

# **Roadmap for Integrated Justice: A Guide for Planning and Management**

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# Roadmap for Integrated Justice: A Guide for Planning and Management

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## 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.<sup>1</sup>

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.

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<sup>1</sup> 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.

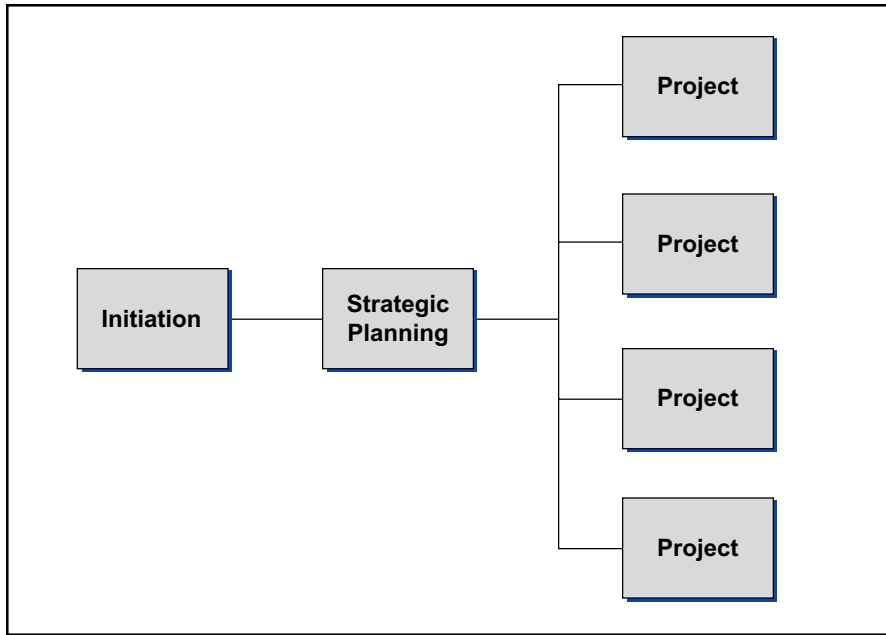
**2. *Strategic Planning.*** The policy group<sup>2</sup> creates a plan that charts the overall course for the integration initiative, defining what must be done, who must do it, and when it must be completed. The strategic plan contains a list of individual projects that must be finished before integration 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.

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<sup>2</sup> 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*.<sup>3</sup> 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*,<sup>4</sup> 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)<sup>5</sup>
- Integration case studies (Colorado; Delaware; Marin County, California; Metro/Davidson County, Tennessee)<sup>6</sup>
- No-cost technical assistance<sup>7</sup>

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<sup>3</sup> 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>.

<sup>4</sup> 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>.

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

<sup>6</sup> [http://www.search.org/integration/about\\_integration.asp#publications](http://www.search.org/integration/about_integration.asp#publications).

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

- Regular national symposia on justice integration issues<sup>8</sup>
- The Justice Information Exchange Model (JIEM)<sup>9</sup>
- The JIEM Reference Model<sup>10</sup>
- Web site of the Bureau of Justice Assistance (BJA), U.S. Department of Justice<sup>11</sup>
- Web site of the Office of Justice Programs' Information Technology Initiatives<sup>12</sup>
- XML for integrated justice<sup>13</sup>
- Other integration publications and resources<sup>14</sup>

## 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.

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

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

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

<sup>11</sup> <http://www.ojp.usdoj.gov/BJA/>.

<sup>12</sup> <http://www.it.ojp.gov>.

<sup>13</sup> <http://www.search.org/xml>.

<sup>14</sup> <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

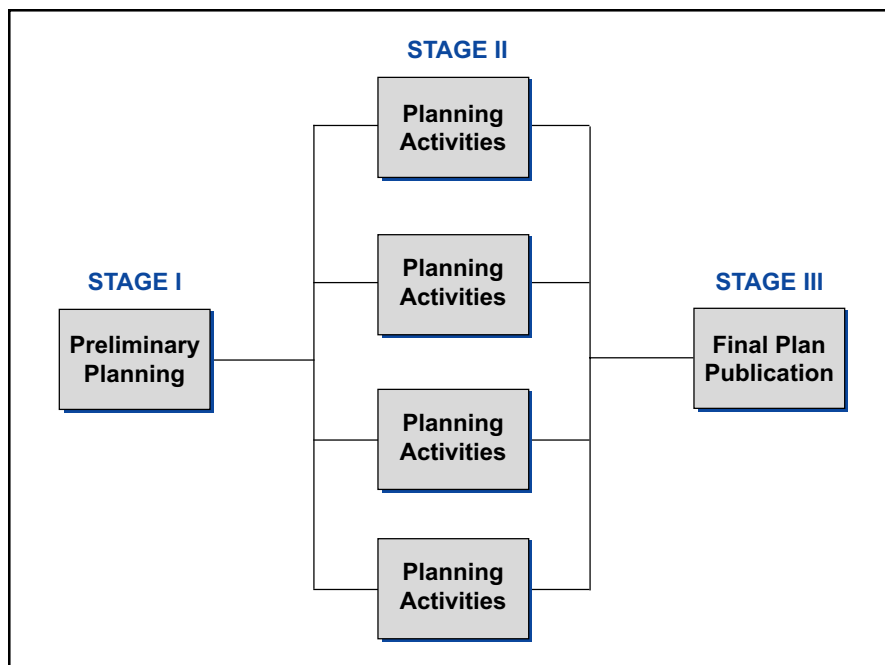
### **Stage III: Prepare and Implement a Final Plan**

- 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)),<sup>15</sup> 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.<sup>16</sup> 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.

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

<sup>16</sup> 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**

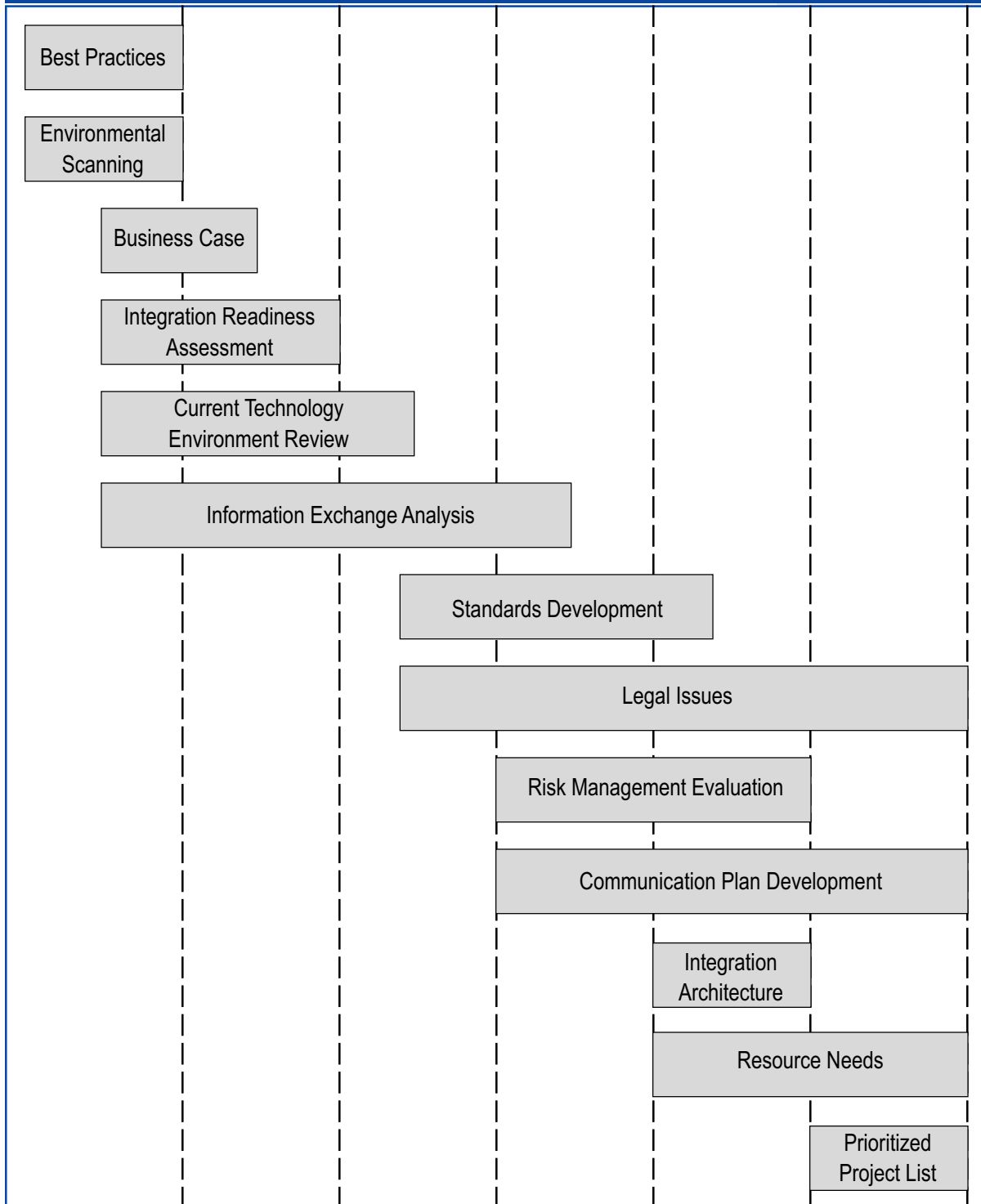
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- Section 22. Design and Describe the Integration Architecture
- Section 23. Determine Resource Needs
- Section 24. Develop a Prioritized Project List

### **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
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- Section 6. Develop a Vision Statement
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- Section 8. Identify Strategic Issues
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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**

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### ***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.<sup>17</sup> Illinois' strategic plan, for example, defines integration as follows:

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<sup>17</sup> 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](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.

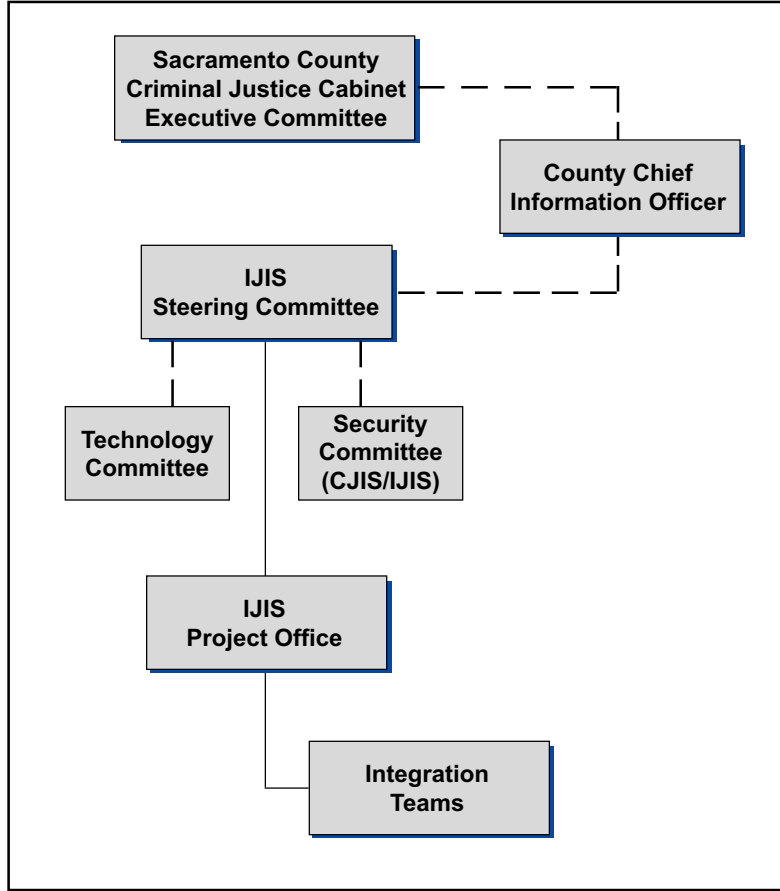
In a world where the same VISA card can be used in Paris, France, or Paris, Tennessee, public patience is wearing thin with a justice community where critical public safety information is not immediately available from the next county. Aside from the more obvious public safety implications of disconnected 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.<sup>18</sup>

<sup>18</sup> *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

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## 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

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## **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.”<sup>19</sup>

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

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

<sup>20</sup> 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.”<sup>21</sup>

<sup>21</sup> Delaware Annotated Code, Title 11, Chapter 86 § 8603.

<sup>22</sup> 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.”<sup>22</sup>



## 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.<sup>23</sup>

### 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.”<sup>24</sup>

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

<sup>24</sup> *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

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*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”<sup>25</sup>

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<sup>25</sup> *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.

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### Stage II: Undertake Detailed Planning Activities

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## 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.<sup>26</sup>

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## 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.

<sup>26</sup> *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.<sup>27</sup>

### **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.<sup>28</sup> In essence, a measurable business objective must include these elements:

<sup>27</sup> *Texas Justice Information Integration Initiative Plan*, pages 13-14.

<sup>28</sup> 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.”<sup>29</sup>

<sup>29</sup> *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](http://www.search.org/integration)).

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## 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.

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## 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.

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- Section 17. Analyze Information Exchange
- Section 18. Develop Standards
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- Section 20. Evaluate Risk Management
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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.<sup>30</sup> 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.

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<sup>30</sup> See, for example, [www.cpfonline.org](http://www.cpfonline.org), [www.infinitefutures.com](http://www.infinitefutures.com), and [www.leadingfuturists.biz/scanning.htm](http://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.<sup>31</sup> 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.

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<sup>31</sup> A sample technology assessment questionnaire is included as Appendix B.

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## *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 Model<sup>32</sup> 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.<sup>33</sup>

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.

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

<sup>33</sup> To learn more about the Justice Information Exchange Model, see [http://www.search.org/integration/info\\_exchange.asp](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](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.<sup>34</sup> 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.

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

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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.<sup>35</sup> 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.

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<sup>35</sup> For further information on standards efforts in progress, see [http://www.search.org/integration/about\\_integration.asp](http://www.search.org/integration/about_integration.asp), <http://www.it.ojp.gov/index.jsp>, [http://www.ncsconline.org/D\\_Tech/Standards/Standards.htm](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

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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.

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## 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.

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*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.<sup>36</sup>

- 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.

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<sup>36</sup> 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.

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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.<sup>37</sup>

### 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.

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

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- ▶ 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

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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

<b>Integrated Justice Needs Assessment Questionnaire</b>				
<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>				
<b>Categories</b>	<b>County</b>	<b>State</b>	<b>National</b>	<b>Confidence Level</b>
<b>Intelligence information</b>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<b>Identification information</b>				
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"/>
<b>Current legal status</b>				
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"/>
<b>History</b>				
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