information Exchange

Section 18. Develop Standards

Section 19. Address Legal Issues

Section 20. Evaluate Risk Management

► Section 21. Develop a Communication Plan

Section 22. Design and Describe the Integration Architecture

Section 23. Determine Resource Needs

Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

Section 22. Design and Describe the Integration Architecture

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Section 12. Examine Best Practices

Section 13. Undertake Environmental Scanning

Section 14. Build a Business Case

Section 15. Assess Readiness for Integration

Section 16. Review the Current Technology Environment

Section 17. Analyze Information Exchange

Section 18. Develop Standards

Section 19. Address Legal Issues

Section 20. Evaluate Risk Management

Section 21. Develop a Communication Plan

► Section 22. Design and Describe the Integration Architecture

Section 23. Determine Resource Needs

Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

Architecture is a blueprint for construction of the integrated system. It includes:

- **infrastructure** (the development, processing, data, and communications environment in which applications run)
- **applications** (software packages that assist justice agencies in doing their work), and
- **interfaces** (connections between systems that allow access to information or the movement of data from one application to another).

It also addresses critical systemwide issues, such as security, data standards, etc. A sound architecture is the foundation of a successful integrated system.

There are a wide variety of integration architectures, as shown in the partial list below. Most initiatives incorporate combinations of these approaches.³⁶

- Centralized applications
- Distributed applications with business, data, and document standards
- Data warehouse
- Middleware
- Master index/backbone
- Standard document exchange

Many factors determine the optimal integration architecture for a jurisdiction. Existing technology and integration should be considered, including the maturity, functionality, and operating environment of the systems. The size and complexity of the network will dictate certain approaches, in conjunction with the geography and population distribution of the state. Volume of information flow and cost also are factors.

³⁶ For an analysis of some of these approaches, see *Justice National Information Architecture: Toward National Sharing of Government Information* (Lexington, Kentucky: National Association of State Information Resource Executives (NASIRE), February 2000) p. 16, available at <https://www.nascio.org/publications/index.cfm>.

Near the end of Stage II planning, the state should assemble a team of its best justice system technologists to review the information prepared by other committees and to recommend an integration architecture for the justice enterprise.

The description of the architecture that is conveyed in the strategic plan must, of necessity, be conceptual and simple so that it can be understood by policy leaders, members of the legislature, and local government officials. It should explain how justice organizations will share information electronically. The strategic plan must remain strategic. Technical details of the architecture should be communicated to justice organizations in a separate document.

Section 23. Determine Resource Needs

Integration initiatives are expensive. Some components of an integrated system can be developed with minimal new funding if applications are maintained in-house and if sufficient development staff is available to do system modifications. But in most cases, integration means replacing some applications, building new infrastructure, and replacing equipment. All of this costs money.

It is always difficult to obtain significant amounts of funding for major new initiatives, particularly when budgets are tight. Add to this the complexity of funding work that crosses organizational boundaries and levels of government. In many locations, funding will be a primary strategic issue that the policy group must address. This is an area where best practices of other states may be beneficial.

Early in the planning process, the policy group should create a resource needs committee to determine: 1) the cost of individual integration projects, 2) who is responsible for funding particular projects, and 3) potential funding sources. The policy group should include a summary of the financial implications of integration and viable funding options in the final version of the strategic plan.

Section 24. Develop a Prioritized Project List

The final Stage II planning activity is to synthesize the results of the other committee work into a prioritized project list. The first step in this process is to create a list of possible projects. This list should include any infrastructure upgrades that are needed to support the architecture that was designed. If key organizations lack suitable automation, then the acquisition, development, or enhancement of applications is a necessary precursor to integration.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Section 12. Examine Best Practices
Section 13. Undertake Environmental Scanning

Section 14. Build a Business Case

Section 15. Assess Readiness for Integration

Section 16. Review the Current Technology Environment

Section 17. Analyze Information Exchange

Section 18. Develop Standards

Section 19. Address Legal Issues

Section 20. Evaluate Risk Management

Section 21. Develop a Communication Plan

Section 22. Design and Describe the Integration Architecture

▶ Section 23. Determine Resource Needs

▶ Section 24. Develop a Prioritized Project List

Stage III: Prepare and Implement a Final Plan

The strategic plan should provide rational justification for the projects that are selected as highest priority, and show the order of subsequent activities, so other agencies will know when their turn will come. For these reasons, this must be the most carefully articulated section of the strategic plan.

Once automation and infrastructure issues are addressed, it is then necessary to determine which information exchanges are of highest priority. This may be based on the volume of information that is shared, the cost savings associated with the elimination of redundant data entry, and the improvements in justice system decisions that can result. The highest-priority interfaces should be added to the project list.

It is often practical to test integration in a small number of locations before deploying it more broadly. For example, a Web-based prosecutor disposition reporting system could be pilot-tested in several counties before being rolled out statewide. This provides an opportunity to correct problems and refine procedures before a large number of users are involved. It helps if pilot tests are performed in a variety of locations, e.g., a large, medium, and small county.

The policy group then reviews the project list and determines priorities. This list is published in the final strategic plan and becomes the foundation for integration activities for the next several years.

Strategic planning involves hard choices made jointly by the leaders of organizations that will feel the consequences of those decisions most directly. Every choice to do something is a choice not to do many other things. The strategic plan should provide rational justification for the projects that are selected as highest priority, and show the order of subsequent activities, so other agencies will know when their turn will come. For these reasons, this must be the most carefully articulated section of the strategic plan.

Once all the detailed planning activities are completed, they will become components of the final strategic plan. Chapter 5 addresses development, publication, and implementation of the final plan.

Strategic Planning Template — Stage III: Prepare and Implement a Final Plan

Stage III of the strategic planning template involves preparation of the final version of the strategic plan. The final plan will incorporate Sections 1-10 of the preliminary plan (developed in Stage I), Sections 12-24 (developed during Stage II), and Sections 25-27, detailed below. The policy group should complete the final three sections, then publish the strategic plan and manage its implementation.

Section 25. Describe the Project Management Methodology

The policy group has an important responsibility to manage integration projects that will be spread over many years and conducted at various levels of government. While the group should not be too intrusive on work that is carried out at these levels, it must have a process in place that enables it to monitor progress and participate in important decisions that have systemwide implications. It is also important that this process be defined before the work begins, to avoid problems with expectation management.

The strategic plan should describe the methodology that will be employed by the policy group in managing integration projects that will be conducted following publication of the strategic plan. Maricopa County, Arizona, and the State of Washington provide excellent examples of project management methodologies.³⁷

Section 26. Outline Tasks and Responsibilities for Strategic Plan Implementation

The strategic plan should show how the policy group and its various committees will work together to implement the plan. There should be a schedule of future meetings to monitor and review progress, to develop strategy for legislative and related sessions, and to solve problems.

The strategic plan should outline responsibility for developing action plans for the highest priority activities. Those who will be tasked with doing the work should develop action plans, as a general rule. If any of the action plans are ready in time, they could be included in the strategic plan.

³⁷ Access their documents online at <http://www.search.org/integration/default.asp>.

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

- ▶ Section 25. Describe the Project Management Methodology
- ▶ Section 26. Outline Tasks and Responsibilities for Strategic Plan Implementation
- Section 27. Outline Long-term Plans to Strategically Manage the Integration Effort

Stage I: Develop a Preliminary Plan

Stage II: Undertake Detailed Planning Activities

Stage III: Prepare and Implement a Final Plan

Section 25. Describe the Project Management Methodology

Section 26. Outline Tasks and Responsibilities for Strategic Plan Implementation

► Section 27. Outline Long-term Plans to Strategically Manage the Integration Effort

Finally, this section of the plan should describe a process for revising the strategic plan after two or three years of activity. Over time, tasks are completed, priorities change, new technologies and methodologies emerge, and leadership changes. For the strategic plan to be relevant and to be owned by justice system officials, it must be updated from time to time. The strategic plan should outline when and how this will occur.

Section 27. Outline Long-term Plans to Strategically Manage the Integration Effort

Once strategic planning is complete, the policy group must redirect its activities from planning to management. Although project management for many tasks may rest in the agencies doing the work, the policy group should help enforce accountability by receiving regular progress reports. If an integration staff is created for the effort, the policy group will be responsible for hiring and managing those individuals. At that point, more direct involvement, particularly by the executive committee of the policy group, will be necessary. It is helpful for the strategic plan to outline how the policy group intends to address these issues and manage the integration effort long term.

Survey of Justice System Decisionmakers

Integrated Justice Needs Assessment Questionnaire				
<p>When you make a key justice decision (e.g., arrest, charging, plea offer or acceptance, bail release, adjudication, sentence, prisoner classification, probation or parole revocation), how much information do you believe you have (as a percentage of the total) concerning the offender in each of the categories listed below, from within your county, from within your state, and from all other states? What is your level of confidence (zero percent to 100 percent) in the completeness, accuracy, and timeliness of this information?</p>				
Categories	County	State	National	Confidence Level
Intelligence information	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Identification information				
Aliases	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Demographics	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Identification numbers	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Fingerprints	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Mug shots	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Scars, marks, tattoos, etc.	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Drivers license photograph	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
DNA	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Current legal status				
Location	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Outstanding warrants or wants	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Pre-filing diversion	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Pending felony cases	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Pending misdemeanor and other cases	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Pretrial release status	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Post-filing diversion	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Deferred prosecution, judgment, or sentence	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Probation status	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Incarceration or detention location	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Parole status	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Sex or child sex offender status	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Firearms restrictions	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Protection or restraining orders	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Drivers license status	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
History				
Felony arrests	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Misdemeanor and other arrests	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Felony convictions	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Misdemeanor and other convictions	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Driver history	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
Juvenile history	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Policy Group Assessment

Integrated Justice Needs Assessment Policy Group Questionnaire
Please estimate the percentages and time frames for each category below.

Categories	Response
What percentage of arrests in the prior five years do not have fingerprints associated with them?	<input type="text"/>
What percentage of arrests in the prior five years do not have dispositions associated with them?	<input type="text"/>
How complete is the rap sheet for any particular offender?	<input type="text"/>
How long does it take for the identity of a suspect to be established?	<input type="text"/>
How long does it take for a fingerprint card to arrive at the central repository?	<input type="text"/>
How long does it take for an arrest to be posted to the criminal history, once it is received?	<input type="text"/>
How long does it take for a prosecutor disposition to arrive at the central repository?	<input type="text"/>
How long does it take for a prosecutor disposition to be posted to the criminal history, once received?	<input type="text"/>
How long does it take for a court disposition to arrive at the central repository?	<input type="text"/>
How long does it take for a court disposition to be posted to the criminal history, once received?	<input type="text"/>
How long does it take for a correctional intake or discharge to arrive at the central repository?	<input type="text"/>
How long does it take for the correctional action to be posted to the criminal history, once received?	<input type="text"/>
How long does it take for a sentencing order to arrive at the Department of Corrections?	<input type="text"/>
How long does it take for a sentencing order to arrive at a local jail?	<input type="text"/>
How long does it take for a sentencing order to arrive at a probation office?	<input type="text"/>
How long does it take for a warrant to be posted to a statewide warrant file?	<input type="text"/>
How long does it take for a warrant recall to take effect on a statewide warrant file?	<input type="text"/>
How long does it take for a restraining order to be posted to a statewide file?	<input type="text"/>
How long does it take for a recall of a restraining order to reach a statewide file?	<input type="text"/>
How long does it take for a drivers license suspension to be posted to state files?	<input type="text"/>
How long does it take for a release of a drivers suspension to reach a state file?	<input type="text"/>

Name of Organization _____
 Prepared By _____
 Telephone Number _____
 Email Address _____
 Date Prepared _____

■ **A. Personnel and Technical Staffing**

1. How many staff members are in your organization?
2. How many IT-classified positions does your organization have?
3. How many of these positions are filled by:
 - 3.1 Full-time FTEs
 - 3.2 Other FTEs
4. How many other FTEs, not classified in a technical position, provide IT support as some part of their day-to-day responsibilities?
5. For the individuals in IT classifications, how would you categorize their *primary* responsibility (if responsibilities cannot be divided, then count once in each category):
 - 5.1 Application Development / Maintenance
 - 5.2 Computer Operations
 - 5.3 Communications
 - 5.4 End-User Support
 - 5.5 Help-Desk
 - 5.6 IT Management
 - 5.7 Network Support
 - 5.8 Project Management

■ **B. PCs/Servers**

1. How many personal computers (PCs) does your organization maintain/support?
2. Of these, please identify the number of PCs utilizing the following:
 - 2.1 Windows 98/ME
 - 2.2 Windows NT
 - 2.3 Windows 2000 Professional
 - 2.4 Windows XP
 - 2.5 Other, please specify _____
3. How many servers does your organization maintain/support?
4. How would you categorize the *primary* function of these servers?
 - 4.1 Application Servers (Production)
 - 4.2 Application Servers (Development, Test, etc.)
 - 4.3 File Servers
 - 4.4 Print Servers

4.5 Other, please specify _____

5. For the application and file servers, please identify the number of servers utilizing the following:

5.1 Microsoft NT

5.2 Versions of Microsoft Windows, other than NT

5.3 Novell Netware

5.4 Linux

5.5 Unix (AIX, HPX, PTX, etc.)

5.6 Other #1, please specify _____

5.7 Other #2, please specify _____

6. Please list any other types of mainframes/minicomputers that are used to support your technology environment. _____

■ C. Network/Internet/Email

1. What Internet browser does your organization utilize?

1.1 Internet Explorer, please specify version

1.2 Netscape, please specify version

1.3 Other, please specify product/version _____

2. What email/messaging backbone does your organization utilize?

2.1 Exchange, please specify version

2.2 Lotus Notes, please specify version

2.3 Other, please specify product/version _____

3. What is the type/speed of your network/Internet connection?

3.1 Dial-up Modem

3.2 Integrated Services Digital Network (ISDN)

3.3 T1/T3

3.4 Digital Subscriber Line (DSL)

3.5 Wireless/Satellite

3.6 Other, please specify _____

■ D. Security

1. What type(s) of security technology does your organization utilize?

1.1 Virtual Private Network (VPN)

1.2 Firewall, please specify _____

1.3 Router Filters

1.4 Virus Protection Applications, please specify _____

1.5 Biometrics

1.6 Smartcards

1.7 Other, please specify _____

■ E. Applications — Justice Related

Name/Acronym of Application	Main Function(s)	Beginning or Implementation Date	Language	Platform	Built/Bought/Outsourced	Interfaces With What Systems	Status

Status Codes: Prod = Production, Plan = Planning, Dev = Development

Measuring the Success of Integrated Justice: A Practical Approach

By Bob Roper and Teri Sullivan

September 2003

(Updated/Re-issued 2004)

This report was prepared by SEARCH, The National Consortium for Justice Information and Statistics, Gerald E. Wethington, Chairman, and Ronald P. Hawley, Executive Director.

Bob Roper, CIO/Director of Technology, Colorado Judicial Branch, and Teri B. Sullivan, Justice Information Systems Specialist, SEARCH, wrote this report.

This report was produced as a product of a project funded by the Bureau of Justice Assistance, Office of Justice Programs, U.S. Department of Justice, under Cooperative Agreement No. 99-DD-BX-0069, awarded to SEARCH Group, Incorporated, 7311 Greenhaven Drive, Suite 145, Sacramento, California 95831. Contents of this document do not necessarily reflect the views or policies of the Bureau of Justice Assistance or the U.S. Department of Justice.

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Measuring the Success of Integrated Justice: A Practical Approach

Contents

Introduction	1
Why Measure Performance?	2
A Method for Measuring Success	5
Developing Business Objectives as Performance Measures	8
Sample Goals and Measurable Business Objectives	12
Collecting Data to Support the Measures	15
Displaying the Results	17
Developing Performance Measures: Pitfalls to Avoid	18
Developing Performance Measures: Tips for Success	19
Conclusion	21

Introduction

Justice system organizations began automating in earnest more than 30 years ago. During those early formative years, there was an intrinsic belief in the “miracle of technology” as a cure for all sorts of ills. People were generally in awe of new technology—it got us to the moon and was responsible for many other modern wonders. Surely it could be applied to business problems of rising caseloads, increasing paper flow, and growing complexity in our justice system. The climate was right for technological solutions for every kind of problem.

It was relatively easy to convince funding agencies that automation and computers could improve the justice system; they were equally optimistic about the value of these marvelous new tools. This utopian atmosphere, along with the good working relationships that generally existed between justice organizations and funding bodies, led to the initiation of information system projects with little more than “trust me” as an assurance of success. The prevailing thought was that “to automate was to improve” and it was not necessary to enumerate additional goals for the project or to define measurable criteria for determining if success had been achieved.

It soon became apparent that success with technology projects was much more difficult to achieve than was originally thought. Many projects failed completely; others suffered lengthy delays, huge cost overruns, disappointing performance, unintended negative consequences on internal and interorganizational business processes and service delivery, or premature obsolescence. Only a very small percentage of those pioneering technology efforts could be considered successful by today’s standards. Still, many justice system leaders could declare victory because there were no objective criteria or data to prove otherwise.

The difficulty of achieving success with automation projects in the justice environment was further compounded by the realization that success with computerization *within* a justice organization was greatly dependent on how well that system interacted with systems *outside* of the organization. As the integration of justice information became a priority, additional levels of government began participating in integration-related projects, thus requiring better communication and greater accountability.

The realization that technology tools were neither easy to develop nor simple to implement and operate led to greater skepticism of technology initiatives by justice system and other governmental leaders. Funding became more difficult to obtain and greater accountability was demanded. More sophisticated planning and project management methodologies also became necessary.

As the integration of justice information became a priority, additional levels of government began participating in integration-related projects, **thus requiring better communication and greater accountability.**

How will we know if technology projects are on schedule and within budget?

How can we tell if a new system really meets the goals of the initial funding request?

How will you demonstrate that the integration initiative is a success?

Over the past 30 years, billions of dollars have been spent on justice-related technology projects. It is now apparent that justice system integration projects must be initiated with clear, realistic, and unambiguous *goals* that participating justice officials at every level of government can agree to and monitor. Before integration projects are even approved, participants should create *performance measures* that establish realistic expectations and provide ongoing feedback. This ensures that justice system officials and funding bodies are kept continually informed of project progress and status in reaching goals. Processes also are required to *collect and analyze data* that support the measures. This document explains how to define and measure the success of justice integration through the development of performance measures.

Why Measure Performance?

Funding bodies have become more wary of technology projects. In an era of diminishing resources, budget analysts are asking about return on investment (ROI) and want to analyze a business case before funding new systems development. The public wants tangible proof that taxpayer dollars are being used responsibly and efficiently. The “trust me” era of funding technology is gone forever. Now, justice officials must be able to answer tougher questions: How will we know if technology projects are on schedule and within budget? How can we tell if a new system really meets the goals of the initial funding request? How will you demonstrate that the integration initiative is a success? Establishing goals and performance measures—and collecting data to support those measures—will help answer these important questions.

Collecting data on the effectiveness of an integration effort is important for a variety of reasons, particularly because information in today’s society provides policymakers and managers with control—and individuals who possess strong supporting data can make the most convincing policy arguments. In addition, this information provides common objectives for everyone to work toward, supports the goal of continual improvement, makes sure that accountability is held for the *right* things, builds consensus on *how to measure the project*, and increases the likelihood for success. In short, performance measures help to: 1) build consensus and commitment within the justice community, 2) obtain and allocate resources, 3) plan and manage project execution, and 4) demonstrate success and improve accountability.

- 1. Build consensus and commitment within the justice community.** Clear communication is essential to successful integration, and articulating specific and detailed measures of success will help ensure that all justice system leaders share common expectations. Project expectations are often set based upon false assertions, assumptions, or anecdotal information. While “war

stories” can be valuable, they are often nothing more than isolated events. Unfortunately, they are so appealing that some people tend to adopt those single instances as generalizations. In contrast, sound performance measurement demonstrates the sophistication of management systems and processes, and the competence of staff, thereby increasing the confidence of policy leaders and their willingness to support the integration initiative.

2. **Obtain and allocate resources.** One of a manager’s most difficult tasks is to allocate and reallocate limited resources. It is the manager’s responsibility to redistribute resources saved through automation to tasks and assignments that had been underfunded prior to the automation savings in other areas. A successful technology project can result in the redistribution of resources. This task, though, has become more challenging in recent years as resources have dwindled, and is further complicated by the fact that most funding bodies expect justice agencies to perform more efficiently with technology. Funding bodies are no longer easily swayed by flashy presentations and anecdotal data, but are looking for solid evidence that monies allocated for projects will be used wisely. Solid information, built upon measurement systems established at project initiation, is much more convincing. Integration policy leaders can make a stronger case for funding future integration projects if they can provide this performance data.
3. **Plan and manage project execution.** Justice system leaders know that performance data is not only necessary for establishing credibility with funding agencies, but it is also essential for completing projects successfully. Continuous measurement of interim deliverables and project milestones—as well as making midcourse corrections to compensate for cost overruns, schedule slippage, or scope change requests—is the essence of project management. Without performance data, the project manager is working in the dark.

Building performance measures into project plans adds a new level of sophistication to the management of the integration initiative. Policy leaders can compare actual outcomes to predicted outcomes during project execution. Predetermined goals/performance measures shield project leaders from criticism for failure to accomplish goals that never were part of the original project scope.

Because contractors, vendors, developers, and staff need to know what is expected of their products, it is important to define performance measures that may trigger interim and system acceptance payments to contractors. Clearly defined

Sound performance measurement demonstrates the sophistication of management systems and processes, and the competence of staff, **thereby increasing the confidence of policy leaders and their willingness to support the integration initiative.**

performance measures provide targets for everyone to attain, make it easier to assess performance, and increase the likelihood of success.

Providing feedback on the status of a project during its execution is often avoided to postpone facing bad news. People are often reluctant to identify problems for fear of failure—and having to report that failure to others. Nevertheless, analyzing information about the progress of a project can help managers resolve issues before they become more serious. A problem cannot be corrected if it is not detected.

Too often, we forget about the value of performance measures in reassuring staff members that their work has had the intended results. Recognizing their contributions is a boon to staff morale and is a great incentive for future productivity.

Performance information also feeds future planning efforts. By analyzing what occurred in the past—what went well and what gaps exist between expected and actual performance—managers are better able to predict the duration and cost of future activities, problems that could arise, etc.

- 4. Demonstrate success and improve accountability.** When a project is complete, or even during project execution, it is always helpful to be able to show that it fulfilled the criteria for success that were defined at the outset. Project leaders are able to show clearly and concisely what the project was intended to accomplish, compared to what was actually accomplished. With respect to future funding for additional integration projects, or for maintenance of systems and interfaces that have been developed, the *communication of the success* to project sponsors and funding agencies is almost as important as the success itself. Informing funding bodies and constituents of the successes (and failures) of projects helps establish accountability. Taxpayers feel better about their investments. The agency's credibility and legitimacy is enhanced with those constituent groups and individuals that it serves.

Over the last decade, the Federal government has enacted new legislation that requires quantifiable objectives to be defined for technology projects undertaken by Federal agencies.¹ More recently, to facilitate

¹ The *Clinger-Cohen Act of 1996* (Public Law 105-106) encourages Federal agencies to evaluate and adopt best management and acquisition practices, and requires agencies to base decisions about information technology investments on quantitative and qualitative factors to demonstrate how well the expenditures support improvements to agency programs. The *Federal Acquisition Streamlining Act of 1994* (Public Law 103-355) requires agencies to define and monitor cost, schedule, and performance goals for Federal acquisition programs. The *Government Performance and Results Act of 1993* (Public Law 103-62) requires agencies to prepare multiyear strategic plans that describe mission goals and methods for reaching them.

efforts to transform the Federal government to one that is citizen-centered, results-oriented, and market-based, the Office of Management and Budget is developing the Federal Enterprise Architecture, a business-based framework for governmentwide improvement. In addition to the development of business, service component, data, and technical reference models, a performance reference model (PRM) is being designed and is scheduled for release in 2003. The PRM will establish a common set of general performance outputs and measures that agencies will use to achieve much broader program and business goals and objectives.² Similarly, many state and local governing bodies have now passed performance-based budgeting initiatives that require agencies to develop and adhere to measurable performance objectives. It is important for project leaders to demonstrate compliance with all laws that are applicable to the integration initiative.

A Method for Measuring Success

While there is a need to articulate why integration projects began and to document their specific objectives, there is also a compelling need to define and measure a project's level of success in *measurable* terms.

The following are components involved in measuring a project's success: a statement of business problem, the definition of goals, and project management through the creation of project, functional, and business objectives.

Statement of Business Problem. Technology projects should begin with the identification of a *business problem*. A business problem may be defined as a process or product that *appears* to be broken. An example of a justice-related business problem is that wanted felons are escaping detection and slipping through routine police stops because of inadequate information-sharing between criminal justice agencies. Before designing a technology solution to this business problem, justice system leaders must fully understand the nature and causes of the problem. Otherwise, they may implement a technology solution that does little to increase the detection of wanted felons. Improved police access to an automated warrant file, for example, may not solve the problem if the real issue is court delay in entering warrants into the system. The next issue becomes how to relate this business problem to a *goal* of a criminal justice system.

² See www.feapmo.gov for more information on the Federal Enterprise Architecture Program Management Office (FEAPMO) and the Performance Reference Model.

While there is a need to articulate why integration projects began and to document their specific objectives, there is also a compelling need to define and measure a project's level of success in **measurable** terms.

Project objectives

relate to the execution of a project plan

Functional objectives

relate to the performance of project products

Business objectives

relate to accomplishing the goals of an organization and solving the problems that created a need for the project

Goals. Goals are defined as broad statements of interest with continuing intended results. They define the day-to-day business of justice organizations. Anything that impedes the attainment of justice system goals could be considered a business problem. For example, enhancing public safety is a universal goal of the justice system. The inability to identify wanted felons increases the likelihood of crimes being committed, which reduces the safety of the public.

Project Management through Creation of Objectives. Once a business problem is understood in the light of justice system goals, it is possible to design a solution. Often the solution requires the creation or modification of software applications and business processes. The complexity of this work necessitates a rigorous and formal process—project management. One of the first steps in project management is to develop objectives that relate to the business problem being addressed and an organizational goal that is being affected. Project managers should create objectives at these three levels:

- Project objectives
- Functional objectives
- Business objectives

Project Objectives. Project objectives relate to the execution of a project plan. The project is considered successful if it is completed: 1) on time, 2) within budget, and 3) according to specifications. A project manager could suggest that the project is successful when these three objectives are satisfied. In fact, there are very skilled project managers who perform the exclusive task of ensuring that these project objectives are met.

To address the problem of felons eluding detection during routine police checks and enhancing the goal of public safety by closing those information system loopholes, system managers propose a project that will share warrant information from courts with multiple law enforcement agencies within the jurisdiction. The premise of the “warrant information exchange project” is that the more accurate information that is exchanged, the more likely law enforcement agencies will have all of the relevant and timely information to detect felons with outstanding warrants. A plan is developed that specifies project objectives in terms of tasks, schedules, staff assignments, resources, and deliverables. Although developing the project objectives is a necessary step in the successful completion of a project, it is insufficient in measuring the overall *success* of a project. The question remains, however, whether the product actually functions as it was designed.

Functional Objectives. Functional objectives relate to the performance of project products. Although a project may be completed according to project objectives (i.e., on time, within budget, and according to specifications), the question remains about whether it will perform according to the specified functions. Even if project products meet specifications, they may not function adequately when implemented because the specifications were flawed, the applications do not fit well with existing business processes, or inaccurate assumptions were made about the availability of data.

The functional objectives of the “warrant information exchange project” are to adapt existing infrastructure, applications, and interfaces to provide direct access by law enforcement officers to court warrants. These objectives will be satisfied if law enforcement officers are able to access accurate warrant information in a timely manner. Although it is important that software products do the work that was intended, this does not ensure project success.

Business Objectives. The ultimate collective measure of success is in accomplishing the goals of an organization and solving the problems that created a need for the project. Despite the quality of project management, system design, and software engineering, a project is a failure if it has not resolved the business issues that led to its initiation.

To effectively evaluate if the “warrant information exchange project” was successful with respect to satisfying business objectives, the following questions must be answered: Why was the project developed to begin with? What business process was failing? How will we know when the number of felons avoiding detection during police stops has been reduced? Only when business objectives can be empirically documented can managers say that the project has been a success or failure in satisfying the goal of “Enhancing Public Safety” and in resolving the original business problem.

The next question is most important: How do we know if a business problem has been solved or, in other words, that a business objective has been achieved? The answer is in designing business objectives in such a way that they can be *measured*. The following section details how to develop measurable business objectives incrementally for systems that share justice information.

Despite the quality of project management, system design, and software engineering, a project is a failure if it has not resolved the business issues that led to its initiation.

Developing Business Objectives as Performance Measures

Integrated justice systems can be used to solve many business problems and satisfy a variety of goals that include, but are not limited to:

- Enhancing Public Safety
- Improving the Accountability of the Justice System to the General Public
- Improving Public Trust and Confidence in the Justice System
- Improving Caseload Management
- Improving Staff Efficiencies
- Enhancing the Quality of Decisionmaking within the Justice System

Each of the goals must be associated with measurable business objectives, if success or failure is to be attributed to an integrated justice project. Building these measurable business objectives is an incremental process that begins with the identification of a business problem and the related justice system goal. The problem might be that it takes too long to process an individual through the criminal justice system, which runs counter to the goal of “Improving Caseload Management.” Then the construction of measurable business objectives for the project gets increasingly specific—the more specific, the more reliable the measure. This process includes six steps:

1. Identify a **basic measure**
2. Indicate **direction** of the measure
3. Identify the **object** of the measure
4. Identify the expected **value** of the measure
5. Identify **where** the measurement will occur
6. Identify **when** the measure will be obtained

Step 1 Identify a **basic measure** e.g., Time to disposition

Actual Measure: Time to disposition

Step 1 identifies a **basic measure**. *Time to disposition* can be measured empirically and relates directly to how long it takes to process an individual through the justice system. Clearly, other measures also could be considered, e.g., time from arrest to filing or time from disposition to discharge from incarceration or supervision.

Step 2 Indicate **direction** of the measure e.g., Reduce

Actual Measure: Reduce the time to disposition

Step 2 indicates the **direction** of the basic measure. Sometimes the direction is not necessary if the measure will obtain a specific level by a specific time (e.g., an average of 6 months by September 1, 2003).

Step 3 Identify the **object** of the measure e.g., Felony cases

Actual Measure: Reduce the time to disposition of felony cases

Step 3 identifies the **object** of the measure. This must be as specific as possible—what are you measuring against, felonies, misdemeanors, or traffic cases? A different result might be expected for different objectives.

Step 4 Identify the expected **value** of the measure e.g., 6 months

Actual Measure: Reduce the time to disposition of felony cases to an average of 6 months

Step 4 identifies the expected **value** of the measure to be obtained. This will be compared to the actual value that is achieved.

Step 5 Identify **where** the measurement will occur e.g., Statewide

Actual Measure: Reduce the time to disposition of felony cases to an average of 6 months statewide

Step 5 identifies **where** you will be measuring the objective, such as statewide.

Step 6 Identify **when** the measure will be obtained e.g., 12 months

Actual Measure: Reduce the time to disposition of felony cases to an average of 6 months statewide within the first 12 months after implementation

Step 6 identifies **when** the measure should be obtained. Funding bodies that are expecting returns on investment are also expecting that return (whether in money or another outcome) by a specific date. The actual delivery may be earlier than that date, or slightly later, but there must be a sustainable end. When establishing these dates, it is important to give the project some time to mature (i.e., recover from the dip in productivity that comes with the introduction of any new technology). Results are generally expected within 9–15 months after initial implementation.

The following table provides an additional example of the development of a *measurable business objective* that deals with linking court dispositions to arrest incidents. In this example, the business objective will be to increase the percentage of court dispositions that match to an arrest incident. Law enforcement and the courts agree that for a variety of reasons, court dispositions are not posted to arrest incidents at the criminal history repository. This creates business problems related to officer safety, erroneously approved handgun purchases, background screening for positions of trust, etc., which are clearly related to satisfying the goal of “Enhancing Public Safety.”

Step 1	Identify a basic measure	e.g., Percentage of dispositions that match with arrests
Step 2	Indicate direction of measure	e.g., Increase
Step 3	Identify the object of the measure	e.g., Felony cases
Step 4	Identify the expected value of the measure	e.g., 80%
Step 5	Identify where the measurement will occur	e.g., Statewide
Step 6	Identify when the measure will be obtained	e.g., By 6/30/03
Actual Measure: Increase the percentage of court dispositions that match to an arrest incident in felony cases to 80% statewide by June 30, 2003		

These business objectives are both measurable and testable, and relate to solving specific business problems and attaining justice system goals. If the time to disposition of felony cases has been reduced to an average of 6 months statewide within 12 months after project completion, then the project is a success. If the percent of court dispositions that match to an arrest incident in felony cases is increased to 80% statewide by June 30, 2003, then that project also can be considered a success.

There will be deviations within measures—sometimes the actual measures will be close to the measurable business objectives and sometimes the deviation will be large. Statistical analysis can determine if the deviations are significant. More likely, however, the funding body or policy board will make this determination. For example, if the percent of court dispositions matched to an arrest is only 79% rather than 80%, someone will have to make a decision about whether the project has been successful.

The previous examples serve to illustrate the basic process to follow in developing measurable objectives for a project or program. Since most projects usually have multiple goals and objectives, successfully completing one of them does not automatically equate to declaring a success for the overall project. Some measures may be deemed more important than others, and may be given more weight.

What can be done today that couldn't be accomplished before automation?

What new levels of service can be provided?

What new information is available as a result of integration?

What additional benefits have been realized that are not related to solving the original business problem?

During the rush to create measurable objectives, the importance of measuring entirely new capabilities is often overlooked. It is important to ask: What can be done today that couldn't be accomplished before automation? What new levels of service can be provided? What new information is available as a result of integration? What additional benefits have been realized that are not related to solving the original business problem? The answers may provide insight into other ways to document and measure success that might have been impractical in the past.

Sample Goals and Measurable Business Objectives

The following section identifies some of the major goals of an integrated criminal justice system, and some possible measurable business objectives to support them. It is not an exhaustive list, but provides an opportunity to see how business objectives can be associated with specific business problems and more general goals. These shortened business objectives only reflect the first two steps of the process discussed above and illustrate some of the *basic measures* that can be developed to fit local legal, political, and law enforcement cultures.

■ **Enhancing Public Safety.** Enhancing public safety is usually a high-priority goal in an integrated criminal justice system, but is difficult to measure quantitatively. Many of the measurable business objectives must be surrogate measures or factors likely to improve public safety, rather than direct measures of improved public safety.³ Measurable business objectives for this goal could include:

- Increase the percentage of court dispositions that can be matched to an arrest—this will improve the quality of the computerized criminal history records
- Decrease the average response time to establish a positive identification following an arrest
- Reduce the number of incidents of criminal records being associated with the wrong person
- Reduce recidivism
- Decrease the amount of time it takes to serve a warrant
- Reduce the fear of crime in target neighborhoods

³ See “Developing Performance Measures: Tips for Success” on page 19.

■ **Improving the Accountability of the Justice System to the General Public.** Integrated systems must improve accountability to the public and funding bodies. Once again, success in reaching this goal must be measured through surrogate measures, such as:

- Increase the number and variety of reports available to the public on the Internet
- Increase the number of hits on the Criminal Justice Information System (CJIS) Web pages
- Increase the number of hours the general public can view CJIS information on the Internet

■ **Improving Public Trust and Confidence in the Justice System.**

The criminal justice system is most effective when it has the trust and confidence of the general public and funding bodies. In the absence of this support, justice agencies cannot effectively perform one of their primary functions of enhancing public safety. Some measures that can indicate success in attaining this goal are as follows:

- Reduce the amount of time it takes users of the integrated justice system to respond to a request from the public
- Reduce the wait time for citizens on the public nonemergency number
- Reduce the time it takes to complete a criminal history background check
- Increase the percentage of the public that is satisfied that local law enforcement is effectively and efficiently controlling and reducing crime
- Increase the percentage of the public that is satisfied that law enforcement is identifying criminals, and that prosecuting attorneys are securing convictions in court
- Reduce the number of civilian complaints against local law enforcement

■ **Improving Caseflow Management.** An important part of an integrated criminal justice system is its ability to resolve cases efficiently. The old adage that “justice delayed is justice denied” is the foundation of modern caseflow management. The following are some measurable objectives that can indicate whether the basic goal of improving caseflow management has been attained:

- Reduce the number of continuances per case that result from scheduling conflicts between the courts, law enforcement, and prosecution
- Reduce the number of cases without a next scheduled event
- Reduce the average number of days or hours from arrest to arraignment
- Reduce the average time a defendant is held while waiting for a bond decision
- Reduce the number of days it takes to process cases from arrest to disposition
- Reduce the time it takes for correctional facility intake

■ **Improving Staff Efficiency.** Although ensuring public safety is a primary goal of an integrated CJIS, funding bodies and the public also expect automation to yield improved staff efficiency. The extent to which staff savings are returned to the general fund or reallocated to address other issues is a local decision. Nonetheless, the following business measures may indicate success or failure:

- Reduce the number of hours that staff spends entering data electronically
- Reduce the costs of copying documents for justice organizations
- Reduce the number of hours spent filing documents manually
- Reduce the number of hours spent searching other governmental databases
- Increase the number of law enforcement personnel performing community policing tasks, instead of administrative tasks
- Increase the number of electronic data transfers between justice agencies

■ **Enhancing the Quality of Decisionmaking within the Justice System.** Law enforcement personnel, probation officers, parole officers, judges, correctional staff, public defenders, and prosecuting attorneys depend on high-quality information to render appropriate decisions. Integrated systems should improve the quality and timeliness of the information that is available to these decisionmakers. The logical extension of better information is improved decisions. The quality of the data is reflected in accuracy, timeliness, relevance, and completeness. Since it is difficult to measure the quality of a decision, many of the following business objectives are surrogate measures:

- Reduce the number of false arrests because of inaccurate information
- Reduce the amount of missing information in criminal justice databases
- Reduce the number of corrections needed in databases maintained by CJIS agencies
- Decrease the number of warrants that never get entered into the state registry
- Increase the number of query hits on each agency database
- Reduce the number of hours it takes to enter a court disposition into the state criminal history repository

Collecting Data to Support the Measures

Creating measurable business objectives with the six-step method discussed in this document ensures that success or failure of a project can be determined objectively. In reality, success is often a matter of degree, rather than a yes or no question. In addition to targets established in the business objectives, other comparisons can provide new perspectives on the value of integration.

Although collecting data is a critical task, it often can be time-consuming. Consequently, it is important to understand and identify the data collection methods associated with each performance measure before it is implemented to effectively allocate the staff resources needed for this task. A jurisdiction must determine if the cost (in time and resources) is worth the gain when choosing a data collection method and should consider alternative methods.

It is important to understand and identify the data collection methods associated with each performance measure before it is implemented to effectively allocate the staff resources needed for this task.

- **Baseline** – It is difficult to determine if a new system is successful if an agency does not know the value of basic measures before a new program is initiated. For example, increasing disposition matching with arrests to 80 percent means much more if that rate was 40 percent before project initiation than it does if the rate was 70 percent. The project team should compile statistics about the basic measures so the magnitude of process improvements can be documented.
- **Benchmark** – It is important to compare an organization’s practices, processes, or products against those who are doing it well in other jurisdictions (or from within the existing jurisdiction). This process measures best practice performance and helps determine “where you can be” with the new program. This approach also can be quantitative—for example, our state was 39th in rate of disposition matching with arrests, and since the implementation of the new system, now is 12th.
- **Trend analysis** – Another approach is to compile and compare the results of performance measurement over time. Gathering information on performance through the use of measurable objectives is not a one-time exercise (i.e., right before a budget hearing), but it is something that should be tracked and refined continually over a period of months and years.
- **Surveys** – Surveys can provide an alternative method of acquiring information and determining how well the requirements are being satisfied. For example, one objective may be to reduce the fear of crime in a targeted neighborhood. Multiple surveys must be issued over a period of time to determine if this objective has been met. The survey must be carefully drafted and distributed to a representative sample of the community in order to be valid. As few agencies have significant experience conducting surveys, the jurisdiction may consider obtaining outside assistance with this process.

Displaying the Results

Once evaluation data have been gathered and analyzed, it is important to publish and display the information. Goals and objectives may not be reached immediately after completion of the project for a variety of reasons, but often the delay is due to people and change management issues that are difficult to overcome. People behave based on how they are measured, and publishing the results of the evaluation will help to change local culture and encourage users to attain the measures and goals that have been established.

The key to displaying the results is to convert raw data into useable information. Delivering truckloads of output that is never read accomplishes very little. The following suggestions may be useful in converting raw data into useable information:

- **Convert data from words to pictures and graphs when possible.** People respond to visual images—as long as they are simple and intuitive. One state routinely illustrates the progress of a project by using a map, where green counties indicate jurisdictions that have implemented electronic warrants, and yellow counties indicate those where implementation is still in progress.
- **Use color to highlight the most important points.** One state distributes a monthly progress report that lists each county and the percentage of felony court dispositions that are matched to arrests in the criminal history repository. Counties that meet the state standard are coded green; those that are significantly exceeding the current standard are coded blue; those that are making significant progress toward satisfying the state standard are coded yellow; and those that need significant help in attaining the goals are coded red. No one wants to be coded red because of the associated public safety implications.
- **Publish the output regularly.** Users become dependent on feedback in order to improve. Information that is out of sight is also out of mind.
- **Do not overwhelm the audience with too much information—keep results short and simple.** A line graph can present a lot of information in a simple format. On a graph that superimposes a trend line and standards on the actual monthly disposition-matching rate, the user can see how the actual disposition rates are changing over time, where those rates are likely to be in 6 months, and how the actual rate compares to the standard.

Developing Performance Measures: Pitfalls to Avoid

Although the use of performance measures can help a justice organization determine its current status, decide where it should be, help it resolve problems, and assist in achieving its goals, caution is necessary. The following are common pitfalls to avoid:

- **Too complex.** If the measure is too complex, it will be difficult to understand and explain, making it nearly impossible to ascertain with confidence whether the project was a success. The simpler and more straightforward a measure can be, the better.
- **Too many measures.** As with anything in life, it is possible to have too much of a good thing. Develop a small number of relevant measures that best reflect a particular agency's progress.
- **Statistics that require special data collection.** Compile statistics from data that is routinely collected. Measures based on operational data are likely to be more reliable, because users need it to complete their daily work. In addition, if it is difficult or burdensome to collect complete, accurate, and timely information about a measure, the chance of being able to evaluate the measure effectively is small. Choose measures for which reliable data are available.
- **Measures that are collected and reported too quickly and without explanation.** The display of measurement data may result in "cultural" issues regarding accountability. Jurisdictions may have never been evaluated before this effort, and the reality of seeing performance information and being compared to other jurisdictions can be quite a shock. Justice system leaders must prepare their organizations in advance. The incremental release of new performance information also may help.
- **Measures that are developed, collected, and reported without stakeholder input.** Acceptance of performance measures by the user community is critical. One way to ensure acceptance is to involve users and key stakeholders in their development, implementation, and assessment. After all, stakeholders usually are involved in the development of the organization's goals and objectives during the strategic planning process; their input in identifying key performance measures can be invaluable.

- **Assumptions.** It is common to review an individual result and assume that it applies to the entire project. Use the outputs from all the performance measures to determine overall project status, without making assumptions based on a single incident or anomaly. Although war stories are useful in developing testable theories, they can produce dangerous conclusions when not put to an empirical test.
- **Spurious relationships.** A spurious relationship is one where there appears to be a conclusive explanation for an event, but it turns out to be purely coincidental. For example, an increase in juvenile crime might be associated with an increase in the number of delinquent juveniles, when in fact the explanation might better be an increase in the reporting of juvenile crimes. Researchers must be cognizant of potential spurious relationships and test all possible alternatives fully.

Developing Performance Measures: Tips for Success

Now that there is an understanding of why performance is measured, how to develop and display the metrics, and what to avoid, here are some tips for developing meaningful performance measures:

- **Identify items that should be measured.** Identify goals and performance measures that are important to the overall business strategy of the organization, and that can and should be measured. Funding bodies, constituents, and staff want measures that accurately reflect effectiveness and efficiency and that relate to performance improvement goals. A goal of enhancing public safety might be measured by “reducing the amount of time it takes to produce and serve orders of protection.”
- **Identify items that can’t be measured.** Do not try to measure the unmeasurable. Some goals and objectives are subjective or are not easily quantifiable. For example, trying to measure the general public’s satisfaction with the courts may be a futile effort. A large percentage of the public has not had any significant contact with the courts and, therefore, issuing a customer satisfaction survey may produce little, if any, meaningful results. Time would be better spent concentrating on objectives that are accepted and more easily measured. Surrogate measures are another alternative.
- **Pilot the measures.** Before the measures are used to judge whether an agency has improved its performance or become more efficient, they should be tested and evaluated. Although performance measures should be reviewed and updated periodically,

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cally, an additional pilot period will allow feedback and improvement before they are fully implemented.

- **Measure the integrity, quality, and reliability of the data.** The old saying, “garbage in, garbage out” applies to the data used to evaluate the success of a performance measure. The data must be complete, accurate, and timely—or an agency will draw erroneous conclusions that may lead to inappropriate decisions.
- **Evaluate the validity of the measures.** Does the measure gauge what was intended to be measured? Nothing changes individual performance better than measuring it, and improper measures may cause staff to expend their energy on the wrong things. For example, one objective may be to reduce the wait time for the public on the nonemergency phone lines. The staff may become so focused on quickly answering the calls that data quality is diminished and overall customer service is affected because callers feel like they are rushed when they report an incident. Performance measures must reflect all of the agency’s short- and long-term business goals and objectives.
- **Use Surrogate Measures.** In some cases, it may not be possible or cost-effective to measure the most important outcome, so it may be necessary to substitute a surrogate measure. A surrogate measure should use other quantifiable data that relates as closely as possible to the goal. For example, a general goal of a police department may be “Improve public trust and confidence.” In order to effectively gauge its progress toward this goal, the police department may develop the following business objective: “To increase citizen satisfaction with departmental services to 80% in 2003.” The most straightforward way to measure this goal is via customer surveys over time; however, this could become too time-consuming and expensive to be practical. Possible surrogate measures might be: a) time spent by citizens on “hold” on the public nonemergency number, or b) the number of citizen complaints received. The outputs of the surrogate measures do not definitively determine if customers are more satisfied, but may give a partial indication of improvement. If the number of complaints is decreasing and hold time is reduced, perhaps it can be assumed that satisfaction is increasing, though other factors should be considered. The use of surrogate measures may be a practical way to provide evidence of progress.

Conclusion

The role of performance measures to effective project management is invaluable in many ways. Performance measures:

- Help focus the project or program to test fundamental *assumptions*
- Specify long- and short-term *milestones* so that performance can be continually assessed and so that mid-course corrections can be made before the project gets off-course
- Identifies opportunities for *reengineering*

To be truly effective, the measures need to be piloted, modified based on feedback, and reassessed after periods of time. They must be comprehensive enough to adequately reflect the agency's short-term as well as long-term goals. It is then important to widely distribute the outputs from these measures, which detail the status of the project, to various audiences: staff, relevant constituent groups, and funding bodies. Also, recognize that everything cannot or should not be measured. Some goals and objectives are by definition subjective, whereby recognized standards have not been established. But do not overlook the importance of measuring entirely new capabilities or functions that were not practical before the automation, and use that information as supplemental to the more convincing and reliable measurable business objectives discussed in this document.

In summary, the success of integrated justice information system projects can be measured in a variety of ways and using a variety of methods. Implementing performance measures and integrating them into the overall system allows managers to base their decisions on quantifiable data, rather than past experiences or assumptions. Although anecdotal data may still be useful, it should be relied upon more for symbolic value than as a primary indicator of success.

Effective performance measures can arm the manager with the information needed to improve the agency's performance and programs, and can provide a standard way to report progress to funding bodies. An agency should develop measurable business objectives as part of its overall strategic planning process and directly linked to its enterprise mission and goals. This planning process allows the agency to identify its key business processes, base its goals on stakeholder needs and requirements, identify areas for improvement, and track improvements in key areas by implementing performance measures. After all, why measure something that is not relevant?

Funding bodies, constituents, and staff are looking for measures that accurately reflect the effectiveness and efficiency of the organization and that advance the overall performance improvement goals. System improvements cannot be fully realized in the absence of reliable measurements.

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7311 Greenhaven Drive, Suite 145

Sacramento, California 95831

916-392-2550

www.search.org