# Technical Brief

## SEARCH
### The National Consortium for Justice Information and Statistics

# Enterprise Strategic Planning: A Methodology to Build a Shared Vision for Justice Information Sharing

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## Introduction

Enterprise Strategic Planning (ESP) is a methodology SEARCH developed that focuses on building a shared vision among stakeholders[1] of an information sharing enterprise. The intent is to provide a process that jurisdictions can use to develop a comprehensive, enterprise-wide plan to share justice information among local, regional, state, and/or federal partners.

This *Technical Brief* introduces the ESP methodology and discusses the key components of this approach.
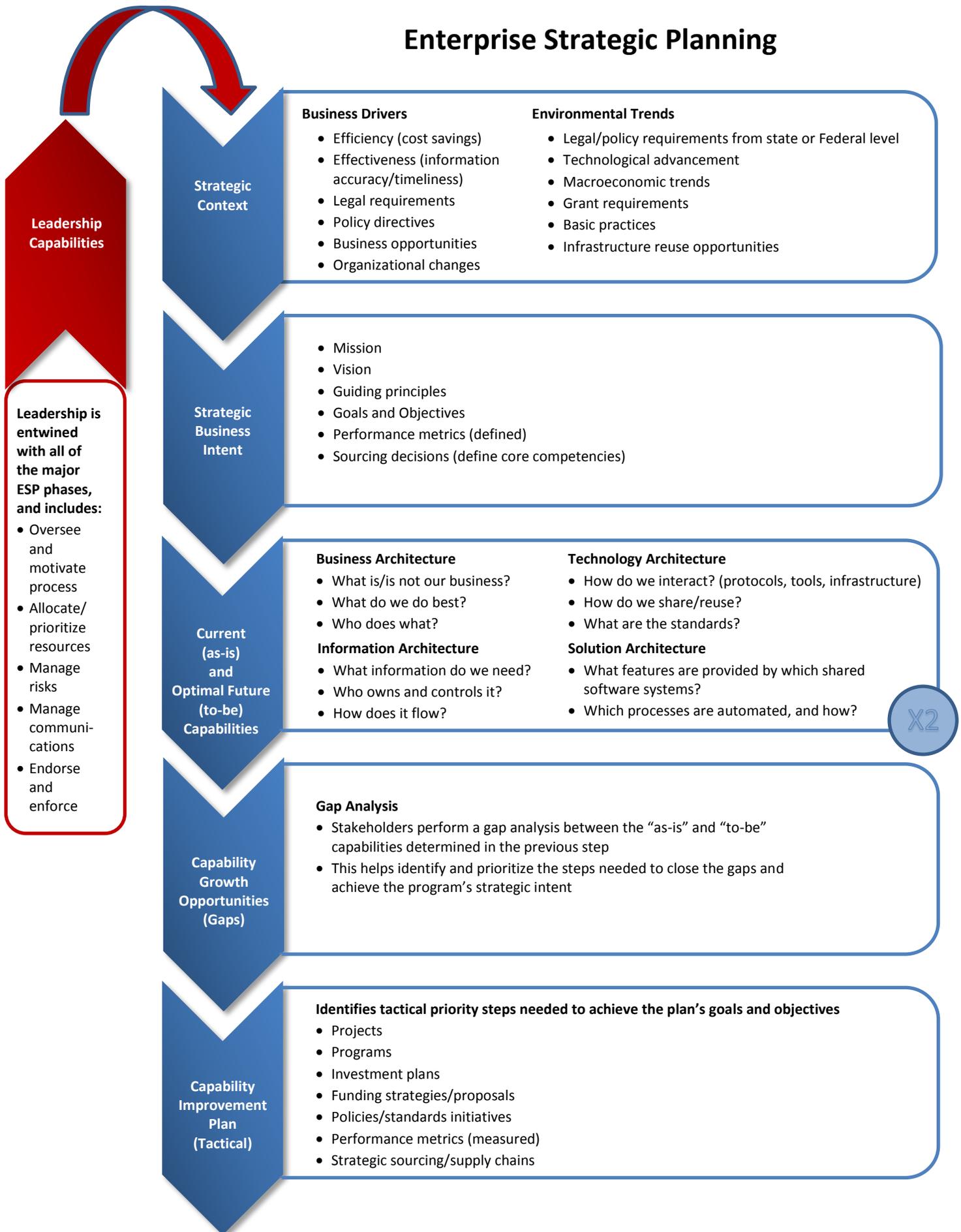
SEARCH uses the ESP methodology to conduct strategic planning workshops with criminal justice information sharing stakeholders. First, stakeholders identify the information sharing *drivers and environment* within the enterprise. These can include the requirements, capabilities, business practices, and external factors of each partner agency in the enterprise. Then, the partners use these data to collectively establish the key elements of a cooperative criminal justice strategic plan for information sharing—including mission, vision, goals, objectives, and specific actions. These elements are intended to meet the needs of the entire information sharing enterprise, rather than the needs of any one individual agency. The result of this process is the **Enterprise Strategic Plan**, a document that directs the allocation of an enterprise's resources and funds, and clarifies how it will accomplish its mission and vision.

The ESP process is illustrated on page 2, followed by instructions on how to apply the methodology.

> Read a companion SEARCH *Technical Brief*, Enterprise Strategic Planning for Justice Information Sharing: Why It's Important. It discusses why jurisdictions should engage in the strategic planning process.

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[1] As used in this document, the term "stakeholder" includes any entity that participates in or benefits from decisions made by an enterprise. A stakeholder is a person or group in an enterprise affected by or having an interest in its operations, such as the executives, employees, information consumers, information providers, etc.

# Enterprise Strategic Planning

**Leadership Capabilities**

**Leadership is entwined with all of the major ESP phases, and includes:**

- Oversee and motivate process
- Allocate/ prioritize resources
- Manage risks
- Manage communi- cations
- Endorse and enforce

## Strategic Context

**Business Drivers**

- Efficiency (cost savings)
- Effectiveness (information accuracy/timeliness)
- Legal requirements
- Policy directives
- Business opportunities
- Organizational changes

**Environmental Trends**

- Legal/policy requirements from state or Federal level
- Technological advancement
- Macroeconomic trends
- Grant requirements
- Basic practices
- Infrastructure reuse opportunities

## Strategic Business Intent

- Mission
- Vision
- Guiding principles
- Goals and Objectives
- Performance metrics (defined)
- Sourcing decisions (define core competencies)

## Current (as-is) and Optimal Future (to-be) Capabilities

**Business Architecture**

- What is/is not our business?
- What do we do best?
- Who does what?

**Information Architecture**

- What information do we need?
- Who owns and controls it?
- How does it flow?

**Technology Architecture**

- How do we interact? (protocols, tools, infrastructure)
- How do we share/reuse?
- What are the standards?

**Solution Architecture**

- What features are provided by which shared software systems?
- Which processes are automated, and how?

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## Capability Growth Opportunities (Gaps)

**Gap Analysis**

- Stakeholders perform a gap analysis between the "as-is" and "to-be" capabilities determined in the previous step
- This helps identify and prioritize the steps needed to close the gaps and achieve the program's strategic intent

## Capability Improvement Plan (Tactical)

**Identifies tactical priority steps needed to achieve the plan's goals and objectives**

- Projects
- Programs
- Investment plans
- Funding strategies/proposals
- Policies/standards initiatives
- Performance metrics (measured)
- Strategic sourcing/supply chains

## Applying the Methodology

Considering the needs of the whole enterprise provides a broader approach to the strategic planning process, and incorporates a holistic understanding of the enterprise that includes:

- Its **scope**

- Its **mission and vision**

- The **environment** in which it functions (business drivers and environmental factors)

- The alignment of information technology **solutions** with its business **objectives**.

A **strategic plan** provides a documented structure that ensures relevant topics are addressed in a way that builds a case for the envisioned future of the enterprise.

Strategic planning begins with governance and leadership, which are necessary to producing a meaningful and effective plan. Both contribute to all phases of plan development. The sections of the ESP methodology are related: each leads into the next, building upon information gathered during the planning process. In this way, the strategic plan considers all aspects of the enterprise (see page 2). At the end of the process, the traceability matrix (see page 10) ties the components together to complete the plan.

## Leadership and Governance

**Leadership** is a key, if not *the* key, ingredient to program success. Information sharing programs differ from other IT projects and initiatives in that typically there is no single executive authority. Participating agencies and organizations share governance and authority. Effectively exercising leadership responsibilities directly affects the strategic plan's development and execution.

**Leadership Capabilities**
- **Oversee and motivate process**
- **Allocate/prioritize resources**
- **Manage risks**
- **Manage communications**
- **Endorse and enforce**

Leadership plays a critical role throughout the strategic planning process. It includes formal governance, management and oversight responsibilities, and the ability to motivate and ultimately accomplish program goals. Leadership is intertwined with all major phases of the strategic planning process, from identifying the Strategic Business Intent through developing the Capability Improvement Plans (Tactical Plans).

Establishing **governance** structures and operations are essential components of a successful information sharing program and to the strategic planning process. Many information sharing programs have established formal governance structures. The strategic planning process relies on the governance structure to provide the resources and funds to develop the plan, and initiate the projects that ultimately lead to successful plan implementation.

## Strategic Context: Laying the Foundation

Strategic context establishes the foundation for a strategic plan by describing the information sharing program's situation in terms of **Business Drivers** and **Environmental Trends**. Business drivers identify local requirements, products, services, or capabilities that stakeholders demand. Environmental trends identify economic, demographic, state and/or federal legal, and other external factors that affect enterprise operations. Together, *business drivers and environmental trends will justify and form the basis for the vision, goals, and objectives identified in the next section of the plan: "Strategic Business Intent."*

**Business drivers** identify factors that will influence or require a response from the information sharing program. Stakeholders derive business drivers from the original business case for the program or discover them during the strategic planning process. Many of the business drivers for information sharing projects revolve around improvements in efficiency and effectiveness.

**Strategic Context**

**Business Drivers**
- Efficiency (cost savings)
- Effectiveness (information accuracy/timeliness)
- Legal requirements
- Policy directives
- Business opportunities
- Organizational changes

Example business drivers include:

- ✓ Meet the demand for improved delivery of information to justice agencies and the public.

- ✓ Improve officer safety through increased access to information.

- ✓ Ensure swift and certain sanctions for probationers who violate their conditions of supervision.

- ✓ Reduce juvenile recidivism by 20%.

- ✓ Reduce the overall cost of the administration of justice by 5% per year without degrading services.

> *Business drivers are the demands on the organization to fulfill its mission. Therefore, stakeholders should talk about demands that impact their day-to-day business processes, such as:*
>
> - *funding technology*
> - *public record access requirements*
> - *fulfilling record requests that affect the business*
> - *how changes to federal, state, or regional systems and processes affect them*
> - *expectations of what technology can provide*
> - *the standards and best practices they need to follow.*

**Environmental trends** also shape and influence the requirements and expectations of the information sharing program. They are forward-looking with the intent to identify potential factors that may influence the goals of the program. Identifying environmental trends helps decision-makers to understand key external factors that may affect program success from areas outside their normal scope of responsibility.

Environmental trends may include:

- ✓ Federal budgetary limitations and consequent reduction in grant funding to support innovative criminal justice system improvements.

- ✓ Consolidating criminal justice agencies' IT services.

- ✓ Realigning criminal justice agency responsibilities.

- ✓ Technology advancements, such as new biometric technologies.

**Environmental Trends**

- Legal/policy requirements from the state or Federal level
- Technological advancement
- Macroeconomic trends
- Grant requirements
- Basic practices
- Infrastructure reuse opportunities

*Discuss **environmental trends** in terms of factors you must "live with." Most programs have limited funds and resources. However, other external issues—geography and connectivity challenges, changes to statutes or administrative rules, and agency independence—are also environmental trends to address.*

# Strategic Business Intent: Defining the Purpose

The **Strategic Business Intent** defines and describes the organizational purpose of the justice information sharing enterprise. It identifies what the enterprise intends to accomplish during the time period covered by the plan.

Begin by assessing business requirements to determine stakeholder and user information needs. The needs assessment should refine a "wish list" of improvements into specific goals and actions. Program leadership can use a SWOT[2] analysis as a structured way to conduct the assessment.

Once the assessment is complete, leaders can use the results to develop the strategic business intent, which includes the elements in Table 1:

**Strategic Business Intent**

- **Mission**
- **Vision**
- **Guiding principles**
- **Goals and objectives**
- **Performance metrics (defined)**
- **Sourcing decisions (define core competencies)**

**Table 1: Strategic Business Intent Components**

| | | |
|---|---|---|
| **Mission Statement** | A **Mission Statement** defines the purpose of the information sharing program and the reason for its existence. A well-thought-out mission statement should serve as an ongoing guide that is meaningful both internally and externally. Mission statements are usually not bounded by time and can remain the same for many years. | Example:<br><br>*"The criminal justice partners are providing the right information to the right person in time to make the right decision."* |
| **Vision Statement** | A **Vision Statement** describes the ideal end state of the information sharing program; it describes what "success" looks like. An effective vision statement outlines what an organization wants to be in the future. A vision statement is clear, unambiguous, and aligns with the organizational values and culture. Ultimately, it seeks to provide business process improvements to realize cost savings and improve justice administration. | Example:<br><br>*"Public safety will be enhanced through improved decision-making through information sharing. By establishing the foundation for cross-agency collaboration, the information sharing program will provide the forum for technology integration to provide the relevant information in order to improve decision-making effectiveness and efficiency in the criminal justice system."* |
| **Guiding Principles** | **Guiding principles** are short declarations of the most important values or beliefs that guide the justice system officials in performing their duties and pursuing their goals.<br><br>Organizational values and principles help define the direction and outcomes of the information sharing program. They should focus on collaboration, cooperation, meeting the needs of multiple partners, allowing business to drive technology, and recognizing individual agency roles and responsibilities. Values and principles set expectations and provide rules of engagement for the information sharing program. | Examples:<br><br>• *The information sharing governance board will coordinate and promote multi-organizational information sharing initiatives.*<br>• *Business needs will drive information sharing priorities, initiatives, responsibilities, and obligations within the enterprise.*<br>• *Each agency's unique role, responsibility, and obligations within the enterprise are recognized and considered.*<br>• *Initiatives should address long-term sustainability and cost savings.*<br>• *Initiatives will leverage national standards and guidelines at every opportunity.*<br>• *Projects will utilize existing capabilities at every opportunity.*<br>• *Information should be captured once and reused throughout the enterprise.* |

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[2] SWOT (Strengths, Weaknesses, Opportunities and Threats) are factors that affect initiative operations. For details on the SWOT focus group format, see pages 83–86 of *Law Enforcement Tech Guide: How to plan, purchase and manage technology (successfully!), A Guide for Executives, Managers and Technologists:* http://www.search.org/files/pdf/TECHGUIDE.pdf

| | | |
|---|---|---|
| **Goals and Objectives** | **Goals and Objectives** are used to transition from the general and sometimes abstract concepts contained in the mission, vision, and guiding principles to more concrete expectations and activities.<br><br>• Goals are explicitly stated achievements or expectations expressed in terms of the results to achieve in the medium or long term. Goals should relate to the expectations and requirements of major stakeholders and should reflect the underlying reasons for running the business of information sharing.<br>• Objectives are specific interim or ultimate time-based steps to use in pursuing specific goals. Objectives should be quantifiable, consistent, realistic, and achievable.<br>• Both goals and objectives need to be specific, measurable, business-oriented accomplishments that collectively lead to the vision.<br><br>When defining the goals, ask if the goal is obtainable, realistic, and meets the needs of the information sharing partners. There can be multiple objectives for each goal. They need to follow the SMART principle:<br><br>**S**pecific **M**easurable **A**ttainable **R**elevant **T**ime-bound<br><br>Stakeholders may also define action items or specific tasks (tactical in nature) used to achieve the goals and objectives. | Examples:<br><br>*Goal: Provide high-quality public safety communication services*<br><br>*Objectives:*<br>• *Meet recognized standards, best practices, and reasonable expectations of service.*<br>• *Identify and bridge information sharing capability gaps.*<br><br>*Actions:*<br>• *Complete a gap analysis to assess current information sharing capabilities.*<br>• *Establish a quality assurance program with performance measures based on policies and standards.*<br>• *Provide public education and outreach.*<br>• *Maintain effective Standard Operating Procedures (SOP).* |
| **Performance Metrics** | **Performance Metrics** evaluate the effectiveness and success of the goal and objectives. They identify how performance is measured and who is accountable.<br><br>Performance metrics help ensure the information sharing program is doing the right things in the right way, striving to make appropriate investments, and managing the day-to-day operations more effectively. Plan developers should define what they want to measure and how to measure it. Consider time and dollars spent versus results. Is the action item on time, within budget and within scope? | Examples:<br><br>1. *Complete the gap analysis by the end of the year, using internal resources.*<br>2. *Complete the quality assurance policy definitions within 6 months.*<br>3. *Utilize 20% of the training budget to develop a public website to post incidents on a daily basis.*<br>4. *Use existing local, State, and Federal standards to update existing SOPs by the end of the year.* |
| **Sourcing Decisions** | **Sourcing Decisions** determine what mechanisms are available to accomplish the goals and objectives. They often influence or dictate the decision on how the projects within the information sharing program will proceed.<br><br>Identifying the sourcing options within the plan provides stakeholders with the foundation to accomplish the goals. They should discuss how to fund the action items and who is going to work on them. Sourcing decision discussions may also lead to deciding where to host new technology and how to comply with standards, security requirements, and retention policies. Stakeholders should consider these items during the strategic planning process. Details on how they will build-out the solutions will occur during the planning stage of each project. | Examples:<br><br>1. *Internal resources assigned to the gap analysis project are:*<br>   a. *Emergency Communications Coordinator*<br>   b. *Patrol Sergeant*<br>   c. *Records Clerk*<br>2. *The policy team consists of the Emergency Communications Coordinator, Assistant Police Chief, Assistant Fire Chief, County Supervisor*<br>3. *The county commission approved using 20% of the training budget to hire a contractor to develop the new public website.*<br>4. *The policy team will work on the SOPs, using the expertise of staff to detail the procedures.* |

## Capabilities Architecture: Assessing Current and Future Resources

Some strategic plans are complete when stakeholders identify the goals and objectives, performance metrics, and the mechanisms to accomplish the goals and objectives. Enterprise strategic plans take planning further: Once plan developers establish the strategic direction, they then assess the *capabilities* needed to achieve the Strategic Business Intent. This involves—

**Current and Future Capabilities Assessment**

- assessing program capabilities, derived from Enterprise Architecture (EA)[3] principles, and

- defining and aligning the business and technical architectures.

A key principle of EA is to tie technology investments to achieving the information sharing program's strategic goals and objectives. Once goals and objectives are defined, plan developers perform a **capability assessment**. This provides an inventory of *current* ("as-is") resources and capabilities. Based on the strategic intent of the program—the mission, vision, goals and objectives, etc.—stakeholders then define and identify the optimal *future* ("to-be") capabilities.

There are four categories in this capability assessment: Business Architecture, Technology Architecture, Information Architecture, and Solution Architecture (Table 2).

**Table 2: Capability Assessment Categories**

| | |
|---|---|
| **Business Architecture**<br><br>• **What is/is not our business?**<br>• **What do we do best?**<br>• **Who does what?** | **Business Architecture** reflects the core business capabilities supported through IT. The criminal justice agencies' business capabilities and expectations continue to evolve as they design and develop improvements to the information sharing environment. With the increased reliance on technology, supporting and maintaining business requirements will drive changes to the information systems. |
| **Technology Architecture**<br><br>• **How do we interact? (protocols, tools, infrastructure)**<br>• **How do we share/reuse?**<br>• **What are the standards?** | **Technology Architecture** is a minimal set of rules governing the arrangement, interaction, and interdependence of the elements whose purpose is to ensure that a conformant system satisfies the business requirements. It consists of computer systems for interfaces, business systems, and protocols. The impact of an aging architecture currently experienced in many jurisdictions has prompted requests to upgrade system capabilities. In addition, once jurisdictions work with more agile IT, justice agencies will find additional technology that requires updating. These projects will impact other components and applications in the enterprise. |
| **Information Architecture**<br><br>• **What information do we need?**<br>• **Who owns and controls it?**<br>• **How does it flow?** | **Information Architecture** (IA)[4] refers to the data and business requirements of the enterprise: the information that needs to be shared and the business processes that drive the business. IA is a set of rules to select, build, and maintain the structural design of shared information environments. It aligns business processes to information systems that support these processes. Using business processes to provide a view of the functions of the enterprise, the IA provides the strategic planning process with a high-level representation of its critical data needs. |
| **Solution Architecture**<br><br>• **What features are provided by which shared software systems?**<br>• **Which processes are automated, and how?** | **Solution Architecture** focuses on developing and implementing a solution or service created for the enterprise. It defines the features of shared systems to automate the business processes, creating efficiencies when exchanging information. Many of the applications and data sources in use are well-established, well-accepted, and provide the capabilities for each agency. But they do not necessarily provide an architecture suitable for electronic information exchange. Solution Architecture helps jurisdictions define collaborative solutions for information exchange. |

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[3] For more information on EA, see http://en.wikipedia.org/wiki/Enterprise_Architecture_framework
[4] Definition of IA: http://en.wikipedia.org/wiki/Information_architecture

## Opportunities for Growth: Analyzing Capability Gaps

A **capability gap analysis** identifies the differences between current and future capabilities necessary to fulfill the goals and objectives. ***The gap between current and future capabilities identifies what work the enterprise must do in order to achieve the vision.***

This section is where all information collected while developing the strategic plan comes together. Analyzing the growth opportunities transitions the plan from *strategic* to *tactical*. This is where the leadership, governance, business drivers, goals and objectives are tested. This section informs high-level decision-makers about the justice enterprise's readiness to proceed with information sharing and includes:

- ✓ an **assessment of current capabilities** that contribute to the mission,

- ✓ **necessary capabilities** to achieve the mission, and

- ✓ the **differences (gaps)** between the two.

Stakeholders can use data from the capability gap analysis to craft a tactical plan to fill these gaps. The plan will include all activities, projects, and investments that focus on closing capability gaps, achieving the mission, and growing the organization's capabilities. To achieve this, the enterprise should consider engaging resources in the following activities:

- Projects
- Investments
- Policy development initiatives

- Business process improvements
- Organizational change
- Human capital development

There is no magic formula connecting new capabilities to accomplishments. There can be many different ways to achieve information sharing goals and objectives. For instance, some goals can be accomplished by improving business processes and workforce capabilities; others by improving technology/solution capabilities. The art to effective strategic and tactical planning is, in part, balancing these choices to align with the guiding principles and goals stakeholders have identified.

> **Capability Growth Opportunities (Gaps)**

> *Stakeholders perform a **gap analysis** between the "as-is" and "to-be" capabilities.*
>
> *This helps identify and prioritize the steps needed to close the gaps and achieve the program's strategic intent.*

> ***Example Discussion: Capabilities Architecture and Opportunities for Growth section***
>
> *This discussion may address the reliance on paper, and suggest using PDF images of paper documents and "data dumps" to accomplish information sharing. Understanding this information architecture and looking for a solution to support the business processes could include adopting national criminal justice standards, such as the National Information Exchange Model (NIEM), when developing new information exchanges. This solution will provide a foundation for future development, lessen the reliance on paper, and provide a robust method for sharing information.*

# Capability Improvement Plan: Identifying Tactical Priorities

The **Capability Improvement Plan** (also known as a Tactical Plan) identifies priority steps needed to achieve the plan's goals and objectives. Each tactical priority represents a separate project or activity. Once this plan is approved and resources are allocated to these activities, each activity will require further definition and becomes a separate project to manage.

A difficult task in strategic plan development is to align the capabilities architecture with the opportunities for growth. Once stakeholders identify and define the business, technology, information, and solution architectures, they can work collaboratively to develop a tactical plan to improve capabilities. One way to document the association between the tactical items and the related goals, action items, and strategic context is to develop a **Traceability Matrix** that illustrates how the tactical items from the Capability Improvement Plan align with the goals and objectives, as shown in this example (Table 3).

**Capability Improvement Plan (Tactical)**

- Projects
- Programs
- Investment plans
- Funding strategies/proposals
- Policies/standards initiatives
- Performance metrics (measured)
- Strategic sourcing/supply chains

**Table 3: Traceability Matrix Example**

| Tactical Item | Goal | Action Items | Strategic Context |
|---|---|---|---|
| **Develop an interface to the prosecutor's case management system to enable the receipt of electronic police reports and charge recommendations.** | *Goal #3 – Improve information sharing among stakeholders.* | ✓ establish development processes for exchange interactions<br>✓ address standards<br>✓ develop a data architecture | • Better access to information<br>• Expectation of what technology can provide to the public and to justice agencies<br>• Agency independence, yet shared responsibility<br>• Use of standards and other best practices<br>• Dependencies between agencies |

The Traceability Matrix should align with the goals and objectives of the information sharing program and focus on the tactical means to achieving those goals. The focus of the Capability Improvement Plan is to document the relationship between the tactical items, strategic context, and action items.

## Conclusion

Enterprise-wide information sharing strategic plans help align the goals, priorities, and expectations of the information sharing program with the business needs of each stakeholder. An enterprise strategic plan provides the vehicle to establish the direction and priorities of the partners, and lays out a clear plan endorsed by all stakeholders.

Strategic planning benefits the justice enterprise by clearly identifying *what* the enterprise will accomplish in the future, and describes the specific steps of *how* to complete these activities and fulfill its mission. Through the strategic planning process, stakeholders will have a clear purpose, plan, and justification for the activities they pursue. The planning process fosters collaboration while providing a communication tool for use among stakeholders, funding entities, and the public.

An enterprise strategic plan also helps stakeholders identify and prioritize their information sharing and IT needs—information they can use when they advocate for future information sharing and technology changes.