House Engrossed

criminal justice commission; data collection

State of Arizona
House of Representatives
Fifty-fifth Legislature
First Regular Session
2021

# CHAPTER 101

# HOUSE BILL 2166

AN ACT

AMENDING TITLE 41, CHAPTER 21, ARTICLE 1, ARIZONA REVISED STATUTES, BY ADDING SECTION 41-2408; RELATING TO THE ARIZONA CRIMINAL JUSTICE COMMISSION.

(TEXT OF BILL BEGINS ON NEXT PAGE)

Be it enacted by the Legislature of the State of Arizona:

Section 1. Title 41, chapter 21, article 1, Arizona Revised Statutes, is amended by adding section 41-2408, to read:

41-2408. Criminal justice data collection; reporting requirements; definition

A. THE ARIZONA CRIMINAL JUSTICE COMMISSION IS DESIGNATED AS THE CENTRAL COLLECTION POINT FOR CRIMINAL JUSTICE DATA COLLECTION.

B. UNLESS PROHIBITED BY FEDERAL OR STATE LAW, THE ARIZONA CRIMINAL JUSTICE COMMISSION MAY REQUIRE ANY STATE OR LOCAL CRIMINAL JUSTICE AGENCY TO SUBMIT ANY NECESSARY INFORMATION THAT IS CURRENTLY COLLECTED AND READILY REPORTABLE BY THE AGENCY AT THE TIME OF THE REQUEST, INCLUDING AN AGENCY'S COMPLIANCE WITH STATUTORILY REQUIRED REPORTS OR MANDATED FEDERAL OR STATE REPORTING, OR ANY OTHER INFORMATION THAT IS DEEMED NECESSARY BY A VOTE OF THE FULL COMMISSION.

C. THIS SECTION DOES NOT AUTHORIZE THE ARIZONA CRIMINAL JUSTICE COMMISSION TO REQUIRE STATE OR LOCAL CRIMINAL JUSTICE AGENCIES TO COLLECT OR MAINTAIN ANY NEW DATA THAT IS NOT REQUIRED UNDER SUBSECTION B OF THIS SECTION.

D. FOR THE PURPOSES OF THIS SECTION, "CRIMINAL JUSTICE AGENCY" HAS THE SAME MEANING PRESCRIBED IN SECTION 41-1750.

Sec. 2. Arizona criminal justice commission; criminal justice data inventory report

A. The Arizona criminal justice commission shall conduct a comprehensive survey of data contained in criminal justice records systems housed at local and state criminal justice agencies, including courts, law enforcement agencies, prosecuting attorney and county and municipal public defender offices, the state department of corrections, the department of juvenile corrections and county and municipal jails in order to create a state criminal justice data inventory report identifying what data is housed at each type of agency.

B. On or before August 1, 2022, the Arizona criminal justice commission shall submit the criminal justice data inventory report to the governor, the secretary of state, the speaker of the house of representatives, the president of the senate, the house of representatives minority leader and the senate minority leader and provide a copy of this report to the secretary of state. The Arizona criminal justice commission shall ensure that the reporting is completed in a uniform and consistent manner and that the report is available in an online format on the commission's website.

C. The criminal justice data inventory report must contain cost estimates and recommendations on the technology elements that are necessary for the Arizona criminal justice commission to implement a statewide criminal justice data reporting system that is published on the commission's website in a modern, open, electronic format and that is readily accessible to the public. The report must also include, where

identifiable, cost estimates for the necessary reprogramming or updating of local and state criminal justice agency data record systems to be able to transmit the required criminal justice data into the statewide reporting system.

D. On or before November 1, 2022, the Arizona criminal justice commission shall develop a comprehensive list of the data that local and state criminal justice agencies are required to report into the statewide criminal justice data reporting system after the reporting system becomes operational.

Sec. 3. Legislative intent

The legislature intends to implement a model for uniform criminal justice data collection by requiring state and local criminal justice agencies to report complete, accurate and timely criminal justice data and to make this information available to the public. The legislature finds that implementing a uniform criminal justice data collection model is an important state interest and promotes criminal justice data transparency.

APPROVED BY THE GOVERNOR MARCH 24, 2021.

FILED IN THE OFFICE OF THE SECRETARY OF STATE MARCH 24, 2021.


# Criminal Justice Systems Improvement Program

# Strategic Plan

Arizona Criminal Justice Commission

SYSTEMS IMPROVEMENT

2020-2025

## 1 ABOUT ARIZONA CRIMINAL JUSTICE COMMISSION

The Arizona Criminal Justice Commission (ACJC) is a statutorily authorized entity (A.R.S. §41-2401 through §41-2420) and is mandated to carry out various coordinating, monitoring and reporting functions regarding the administration and management of criminal justice programs in Arizona. In accordance with statutory guidelines, the Commission is comprised of 19 members who represent various elements of the criminal justice system in Arizona. Fourteen of the 19 Commissioners are appointed by the governor and are municipal, county or elected officials. The remaining five are state criminal justice agency heads. Appointed Commissioners serve for two years and terminate when the first regular session of the legislature is convened; they may be re-appointed.

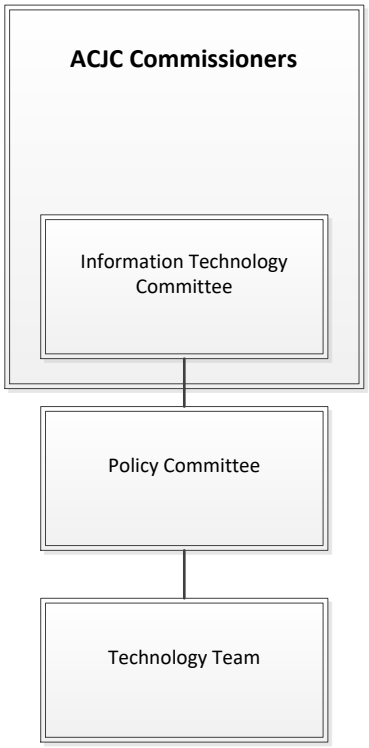
The ACJC was created in 1982 to serve as a resource and service organization for Arizona's 480 criminal justice agencies on a myriad of issues ranging from drugs, gangs, victim compensation and assistance to criminal record improvement initiatives. The ACJC works on behalf of the criminal justice agencies in Arizona to facilitate information and data exchange among state-wide agencies by establishing and maintaining criminal justice information archives, monitoring new and continuing legislation relating to criminal justice issues and gathering information and researching existing criminal justice programs.

## 2 MISSION

The mission of the ACJC is to continuously address, improve, sustain and enhance public safety in the State of Arizona through the coordination, cohesiveness and effectiveness of the Criminal Justice System.

# 3 GOVERNANCE

## 3.1 ACJC COMMISSIONERS




## 3.2 INFORMATION TECHNOLOGY (INFOTECH) COMMITTEE

The Information Technology Committee is comprised of five to seven commission members who make recommendations to the full Commission about Policy Committee recommendations.

## 3.3 POLICY COMMITTEE

The Policy Committee makes recommendations about projects and systems under consideration.

### 3.4 TECHNOLOGY TEAM

The Technology Team identifies new technological challenges and opportunities and makes recommendations to the Policy Committee about which to consider for research or adoption.

### 3.5 LOCAL STAKEHOLDERS

Most information pertaining to a criminal case and its defendant is created and updated by local agencies and courts. It is for this reason that participation by both rural and metropolitan stakeholders is imperative to the success of any systems improvement project. The ACJC leverages the knowledge and capabilities of these local stakeholders and engages with them on a regular basis to identify issues and offer realistic solutions.

## 4 CRIMINAL JUSTICE SYSTEMS IMPROVEMENT AND INFORMATION SHARING PROGRAM

Every day, public safety and criminal justice decisions are made based on criminal history records. Consequently, recordkeeping and information processing have become integral parts of the criminal justice process. Accordingly, vital resources have been allocated at federal, state and local levels to improve the accuracy, timeliness, completeness and accessibility of this information.

Under the authority of the Commission, the Criminal Justice Systems Improvement Program (CJSIP) facilitates records improvement activities in accordance with regulatory statutes. Its efforts are coordinated with those of the Policy and Technical Committee of the Executive Steering Committee for Integration.

## 5 FUNDING HISTORY

As demonstrated in Table 1 below, over the past six years the ACJC has facilitated records and systems improvement through a variety of initiatives.

**Table 1 - Previous ACJC Projects**

| Grant Year | Grant Source | Description |
|---|---|---|
| 2012 | BJS-NICS | Research Missing Dispositions |
| 2013 | BJS-NICS | Simplified Segmented Approach for Disposition Reporting |
| 2013 | BJS-NICS | ADRS Implementation Guide |
| 2013 | BJS-NICS | Felony Convictions to NICS |
| 2013 | BJS-NICS | Maricopa and Pima County Attorney ADRS Data Exchange |
| 2013 | BJS-NICS | Research Missing Dispositions |
| 2013 | BJS-NICS | Research Missing Dispositions |
| 2014 | BJA-Improve Background Checks | Mental Health Notification to NICS |
| 2014 | BJA-Improve Background Checks | Mental Health Notification to Law Enforcement |
| 2014 | BJA-Improve Background Checks | eWarrant Proof of Concept |
| 2014 | BJS-NICS | Historical Warrant Repository |
| 2015 | BJS-NICS | Process Mental Health Record Backlog, Paid for Message Switch for AOC for MH to NICS |
| 2015 | BJS - NCHIP | Records Improvement and Backlog Reduction |
| 2015 | CJRIP | 2FID in Courtroom |
| 2015 | BJS-NICS | Conditions of Release |
| 2015 | BJS-NICS | Build OP repository (one location, not bifurcated) |
| 2015 | BJS-NICS | Missing Fingerprint Analysis |
| 2015 | NCHIP | Expand AOC Electronic Arrest Warrant System (On Hold), Statewide Training on Arrest Warrant Entry |
| 2016 | BJS-NICS | Order of Protection Statewide Analysis |
| 2017 | BJS-NCHIP | Backlog and Cleanup |

## 6 PROGRAM VISION

The vision of the CJSIP is to enhance public safety and security for Arizonans through a collaborative justice information sharing environment while protecting the privacy of citizens and confidentiality of information.

# 7 EXTERNAL STAKEHOLDERS

The ACJC leverages the knowledge and capabilities of two types of program stakeholders: internal and external. Internal stakeholders are the Commissioners, and the external stakeholders are the local, county, and state criminal justice agencies that the ACJC serves.

Arizona criminal justice stakeholders are spread throughout the state and work within a very diverse, decentralized environment.

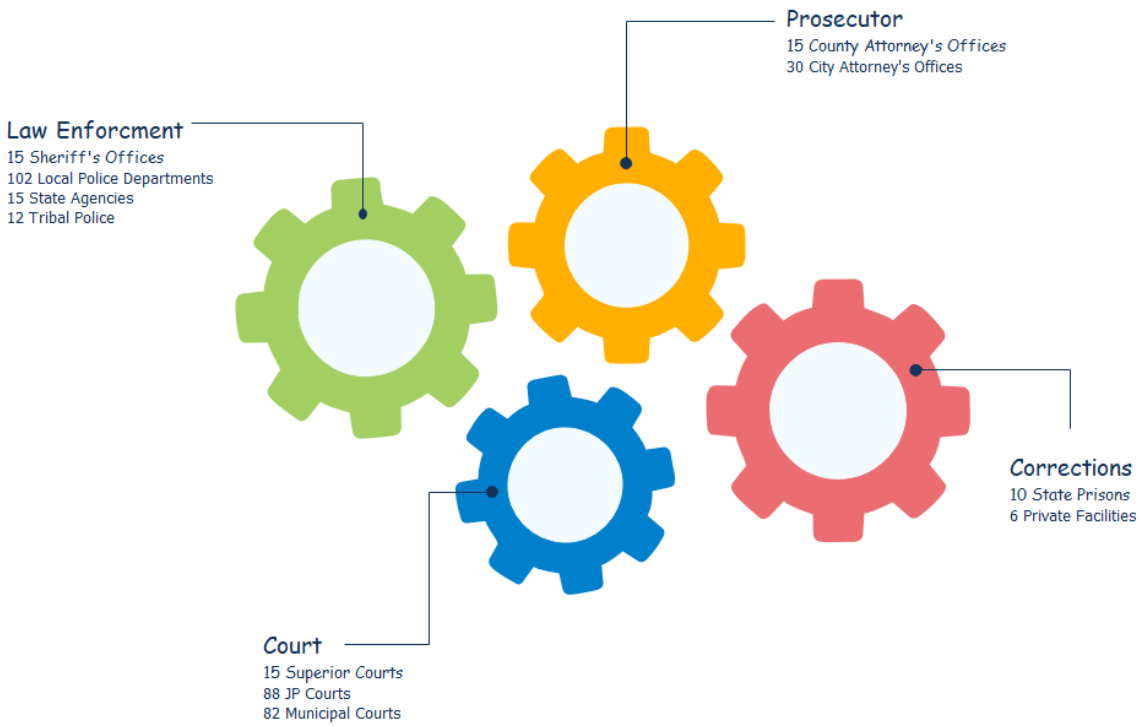



**Figure 1 - ACJC External Stakeholders**

# 8 SWOT ANALYSIS

SWOT analysis is a strategic planning technique which offers a structured means to examine organizations and the environment they operate within:

- **Strengths**: Describes organizational capabilities that provide a benefit or advantage to the ACJC.
- **Weaknesses**: Describes organizational and environmental factors that place the ACJC at a disadvantage.
- **Opportunities**: Describes environmental attributes within the Arizona criminal justice environment and emerging technologies.
- **Threats**: Describes challenges within the Arizona criminal justice environment that could act as an impediment.

## 8.1 STRENGTHS

### 8.1.1 GOVERNANCE

The ACJC CJSIP works on the behalf of these criminal justice agencies to coordinate and facilitate systems improvement and data sharing among state-wide agencies. It accomplishes this task by introducing and monitoring legislation that will impact criminal justice organizations, identifying and researching criminal justice issues, and obtaining funding and managing the implementation of approved initiatives.

All major initiatives proposed by the CJSIP must be vetted and approved by these commissioners. Through this process, they help bring coherence to ACJC initiatives and help to build support within the organizations that are impacted. The Commissioners also provide guidance to the ACJC and may even help identify 'trouble' areas in the criminal justice process for further analysis by ACJC Staff. The Commissioners are guided by three sub-committees within the ACJC: The InfoTech Committee, Policy Committee and Technical Team.

#### 8.1.1.1 ACJC SUPPORTING ENTITIES

In 2006, the Commissioners approved a deeper governance structure to support the CJSIP. This structure introduced two new entities: The Policy Committee and Technical Team.

The Policy Committee includes seventeen justice stakeholders, typically with systems backgrounds, who help develop guiding principles for the efficient and effective sharing of criminal and juvenile justice information among users throughout the state. Through this forum, the Committee provides an opportunity for agency technology directors to work directly with each other in the furtherance of statewide systems.

When an opportunity for improvement is identified, the CJSIP will research the issue and typically present findings and recommendations to the Policy Committee. If the Policy Committee approves the recommendations, the report is forward to the Information Technology Committee. If approved by the Information Technology Committee, the ACJC Commissioners will then consider the proposal. If approved, the ACJC will then commit the resources necessary to

support implementation of the agreed upon recommendations. The Policy Committee monitors overall project progress, compliance with project goals, and compliance with statewide and national policy.

The Technology Team supports the Policy Committee and was established to research, analyze, and provide information technology recommendations to support information sharing. Team members are highly respected technology leaders within various criminal justice agencies.

### 8.1.2 STATEWIDE RELATIONSHIPS

As the CJSIP addresses increasingly complex issues, differences in the processes, roles and capabilities of stakeholders across Arizona become an increasing factor in designing and developing these new systems. For example, a 2018 survey sent out to Arizona's law enforcement agencies revealed that mobile in-car computers are not quite as ubiquitous as previously thought. According to those results, 68% of the survey's 50 participating agencies deploy vehicles that are equipped with mobile computers. Understanding these types of core agency capabilities is important to assess the impact of legislation, policies and technological solutions offered to the justice community.

The most effective policies are those that are first based on the correct assumptions. As such, the ACJC has increasingly sought input from agencies and organizations from diverse jurisdictions throughout the state.

#### 8.1.2.1 NICS TASK FORCE

Since January 2012, Arizona stakeholders, led by the ACJC, have been working to support reporting of qualifying records to the National Instant Criminal Background Check System (NICS). In that time, the Task Force has conducted 26 meetings involving 238 stakeholders that represent 80 governmental and non-governmental agencies and organizations. Given the incredible breadth of experience that Task Force members offer, the Task Force has been instrumental in identifying a number of systemic criminal justice issues. Moreover, members of the task force typically also suggest both short-term and long-term solutions to address issues.

In March 2013, the Arizona NICS Task Force published the Arizona NICS Act Reporting Improvement Plan (NARIP) that included a total of 30 Recommendations. Since that original release, nine additional recommendations have been adopted by the Task Force. Task Force members have repeatedly supported implementation of these recommendations by not only promoting them within their own organizations but also by offering their own research and analysis on the issues.

#### 8.1.2.2 WORKING GROUP INITIATIVES

When the CJSIP identifies issues that need to be addressed, the program manager will typically assemble a working group to conduct an initial assessment of the situation. Working group members will often include members of the NICS Task Force, personnel from statewide agencies such as the Department of Public Safety (DPS) and Administrative Office of the Courts (AOC), and

local practitioners from different criminal justice disciplines throughout Arizona. This inclusive approach and the special care the program takes to ensure broad representation has fostered a number of highly productive relationships throughout Arizona. Recent examples of these inclusive efforts are:

- **Conditions of Release:** This initiative started in 2016 and examined practices around both the assignment and enforcement of conditions of release. A total of seventy-one practitioners from the Arizona Administrative Office of the Courts (AOC) and Maricopa, Pima, Yavapai, and Graham Counties participated.
- **Orders of Protection/Injunctions Against Harassment** (OP/IAH): This 2017 initiative involved site visits to all 15 Arizona counties to consider ways to improve the existing cumbersome OP/IAH process. A total of 333 participants are involved through both in-person and remote meetings including representatives from the AOC, DPS, the Arizona Coalition to End Sexual and Domestic Violence and the Attorney General's Office.
- **Missing Fingerprint**: This 2016 project involved an initial assessment to identify the challenges regarding criminal history disposition reporting. Forty-six participants from five Arizona counties (Cochise, Pinal, Pima, Yavapai, Maricopa) and four statewide agencies (AOC, DPS, ACJC, and ADC) participated in these discussions.
- **Mental Health Workgroup**: This workgroup was assembled in 2014 and was managed by the AOC. Team members focused on examining the issues

surrounding mental health adjudication notification to the NICS System and to Arizona law enforcement personnel. The team developed the caveat verbiage that is included with case information when an ACIC Name/Date of Birth query returns notification of a mental health adjudication.

### 8.1.3 LEGISLATIVE INITIATIVES

Over the past four years, the ACJC has become very adept at working with the legislature and their Arizona justice partners to introduce legislation directed toward improving criminal justice systems. These bills include:

- **House Bill 2322**: This legislation authorized the AOC to report all Mental Health adjudications to NICS and was signed by the Governor on May 1, 2014.
- **Senate Bill 1373**: This legislation authorized a notification to law enforcement for persons who have been adjudicated mentally defective. The bill was signed by the Governor on May 1, 2015.
- **Senate Bill 1295**: This legislation provided guidance on obtaining a two-fingerprint, biometrically based identifier from a defendant at the time of sentencing. It was signed by the Governor on May 1, 2015.
- **House Bill 2154**: Addressed issues with failure to appear warrants and designated Sheriffs as being primarily responsible for capturing fingerprints for detained offenders. This bill was signed by the governor on April 5, 2016.

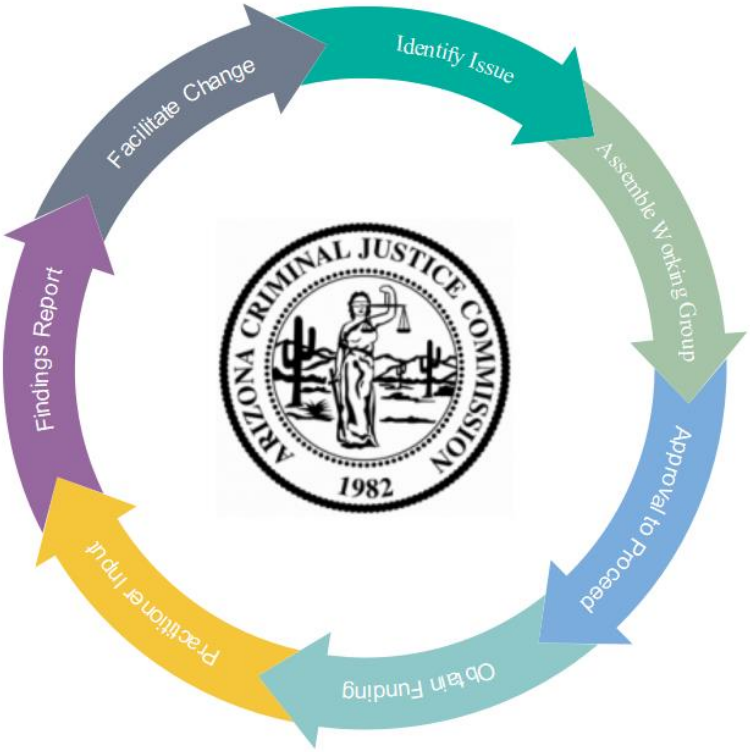
- **House Bill 2249:** Among other things, this legislation changes a number of provisions concerning OP/IAH including limiting disclosure of the plaintiff contact information, changes the holder of record to the courts, and reduces the length of time permitted for entry into NCIC to 72 hours. This legislation was signed by the Governor on April 17, 2018.

### 8.1.4 SYSTEMIC APPROACH TO RESEARCH AND INITIATIVES

The CJSIP has implemented a systematic approach for researching issues and developing recommendations. The seven-step process described below has been adopted on all projects initiated since 2016 and seeks to broaden input into these research initiatives.

1. **Identify Issue:** Issues may be identified based on input from a number of sources including ACJC Commissioners, the Information Technology and Policy Committee, Technical Team, the NICS Task Force and other members of the Arizona Justice Community.

2. **Assemble Working Group:** A working group will examine the issue and develop initial findings to confirm the breadth of the issue, identify the impacted stakeholders and define a scope for further analysis.




3. **Approval to Proceed**: Based on the working group initial findings, the CJSIP will approach the ACJC governance structure for approval to move forward with a deeper analysis of the identified issue.
4. **Obtain Funding**: Based on the scope approved by the Commissioners, the program will seek funding to conduct a detailed analysis. As described in Table 1, the United States Department of Justice, Bureau of Justice Assistance (BJA) has been a key partner in providing funding for many of these approved initiatives.
5. **Practitioner Input**: Once funding has been secured, the program will plan and facilitate a series of in-person and remote discussions with practitioners to further understand the issue from their perspective. The program manager very intentionally

identifies practitioners that can effectively represent both large and small jurisdictions.

6. **Findings Report**: Research is combined with recommendations to culminate in a findings report. This report will highlight challenges and identify system-wide implications. The report will conclude with concrete recommendations on how the issue(s) might be addressed. These recommendations may include both policy and legislative changes and changes to existing information systems or even require the creation of new systems.
7. **Facilitate Change**: The actions recommended in the findings report are forwarded for consideration to the ACJC governance structure for approval to proceed. If approved, the CJSIP will coordinate the actions of the involved stakeholders.

### 8.1.5 CROSS-ACJC PROGRAMS

The CJSIP works with a number of other internal ACJC programs including the Statistical Analysis Center (SAC) and Victims Services Programs.

- **Statistical Analysis Center:** The SAC provides data on a number of program initiatives that are ongoing and under consideration. For example, the SAC provides regular reports to the CJSIP and NICS Task Force regarding disposition completeness reporting from the Arizona Computerized Criminal History (ACCH) Repository.
- **Victims Program:** The CJSIP coordinates with the Victims Program regarding the method(s) by which a victim requests an OP/IAH.

## 8.2 WEAKNESSES

There are a number of issues that continue to impact the ability for the CJSIP to implement systems and records improvement in Arizona. These challenges are described below.

### 8.2.1 STATEWIDE TECHNOLOGY INFRASTRUCTURE PLANNING

Virtually all systems improvement projects undertaken by the CJSIP have focused on identifying and resolving specific business issues utilizing federal grant funds that are limited in scope and the timeframe in which the funds can be utilized. Consequently, these initiatives have been implemented in isolation from other efforts and without the benefit of any cross-system technical infrastructure. Although these projects have successfully addressed many immediate business issues, the limits associated with federal funds prevented them from being used to establish a technological foundation that could evolve into a robust information sharing architecture. With each new initiative, many of the same technology issues had to be solved repeatedly. Some of these common issues included:

- **Identity Management:** There is no common mechanism by which Arizona justice agencies can "establish wide-scale electronic trust among the caretakers of critical information and those who need and are authorized to use that information"[1]. Put

[1] https://it.ojp.gov/initiatives/gfipm

another way, with every new system, developers built a new security and identity management solution. From an end-user perspective, this means yet another user id and password they would have to remember. And from a system administrator perspective, one more system they had to secure and ensure was purged of personnel when they left an organization.

- **Statewide Data Dictionary:** In December 2001, the ACJC and its partners published a 149-page data dictionary that identifies key data elements in use by agencies across Arizona. This document, 18 months in the making, captures how agencies and organizations describe key entities such as a case, a defendant, criminal charge, disposition and sentence, bond, court order, disposition, etc. Updating this common data dictionary and placing it on-line is imperative to reestablishing a baseline vocabulary for data exchange. Moreover, this information is critical to identifying information sharing opportunities and the implementation of a service-oriented architecture that enables system to system exchanges.
- **Statewide Systems Map:** There is no single inventory of Arizona criminal justice systems. This makes it difficult to understand what information is available for sharing and to identify systems that offer duplicate functionality.

### 8.2.2 COMPLETENESS OF CRIMINAL HISTORY

There are numerous systemic issues that exist across all stakeholders regarding creating and updating criminal history. In a single case, because multiple agencies and courts play a role

in reporting case and charge disposition information, no single entity is responsible for the quality of the criminal history record. This is evident in studies which indicate that from 25-30% of criminal charges are missing a disposition long after the case has been fully adjudicated. Moreover, a recent ACJC study indicates that up to 10% of felony charges and an unknown number of lower level offenses are never even captured in the statewide criminal history database[2].

#### 8.2.2.1 MISSING DISPOSITION

Criminal cases and their underlying charges are extremely dynamic. The ACCH is designed in such a way that every key actor that is involved in a criminal case including law enforcement, the booking facility, prosecutors and the courts must report all changes to the case charges in a timely manner. Any failure to report changes in their proper order, among any of the organizations involved in a case will likely result in an open disposition. Substantial improvement in disposition reporting will likely only become feasible once this highly fragile design is reconsidered and basic assumptions are rethought.

[2] ACJC Missing Criminal History Assessment, http://www.azcjc.gov/sites/default/files/pubs/Arizona_Criminal_Records_Infrastructure_Improvement.pdf

#### 8.2.2.2 MISSING CRIMINAL HISTORY

A key challenge facing Arizona justice stakeholders relates to missing criminal history. Per A.R.S. § 41-1750, every defendant that is issued a summons for a qualifying offense in lieu of being arrested must be fingerprinted. And Per AOC Court Rule 4.2(a)[3], every defendant must provide evidence of this fingerprinting at the time of the initial appearance through the mandatory fingerprint compliance form.

Unfortunately, many courts do not adhere to this standard and will continue to adjudicate the case even if the defendant cannot prove they were fingerprinted on the presenting charges. Consequently, defendants in many cases that are initiated through a summons are never fingerprinted.

### 8.2.3 FUNDING SOURCES

The majority of funding for CJSIP projects has come from federal grants with 12 to 18-month durations. While this funding has been critical for addressing specific issues related to NICS reporting, funds have not utilized to significantly extend the statewide technical infrastructure.

[3] https://www.azcourts.gov/rulesimpactreport/2009-Table-of-Contents/Criminal

#### 8.2.3.1 LEVERAGE TECHNOLOGY FOR TRAINING AND OUTREACH

Historically, most of the training and discussion regarding CJSIP initiatives have been done in person – which is both expensive and time consuming. In the past five years, significant advancements in both technology and adoption of that technology have enhanced the ability to work collaboratively from multiple remote locations.

- **Remote Meetings (WebEx, GoToMeeting):** During the OP/IAH Project, the core team members initially met with local stakeholders during face to face meetings to develop rapport and build a relationship. Many of the subsequent meetings were completed using remote conferencing services. These tools permitted the team to share the same information with a wider audience in a very effective manner.

- **Computer Based Training**: Arizona has embarked on a statewide initiative to provide computer-based training through a learning management system called Tracorp[4]. Critical to its success will be the development of criminal justice modules and building awareness of training opportunities. Furthermore, as procedures and systems are modified and updated, it will be very important to keep the training up-to-date and relevant. Several opportunities that would be ideal for computer-based training have already been identified:
    - Request an Arrest Warrant
    - Complete a Final Disposition Report
    - Manage and View Conditions of Release
    - Manage and View Court Mental Health Adjudications
    - The National Instant Criminal Background Check System (NICS)

### 8.2.4 IMPLEMENTATION DEPENDENCE ON JUSTICE PARTNERS

Although the CJSIP is able to identify, research and present findings related to criminal justice issues, it is entirely dependent on its criminal justice partners to implement any recommended information systems. While all justice partners are interested in improving the system, they also face the reality of strained technology human resources and an extensive

[4] https://tracorp.com/tracorp-lms/

backlog of projects that they are often statutorily required – leaving little time for criminal systems improvement. As the ACJC Commissioners consider increasingly complex issues, these technical resource constraints faced by all statewide criminal justice organizations will become an increasing factor and impediment to implementing systemic change.

### 8.2.5 PERFORMANCE MEASURES

As described previously, virtually all CJSIP activities over the past five years have focused on tactical, not strategic business issues. The program manager has identified and adopted performance measures for each of these projects to measure success in resolving the particular business issue. For example, the NICS Task Force has developed a series of performance measures pertaining to records that are reported to NICS. These include:

- Number of ACCH Charges with a Disposition Finding
- Inmates arriving at Arizona Department of Corrections (DOC) with no criminal history
- Disposition Reporting Method by Type
- Inventory of Automated Fingerprint Devices in Arizona
- Count of Active Arrest Warrants in NCIC
- Number of NICS Mental Health Entries
- Number of NICS Denials, By Category

Beyond these measures, there are no other measures that evaluate the breadth and effectiveness of information sharing in Arizona.

### 8.2.6 LACK OF SKILLED TECHNICAL PERSONNEL

Many critical Arizona systems still utilize mainframe technology. Even server-based systems are often operating on outdated technology and state and local technical personnel are oftentimes not trained in the latest technology.

### 8.2.7 LIMITED TEST ENVIRONMENTS

When systems are implemented, especially when those systems involve information exchange, a robust test environment is necessary to ensure that the system meets functional requirements and does not result in data corruption. Test scenarios must be realistic and utilize information that reflects reality. The availability of reliable test systems that contain realistic data is very limited among statewide data exchange partners.

### 8.2.8 CENTRALIZED PERSON INDEX

The information contained within most Arizona justice agency records systems is stove-piped and only available through that single system. Law enforcement officers, prosecutors, court personnel, probation officers and other practitioners can only overcome this issue by accessing multiple systems and manually conducting multiple queries. Some organizations in Arizona, such as the Maricopa Superior Court, have implemented a system utilizing the Justice Web Interface (JWI) that allows county users to conduct a federated query across multiple criminal justice systems. This capability is essential for developing a comprehensive understanding of a defendant in a criminal justice environment that contains multiple data silos and where information is not broadly shared. Outside of the relatively limited set of users with

access to JWI, most Arizona practitioners must choose between either accepting an incomplete criminal history or managing multiple logins to retrieve details across multiple systems.

This challenge is certainly not unique to Arizona. In 2007, through House Bill 1473, the North Carolina legislature appropriated $5 Million to begin development of a statewide data integration initiative. In 2008 the legislature provided additional funding and directed the program to build CJLEADS, a system designed to collect information from multiple systems and present authorized users with an integrated profile of a defendant that merges data from multiple systems. These systems include the Department of Corrections, Courts, Department of Public Safety Arrest Warrant Records, local Jail Management Systems and Department of Motor Vehicle Driver License information.

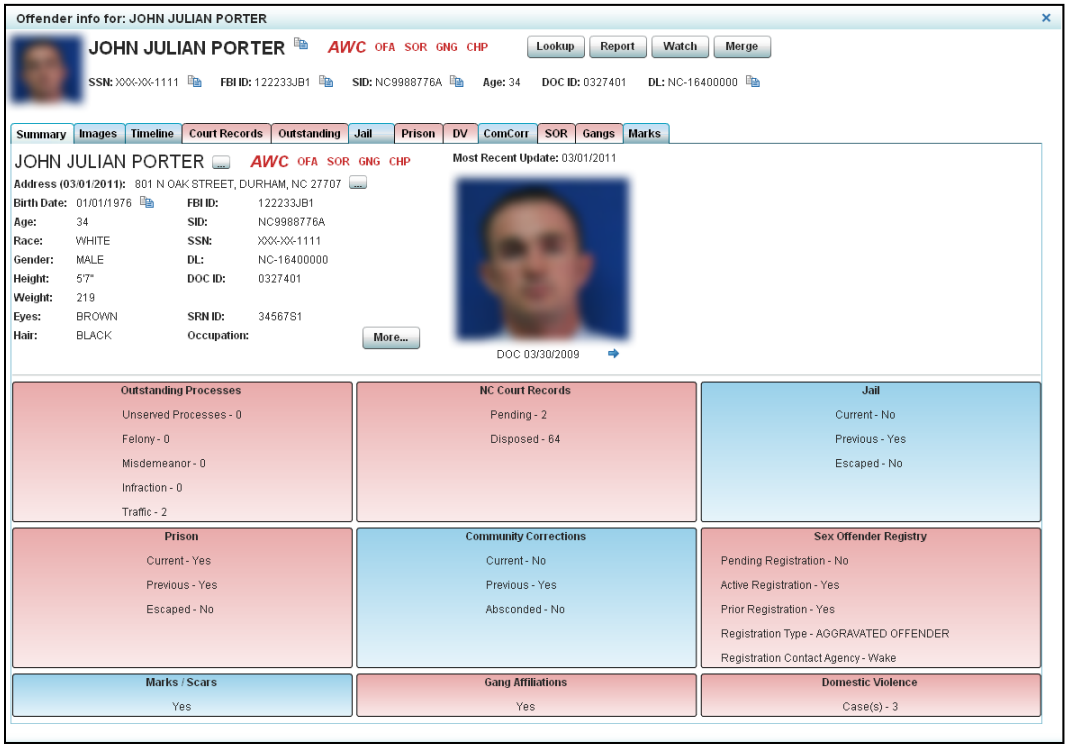



**Figure 2 - CJ LEADS Example Screen**

CJ LEADS has implemented a proprietary entity resolution process which utilizes both probabilistic and deterministic matching to automatically link records across these many systems. That means it can make exact matches, matches on things like names that are similar but not spelled alike, nicknames (John, Johnny, Jon), and utilize logical similarities such as a name and DOB match but with a social security number that has two digits transposed.

### 8.2.9 DATA QUALITY ISSUES

Concern over the quality of data in criminal justice systems is well-founded and has been discussed in a number of court decisions including Herring v. United States. In this case, Supreme Court Justice Ruth Bader Ginsberg stated:

> States are actively expanding information sharing between jurisdictions. As a result, law enforcement has an increasing supply of information within its easy electronic reach.
>
> The risk of error stemming from these databases is not slim. Herring's amici warn that law enforcement databases are insufficiently monitored and often out of date[5].

Likewise, in Arizona v. Evans[6], Supreme Court Justice Sandra Day O'Connor discussed the danger of reliance on error-prone criminal justice systems:

> [W]hile the police were innocent of the court employee's mistake, they may or may not have acted reasonably in their reliance on the recordkeeping system itself. Surely it would not be reasonable for the police to rely, say, on a recordkeeping system, their own or some other agency's, that has no mechanism

[5] https://supreme.justia.com/cases/federal/us/555/135/
[6] 514 U.S. 1, 16-17 (1995)

to ensure its accuracy over time and that routinely leads to false arrests, even years after the probable cause for any such arrest has ceased to exist (if it ever existed).

Clearly, we must improve the quality of information in criminal justice systems and ensure accuracy over time. Given the limited personnel and resources almost all agencies and organizations are experiencing, a manual, time intensive review of every new and historical record is not realistic. Rather, a systematic approach much be adopted that will leverage systems to identify highlight data inconsistencies.

The two court cases discussed earlier reveal a troubling concern. Without careful vetting of information, data exchange can actually propagate data corruption as invalid information from one system is shared with another. However, in this situation, it is critical to understand that data integration did not ***cause*** the data corruption – but it did exacerbate the impact of bad data.

Done correctly, system integration offers an opportunity to compare information across systems and utilize algorithms to reveal situations where information is inconsistent. Stated another way, integration combined with error detection software will shine a light on data that would otherwise remain hidden in isolated systems. This awareness combined with robust data cleansing procedures can become a key to measuring and improving data quality statewide.

### 8.2.10 LIMITED SHARED PURCHASE AGREEMENTS

In 2016, the CJSIP initiated a project to provide mobile fingerprinting devices for every Arizona Superior Court courtroom. The original project budgeted for 125 devices at $1,500 per device. However, through a bulk purchase contract, the program was able to reduce the cost to $317 per device – an astonishing savings of almost $150,000.

This same approach should be used by agencies throughout Arizona to benefit from bulk purchase agreements. Multi-agency purchase orders should be utilized across Arizona to realize these types of cost savings.

## 8.3 OPPORTUNITIES

### 8.3.1 STATEWIDE INFORMATION SHARING BACKBONE

As a defendant's criminal case proceeds through the justice system, critical information about their background, crimes, known associates, and personal situation is captured across many criminal justice databases. In its totality, this information provides great insight into a defendant. However, without a technical infrastructure where we can share this privileged information, criminal justice personnel are too often flying blind and in the dark. Despite this reality, our law enforcement officers, prosecutors, probation officers and other justice personnel are increasingly being asked to monitor compliance to court orders and probation conditions without having real time access to accurate information.

#### 8.3.1.1 SERVICE ORIENTED ARCHITECTURE

During a strategic planning meeting held during 2017 and 2018, the ACJC facilitated a series of informal discussions with partners at the ADC, DPS and AOC to discuss internal capabilities and identify systems and information they are willing to share. This preliminary discovery process was revealing in not only the number of systems managed by each agency, but also their stated willingness to share the information contained within many of those systems.

It should be stated that some information is being currently shared electronically between organizations in Arizona. However, due to the lack of a statewide information sharing environment, most have been implemented in an ad hoc fashion as point-to-point data exchanges. In other words, as new systems are designed and implemented, exchanges are developed using a variety of protocols, technologies and networks – resulting in a brittle infrastructure that is both prone to failure and expensive to maintain. Moreover, as this informal data exchange environment grows, agencies are often forced into implementing the same data exchange multiple times to accommodate different agencies and protocols.

Developing and implementing an enterprise service-oriented architecture (SOA) to create a consistent approach for information exchange while lowering the ongoing costs and increasing service reliability is a major strategic goal of this plan. When considering this goal, stakeholders should be aware that the upfront costs involved in developing and implementing SOA will require a multi-year, phased and iterative approach. The sections that follow offer a common approach that many enterprises use to migrate their sharing environment toward this approach.

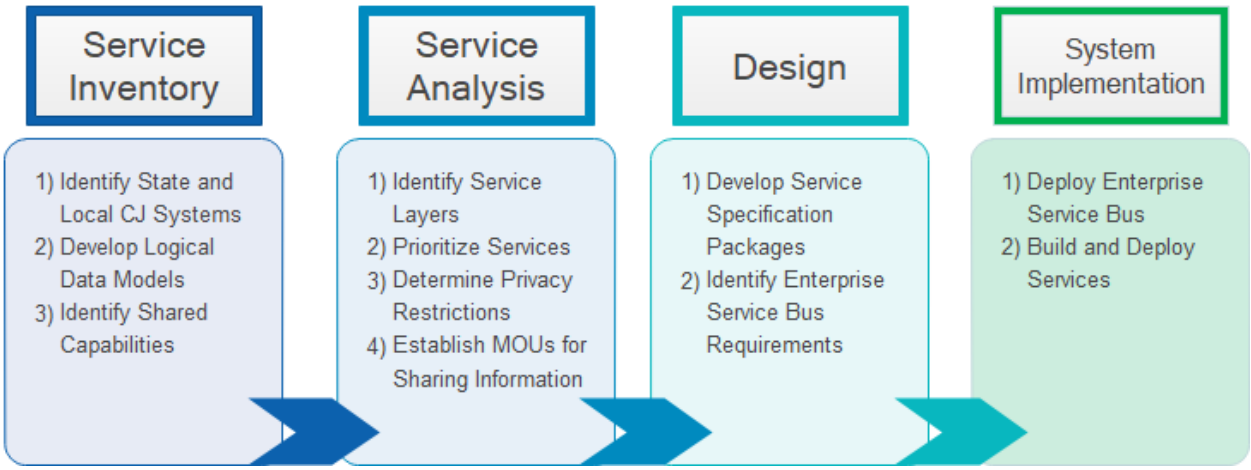



**Figure 3 - SOA Planning Process**

### 8.3.1.1.1 SERVICE INVENTORY

Service oriented architecture design begins by identifying the capabilities that each "service provider" can offer. Some of these capabilities might include:

- Retrieve current address information for the specified person
- Retrieve record of recent criminal justice encounters
- Update defendant criminal history
- Create an arrest warrant
- Create a court case

The outcome of this phase is to develop a comprehensive map to coordinate the development of services across multiple agencies and organizations. Development of the service inventory begins by creating a map of the systems and information that is available for sharing across criminal justice agencies. This service inventory includes three major components:

1. **Identify State and Local Criminal Justice Systems:** Figure 4 reflects our 2017/2018 discussions with the AOC, DPS and ADC. The chart offers a preliminary and very limited depiction of several systems from which executive stakeholders have indicated a willingness to share information. During the Service Inventory, CJSIP personnel would confirm the accuracy and expand this model to include other agencies and systems.
2. **Develop Data Model**: The next step in developing a SOA is to collect and analyze the logical and physical data models for the systems identified in the systems map. This information is extracted into a data dictionary and its information source identified. This statewide data model will be maintained through an on-line and up-to-date repository.
3. **Identify Shared Capabilities:** The capabilities of each system will be examined to determine which may offer common capabilities.

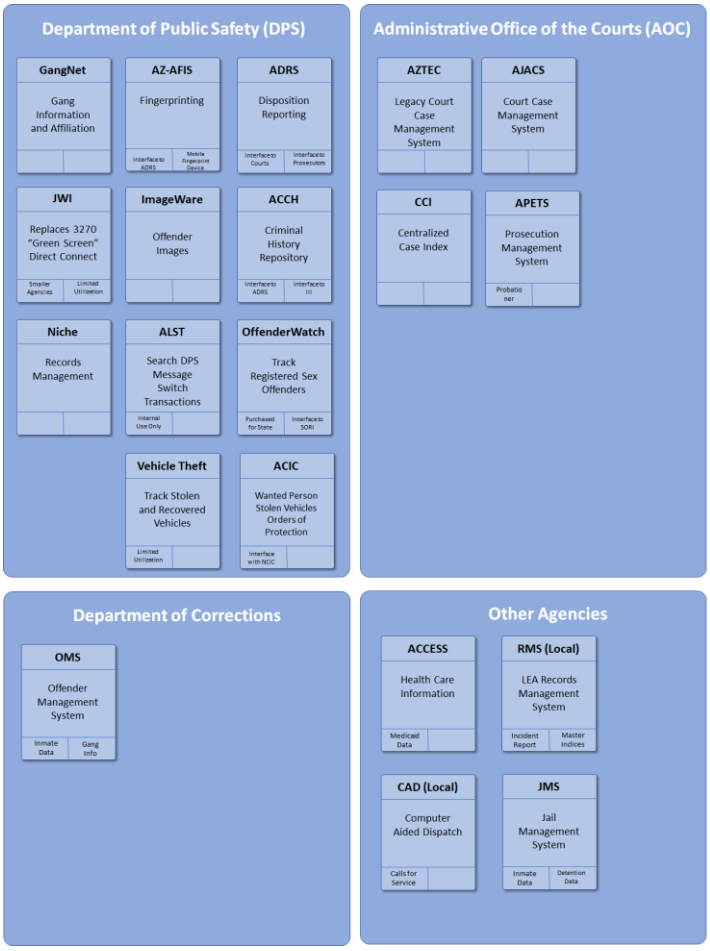



**Figure 4 - Systems Inventory**

This inventory phase ends with the creation of a statewide SOA Model which identifies the capabilities that agencies are willing to share and serves as a blueprint for actually sharing that data.

#### 8.3.1.1.2 SERVICE ANALYSIS

Information accumulated during the inventory phase of SOA design is analyzed to begin the process of translating capabilities into discrete services.

1. **Identify Service Layers**: The system capabilities identified during the inventory step are broken down into entity, task and utility services based on their level of reusability. For example, an *entity servic*e is oriented around a business concept such as an arrest warrant or court case. This service is highly reusable but provides a relatively minor capability because it is intended to be used across multiple businesses processes. A *task service* offers greater capabilities by controlling calls to utility and entity services but at the expense of reusability. For example, the DPS might offer a task service called Create Arrest Warrant that would allow Arizona Courts to not only enter a warrant into the ACJIS, but also to transmit that warrant into the NCIC. *Utility services* primarily perform 'behind the scenes' functionality such as system logging, notification and exception handling.
2. **Prioritize Services**: Full implementation of the services identified in the SOA Model will take many years. Consequently, it is incumbent on the SOA team to prioritize those services that will support immediate initiatives. This priority should be established by executive stakeholders with technical backgrounds - such as by members of the ACJC Policy Committee

3. **Determine Privacy Restrictions**: Even when agencies are willing to share information, it is likely that they have conditions under which the information can be shared. Typically, these conditions will include restricting who can have access to what data and in what situations. During this step, the SOA team will work with stakeholders from the service provider organization to identify privacy restrictions. These policies can be codified using Security Assertion Markup Language (SAML) based XML and enforced through the Enterprise Service Bus Privacy Policy Service. This service will only permit the service consumer to receive information that complies with the policies established during this planning phase.
4. **Establish Memorandums of Understanding**: These MOUs are established between the service provider and service consumer to establish information sharing guidelines including the service implementation timeline and any identified privacy restrictions.

#### 8.3.1.1.3 DESIGN

During this phase, the SOA Team will identify the requirements for an Enterprise Service Bus (ESB) and create the technical documentation necessary for implementation of services.

1. **Identify Enterprise Service Bus Requirements**: The ESB is an off-the-shelf product offered by many software providers. The ESB provides much of the information sharing capabilities that allows disparate systems to utilize a common infrastructure for exchanging information. The ESB can also provide its own suite of capabilities such as privacy policy enforcement. During this step, an ESB Team will work with the ACJC Policy

Committee to identify common requirements for the ESB. These requirements may be assembled into a Request for Proposal and software vendors invited to submit their recommendations.

2. **Develop Service Specification Package (SSP):** A service specification package documents the scope, functional and technical requirements for implementation of a service. Technical requirements are documented using artifacts such as a NIEM-based XML schema to define the structure and formatting of the messages exchanged between the service consumer and service provider. A NIEM-Conformant SSP should be developed in conjunction with technical experts from both the service provider and consumer.

#### 8.3.1.1.4 SYSTEM IMPLEMENTATION

1. **Obtain Funding:** ESBs are expensive software products that also require specially trained personnel to implement and support the system. The CJSIP will work with Arizona stakeholders to identify and secure funding for implementing the ESB.
2. **Deploy Enterprise Service Bus**: Once an ESB software provider is selected, the ESB Team will work with that vendor to implement the ESB and provide training to the technical team for ongoing support.
3. **Build and Deploy Services**: At this point, information technology resources from both the service provider and the service consumer will begin development of the service. Implementation will be based on the SSPs defined during design.

### 8.3.2 ACCESS CONTROL/FEDERATED IDENTITY

In the previous section, we focused how point to point data exchanges can result in not only high ongoing maintenance costs but are often unreliable because of the myriad of ways in which they are implemented. They can also create major headaches with access control when exposing information to systems and personnel from multiple organizations.

In Arizona, access control is primarily handled through a systems inherent credentialing process where system users are provided a unique login id and password. While this practice addresses the immediate need of achieving access to critical information, it also creates a significant vulnerability in which the system owner must maintain the current status of all authorized users and verify they should continue to receive access. Considering the sensitivity of criminal justice information, any failure to revoke access, for example when a person is terminated from employment, can have significant consequences.

Considering the impact described above, implementation of an identity management and credentialing service should be the first capability implemented within the information sharing environment. Significant research and guidance for implementing identity management has been conducted through the U.S. Department of Justice's (DOJ) Global Justice Information Sharing Initiative (Global) Advisory Committee. More information is available at https://it.ojp.gov/initiatives/gfipm.

### 8.3.3 PRIVACY POLICY MANAGEMENT AND ENFORCEMENT

Federated identity management addresses the issue of establishing the authorization and authentication for a user across organizational boundaries. Those credentials combined with rules implemented through a privacy policy server provides a mechanism to regulate access to the information that a user is permitted to view.

Generally speaking, in situations where information is shared through point to point data exchanges, the provider will only transmit the permitted data to the consumer. While this can be effective, it isn't efficient. When this same exchange is implemented with a different consumer, this approach means that the provider must often modify the underlying exchange software to reflect the privacy restrictions appropriate to the new consumer.

A privacy policy server addresses this issue by taking responsibility for enforcing privacy policies at the point of exchange (ESB) and by only allowing authorized data to pass through its filter. Privacy policy management links the credentials of a system user with a matrix that indicates the information they are authorized to access given their specified role(s) and situation.

### 8.3.4 STATEWIDE ARREST WARRANT

In 2012, the AOC commenced the Arizona Statewide Arrest Warrant Project (ASAWP) to develop a comprehensive understanding of issues and challenges involved in issuing, entering, validating, executing and clearing arrest warrants. Over a period of two years, after building a comprehensive governance structure and engaging numerous stakeholders throughout the

state, the AOC determined that there was a priority need for a statewide automated arrest warrant system.

During this research phase, it was confirmed that the creation and ongoing maintenance of an arrest warrant is a labor intensive and time-consuming process. In large part this is because it is an almost entirely paper driven process that requires entry and oftentimes reentry with each involved stakeholder. Furthermore, after an arrest warrant is authorized by a judge, it can still take several days to enter a felony warrant or even weeks to enter a misdemeanor warrant. The current arrest warrant process is also very brittle. A single error, anywhere in the process, can result in significant delays and potentially many hours of rework.

To overcome the issues inherent with this legacy process, several courts have implemented an electronic arrest warrant process using the Justice Web Interface (JWI). The JWI is a custom developed message switch that is owned by Maricopa County and maintained by Pragmatica. It is available for licensing by Arizona justice agencies. Several Arizona Courts have successfully implemented their own electronic arrest warrant data exchanges utilizing the JWI.

The CJSIP recommends implementing arrest warrant services similar to those utilized within the JWI architecture through a statewide Enterprise Service Bus that is capable of connecting across all agencies and organizations.

### 8.3.5 CONDITIONS OF RELEASE

More than 100,000 initial appearance hearings occur annually across Arizona. During these hearings, the judicial officer will make a finding as to whether the defendant poses a risk to the community. Based on the level of risk, the issued Release Order can require a financial bond, indicate release to a third party, or indicate supervised/unsupervised release with additional pretrial conditions. Specific conditions of release can range widely from prohibition against possession of deadly weapons, to requiring no-contact with the victim, to ongoing electronic monitoring, and, of course, that the defendant not violate additional criminal statutes.

In 2016, the CJSIP conducted a series of facilitated discussions with stakeholders statewide to better understand these conditions of release. A final study revealed that:

- Successful enforcement of conditions of release is dependent on law enforcement and other justice personnel having timely and accurate information for conditions of release issued by any court in Arizona;
- There is no automated mechanism to electronically share current information on conditions of release among justice partner organizations;
- For these reasons, and with few exceptions, compliance to conditions of release are not actively monitored and enforced.

Consequently, the ACJC Commissioners approved moving forward with implementing electronic sharing of these conditions of release. While the conditions of release are likely to be

documented using the local court case management system, the statewide ESB could be used to facilitate this information sharing between an issuing court and law enforcement agencies.

### 8.3.6 CENTRALIZED CASE/PERSON INDEX

Through the Task Force on Fair Justice for All, the Arizona AOC is exploring a number of exciting and innovative justice reform initiatives. Founded in 2016, their mission is to introduce changes in the justice system that holds everyone accountable for their illegal actions without creating a cycle of poverty. Many of their 65 recommendations[7] require a more comprehensive understanding about a defendant – not only about their criminal involvements but also information about how to contact them and prior contacts with the criminal justice system. However, despite the terabytes of information that Arizona criminal justice organizations collect about an offender, it remains exceedingly difficult for a criminal investigator, prosecutor, judge or pre-trial services staff to develop a robust history for an offender. All too often, these personnel, who already have overwhelming caseloads, must access multiple systems, using multiple passwords and manually aggregate the data.

Some counties have implemented federated query systems through the JWI that are able to query multiple systems and return matching records. While the JWI has provided a significant

[7] https://www.azcourts.gov/Portals/74/TFFAIR/Reports/FINAL%20FairJustice%20Aug%2012-final%20formatted%20versionRED%20(002).pdf?ver=2016-08-16-090815-647

leap forward in providing access to information across multiple siloed systems, it is only available to a select few personnel in limited locations.

This envisioned Centralized Case Index (CCI) would be available to all authorized Arizona criminal justice practitioners and will aggregate information about an offender from multiple data sources.

### 8.3.7 COMPLETE AND ACCURATE CRIMINAL HISTORY

Over the past 30 years, many organizations and smart people have worked very hard to address the issue of incomplete dispositions in criminal history. While these efforts have met with various degrees of success, the reality is that incomplete criminal history remains a significant challenge with 30% of arrest charges never being disposed.

The reasons for this seemingly intractable problem are many. But fundamentally, one underlying factor is Arizona's decentralized governance which results in boradly diverse technology and policies. For example, virtually every law enforcement agency maintains their own Records Management System. Likewise, Sheriff's maintain their own Jail Management System. Prosecutors deploy their own case management systems and in fact some courts have even rolled out their own court case management systems. Given this great variety of information systems and the various business policies and processes that exist across Arizona agencies, it is then perhaps not so surprising that mandating a single prescriptive approach for reporting dispositions into a single centralized system has resulted in such limited success. To

break through this logjam, innovative approaches that reflect Arizona's decentralized governance need to be identified, designed and implemented.

#### 8.3.7.1 BEST PRACTICES RESEARCH

In early 2018, the Bureau of Justice Statistics issued a report entitled "Survey of State Criminal History Information Systems"[8]. This report provided a state-by-state analysis describing system performance measures and capabilities. Table One of this report lists, by state, the percent of felony charges with final dispositions. A review of this information reveals that a number of other states with similar populations and criminal caseloads to Arizona are doing significantly better at reporting charge dispositions. Arizona would likely benefit from an in-depth discussion with these states to identify processes, procedures and technology that can be adopted in Arizona to improve our own disposition reporting.

[8] https://www.ncjrs.gov/pdffiles1/bjs/grants/251516.pdf

### 8.3.7.2 DISTRIBUTED TRANSACTION TRACKING

As described previously, Arizona criminal history maintains a 30% missing disposition rate which is at least partially the result of a chaotic blend of technology and business processes. The system is highly fragile and even the slighted aberration in case flow often will lead to an incomplete disposition. Given recent advances in technology, there is an opportunity to explore innovative ways to manage and maintain criminal history through distributed transaction ledgers. In June 2018, the National Center for State Courts released a whitepaper discussing the use of blockchain technologies for criminal history records [9]. Since originally conceived in the early 1990's, blockchain has evolved into the technical capability that serves as the foundation for virtually all cryptocurrencies by tracking transactions in a way that virtually eliminates the possibility of tampering. Blockchain

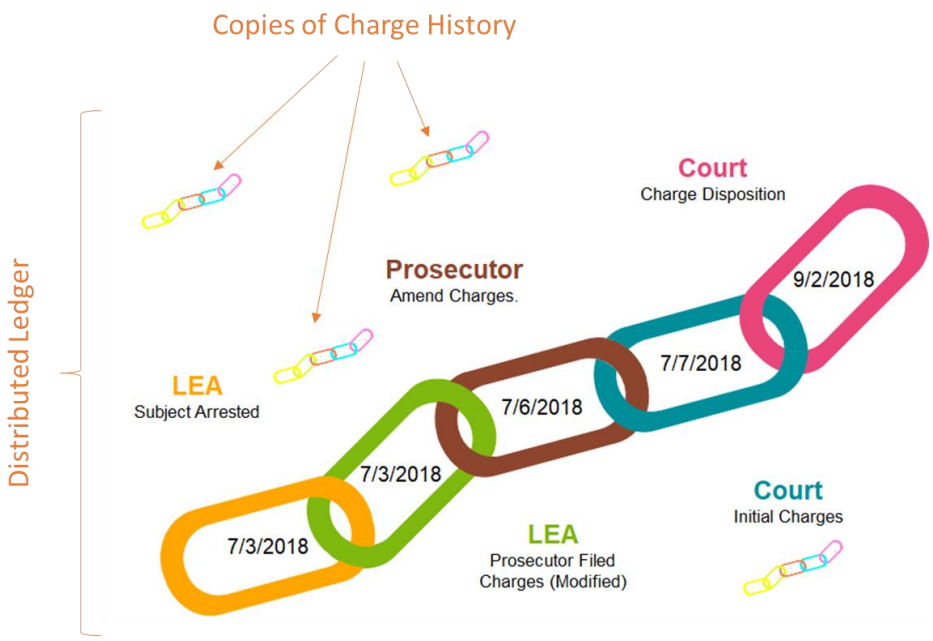



Figure 5 - Charge Blockchain

[9] https://www.ncsc.org/~/media/Microsites/Files/Trends%202018/When-Might-Blockchain-Appear.ashx

operates on a concept called a Distributed Ledger. This Distributed Ledger allows a series of transactions to be synchronized across multiple computers in a highly decentralized environment. Based on our preliminary research, this concept would adapt itself well to Arizona's distributed, decentralized criminal justice environment. Each blockchain would maintain details about:

- Changes in a record;
- The authority and authenticity of the party who made changes to that record;
- The date and time when those changes were made.

Blockchain is highly secure in that it creates *multiple* copies of every encrypted record across all interested parties within a criminal justice enterprise. These records are synchronized in near real-time using existing, off-the-shelf Distributed Ledger software. As each chain is updated and synchronized, it is also automatically compared with all other copies of the blockchain and any discrepancies noted.

A detailed whitepaper exploring blockchain technology for criminal history purposes would identify additional advantages and potential issues, evaluate the feasibility of this approach for use in Arizona, and establish a preliminary roadmap for transforming criminal history transaction reporting to this approach.

### 8.3.8 BROADEN MANDATE

In 2013, the Arizona legislature voted to expand Medicaid and make it available to more low-income people, a move championed by the state's former Republican governor, Jan Brewer. In an effort to assist reentry, these benefits were expanded to include incarcerated individuals that are being released from detention. As the person nears their release date, jails are responsible for ensuring that they have been interviewed to determine Medicaid eligibility. Sharing release and some medical information in a HIPAA compliant way would allow services to be better coordinated across multiple medical practitioners. As the ACJC seeks to develop a comprehensive roadmap for building an information sharing environment, it should explore opportunities to share information with these types of traditionally non-criminal justice organizations.

## 8.4 THREATS

### 8.4.1 COST TO IMPLEMENT CAPABILITIES

The cost in both time and resources (human and budgetary) to implement criminal justice systems is significant. Demand for capable technology workers is currently high and many criminal justice organizations are having significant issues with filling open positions. Many organizations are addressing this issue by moving away from custom built software and toward off-the-shelf solutions. However, many of the capabilities offered through statewide criminal justice systems are so specific, and the market so small that off-the-shelf solutions do not exist.

### 8.4.2 CULTURE OF NON-SHARING

Arizona agencies are not used to sharing information electronically. While most will readily share paper documents, there is a significant amount of cultural distrust that must be overcome when sharing that same information electronically. While additional interviews might need to be conducted to determine the root cause for this distrust, one possible reason is the ad hoc nature of many existing systems. Because these systems have been developed outside of a robust and well tested information sharing environment, there is valid concern about the security of information that is shared electronically. These concerns can be overcome through joint, open and honest discussions between stakeholders and implementation of integrated systems that use standard industry protocols that leverage the same information security standards used to share the most sensitive information at the national level.

### 8.4.3 RESISTENCE TO CHANGE

Arizona justice agencies are very paper based and there is little trust in digital records. Arizona must change this culture by moving to a system where data drives the workflow and where information accuracy is high.

### 8.4.4 LACK OF STATUTORY AUTHORITY TO MANDATE SYSTEMS IMPROVEMENT

As discussed earlier, over the past 30 years, the ACJC and other Arizona stakeholders have led a number of initiatives designed to address incomplete dispositions in criminal history. While some progress has been made, the hodgepodge approach taken that relies on short-term funding

and temporary "Band-Aid" fixes means that only minimal improvement has been realized. In many ways, these challenges echo the issues experienced by Colorado in the 1990's.

During that time, felony disposition completion rates in Colorado averaged an abysmal 12%. Legislators were continually frustrated over the inability for criminal justice agencies to take responsibility for managing and maintaining criminal history. However, after explaining the complexities of disposition reporting to key legislators, Colorado House Bill 95-1101 emerged and was passed [10] to create the Colorado Integrated Criminal Justice Information System (CICJIS) and placed responsibility for reporting criminal history with this organization.

In approving and funding the CICJIS, legislators required development of a system that would be capable of tracking the complete life cycle of a criminal case throughout its various stages using uniform data and architectural standards. Critically, the legislation also mandated regular reporting on key performance measures and set a goal of 85% disposition matching by December 21, 2003. Since its initial passage, this legislature has provided ongoing funding to maintain and enhance the CICJIS. Consequently, the CICJIS not only met the 2003 goal, but as of March 2018, adult felony disposition completion is at 98%[11].

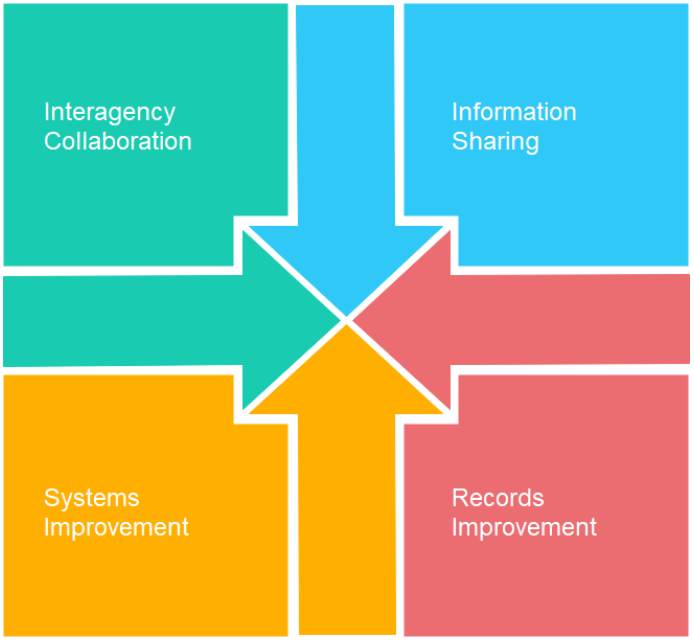
[10] http://cdpsdocs.state.co.us/cicjis/HB%2095-1101.pdf
[11] http://cdpsdocs.state.co.us/cicjis/1803AD.pdf

In many ways, the governance structure of ACJC reflects that of the CICJIS by being "an independent program that relies on the equal participation of [the five CICJIS] agencies". However, ACJC lacks the mandate and funding to improve criminal justice information sharing throughout Arizona.

# 9 STRATEGIC FOCUS AREAS

There are four primary strategic focus areas for CJSIP:

1. Interagency Collaboration
2. Information Sharing
3. Systems Improvement
4. Records Improvement



## 9.1 INTERAGENCY COLLABORATION

### 9.1.1 GOAL: LOCAL, COUNTY AND STATE COLLABORATION

Meet with local practitioners on all ACJC projects to collaborate and improve criminal justice systems, records, and information sharing.

#### 9.1.1.1 OBJECTIVE: EDUCATION

The ACJC will provide education and training on building governance structures, share information regarding available grant opportunities and offer technical assistance, computer based training, webinars, and issue papers. The primary objective will be to educate justice personnel while building consensus, stimulating conversation and awareness.

- **Tactic**: Raise awareness about information sharing and how it has been accomplished in other states through webinars, articles, infographics and computer-based training.
- **Tactic**: Educate Arizona stakeholders about information sharing technologies and strategies through webinars, articles, infographics and computer-based training from their peers.

#### 9.1.1.2 OBJECTIVE: IDENTIFY STAKEHOLDER NEEDS

The ACJC will meet with local and state criminal justice stakeholders to identify information sharing, systems improvement, and records improvement needs and seek opportunities and projects to address the needs of the field.

- **Tactic**: Meet with stakeholders throughout the Arizona justice community to identify issues, develop solutions and maintain discussions throughout the implementation process.
- **Tactic**: Engage local agencies throughout the year by coordinating at least two of the four quarterly NICS Task Force Meetings outside of Phoenix.
- **Tactic**: Involve stakeholder organizations like ACOP and APAAC in project discussions and build support among their constituency.

## 9.2 INFORMATION SHARING

### 9.2.1 GOAL: BUILD STATEWIDE INFORMATION EXCHANGE ENVIRONMENT

Implement the statewide data exchange infrastructure necessary to build an information sharing environment.

#### 9.2.1.1 OBJECTIVE: SERVICE ORIENTED ARCHITECTURE

Develop a plan for creating a statewide Service Oriented Architecture that will support criminal justice data exchange across Arizona.

- **Tactic**: Provide multiple training opportunities for Arizona technical personnel on Service Oriented Architecture and affiliated technologies.
- **Tactic**: Establish a governing body to implement and support a data exchange infrastructure.

- **Tactic**: Develop a comprehensive service inventory by identifying systems throughout Arizona, developing a data model and identify data sharing opportunities and capabilities.
- **Tactic**: Identify service layers and prioritize based on identified dependencies.
- **Tactic**: Define functional and technical requirements for a statewide Enterprise Service Bus.
- **Tactic**: Procure and deploy a statewide Enterprise Service Bus.
- **Tactic**: Develop Memorandums of Understanding (MOUs) for sharing information through services between organizations.
- **Tactic**: Build and deploy a federated identity management system for use by state and local organizations.
- **Tactic**: Build and deploy a privacy server to enforce privacy requirements.

## 9.3 SYSTEMS IMPROVEMENT

### 9.3.1 GOAL: STANDARDIZE CROSS-DOMAIN BUSINESS PROCESSES AND DATA ELEMENTS.

#### 9.3.1.1 OBJECTIVE: CONDITIONS OF RELEASE

Build a statewide system to share conditions of release between courts, law enforcement, and the NICS.

- **Tactic**: Build a system to support sharing conditions of release from court case management systems to information consumers such as prosecutors and law enforcement officers.
- **Tactic**: Report conditions of release that prohibit defendants from possessing firearms to the NICS.

#### 9.3.1.2 OBJECTIVE: STATEWIDE ARREST WARRANT SYSTEM

Build a statewide system for requesting, approving, serving and retrieve arrest warrants.

- **Tactic**: Build web services necessary to support Requesting an Arrest Warrant.
- **Tactic**: Build web services necessary to support the transmission of an approved arrest warrants from the issuing court to the service agency.
- **Tactic**: Build web services necessary to support entry of arrest warrant service information and share that information with NCIC, the issuing court and other Arizona interested parties.
- **Tactic**: Build the utility services necessary to maintain arrest warrants and automatically confirm the status of arrest warrants.

#### 9.3.1.3 OBJECTIVE: STATEWIDE CENTRALIZED CASE INDEX

Build a statewide system that authorized parties can use to retrieve information derived from multiple criminal justice systems and display criminal background information in a single, unified environment.

- **Tactic**: Identify and prioritize criminal justice records for inclusion in this Centralized Case Index.
- **Tactic**: Implement data exchanges to transmit information from the source system into the Centralized Case Index.
- **Tactic**: Utilize off-the-shelf systems to build:
    - On-Demand Reports
    - Status Change Notification Alerts

## 9.4 RECORDS IMPROVEMENT

### 9.4.1 GOAL: IMPROVE CRIMINAL RECORDS QUALITY BY INCREASING THE TIMELINESS, ACCURACY, COMPLETENESS, AND ACCESSIBILITY OF RECORD INFORMATION.

#### 9.4.1.1 OBJECTIVE: ENABLING LEGISLATION

Work with the Arizona legislature to provide funding and define performance objectives for improvement of key criminal justice performance measures such as disposition rates.

- **Tactic**: Introduce legislation that provides the authority for a single organization to mandate modified processes related to criminal history disposition reporting.
- **Tactic**: Introduce legislation that allocates initial and ongoing funding to build and maintain an information sharing environment.

- **Tactic**: Introduce legislation that specifies criminal history disposition performance standards that all justice agencies must meet.

#### 9.4.1.2 OBJECTIVE: IDENTIFY BEST PRACTICES IN CRIMINAL HISTORY

Identify best practices used in jurisdictions with above average charge completion rates

- **Tactic**: Identify jurisdictions with above average charge completion rates.
- **Tactic**: Identify what legislation, processes and technologies those jurisdictions utilize to capture charging information.
- **Tactic**: Establish Arizona working group to discuss these best practices and document how those practices might be implemented in Arizona.

#### 9.4.1.3 OBJECTIVE: EXPLORE LEADING TECHNOLOGY

Identify new capabilities and technologies that might be used to simplify and improve the capture of criminal records information.

- **Tactic**: Research leading technologies like blockchain and how they are being used in private and public enterprise.
- **Tactic**: Develop concept paper discussing how the technology might be used in Arizona to improve the quality of criminal records.
- **Tactic**: Develop a proof of concept system(s) to demonstrate the feasibility of these technologies.

1.

# 10 GLOSSARY

The below table is a list of acronyms used in this strategic report.

| | |
|---|---|
| **ACCH** | **Arizona Computerized Criminal History** |
| **ACJC** | **Arizona Criminal Justice Commission** |
| **ADC** | **Arizona Department of Corrections** |
| **AOC** | **Arizona Administrative Office of the Courts** |
| **CCI** | **Centralized Case Index** |
| **DPS** | **Arizona Department of Public Safety** |
| **ESB** | **Enterprise Service Bus** |
| **JWI** | **Justice Web Interface** |
| **NICS** | **National Instant Criminal Background Check System** |
| **OP/IAH** | **Orders of Protection/Injunctions Against Harassment** |
| **SAC** | **ACJC Statistical Analysis Center** |

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