# IJIS Institute

# NEW ORLEANS
# CRIMINAL JUSTICE INFORMATION SYSTEM
# TECHNOLOGY ASSISTANCE
# ENGAGEMENT REPORT

## Assessment and Recommendations

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| Draft Report | February 2011 |
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BJA Bureau of Justice Assistance

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**U.S. Department of Justice, Office of Justice Programs**
**Funding Opportunities**
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# Acknowledgements

The IJIS Institute acknowledges the work of many people in preparing and implementing this Technology Assistance (TA) engagement. This endeavor, and the many ongoing implementations of the IJIS Institute's TA efforts, would not exist without the full support of the Bureau of Justice Assistance (BJA) of the Office of Justice Programs (OJP) in the U.S. Department of Justice (DOJ). The continuing leadership and guidance of BJA is a key element to the success of the engagement from which the agencies within the City of New Orleans and the New Orleans Police and Justice Foundation will benefit.

The IJIS Institute also acknowledges the leadership and direction of *Michael Geerken, PH.D,* New Orleans Police and Justice Foundation, Inc., *Melanie Talia,* executive director, New Orleans Police and Justice Foundation, and *Allen Square,* CIO, City of New Orleans, and the many supportive participants from the participating agencies involved in the New Orleans criminal justice enterprise for their diligence and hospitality hosting this TA site visit.

The IJIS Institute is grateful for the support of the member companies and their professional representatives who devote time and share their invaluable expertise for the TA service. We particularly thank *Rick Findlay*, PSTG Consulting, *Bona Nasution*, MTG Management Consultants, *Troy Pickett*, Sierra Systems, and *Ralph Russo*, Citizant, for their outstanding work throughout this engagement. This TA engagement would not have been possible without their diligent participation.

The IJIS Institute appreciates the opportunity to have assisted the City of New Orleans and the New Orleans Police and Justice Foundation on this project. We are available for additional assistance and facilitation on any of the recommendations listed in this report.


Steve Ambrosini
Director, Operations
IJIS Institute

# 1. Executive Summary

In August of 2010, the City of New Orleans requested a Technical Assistance (TA) engagement be performed by the IJIS Institute as part of the information sharing and integrated systems strategic planning process currently underway in the New Orleans criminal justice system. The new Mayor and Police Chief, as well as the City and Parish criminal justice representatives who provided valuable contributions to this TA engagement (See Section 1.6.2), are all committed to working cooperatively with the Department of Justice in making reforms that will help strengthen the criminal justice information systems environment for New Orleans.

The IJIS Institute performs TA engagements of this nature for state, local, tribal and territorial governments of the U.S. for the purpose of improving the information sharing capabilities and interoperability of criminal justice information systems. These systems are considered to be an integral support component of the criminal justice and public safety missions of police, prosecution, defense, trial courts, corrections and community supervision agencies.

Further, there is an undeniable connection between the effectiveness of criminal justice information systems and the quality of justice administration. Criminal justice is a "life-critical" decision making ecosystem that relies upon the completeness, accuracy and timeliness of information relevant to persons involved in the criminal justice process. Generally, it can be surmised that the quality of decision making is a direct function of the accessibility and quality of relevant information. Essential to the effectiveness of criminal justice information systems is the ability to share information as part of an integrated information management environment (see Appendix C, "Consequences of Inadequately Integrated Justice Information Systems"). For this reason, the IJIS Institute has been engaged to assist with the Orleans Parish Information Sharing and Integrated Systems (OPISIS) program.

The criminal justice process is complex and multi-dimensional. Many times individuals serve multiple roles or are involved in multiple cases and capacities (same person as a defendant in one case, victim in another case, etc.), all while actively under the supervision of criminal justice agencies in the same jurisdiction. In a jurisdiction the size of New Orleans, criminal justice decision makers must rely upon an information systems environment that simultaneously serves the independence of the many agency missions, while providing integrated support to the critical process interactions and information flows that those same agencies rely upon in making critical decisions.

In the development of the findings and recommendations of this report, specific program objectives, assessed needs, and "best practice" views of information sharing and criminal justice information system integration were used. This included considerations of the information sharing and integration needs to track the process from arrest to disposition, as well as the requirement to share information with criminal justice systems at regional, state and federal levels.

As in many other jurisdictions, breakdowns in justice administration can be attributed to deficiencies in the process interactions and information continuum supporting the movement of person and case information from process to process - as indicated in Figure 1 below. In New Orleans, this is the primary area of need and it is where principles of improvement are most applicable. In general, the primary need and focus of this report addresses the need for the design and implementation of an "integrated" New Orleans Criminal Justice Information

Systems (CJIS) environment. Achievement of this goal is required to both improve the administration of justice in New Orleans, as well as to position the City and Parish to improve information sharing with regional, state and federal criminal justice agencies.
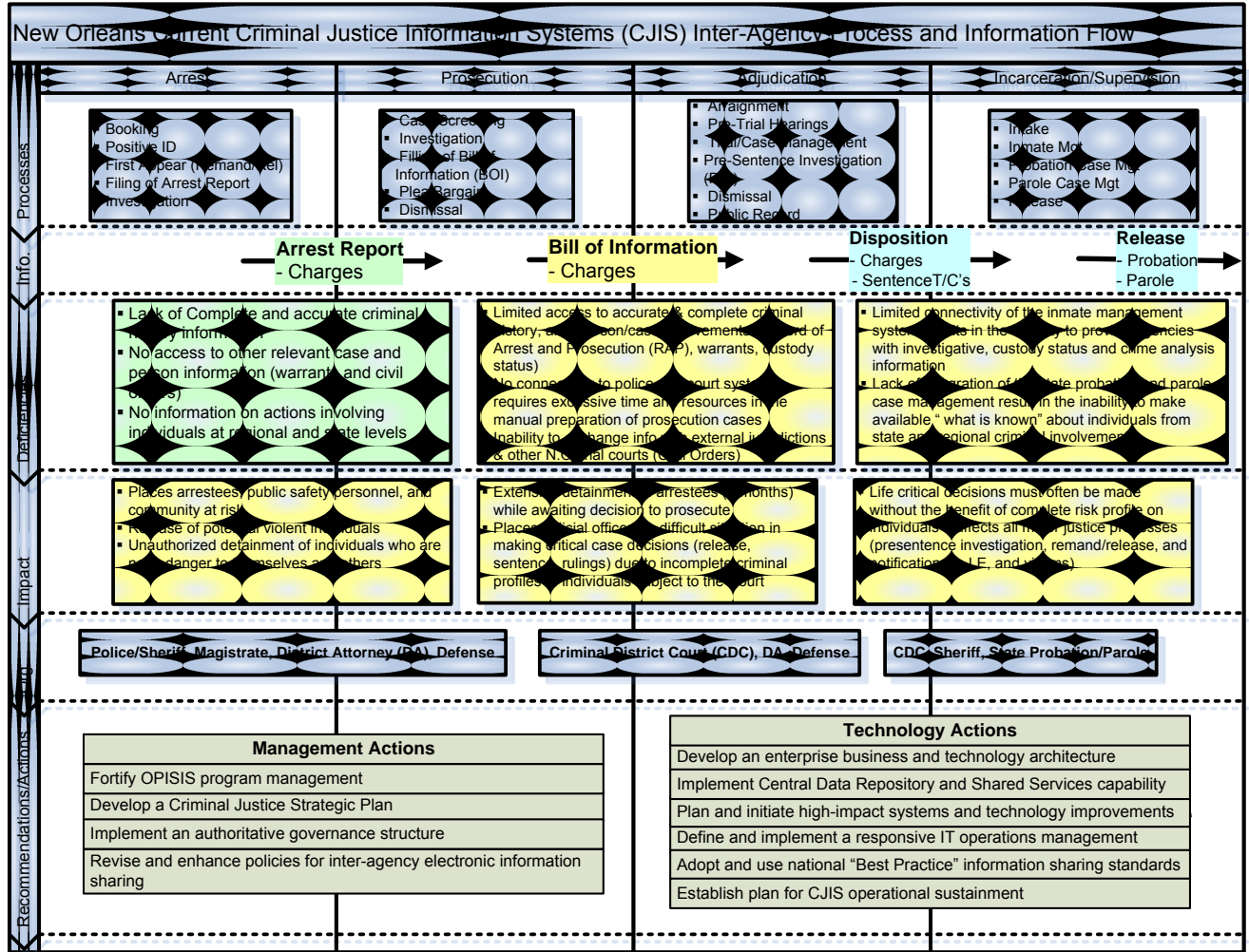


**Figure 1 – Inter-Agency Process and Information Flow**

To improve the quality of justice administration in New Orleans, the future CJIS environment must be able to effectively support information sharing and integration throughout all aspects of the criminal justice process. Today, New Orleans criminal justice agencies struggle with this due to a number of deficiencies in the integration of their information systems. One of the most significant deficiencies found in the course of this engagement was the lack of complete and accurate criminal history information at multiple critical decision points. This will be one of the most important challenges for the New Orleans CJIS design given the challenges of integrating and aligning comprehensive criminal history information across local, state and federal agencies.

Like all jurisdictions responsible for the administration of criminal justice, New Orleans public safety and criminal justice agencies have a need for access to complete and accurate criminal

history information in the majority of their critical decision processes. Criminal history records on individuals are kept at the local, state and federal levels by the appropriate law enforcement and/or criminal justice authorities to create a "comprehensive" view of an individual's criminal background – typically referred to as: Records of Arrest and Prosecution (RAP Sheets).

A single, comprehensive RAP sheet is difficult to create for many reasons:

♦ Incomplete information because dispositions of arrests are not reported by the local jurisdictions in concert with the prosecution and adjudication of arrest charges

♦ Different agencies involved in the arrest and booking of individuals, and the associated arrest information

♦ Multiple databases at the federal, state and local levels and variations in levels of crime (felony, misdemeanor, traffic) reported

♦ Multiple policies and forms of criminal history records kept by state (where career criminals can have RAP sheets crossing jurisdictional and state boundaries)

♦ Problems with proper identification of arrestees and defendants

♦ Problems with reporting and recording post-arrest charges generated by the prosecutor or court process

In the current New Orleans environment, the challenges begin with the completeness and accessibility of RAP sheet data. Today, the New Orleans Police Department (NOPD) is the primary arresting agency. While other agencies have arrest power (Orleans Parish Sheriff's Deputies), criminal arrests are almost exclusively performed by NOPD. The Sheriff's department, however, is integral to the arrest process in that they are responsible for the booking and positive identification of individuals arrested. In this process, Sheriff's deputies will perform national criminal history inquiries via the FBI's National Criminal Information Center (NCIC), as well as perform all criminal history, active warrant and other relevant checks.

The NOPD is responsible for establishing and recording the arrest charges as part of the arrest process. These charges are then available to the District Attorney (DA) for screening and determination of action. The DA will either: file a Bill of Information (BOI) with the original arrest charges; file a Bill of Information with modified charges; or dismiss all charges using the Screening Action Form. In this process, the DA will rely upon the police report, as well as future investigative information brought forth by the police and its own investigators. In all cases, the arrest charges as presented in the Arrest Report must be preserved, with the results of all actions by the DA captured as the prosecution charges.

The charges established by the DA will then be adjudicated by plea agreement or the trial process in the Court of general jurisdiction. These dispositions also signify the closure of criminal cases by the state against individuals charged of crimes having established guilt or innocence. For more than ten years in New Orleans, the recording of these dispositions by the DA and Court has been deficient, resulting in the inability to effectively provide complete local RAP Sheet data to criminal justice agencies. This has also further complicated the ability of the

New Orleans criminal justice system to maintain continuity with state and federal criminal history records.

Another related challenge in the absence of an integrated CJIS environment, is the lack of integration of the warrant management process in New Orleans. Warrants are issued by the Court and served by the police and sheriff. The warrant information is entered into the MOTION system and manually updated on a transaction basis. Problems encountered due to the lack of integration in this area can manifest in the form of release of dangerous individuals, or the unwarranted detention of someone whose warrant has already been served and should have been recalled. In New Orleans, as in many jurisdictions, this issue leads to a regularity of misinformed decisions, any one of which can cause harm to citizens and public safety personnel and result in significant cost to the City and Parish.

In view of these and other challenges, the TA consultant team developed a series of findings and recommendations aimed at assisting New Orleans criminal justice and information technology leadership with these challenges. The purpose of this effort was to gain a focused understanding of the critical information sharing and integration needs of these agencies, and to provide guidance toward an integrated New Orleans CJIS environment.

## 1.1.    Findings and Recommendations

In general, the TA Team concluded that the current criminal justice information systems environment in New Orleans does not effectively support information sharing and integration. Historically, criminal justice applications have addressed individual departmental needs versus multi-agency level needs. While departmental needs are of high importance, they should not supplant the multi-agency information sharing and integration goals for New Orleans CJIS. This TA engagement was requested to address the challenges of shifting the focus to recognize the importance of these broader goals.

Over the past three years, several projects have been initiated to improve information sharing, integrate critical application services, modernize technology, and improve process and operations. Most notable is the cross-agency collaboration fostered by the Orleans Parish Information Sharing and Integrated Systems (OPISIS) program. The OPISIS program has provided a venue where leaders from justice and public safety agencies can prioritize initiatives, oversee progress, and share ideas on problem solving.

The OPISIS program was developed through a partnership of key New Orleans criminal justice agencies with the New Orleans Police and Justice Foundation (NOPJF).  NOPJF has provided program management and technical consultancy to the OPISIS program, helping criminal justice agencies achieve unprecedented cooperation across the City and Parish since the establishment of the program. Functioning as the governance and mediation point for information sharing, OPISIS leadership continues to foster a high-functioning, collaborative environment between participating stakeholders. This has been identified by the TA Team as a significant accomplishment in achieving an integrated justice information systems environment, and represents an important hurdle being cleared for any program of this nature. OPISIS should continue as the program through which the oversight and project management for integrated New Orleans CJIS are managed.

In the course of conducting the engagement, a volume of issues and challenges were documented and are included in this report. As a result, a set of findings and recommendations were developed addressing a full range of information sharing issues. While these recommendations may not address all needs of the current New Orleans environment, they have been developed in view of the need to optimally focus limited resources within a limited time frame. It is further recommended that the OPISIS program, along with the New Orleans criminal justice agencies and City Information Technology and Innovation (ITI), accept the following recommendations as discrete measures of an effective transition.

| Summary of Findings and Recommendations | |
| --- | --- |
| **Summary Findings** | **Summary Recommendations** |
| **The OPISIS program is effectively providing the project management office (PMO)** for integrated CJIS projects. The program has effectively launched the future New Orleans CJIS environment through a partnership of New Orleans criminal justice agencies and the New Orleans Police and Justice Foundation (NOPJF). The success of OPISIS needs to be preserved and enhanced to meet the future program and project management needs. | **Fortify OPISIS program management foundation** and continue to empower program leadership through a sustained partnership with the NOPJF. Engage the City leadership with the NOPJF in managing the three year transition via the OPISIS Executive Board and Technology Committee. |
| **There is no active Criminal Justice Strategic Plan** for New Orleans CJIS. This TA engagement has helped to demonstrate the importance of an authoritative criminal justice strategy as a key driver for New Orleans CJIS. Lack of this plan risks a disconnection in leadership perspectives on priorities and decision making. | **Develop a Criminal Justice Strategic Plan** to provide overarching direction to the OPISIS program, as well as a future CJIS strategic IT plan. |
| **The OPISIS governance authority is informal and is likely to become inadequate** for the direction of policy and future technical decision making. This lack of a more structured governance authority can expose the OPISIS program to potential delays or disruption due to the lack of an official authority for resolving challenges to program priorities and decisions. | **Implement an authoritative governance structure** aligning the OPISIS program management with the direction of the Criminal Justice Strategic Plan and the future CJIS strategic IT plan. |
| **No written policy is in place addressing the "electronic" sharing of information** and enterprise data administration for an integrated CJIS environment, including standard rules of engagement for participation in the OPISIS program. Continued absence of policy can potentially inhibit future information sharing partnerships among agencies. | **Revise and enhance policies for inter-agency electronic information sharing** of CJIS information specific to the form, content and administration of data to be shared among participating agencies, including a common and agreed upon set rules of engagement for participation in the OPISIS program. |
| **No enterprise architecture or standards** are in place expressing an integrated New Orleans CJIS | **Design a CJIS enterprise business and technology architecture** that helps to ensure the integration of |

| | |
|---|---|
| design, and ensuring the effective and efficient implementation of new application and technology solutions that are designed to support future information sharing and integration goals. | future application and technology solutions, that leverages OPISIS investments to date (i.e. Data Exchange Server (DES) shared services model), and that addresses a mix of shared, federated, point-to-point and individual agency information sharing and integration needs. |
| **Key systems are unable to provide authorized access to complete and accurate information** at critical decision points. This is putting the community, as well as the persons involved in the New Orleans criminal justice process at risk. This deficiency will continue to hamper the effective, equal and fair administration of justice in New Orleans. | **Implement Central CJIS Data Repository and Shared Services capability** to support sharing of information of common need (person/case involvements) for all New Orleans criminal justice agencies – building upon the DES services.<br><br>**Plan and initiate high-impact systems and technology improvements** to address short term process improvement and long term future integrated CJIS needs associated with the processing of individuals from arrest to disposition. |
| **Lack of IT management standards and limited skilled IT resources** to support a future integrated New Orleans CJIS environment exists. This includes both the City's central IT and the agency IT organizations responsible for managing IT environments. This can inhibit progress in future OPISIS implementations, as well as the sustainability of future CJIS operations. | **Define and implement a responsive IT operations management** model ensuring that the capacity of the technology infrastructure, and responsive IT resources required to support an integrated CJIS environment, are in place and in alignment and in alignment with the City ITI Strategic Technology Plan. |
| **Absence of national standards and best practices in information sharing** can reduce the effectiveness and efficiency of OPISIS implementations, specifically in the shared services area, as well as potentially increase the cost of future information sharing and interoperability programs with other jurisdictions. | **Adopt and use national "Best Practice" information sharing standards** in the design of the New Orleans CJIS enterprise architecture and in the development of future information exchange capabilities supporting information sharing needs among New Orleans CJIS applications. |
| **No funding plans or commitments** to the OPISIS program and/or to support the future New Orleans CJIS environment are in place. OPISIS program funding, as well as support for the CJIS environment is financially stressed and unsustainable. Future program and operations costs must be understood and anticipated to avoid disruptions in progress. | **Establish plan for CJIS operational sustainment**, including the funding and technical stewardship of the OPISIS program deliverables and on-going CJIS operations, including an investment strategy for replacing costly legacy technologies supporting the current CJIS environment. |

### Table 1 – Summary of Findings and Recommendations

The time frame anticipated for executing these recommendations recognizes a three-year horizon, during which time it is recommended that the OPISIS program and participating agencies accept a mission focused on transition of the program to a more permanent status. These actions are intended to fully encompass the 18 individual recommendations described in

section 5 of this report. See Figure 2 below for a depiction of the overall timeline for carrying the actions and recommendations to achieve this transition.

| New Orleans CJIS Transition Timeline | PG= Policy and Governance<br>BPO = Business Process and Operations<br>ST = Systems and Technology | FNI = Facilities and Network Infrastructure<br>MR = IT Management and Resourcing |
|---|---|---|
| Year 1 (2011-2012) | Year 2 (2012-2013) | Year 3 (2013-2014) |
| **Fortify OPISIS Program Management Foundation** | | |
| PG-1: Develop Criminal Justice Strategic Plan | | |
| PG-2: Implement Authoritative Governance Structure | | |
| **Revise and Enhance Policies for Inter-Agency Electronic Information Sharing** | | |
| PG-3: Implement OPISIS Participation Agreement | | |
| **Develop CJIS Enterprise Business and Technology Architecture** | | |
| ST-1: Design Enterprise Architecture Model | | |
| FNI-1: Implement CJIS Technical Architecture (Infrastructure) | | |
| MR-1: Define and Implement Enterprise Technology Policy | | |
| **Implement Central CJIS Data Repository and Shared Services** | | |
| ST-2: Enhance "DES" Capabilities | | |
| **Plan and Initiate High-Impact Systems and Technology Improvements** | | |
| BPO-1: Improve Critical Decision Processes | BPO-2: Manage Process Transformation | |
| ST-3: Continue OPISIS Projects | | |
| | ST-4: Modernize Core CJIS Applications – Police RMS (MOTION) | |
| | ST-5: Modernize Core CJIS Applications – Criminal Court CMS (LCC) | |
| | ST-6: Manage Enterprise Integration of CJIS Applications | |
| **Define and Implement Responsive IT Operations Management** | | |
| MR-2: Develop IT Mgt Requirements and Performance Measurements | FNI-2: Establish Infrastructure and Operations Policies and Guidelines | |
| | MR-3: Adopt and Use National Information Sharing Standards | |
| **Establish Plan for CJIS Operational Sustainment** | | |
| | MR-4 Develop CJIS Operations Sustainability Requirements | |
| | PG-4: Develop OPISIS/CJIS Funding Plan | |

**Figure 2 – Transition Time Line**

It is important to note the inherent assumption regarding the roles of the NOPJF and the City's department of Information Technology and Innovation (ITI). City ITI will play a critical role in the OPISIS program as the central IT management organization that will provide IT maintenance and support services for the future integrated CJIS environment. The NOPJF currently provides vital services across the OPISIS program, including as a liaison to the City ITI. As an OPISIS funding resource, program manager, and technical consultant, the NOPJF should continue to play an essential role working in partnership with the City and the New Orleans criminal justice community in advancing the OPISIS program.

Sustainable progress in an integrated CJIS mission takes time, energy and dedication. The City of New Orleans and Orleans Parish criminal justice and public safety agencies have shown a strong willingness and ability to rise to that occasion through OPISIS. As observed by the TA

Team, a spirit of collaboration, along with a recognized common need to share information and work together, has been the cornerstone of the program's success.

## 1.2.    Background

Shortly after Hurricane Katrina, the NOPJF used federal funding to sponsor the creation of the OPISIS program. OPISIS initiatives promote public safety and justice through the implementation of shared applications, information exchanges, and IT capacity for New Orleans criminal justice agencies.

In August of 2006, the IJIS Institute conducted a TA site visit to assess the technological environment of the criminal justice system of Orleans Parish and provided a report with recommendations for feasible approaches to integrating key criminal justice information systems and enhancing information sharing and data exchange. According to the NOPJF, the report provided valuable input to the OPISIS strategic planning process.

Since the 2006 IJIS Institute TA engagement, the OPISIS program has resulted in an unprecedented level of cooperation among criminal justice executives and their technology staffs, and has successfully implemented a number of information sharing projects. Given the experience gained in the last four years, and given the new city administration's interest and support, the City is planning to take a fresh look at their long and short-term goals, and to develop a coherent and realistic enterprise-wide model for their CJIS compliance with national standards. This TA engagement was requested to define, in detail, the steps needed for realizing that model.

The scope of the engagement encompassed an enterprise review of the City of New Orleans and Orleans Parish CJIS environment, and involved two TA site visits to specifically address challenges with enabling information sharing and data exchange. Areas of focus included:

♦ Confirmation of short-term and long-term information sharing and integration goals

♦ An assessment of current IT systems, technology, projects, and plans

♦ A review and update of the justice enterprise model

♦ The development of a strategy for alignment with national information standards

♦ An update of IT project implementation priorities and planning

Following the onsite reviews, the IJIS Institute has supplemented this TA Engagement Report with appropriate and applicable recommendations regarding network structure and security processes and procedures.

## 1.3.    Structure of the Document

This document includes six sections. This section (Section 1), introduces the engagement and the structure of the document. It also includes the Executive Summary (Section 1.1) and other specifics of the engagement. Other sections include:

♦ Engagement Methodology - **Section 2**

♦ Current Situation Assessment – **Section 3**

- Needs Analysis – **Section 4**
- Recommendations – **Section 5**
- Actions and Initiatives – **Section 6**

Where applicable, issue areas were examined in the sections defined above, included:

- Policy and Governance (PG)
- Business Process and Operations (BPO)
- Facilities and Network Infrastructure (FNI)
- Systems and Technology (ST)
- IT Management and Resourcing (ITMR)

Section 2 of this report includes a description of the methodology followed by the TA team. The methodology provides a view of the multiple perspectives on various project life cycles and issue areas affecting, and/or potentially affecting, City of New Orleans and Orleans Parish criminal justice agencies with regard to information sharing and system integration.

In Section 3 of this report, the Current Situation Assessment observations of the TA Team are captured by each issue area. These observations are based upon documentation reviews, onsite demonstrations, and staff interviews. In considering the information sharing challenges that lie ahead for the City and Parish of New Orleans criminal justice enterprise, various needs were identified as the team performed a gap analysis between the current situation and the integration and information sharing objectives sought.

In Section 4 of this report, the TA Team documented the results of the Needs Analysis and identified the most critical needs that are described by each issue area.

A set of recommendations is included in Section 5 of this report addressing each applicable issue area. In summary, it is clear that the City and Parish of New Orleans and the NOPJF are committed to move to the next step in expanding their information sharing application and technology environment, and apply national standards within their criminal justice IT environment. It is important to note that this will be a most challenging effort. Extensive electronic information sharing has challenged many jurisdictions for decades; this is primarily because it requires that independent justice agencies periodically balance departmental needs with the broader needs of the law enforcement and justice enterprise. Successful integration programs have understood and defined the value of shared investment to both the missions of the law enforcement and justice enterprise and to the missions of their individual departments.

The TA Team has developed a set of actions and initiatives crossing the expanse of issue areas. Herein, "Actions" represent key objectives to be achieved and "Initiatives" represent long-term operational implementations. More information can be found in Section 6 which supplies cross-references to recommendation details contained in Section 5 of this report.

## 1.4.    The Need for Technology Assistance

The IJIS Institute received the request for TA from the City of New Orleans and the NOPJF and worked quickly in defining the specifics of the engagement. A TA Questionnaire was completed and reviewed by the participating criminal justice agencies and, subsequently, a Letter of Agreement (LOA) was negotiated jointly authorizing the TA engagement.

As defined in the LOA, the primary goals of this TA engagement are to assist the City of New Orleans and Orleans Parish by addressing the challenges with enabling information sharing and electronic data exchange.

## 1.5.    Technology Assistance Scope and Constraints

The IJIS Institute TA Team performed a site visit for the City of New Orleans and Orleans Parish the week of September 27-October 1, 2010, and again the week of October 18-22, 2010. A series of meetings with key project managers, stakeholders, and technical staff occurred during this time. These activities were necessary to complete the scope of work as outlined in the IJIS Institute Letter of Agreement (LOA), which is included in Appendix A.

The IJIS Institute TA Team, working in collaboration with the New Orleans Police and Justice Foundation (NOPJF), executed a progressive approach to conducting this TA engagement. The team followed a comprehensive methodology that included the documentation of multiple perspectives on several issue areas affecting, and/or potentially affecting, the City of New Orleans and Orleans Parish criminal justice and public safety agencies.  This TA Report presents results of these efforts as developed during two 4-day site visits which included interviews with the following justice and public safety agencies.

- New Orleans Police Department
- Orleans Parish Criminal Sheriff's Office
- Orleans Parish Criminal Court
- Orleans Parish District Attorney
- Office of Indigent Defender Program
- Orleans Parish Criminal District Court
- Orleans Parish Municipal and Traffic Court
- Orleans Parish Juvenile Court
- Orleans Parish Communications District (9-1-1/CAD)
- New Orleans Fire Department

The TA Team, including the NOPJF, also conducted interviews and discussions with the Chief Information Officer (CIO) and other members of the City Department of Information Technology and Innovation (City ITI).

Specific activities that were performed by the TA Team included:

- Problem definition
- Current situation assessment
- Needs analysis
- Recommendations
- Actions and initiatives

The key scheduled events and respective dates on which the events occurred are as follows:

- Issue Call for Consultants                                                    August 23, 2010

♦ Client Conference Call – Confirm TA Scope                September 2, 2010
♦ Consultant Selection by the IJIS Institute               September 13, 2010
♦ Client to Provide Preparatory Documentation              September 13, 2010
♦ Preparatory Conference Call with Client                  September 17, 2010
♦ Client Site Visit 1                                      September 27, 2010
♦ Preliminary Findings – Client Site Presentation          October 1, 2010
♦ Client Site Visit 2                                      October 18, 2010
♦ Preliminary Recommendations – Client Site Presentation   October 22, 2010
♦ Draft TA Report Submission                               December 3, 2010
♦ Final Draft Report Submission                            December 31, 2010
♦ Final Report Submission                                  January 31, 2011

The TA Team conducted the two TA engagements each as a four-day, onsite engagement, followed by consultant team analysis and the generation of a TA Report. This document will provide the City of New Orleans and the NOPJF with relevant recommendations in the areas of organizational governance, information sharing methodology, strategic planning processes, and technology enablement and enhancements.

## 1.6.    Technology Assistance Team

The team selected for this engagement included four representatives from IJIS Institute Member companies. The team was selected from a group of candidates based upon the requirements of this engagement and the applicability of skill sets and experience offered, both individually and as a team. The team composition was augmented with the presence and guidance of the IJIS Institute's director of operations and manager of industry relations.

The IJIS Institute provided a team of experts in law enforcement, justice, and public safety system integration, network design, and IT security practices for this engagement. These consultants represented a consortium of IJIS Institute Member companies that possess the required experience and expertise in: law enforcement, justice, and public safety domains, as well as in overall IT strategic planning applying relevant technologies and product sets, and the applicable information sharing standards and capabilities.

The team was coordinated by an onsite IJIS Institute engagement manager in accordance with the BJA-approved IJIS Institute Technical Assistance delivery methodology.

### 1.6.1  TA Team

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## 1.6.2  Participating New Orleans Staff

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Camille Buras
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Steve Gordon
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Louis Ivon
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Terrie Guerin
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# 2. Engagement Methodology

The IJIS Institute used a comprehensive methodology and approach in the execution of this TA engagement. Figure 3 illustrates the components of this methodology by <u>major issue areas</u> and <u>TA life cycle activities</u>. While all of these components are not always equally applicable to any single TA engagement, all were considered when preparing for this specific engagement. However, for this onsite visitation and report, all major issue areas, inclusive of *Policy & Governance, Business Process &Operations, Systems & Technology, and Facilities & Network Infrastructure* were applicable. Life cycle activities found to be applicable in this case included *Current Situation Assessment, Needs Analysis, Recommendations, and Actions & Initiatives*. Those rectangles shown in the following diagram with bold borders identify the processes completed in the execution of this TA.
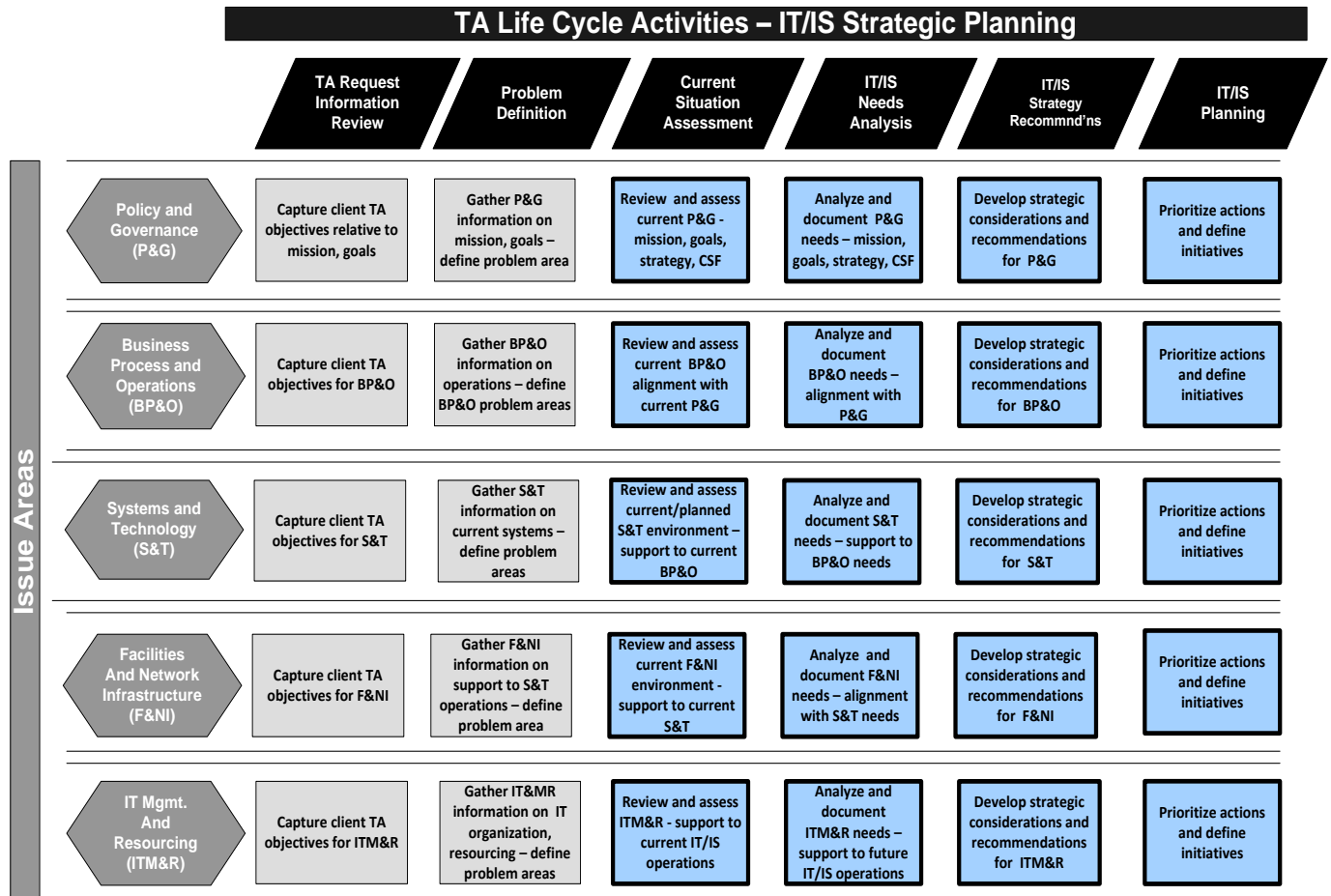
| **TA Life Cycle Activities – IT/IS Strategic Planning** | | | | | |
|---|---|---|---|---|---|
| **TA Request Information Review** | **Problem Definition** | **Current Situation Assessment** | **IT/IS Needs Analysis** | **IT/IS Strategy Recommnd'ns** | **IT/IS Planning** |
| **Policy and Governance (P&G)** | | | | | |
| Capture client TA objectives relative to mission, goals | Gather P&G information on mission, goals – define problem area | Review and assess current P&G - mission, goals, strategy, CSF | Analyze and document P&G needs – mission, goals, strategy, CSF | Develop strategic considerations and recommendations for P&G | Prioritize actions and define initiatives |
| **Business Process and Operations (BP&O)** | | | | | |
| Capture client TA objectives for BP&O | Gather BP&O information on operations – define BP&O problem areas | Review and assess current BP&O alignment with current P&G | Analyze and document BP&O needs – alignment with P&G | Develop strategic considerations and recommendations for BP&O | Prioritize actions and define initiatives |
| **Systems and Technology (S&T)** | | | | | |
| Capture client TA objectives for S&T | Gather S&T information on current systems – define problem areas | Review and assess current/planned S&T environment – support to current BP&O | Analyze and document S&T needs – support to BP&O needs | Develop strategic considerations and recommendations for S&T | Prioritize actions and define initiatives |
| **Facilities And Network Infrastructure (F&NI)** | | | | | |
| Capture client TA objectives for F&NI | Gather F&NI information on support to S&T operations – define problem area | Review and assess current F&NI environment - support to current S&T | Analyze and document F&NI needs – alignment with S&T needs | Develop strategic considerations and recommendations for F&NI | Prioritize actions and define initiatives |
| **IT Mgmt. And Resourcing (ITM&R)** | | | | | |
| Capture client TA objectives for ITM&R | Gather IT&MR information on IT organization, resourcing – define problem areas | Review and assess ITM&R - support to current IT/IS operations | Analyze and document ITM&R needs – support to future IT/IS operations | Develop strategic considerations and recommendations for ITM&R | Prioritize actions and define initiatives |

**Figure 3 - IJIS Institute Technology Assistance Methodology**

## 2.1. Purpose and Objectives

The goal of this engagement is two-fold:

♦ To gain a clear understanding of the City of New Orleans and  Orleans Parish criminal justice enterprise situation, including goals, critical needs, and priorities for information sharing

♦ Make recommendations to assist the City of New Orleans and the NOPJF in preparing for CJIS strategic planning

The objectives for achieving these goals are:

♦ To capture and understand the current and planned criminal justice workflow and technology environment within the City of New Orleans and Orleans Parish

♦ To analyze these findings relevant to the development of an enterprise-wide information sharing capability in New Orleans

♦ To provide comprehensive recommendations for achievement of the City of New Orleans, Orleans Parish, and the NOPJF information sharing goals

## 2.2.    Major Activities

This engagement was executed via a progressive set of TA review and assessment life cycle activities, integrating multiple issue areas affecting the New Orleans criminal justice environment and leading to the development of a set of recommended actions and initiatives. Each of these applicable life cycle activities is represented respectively in Sections 3, 4, 5, and 6 of this report. Further, each applicable life cycle activity addresses a series of specific issue areas consistent with that depicted in Figure 1, the TA Methodology, including:

♦ Policy & Governance

♦ Business Process and Operations

♦ Facilities and Network Infrastructure

♦ Systems and Technology

♦ IT Management and Resources

### 2.2.1  Current Situation Assessment

The current situation assessment was performed to capture the observations of the consultant team. This assessment was conducted via preliminary conference calls, documentation reviews, as well observations made during the two onsite engagements. The results of these observations are contained in Section 3 of this report.

### 2.2.2  Needs Analysis

The results of this phase include definition of the general and summary needs for future integrated New Orleans CJIS environment. The analysis performed provides the transition from the findings from the current system assessment to the recommendations. The analysis is contained in Section 4 of this report.

### 2.2.3  Recommendations

Following the onsite engagements, the consultant team developed a set of recommendations to help support the City of New Orleans' and the NOPJF's mission and goals, Section 5. These recommendations address the needs identified in the Needs Analysis step, and include various relevant issues such as: policies, standards, high-priority information sharing objectives, and, where applicable, specific issues discovered during this engagement.

### 2.2.4  Actions and Initiatives

The final activity was to summarize the recommendations into a series of actions and, where appropriate, define new actions and initiatives to manage, as described in Section 6. These have been organized into priority tiers, labeled by issue area names consistent with the TA Methodology, and cross-referenced to the paragraph in the Recommendations Section (Section 5). Each set of action items will be prioritized within each tier and have been focused on achieving the most critical objectives in a logically-sequenced approach.

### 2.2.5  Key Deliverables

This engagement includes three major deliverables:

♦ A draft report for presentation to the OPISIS agencies for review and comment

♦ A final report representing the assimilated viewpoints of the TA Team, NOPJF, and the Bureau of Justice Assistance (BJA)

♦ A final conference call with OPISIS representatives to review and discuss details of the recommendations, and to develop "next actions" for execution of recommendations

# 3. Current Situation Assessment

This section presents findings the TA Team developed during the Current Situation Assessment Life Cycle phase of the TA engagement. The initial observations were gathered during the four-day, high-level review of the "as is" state of New Orleans CJIS environment to gain an understanding of the current situation, and to identify critical information sharing and integration needs. The first week of onsite activity was completed October 1, 2010.

In general, the TA Team concluded that the criminal justice systems in New Orleans have been historically focused on addressing local departmental needs versus enterprise information and integration. This has resulted in promise, yet substantial concern for the future of the New Orleans CJIS environment.

Over the past three years, several projects have been underway to improve information sharing, integrate critical application services, modernize technology, and improve process and operations. Most notable is the cross-agency collaboration fostered by the OPISIS program. OPISIS has provided a venue where leaders from justice and public safety agencies can prioritize initiatives, oversee progress, and share ideas on problem solving.

The OPISIS program has been successfully managed through a partnership of New Orleans criminal justice agencies with the NOPJF, which has provided program management and technical consultancy to the OPISIS program - see them at www.nopjf.org/about/aboutus.asp. This partnership has achieved unprecedented cooperation across the City and Parish since the establishment of the program.

Although notable progress has been made by the OPISIS program (see Section 3.2.1), there remain substantial needs for improvement in the New Orleans CJIS environment as indicated in the summary of findings below. Until these issues are addressed, criminal justice decision makers will continue to encounter deficiencies in the processing of individuals who are subject of the New Orleans criminal justice process.

<u>**Summary of Findings**</u>

♦ The OPISIS program is effectively providing the Project Management Office (PMO for integrated CJIS projects. The program has effectively launched the future New Orleans CJIS environment through a partnership of New Orleans criminal justice agencies and the NOPJF, and should continue to be the PMO for CJIS improvements going forward

♦ There is no active Criminal Justice Strategic Plan for New Orleans CJIS. This TA engagement has helped to demonstrate the importance of an authoritative criminal justice strategy as a key driver for New Orleans CJIS. Lack of this plan risks a disconnection in leadership perspectives on priorities and decision making.

♦ The OPISIS governance authority is informal and is likely to become inadequate for the direction of policy and future technical decision making. This lack of a more structured governance authority can expose the OPISIS program to potential delays or disruption due to the lack of an official authority for resolving challenges to program priorities and decisions.

♦ No written policy is in place addressing the "electronic" sharing of information and enterprise data administration for an integrated CJIS environment, including standard rules of engagement for participation in the OPISIS program. Continued absence of policy can potentially inhibit future information sharing partnerships among agencies.

♦ Key systems are unable to provide authorized access to complete and accurate information at critical decision points. This is putting the community, as well as the persons involved in the New Orleans criminal justice process at risk. This deficiency will continue to hamper the effective, equal and fair administration of justice in New Orleans. The inability to provide authorized access to complete and accurate information at critical decision points is putting the community, as well as the persons involved in the New Orleans criminal justice process at risk. This deficiency will continue to hamper the effective, equal and fair administration of justice in New Orleans.

♦ Lack of IT management standards and limited skilled IT resources to support a future integrated New Orleans CJIS environment exists. This includes both the City's central IT and the agency IT organizations responsible for managing IT environments. This can inhibit progress in future OPISIS implementations, as well as the sustainability of future CJIS operations.

♦ Absence of national standards and best practices in information sharing can reduce the effectiveness and efficiency of OPISIS implementations, specifically in the shared services area, as well as potentially increase the cost of future information sharing and interoperability programs with other jurisdictions.

♦ No funding plans or commitments to the OPISIS program and/or to support the future New Orleans CJIS environment are in place. OPISIS program funding, as well as support for the CJIS environment is financially stressed and unsustainable. Future program and operations costs must be understood and anticipated to avoid disruptions in progress.

These issues will continue to make it extremely difficult for criminal justice administrators and professionals to deliver a high quality of justice in New Orleans. In fact, taking on the challenge of improvement across this spectrum of issues must be carefully considered from both technical viability and financial feasibility perspectives.

Through the OPISIS program, awareness of certain deficiencies in the current CJIS environment have now been brought to the forefront as evidenced by the level of awareness exhibited by those interviewed during this engagement (see Section 3.2.2). The TA Team found OPISIS to be a key influencer in the agencies' decisions for an integrated justice system. The program's mission, scope, and goals are described in the OPISIS Strategic Plan document (located in Appendix D). The following diagram (Figure 4) illustrates the active systems and OPISIS projects comprising the current criminal justice information systems environment.
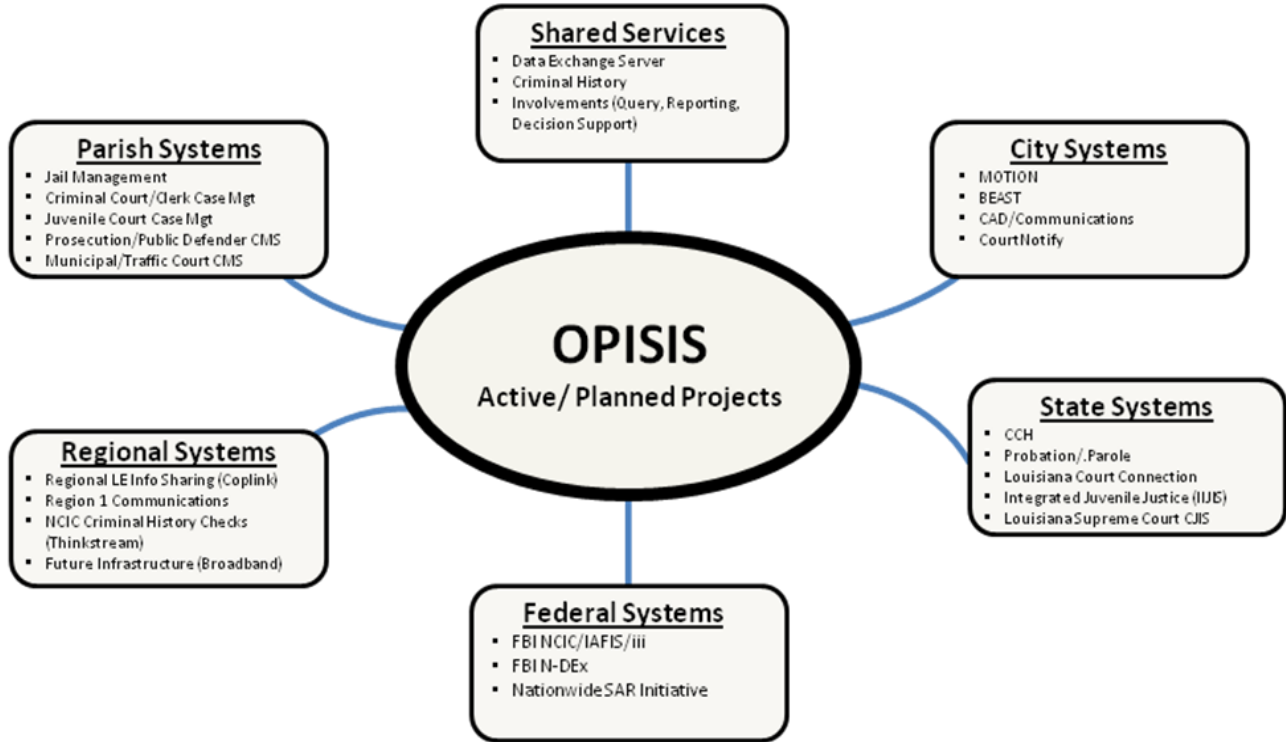
**Figure 4 – New Orleans Criminal Justice Information Systems Current Environment**

The OPISIS program facilitates the planning, development, implementation, and project management of the various active information sharing projects within the New Orleans criminal justice environment. Functioning as the governance and mediation point for information sharing, OPISIS leadership continues to foster a high-functioning, collaborative environment between participating stakeholders. This has been identified by the TA Team as a significant accomplishment in achieving an integrated CJIS environment, and represents a major hurdle being cleared for any program of this nature.

Interviews were held with each of the participating OPISIS agencies, including policy and technical representatives from all agencies, as well as representatives from the State Office of Probation and Parole, and the Louisiana District Attorneys Association. Specific fact-finding interviews were also conducted with several City and Parish agencies as well as with the Louisiana Supreme Court. The findings relative to these interviews are provided in the context of the following issue areas.

## 3.1.   Policy and Governance

Policy and governance of the overall New Orleans CJIS environment was non-existent prior to the initiation of the OPISIS program approximately four years ago. Since that time, the OPISIS program has evolved as projects have been funded and implemented. Management of these projects has been the result of an informal set of policy and working committees: the OPISIS Executive Board, which is comprised of leaders from the New Orleans criminal justice agencies; and, the OPISIS Technology Committee, functioning at the direction of the Executive Board,

and is comprised of technical and subject matter experts. The NOPJF has been the partner responsible for project funding and overall stewardship of the committees, as well as functioning as the project and technical managers for the OPISIS projects.

Since Katrina, NOPJF, the U.S. Department of Justice (DOJ), the City of New Orleans, and community groups focused on improving criminal justice, have all recognized the opportunity to incorporate an information sharing and integrated justice system for New Orleans as the system is rebuilt.

The existing informal setting leaves potential for ambiguity with regard to the authority and responsibility for the continued achievement of the OPISIS program goals, and delivery of data exchange operations. This will require changes to policies and governance of the agencies including the way they interact.

In order to develop, implement, and operate a successful integrated justice information system in a multi-agency environment, clear lines of authority and responsibility must exist. There is a need for a structure to support central decision making, and an obligation to accomplish the results, to ensure accountability for achieving the goals of integrating the New Orleans criminal justice environment.

There are a number of policy and governance areas that need to be addressed to support the need for information sharing across the criminal justice system, to be most effective and efficient in the development and support of solutions, and to get the maximum benefits from the information sharing and integrated justice solutions.

To date, the informality has been beneficial in allowing things to get done more readily, building relationships without a requirement to adhere to a volume of rules and procedures. As more people and more data become involved, people will naturally become uncomfortable with the informality and lack of documented governance, policy, and process. This can create the setting for disruption to occur.

### 3.1.1  Criminal Justice Strategic Plan

There is no active Criminal Justice Strategic Plan in New Orleans today. This creates fundamental challenges when determining priorities and direction for the OPISIS program. Though its development is not in the scope of this engagement, the TA Team feels it important to recognize the absence of this plan and the issues that situation poses. The Criminal Justice Coordinating Committee (CJCC) and OPISIS Executive Board, working with support of the NOPJF, should establish the leadership required to develop the plan and designate a CJIS governance authority. The CJCC was established as a function of the Mayor's office to provide recommendations and set priorities affecting criminal justice administration in New Orleans. Leadership of this organization has been in flux, and has no current role in CJIS.

### 3.1.2  Policy and Practice

In general, there are no existing policy barriers for sharing information electronically at this time. The CJIS information shared between agencies to date has been either public information or specific information transfers between two or more agencies that were previously done manually with substantially the same data.

The policies in place in the agencies address the legislation and functional needs and practices of the specific agencies.

The relevant policies identify what is confidential or public information and identify who it can be shared with. For example, the New Orleans Police Department (NOPD) has policies that identify what information:  1) must be kept within the police department, 2) can be shared with the courts, District Attorney (DA), Sheriff, Public Defender, or other agency, and 3) can be available to the public. The policies may also include under what conditions this sharing can be done.

The agencies interviewed all indicated that their policies would allow for electronic transfer of data to other agencies with whom they currently manually transfer information. At the same time, there is no policy in place that specifically refers to electronic transfer of data/information. This includes policies dealing with data ownership, data administration, use of data once it is not being held in the organization, and relationship, roles, and responsibilities between the sharing agencies, rules and procedures, etc. While this issue is being explored by the Data Exchange Server User Group (DESUG) as the use of the new DES capabilities grow, policies for the sharing of electronic data need to be broadened in scope to include all relevant partnerships.

## 3.1.3  Current Organization and Governance Structure

The governance challenges of the New Orleans criminal justice environment are much like other large criminal justice jurisdictions in this country. The environment is complex and the sharing of information must consider a volume and variety of data ownership and management concerns. Today, there is no single governing body or decision-making structure to ensure alignment and set consistent directions, priorities, processes, efforts, and outcomes across the New Orleans criminal justice environment. The New Orleans public safety and criminal justice system has been described by a number of studies and reports, and has been heard in TA Team interviews, as numerous separate agencies or "stovepipes." It was stated in one of the TA Team interviews that the New Orleans criminal justice operation is definitely not a "system."

The criminal justice agencies are led by elected officials (DA, Sheriff, Judges, and Clerk) or appointees of elected officials (NOPD Chief) with short lead time mandates and pressure to make immediate changes in their organizations. They are faced with significant budget constraints and continual (if not increasing) pressure from their constituents and other stakeholders to reduce costs, be more effective in delivery of their services, and be more accountable. The following diagram (Figure 5) depicts the general structure of the involved organizations.
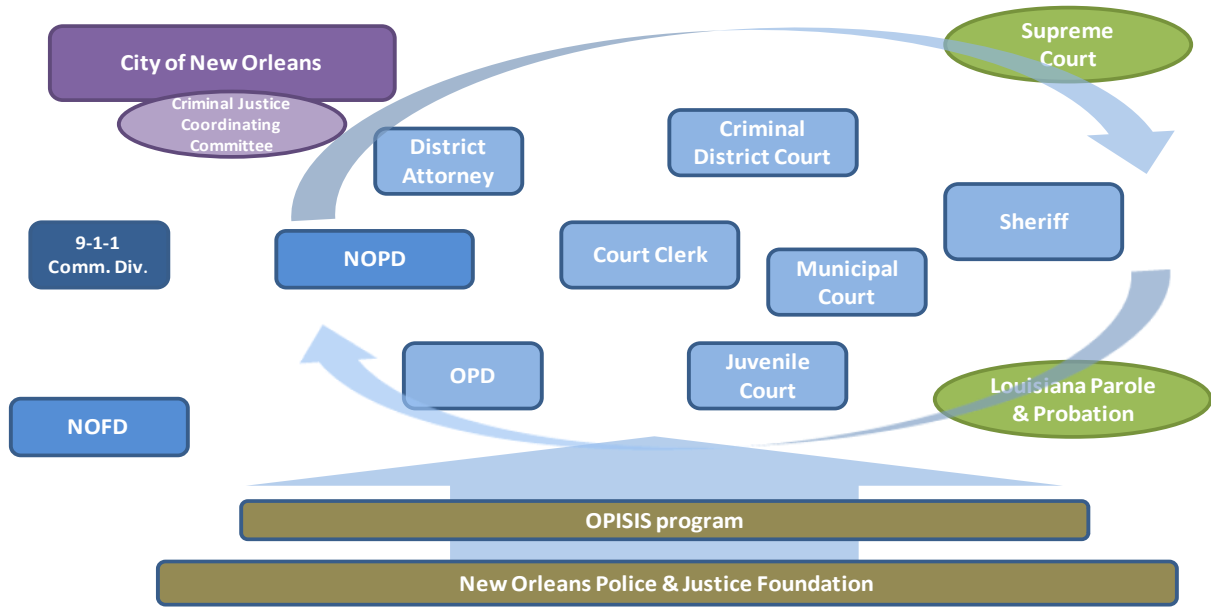
**Figure 5 – New Orleans Criminal Justice Organizations**

Within this environment, over the last four years, there has been an emergence of increasing cooperation across the public safety and criminal justice agencies. Changes in and/or pressure from agency leaders, city leadership, community groups, and other stakeholders, have forced a general recognition that for the individual agencies to improve and be successful, they need the entire information sharing system to be working and recognized as being effective and efficient.

Recently, there have been planning retreats and other informal meetings with senior officials of the criminal justice agencies to improve communication and cooperation between agencies.

The OPISIS program has become the governance structure and process by which the individual criminal justice agencies have been able to move forward with sharing information electronically. Ongoing operational direction, priorities, and funding decisions are made by these organizations independently and also in concert with the city, and/or possible inputs from other government and non-government sources.

New forms of program leadership will be required to achieve the goals envisioned for the future integrated New Orleans CJIS. New challenges in implementation will require the establishment of multi-agency operational guidelines to support a growing information sharing and central shared services environment. Further, as participation in OPISIS continues to grow, there is a need to ensure that all agencies participate according to the same rules of engagement concerning information sharing, data ownership, data quality, etc.

Under a designated criminal justice authority, which should involve the OPISIS Executive Board and the City ITI, Office of the CIO, the City and Parish should work together in establishing the ability to jointly govern the business and technical decisions of the OPISIS program. Components of a future governance structure should include the following areas:

### 3.1.3.1   Criminal Justice Strategic Plan

There is no central point to provide the authoritative direction and priority for New Orleans CJIS and the management of the OPISIS program. As such, this should become the priority of City and Parish criminal justice leadership.

### 3.1.3.2   OPISIS Governance Authority

The OPISIS Executive Board and Technology Committee have become the structural bodies currently in place to govern program priorities and projects. OPISIS has also created the DESUG as a more focused working group to identify and solve issues specifically regarding the processes, data, etc. on the DES. This is a sub-group of the OPISIS Technology Committee members and their representatives. The NOPJF has provided technical and project management services to the program and should be integral to its continued operation.

### 3.1.3.3   Project Management Office (PMO)

Program/project management was observed as an area requiring improvement. The use of a PMO approach as a function of the OPISIS Technology Committee may be useful in coordinating the various projects. This will be particularly true if the number of projects, agencies, and/or people increases as anticipated. Adding project management and reporting tools, disciplined processes for those involved, and improved accountability across agencies will provide senior management with improved comfort in the program's management as it gets more complex, as well as make it easier and simpler for the OPISIS program management team.

### 3.1.3.4   OPISIS Agencies

The New Orleans criminal justice enterprise is a complex collection of functions, and must involve all of the agencies serving criminal justice functions. This is essential as agencies often have competing interests, as well may involve adversarial disciplines, and all cross jurisdictional and constitutional branch boundaries. Governance of a cooperative effort within this type of organization is challenging. A formalized structure that clearly assigns authority and responsibility, and defines relationships, is more likely to be successful in delivering integrated criminal justice information. It can also provide visibility on when a decision maker might be about to deviate from the defined approach so that extra precautions can be taken to ensure that the deviation is appropriate and advisable.

### 3.1.3.5   Liaison with City ITI

There is an increasing risk to the stakeholders in OPISIS and the agencies, as the OPSIS program and the projects are not in a stable central CJIS IT services management structure. In the past, the City has been perceived as not playing a productive role in the criminal justice IT environment.  In order to reach success, it needs to be involved in the OPISIS program to become an asset in developing centralized criminal justice IT support in a constructive and positive manner without becoming overbearing. Additionally, the City ITI needs to be part of the OPISIS decision making process to ensure an aligned approach to solutions and/or assignment of responsibilities.

### 3.1.4  OPISIS Program Management

The OPISIS Executive Board is responsible for direction and making decisions on priorities for projects, such as the targeted information sharing processes and agencies. The board consists of the senior executive of each of the participating agencies.

The OPISIS Technology Committee is responsible for the more technical issues and decisions around making the solutions work. The group consists of the senior IT managers from each of the involved agencies. The Technical Committee is facilitated by the NOPJF representative, who is also the OPISIS manager.

The OPISIS program organization currently consists of representatives from the majority of criminal justice agencies. Each participates in both the OPISIS Executive Board and the OPISIS Technology Committee. Note: Today, these do not include all agencies participating in the generation, exchange, and management of CJIS information. Many of these agencies are interested and ready to join OPISIS. City and Parish leadership from the participating New Orleans criminal justice agencies, the Office of the CIO at the City Information ITI Department, and the CJCC all should be engaged in OPISIS.

As the information sharing and justice integration participation increases, the need for core arrangements and understandings between the criminal justice agencies must be documented. The current DES Memorandum of Understanding (MOU) was intended to serve this purpose, however, it appears to be attempting to cover too much. A new "participation" agreement, setting the same rules for all participating agencies, should be put in place. The form of this new agreement should be decided by the City and the OPISIS Executive Board. This doesn't have to be a large, complex, onerous exercise or document.

The City ITI has not historically been directly involved with information sharing initiatives between criminal justice agencies. However, the City ITI provides help desk, support services, and/or network and server infrastructure to most of the public safety and justice agencies. As a result, the City ITI also ends up with unanticipated maintenance costs that are not covered after initial delivery. There are currently no Service Level Requirements (SLR)/Service Level Agreements (SLA) in place between City ITI and the CJIS user agencies.

As the numbers of information transactions between more agencies increases, it will present an increasing challenge in developing and maintaining good communications and relationships. In a larger environment this can lead to messages missed, people feeling left out, relationships damaged, etc., creating the need for a robust OPISIS program communications plan to effectively handle future challenges. This plan should offer a clearly-defined mechanism(s) and structure without allowing it to become too large, complex, and/or bureaucratic.

### 3.1.5  OPISIS Agency Participation

There appears to be unanimous agreement among the OPISIS agencies that the relationships with the current OPISIS participating agencies have been quite good. They are able to work well together, plan, address problems, develop solutions, and are aligned with creating a more integrated criminal justice system. In addition, it is recognized among the stakeholders that the work of the NOPJF and the OPISIS program has been instrumental in developing and maintaining a successful, informal governance and operations management for the information sharing projects and initiatives where none existed before.

An MOU for participation in the DES has been drafted as the agreement on how the consortium partners will work together. Participating agencies have been working on the MOU as a high-level governance document for participation in the DES. The NOPJF has also been the steward of this document as it has evolved alongside the program. However, from a governance perspective – how things are planned, decisions made, technologies chosen, support provided, approvals, etc. – the DES MOU is informal among the OPISIS program participants using the DES. Other than the DES MOU, there are no formal agreements, processes, policies, or defined roles and responsibilities developed or documented for the use of the DES. The NOPJF continues to work with OPISIS leadership on the evolution of the DES MOU to encompass these issues. The TA Team determined that this instrument may not be viable to support future growth of the OPISIS program overall as information sharing relationships become more complex.

Recently, the city CIO has introduced the idea of using Cooperative Endeavor Agreement (CEA) instruments to document the practices that have been working and the ones that are required for moving forward. The CEA will be used as the form of inter-agency agreements citywide to define business and technical agreements, including the concept of Service Level Requirements/Service Level Agreements (SLR/SLA) components. In view of this definition, although more needs to be clarified, the CEA may be excessive as an instrument for governing OPISIS participation. Alternative approaches or participating agreement structures are still being considered.

### 3.1.6  CJIS/ OPISIS Operational Support

The NOPJF continues to play a substantial role in the operation and management of the OPISIS program given their proven ability to manage the program, including raising funds, interest, and commitment to improving cooperation (public-private) and making improvements to operations across the New Orleans criminal justice environment. NOPJF continues to manage a number of OPISIS projects where the use of technology to improve the effectiveness and efficiency of information sharing, and ensure trusted communications between the partners has become the key to the OPISIS program. In addition, other important impacts of the OPISIS program include: 1) the improvement in building relationships to solve problems and reach optimal solutions for the parties involved, and 2) review of the processes required in order to implement the technology needed which results in improved operational processes beyond just the data transfer.

While funding for the OPISIS projects comes, in large part, from the NOPJF to cover the planning, design, development, and implementation phases, it does not cover the ongoing operations, maintenance, and upgrades. Generally, these are covered by the individual agencies and are incorporated in their business planning and budgets when possible. The current NOPJF estimate of the ongoing operational costs for the information sharing system, including the DES, is between $150,000 and $200,000 per year. Currently, maintenance for the DES environment is not covered.

The agencies receive no additional funding from the OPISIS grants for providing these services. In general, NOPJF has chosen to roll out the new applications (either procured or built) under OPISIS with the absolute minimum of formal agreements among participating agencies, under the assumption that negotiation of such agreements would introduce serious delay and other

complications. The OPISIS program, nor the participating agencies can expect to continue operating in this manner without a funding commitment.

## 3.2. Business Process and Operations

During the visits to each department, the TA Team sought to understand the current business processes and operations of each department. The objective was to identify potential changes that would be required to enhance the abilities of departments to work effectively as a criminal justice organization. For the most part, there were no major issues and/or needs identified in terms of changing current processes at this time.

However, it is important to note that this is a function of being in the early stages of the OPISIS transformation. As new IT projects are undertaken, it is critical that an impact assessment on current business processes and operations be a major driver of new system requirements and project plans. Business Process Engineering (BPE) and Re-Engineering (BPR) will provide both a solid baseline for future requirements, as well as a view of future process and operational changes requirement to successfully implement future CJIS information sharing and process integration solutions.

The following section identifies potential changes that could enhance the effectiveness of the new systems.

During the TA Team visits to Orleans Parish/City of New Orleans criminal justice agencies, it became clear that immediate operational needs have driven the establishment of current information sharing priorities and projects, and the creation of the business processes necessary to engage in this sharing. In the absence of a pre-existing, centralized governance structure, OPISIS, working individually with each agency, has created an ad-hoc structure to foster the relationships, agreements, and processes necessary to share criminal justice information. OPISIS, working with the agencies has already delivered multiple data-sharing successes, and is positioned to deliver more. Key relationships between agency decision makers have enabled data sharing momentum, and have provided consensus problem solving in the furtherance of addressing mutual needs.

### 3.2.1 Operational Improvement

OPISIS has assisted in setting up a new shared services capability with the DES, and has created the essential business processes (including security, data administration, and access management) for participating agencies to both post and retrieve shared criminal justice information. Going forward, a conduit now exists for data sharing (along with a decision-making structure); around which immediate sharing needs can be fulfilled. Examples of operational data sharing successes led by OPISIS are:

*3.2.1.1   Court Notify/Subpoena Management System*

Under OPISIS project management, a CourtNotify/Subpoena Management System has been implemented, and has resulted in a streamlined and more efficient method of producing, delivering, tracking, and managing subpoenas across the Criminal District Court and Clerks, the Orleans Parish Sheriff Office, the New Orleans Police Department, the District Attorney,

and the Public Defender's Office ad Municipal Court – with Juvenile and Traffic Courts scheduled to follow.

### 3.2.1.2   Investigative Case Management System (CMS)

With the assistance of the NOPJF, the NOPD has implemented a new Investigative Case Management System (ICMS), and has made it available (in part) to the OPISIS DES. This sharing has provided considerable value to consumer agencies (District Attorney, Criminal Court and Clerk), and the existence of this modernized database can allow for future integrations. Additionally, ICMS makes data available to the DES in the sense that the A-Case functionality permits electronic transfer of police reports to the DA and posts an event log record to the DES.

Relationships formed through interaction around OPISIS, and around significant sharing needs, have assisted in additional data sharing and system modernization efforts.

### 3.2.1.3   'MATRIX' Case Management System

The Public Defender's Office has implemented the 'MATRIX' case management system, which allows public defenders to handle cases more efficiently, and with better record keeping. This system also interacts with a centralized public defense case management system weekly, sharing data within. This data sharing initiative within the Public Defender community will result in the ability to provide better client service statewide, and to generate statistical information and metrics useful for indigent defense funding, staffing, etc. This system lacks document management capability, a feature that is desired and has been identified as potentially delivering significant efficiency and quality, but is currently not funded.

### 3.2.1.4   Statewide Juvenile Court Case Management System

The Juvenile Court has also agreed to participate in a state-wide juvenile court case management system (CMS) called the Integrated Juvenile Justice Information System (IJJIS) managed by the State Supreme Court, allowing for case information sharing across Louisiana. This system will allow for sharing to interested and authorized stakeholders (e.g. Youth Study Center Facility). It is also anticipated that once multiple courts are invested in this CMS, additional sharing will be facilitated as needed.

### 3.2.1.5   9-1-1 Computer Aided Dispatch (CAD) – Police, Fire, and EMS

The Orleans Parish Communication District (OPCD) receives and processes 911 calls for service, including police, fire and emergency medical services (EMS). Technical staff members are employees of the agencies concerned, allowing the OPCD to remain lean. Through a strong system of leadership and clearly-defined governance and lines of responsibility, OPCD maintains stewardship of the 9-1-1 data while leaving responsibility and ownership of the data to the agencies themselves. Public and official requests for information are also handled by the agencies. This clearly-defined method of storing and sharing emergency call information works operationally, and participating emergency agencies expressed satisfaction with the flow and control of data and the clearly defined information sharing relationship.

### 3.2.1.6   Automated Fingerprint Identification System (AFIS)

The Orleans Parish Sheriff's Office (OPSO) has recently purchased a new fingerprint identification system (DataWorks) to manage local arrests, which will be populated on kickoff

with five years of regional arrestee fingerprint information. This system is not currently planned to be integrated (initially) inside or outside the OPSO, but its implementation and its ability to provide proper identification to arrestees will be valuable as a future integration point with NOPD, OPDAO, Criminal Court, etc. This system is separate from the statewide Automated Fingerprint Identification System (AFIS) that the OPSO uses for state arrests.

### 3.2.1.7    District Attorney Case Management System (CRIMES)

The DA's Office has moved to a commercial, off-the-shelf (COTS), law enforcement agency-sponsored case management system. This system is currently stand-alone in terms of information sharing, but the DA has recognized the need to both customize the system and to integrate it fully with the NOPD and the Criminal Court Clerk's system. Funding for these integrations has not yet been identified.

### 3.2.1.8    Comprehensive Evidence Management System (BEAST)

New Orleans Police Department (NOPD), Criminal Court, and Orleans Parish DAs Office currently use this evidence tracking and management system. This project is still in the process of being completed including integration with existing NOPD and court information systems, and web-based functionality.

### 3.2.1.9    Homicide Records Archival System

This NOPD system is currently in the implementation phase. The system will allow the Homicide Unit to control the archival and retrieval of past and present homicide supplemental reports as well as other homicide investigation documents. This will improve the department's ability to capture, manage, and share information on homicide cases.

### 3.2.1.10   Document Imaging and Archival System

Currently in use by the Criminal District Court Clerk, this document imaging and archival system provides capability to scan, label, and store and currently holds over six million Criminal District Court documents. These document images are ready for upload and conversion into a new court case management application when the interface becomes operational, so that users will be able to view, online, all court documents in the court's docket case record.

### 3.2.1.11  Regional Law Enforcement Information Sharing Initiative

Jefferson Parish's Sheriff has, along with the NOPD, St. Tammany's Sheriff, and St. Bernard's Sheriff, implemented a regional data sharing system between law enforcement entities using Commercial off-the-shelf (COTS) software. This software, which is hosted by Jefferson Parish (and paid for by NOPD), is in the delivery stage, and should provide extra-parish information heretofore unavailable. This project is a significant step forward in a system where, historically, a person with a rap sheet leaving the boundaries of one parish meant in many cases a "clean slate" as data sharing across parishes was mostly ad-hoc and manual.

## 3.2.2   Agency Process Interactions

Each agency indicated a strong interest in improving and furthering data sharing capabilities, and was able to articulate immediate benefits from such sharing. Within financial, time, and

technical constraints, each agency has indicated a willingness to modernize and share as appropriate. The successfully demonstrated benefits of the first few OPISIS projects have given the agencies hard examples of improvements to support further development. As a result of visiting all of the participating agencies, it was clear that the following were identified and articulated areas of concern and operational need:

### 3.2.2.1    Criminal History Checks

The Police Department, District Attorney, Sheriff's Department, and the Criminal Court Judges all rated this as a top data sharing priority. Currently, no single, comprehensive Criminal History records check exists that compiles criminal history, including arrest and disposition information for persons detained, arrested, prosecuted, defended, adjudicated, incarcerated, and/or supervised in the New Orleans criminal justice system. Currently, law enforcement officers, district attorneys, judges and probation/parole officers can receive only pieces of this data by arduously querying multiple systems, resulting in a still incomplete picture of an involved person's history.

For example, there is little access to complete criminal history data from neighboring parishes, including bordering Jefferson Parish. An individual could be wanted on multiple crimes in Jefferson Parish and move through the Orleans Parish justice system without officials being aware of this.

This operational blind spot has led to the release of dangerous felons because of a lack of knowledge about their past crimes and encounters with law enforcement. Criminal justice system decision makers lack the granular information necessary to make informed decisions about incarceration, bail, sentencing, etc. This lack of a single comprehensive system leads to inefficiency as officials attempt to piece together multiple data sources (and are still left with an incomplete picture). It has also led to public questioning of the decisions of officials who lack a single, comprehensive background reference document – something the public expects and assumes is available.

### 3.2.2.2    Legal Discovery Process

Multiple organizations (Public Defender Office, District Attorney Office, and Criminal Court) struggle with the daily demands of the sharing of case discovery materials. Currently, these materials are sent physically (in person) between agencies, resulting in the expenditure of time, effort, and energy to comply with discovery needs. Additionally, delivery and storage of these physical documents often leads to misplacement and challenges for agencies concerned.

Anecdotally, a few members of the TA Team sat in on an ongoing felony assault trial of an individual arrested for the severe beating of a victim at a child's birthday party, resulting in bleeding of the brain, loss of motor function, and permanent disability. The defendant had been arrested for shooting a relative in the past, had not been convicted, and was a suspect in the murder of the same individual a year later. The prosecution of this individual was provided, and relied on eyewitness accounts, medical evidence, and police investigatory steps (including a confession). This case was challenged, however, on the basis of whether or not a recorded interview was provided to defense counsel in a timely fashion. Though the motion was denied, there was significant confusion over when the evidence was delivered, where it was retained, and who knew about it. The need for document management that was articulated in interviews was clearly evident in practice.

### 3.2.2.3    Duplicative Data Entry and Data Maintenance

It was observed by the TA Team that there is a significant amount of duplicative manual data entry occurring in every agency in the criminal justice system. Due to the lack of functional system integration across agencies, each agency is required to populate their own systems with specific information about arrestees and defendants.

For example, adult arrest and booking information is automatically posted to MOTION by the Sheriff's booking system. From there, the NOPD establishes and records the charges as part of the arrest process. While some of this data is shared electronically with the DA's office, DA's spend a significant portion of their day manually entering information into their individual systems for purposes of prosecutor tracking. The Sheriff's Department also manually enters significant identifying information for each prisoner being processed into their booking system, which is separate from NOPD's data system. The Public Defender's office also manually picks up printed defendant information, and manually enters it into their client system. Lastly, though the Criminal Court interfaces electronically with the DA's office system to an extent (though this interaction has been reduced since the DA's Office has added a new data system), the Criminal Court re-enters information into their own data system, and judges type and maintain their own calendars, including manually-typed defendant data.

It was obvious that highly-skilled members of the New Orleans Criminal Justice System, including judges, attorneys (both DAs and Public Defenders) and police investigators spend significant time daily entering data – data that had already been entered by another agency. Each agency indicates that these employees spend in excess of one hour daily on average performing data entry and data updating functions. The cost efficiencies and ability to move people through the system more quickly is apparent.

Additionally, each time the same demographic information is entered by a different agency, the risk of data-entry errors increases, introducing "dirty" data into the overall system and resulting in mismatches between systems. This results in significant bureaucratic efforts to process individuals in the system in the face of differing data documents, and will significantly hinder future data integration efforts.

### 3.2.2.4    Data Blind Spot: Updated Protective Order Information Unavailable

The Criminal Court does not have full access to updated information on protective orders issued by other courts (Civil Court, Municipal Court, and Juvenile Court) and other jurisdictions. While the Supreme Court maintains a central protective order registry, Criminal Court judges do not have direct access to it. By not having updated information, Criminal Court judges are making decisions based on outdated, incomplete, or missing information resulting in potential situations that may endanger the lives of protective order holders.

The District Attorney also lacks access to this information, inhibiting DAs from requesting incarceration (or denial of bail) to those who present a danger to others, as evidenced by the issuance of protective orders. Lastly, not having access to updated protective order information could also result in someone who has had a protective order rescinded being treated as if it was active.

### 3.2.2.5    Data Blind Spot: Probation and Parole Data Unavailable:

Criminal Court judges also lack access to state probation and parole information resulting in defendants who may have been placed on probation or parole in other jurisdictions being

released or being placed on probation in Orleans Parish. Judges indicate that frequently they only find out about a defendant's parole or probation status through the admission of the defendant himself/herself. Anecdotally, a judge recounted a recent instance where a defendant had been placed on probation while being on parole and after having been jailed in different jurisdictions, without the knowledge of any of the parties involved.

### 3.2.2.6    Data Blind Spot: Municipal Court

Data Sharing between Criminal Court and Municipal Courts is lacking. While it is not unusual for the same individuals to appear in both courts, Municipal Court data is largely stove-piped, resulting in a lack of depth regarding a defendant's history of illegal acts across the two jurisdictions, and leaving courts blind to recent issuances of warrants.

## 3.2.3  Technology Decision Management

Operationally, there appears to be a "disconnect" between New Orleans City agencies and the centralized Information Technology leadership in City Hall. While the City has realized efficiencies from centralizing its IT staff and purchasing, the business process to obtain IT assistance and IT purchases has been identified by "customer" agencies as taking place in a vacuum, and lacking relevant Subject Matter Expert (SME) input.

For example, the Police Department had purchased several servers to stand up a Geographic Information System (GIS) system in an effort to provide field commanders with geospatial representation of crime problems. As part of this project, the police have secured funding to build this system, but are required to obtain approval for the software purchase from City IT. The decision of the IT Department was to refer the police to several other agencies to attempt to leverage those agencies' existing GIS software licensing, which has proven futile to date. As a result, the GIS project, which is identified by police commanders as a high priority, has languished for more than six months with $50,000 worth of servers standing unused, as the IT Department has denied and delayed the purchase. While it is clear that the IT Department was attempting to make reasonable decisions based on ensuring coherence across agencies and aligning IT purchasing to a strategy leveraging economy of scale, the unintended result has been to delay a major IT improvement for a priority need customer agency. Since there is no business process in place to allow customer SME's to personally articulate the business need for specific individual purchases (outside of submitted paperwork), and despite the best efforts and intentions of all parties, the outcome has frustrated law enforcement officials who still lack GIS capability needed to adequately serve the citizens of New Orleans.SLR and SLA are either non-existent, or, at best, inconsistent in defining and setting expectations in the business and technical service relationships between service providers (agencies and private sector providers), and user agencies. There were multiple scenarios discussed where agencies were experiencing inadequate levels of service and/or delays in projects due to this deficiency.

This is an area where improvement can be achieved readily through the cooperative development of requirements and agreements for information technology services provision. It was observed that movement is already underway to address this issue between the City's ITI organization and some of its criminal justice user organizations.

## 3.3. Systems and Technology

In summary, there has been significant progress over the past three years in the development and implementation of target technology solutions. Most notable has been the progress of the OPISIS program. While OPISIS represents important successes, current systems generally lack capabilities to effectively and efficiently support a multi-agency integrated CJIS environment. This is due to outdated technologies, limited funding, and lack of a broad Criminal Justice strategy upon which to prioritize technology projects from an enterprise perspective.

As the OPISIS program moves forward, challenges will become more complex as many of these challenges will be new and likely to be more formidable than those experienced in the OPISIS program to date. The OPISIS program needs to continue to ensure consistency and quality of solutions from an information sharing and integration perspective, as there is a caution that goes with implementing new systems and the potential of creating new "silos" of justice information.

OPISIS program participants are aware of this; however the New Orleans criminal justice agencies in general need to recognize this potential so they are prepared to take the steps necessary to avoid its occurrence. An enterprise architecture and data management capability can provide a high degree of assurance that an integrated CJIS design will prevail. It can help maintain an effective and trusted environment for all justice agencies to confidently exchange information by addressing integration components, including a policy layer where business rules supporting the decisions from the leadership of the New Orleans justice organizations can be implemented. Additional layers can address the necessary technical components required to confidently ensure that justice information can be delivered in accordance with documented and agreed upon data administration policy. In short, it can provide the highest impact from a systems and technology perspective in achieving an integrated CJIS environment.

### 3.3.1 Current CJIS Environment

The City of New Orleans and Orleans Parish agencies depend upon a heterogeneous group of systems to support their process and information sharing needs in the administration of criminal justice services.

| System | Function | Agencies Sharing Use | Current Hosting Agency |
|--------|----------|----------------------|------------------------|
| AS400 | Jail Management and District Court Case Management | OPSO, Criminal District Court, Criminal District Court Clerk. | OPSO |
| MOTION | RAP Sheet, Warrant, Offense Reporting/UCR, gun registration, bicycle registration, and pawn shop functions. | NOPD,OPSO, DA, and some State, Federal, and adjacent parish LE agencies. | City ITI |
| Motorola Premier CAD | Computer Aided Dispatch | NOPD, NOFD, OPCD | OPCD |
| DES | Data and Document publishing and access warehouse, exchange event | All New Orleans agencies (planned). | NOPD |

| | | | |
|---|---|---|---|
| | logging | | |
| CourtNotify | Subpoena Management | Criminal District Court, DA, NOPD, OPD, OPSO, State P&P, and Municipal Court. | City ITI |
| BEAST | Evidence Tracking | NOPD, Criminal District Court Clerk, and DA (planned). | NOPD |

**Table 2 – Current Systems and Technology Environment**

As indicated, many of these systems represent applications shared by several criminal justice agencies. There are certain benefits to shared systems. However, the inherent nature of sharing requires collaboration and cooperation among the shared entities to be successful. As shown in the table above, the shared systems are hosted by different agencies. While this is working today, it was found that City of New Orleans and Orleans Parish agencies do not have consistent practices or formal agreements that define the details of what and how information is shared in each system. This will be important as the information sharing environment becomes more complex.

Some of these systems are relatively new (such as DES, BEAST, and CourtNotify), but others are significantly older are costly and in need of replacement. Systems being considered for replacement and/or modernization include: the mainframe based MOTION system hosted by the City's ITI which is relied upon by multiple agencies for managing mission critical information – arrest and disposition data; and, the Jail Management and Criminal Court Case Management applications hosted by the Sheriff in the AS400 environment relied upon by multiple agencies. While a significant decrease in confidence, coupled with a significant increase in cost of operation for the MOTION system was observed, issues with the AS400 environment were not similarly cited.

## 3.3.2  Current CJIS Limitations

As mentioned previously, the current systems lack capabilities to effectively and efficiently support a multi-agency integrated CJIS environment due to outdated technologies, limited funding, and lack of a broad Criminal Justice strategy have limited information sharing and integration. To date, the focus has been on the implementation of solutions to shore up deficiencies in target areas, versus an enterprise driven strategy that takes a broad view of cost/benefit.

As a result, central data management and shared information sharing services are highly limited and do not address some of the most significant information sharing issues (e.g. access to reliable criminal history information). While the DES represents a valuable step in creating a shared services capability, it does not provide capabilities for end users to create and execute queries (both defined and ad hoc) on local and regional justice and public safety information. Additionally, the other systems in the region have limited statistical and reporting capabilities to manage their daily operations, adjusting caseloads, track activities, develop operational intelligence, and measuring performance. All of this is significant in determining the value of CJIS support to the New Orleans criminal justice mission.

Additionally, no systems are in place today to fully support the accurate and timely capture of mission critical information in support of the shared services described above. For example, disposition information is not captured today in the MOTION system and, therefore, cannot be effectively searched as part of a criminal history query. While new information exchanges could be developed in support of those needs, the cost effectiveness of re-engaging aging systems like MOTION merits careful investment consideration as it may not be capable of effectively supporting future information sharing needs.

### 3.3.3  Current Information Sharing

A large volume of justice and public safety data in New Orleans is stored and exchanged between agencies in non-standard, non-automated ways.  There appears to be a mix of manual and electronic mechanisms that depend on the availability of systems, technology resources, and funding.  Routine data storage and exchanges include the following forms:

♦ Paper documents

♦ Telephone calls

♦ Scanned documents

♦ electronic File Transfer Protocol (FTP) of data delivered directly to another system

♦ Data transfer through system-to-system interface

♦ Audio/video files

In addition, the same information may be transferred between agencies using multiple methods (e.g., some reports are sent electronically and in paper form). As the OPISIS program continues toward an integrated CJIS environment, new policy and operational issues will likely arise as these types of exchanges become part of an integrated CJIS.

### 3.3.4  Current System Architecture

The current criminal justice information systems environment is comprised of multiple disparate systems, functioning independent of an integrated enterprise business and technology architecture. Use of these legacy systems has been fully optimized in terms of process and system integration, with the OPISIS projects creating a path to a future integrated justice information systems environment.

OPISIS has not specifically expressed a structured enterprise view of business and technology needs, the requirement for standards, nor is the use of national information sharing standards evident in the implementation of new applications. However, the OPISIS program is providing several of the building blocks, via the development of multi-agency applications supporting information sharing, and the concept of a central shared services model via the DES.

Due to the fact that many core business applications within New Orleans are based on legacy technology, which have become increasingly difficult to maintain and enhance, a noted response to growing business needs has agencies developing and adopting numerous auxiliary solutions to complement the agency's core business application. These auxiliary solutions are most often in the form of shared network drives, Microsoft Access databases, and Microsoft Excel spreadsheets. While these can resolve target information sharing and integration issues, they are prone to loss or data corruption, can become expensive to maintain, do not efficiently

support the sharing of information, and, as such, are likely to become short-term solutions in an integrated justice environment.

### 3.3.5  Technology Standards

There is limited standardization of documents, data, or information exchange within the region, resulting in significant needs for data translations and transformations. The lack of standardization of data has also resulted in data inaccuracies, duplication, and manual reconciliation efforts. If unchanged, this will inhibit the benefits of future CJIS investment.

## 3.4.     Facilities and Network Infrastructure

Facilities and network infrastructure are not directly impacting OPISIS progress today, and it is imperative that this does not become an issue moving forward.

The city wide New Orleans communications infrastructure is capable of supporting CJIS information sharing. This infrastructure provides the network communications capability and facilities required to support connectivity for a combined central and departmental application environment. The technologies supporting this application environment are compatible and will support modern, open standard approaches to integration, such as: Universal Modeling Language (UML) for modeling and defining high-value exchanges; eXtensible Markup Language (XML) for packaging data to be exchanged; application protocol layers (SMTP, ISS, FTP, SSH, HTTP); and, connectivity, transport, and Internet protocol layers such as TCP/IP.

While the City of New Orleans ITI provides and maintains CJIS related core network and voice services to: city Emergency Management Services (EMS) and Emergency Operations Center (EOC) departments; police and fire departments; and Criminal, Juvenile, Municipal, and Traffic Courts; there does not appear to be a comprehensive portfolio of all the current systems that touch/interact with public safety and the criminal justice system. This makes it difficult to assess the readiness of the network and infrastructure to support a future CJIS enterprise computing and communications environment.

Agencies' IT departments indicated that they typically did not receive much negative feedback or complaints from end users with respect to network related or connectivity issues. Most of the feedback the IT staff receives from end users is with respect to a need for "updated/modern software."

Agencies are definitely aware of the need for disaster recovery plans and business continuity plans. This is not consistent with the current practice of several of the IT management organizations as SLR's and SLA's are not in place with all agencies.

Much of the critical documentation required for understanding and maintaining the existing networks and infrastructure is either non-existent or limited in many of the agencies. For example:

♦ Technical infrastructure documentation

♦ Configuration and change management

♦ Back-up policies and procedures

Agencies are encouraged by some of the improvements that they are experiencing with respect to an increased focus on the hardware and network requirements that are needed to access and support the various software components. Agencies have different and varied policies and procedures with respect to network access and connectivity.

Several agencies use Windows XP for their client workstation operating system; most use the latest version of XP Pro. Most are preparing, planning, or considering upgrading to Windows 7 as Windows XP becomes obsolete, no longer licensed, or no longer supported.

The number of different types of servers reported in use was fairly large. The oldest public safety and justice applications still being used are based upon IBM's mainframe and AS/400 'green screen' proprietary network and operating environments. Most of the newer applications, however, are based upon Windows Server 2003 .net operating systems. The plethora of platforms makes it difficult to cultivate and maintain the expertise necessary to operate and effectively secure servers.

## 3.5.    IT Management and Resourcing

The City ITI organization is still predominantly dependent on outside contractors for maintenance and support of critical criminal justice systems. The current IT management and in-house technical resources are experienced in the current technology environment.

Additionally, the current in-house experience and expertise is not of the capability and capacity that is needed to support the emerging OPISIS systems, as well as future OPISIS information sharing and integration needs. The City ITI, along with the technologically-proficient IT teams in the criminal justice agencies, will require new technical skills to ensure the ability to support the overall OPISIS mission.

### 3.5.1  IT Service Level Standards

There appears to be gaps in understanding between New Orleans City agencies (police, fire, etc.) and the Central City IT Office regarding expectations of IT services – no services based standards, documented Service Level Requirements (SLR) or Agreements (SLA). While the IT Department has worked hard to implement and provide service to dependant agencies, the agency representatives do not have a grasp on the specifics of service they should expect. This causes confusion and frustration on both sides, results in a strained relationship, and has negatively affected projects and working relationships with some agencies. Additionally, 24/7 agencies, such as the police and fire departments, question the alignment of IT services to their "around-the-clock" business needs. As stated previously, properly communicated SLA based on these requirements will help resolve many of these issues. Today, technical and project management expertise is provided by the NOPJF for the OPISIS program.

### 3.5.2  Operational and Business Stability

City and Parish agencies have indicated that the high turnover of City CIOs over the past few years has caused delays and duplicative effort on their part, impacting projects and the ability to move ahead. Agency IT representatives have stated that in the last four years, there have been four different individuals ultimately responsible for information technology within City Hall. This, coupled with a lack of written technical direction and governance policy, has led to

project delays, restarts, and significant time and effort on those within city agencies seeking to further data sharing efforts.

### 3.5.3  Centralized IT Staffing

NOPD has indicated that, in recent years, their technical staff was transferred to City Hall to join the centralized IT staff as the City sought a more cohesive, city-wide IT policy for efficiency and economy of scale. However, NOPD indicates that since this transfer, the centralized IT staff has shrunk due to fiscal concerns, leaving fewer individuals available to serve multiple agencies, and their attempts at information sharing. NOPD has indicated that this has significantly slowed the pace of progress on information sharing projects. Other staffing considerations relative to central IT staffing should include:

♦ There does not appear to be any clear policies and procedures defined with respect to the ownership and maintenance of many of the various software systems as well as the information stored in these various systems. It was pointed out several times that many of the existing applications do not have a "day-to-day" custodian.

♦ There are some challenges with relying on a different department/agency to provide network and support services that are perceived as functions that could possibly be completed by the internal resources more familiar with the software. This is especially pertinent for some of the agencies relying on working software/hardware on a 24/7 need basis.

♦ Many OPISIS projects are implemented and maintained through the assistance and with the support of the City's IT contractors and staff.

♦ There are existing challenges in some of the agencies with respect to defining and implementing an efficient and structured back-up policy and procedure (e.g., some agencies are bringing the backup tapes to their homes on a nightly basis).

♦ OPISIS has funded a hot-site disaster recovery location for the OPSO IBM AS400 and servers on which reside the Sheriff's jail management system and Orleans Criminal District Court's case management applications.

♦ Agency IT departments are currently accomplishing a great deal and providing the necessary support to their end users and associated software with somewhat limited resources (e.g., limited funding and people).

♦ There does not appear to be a comprehensive list of all the systems that touch/interact with public safety and criminal justice systems. This makes it very difficult to assess the needs required to maintain and support all these applications.

♦ There are a wide variety of different types of software built using a wide variety of programming languages and underlying technology. The skill set required for support security, and maintenance of all these various system is quite extensive.

### 3.5.4  IT Project Management

Given the large number of projects under the OPISIS program and the limited resources available to NOPJF for their management, successful implementation of the projects must rely on the assistance of IT and operational personnel from participating agencies, including the City IT staff.

♦ Individuals who already have full-time jobs in these agencies are tasked with helping to implement these complex projects, along with the application vendors and NOPJF contractors.

♦ Project management tends to be informal and rely on voluntary, trust-based relationships among agency IT staffs and NOPJF managers, rather than formal agreements among agencies or formal project management methodologies where individuals have assigned tasks for which they are held responsible by a chain of command.

### 3.5.5  Audit and Security

As is the nature of the criminal justice environment, the New Orleans justice community maintains a high volume amount of information (e.g., increasing number of arrest and conviction records). Today, this includes large volumes of paper produced in many of the agencies. One of the opportunities and risks in moving to an automated information sharing environment is in the ability to support the data administration policies set forth in the governance model through technology. The current IT management environment needs to address a number of issues relevant to ensuring security and accountability of the information residing and being exchanged in this setting. Some of the issues observed include:

♦ Audit trails and audit logs are currently a high-priority requirement for IT departments.

♦ Record retention policies in most of the agencies are neither currently defined nor implemented.

♦ Court-ordered record expungement is a significant challenge in this area and must be carefully considered in the audit and security architecture.

♦ Password policies varied from non-existent to requiring at least a minimum number of characters, mixed cases alphabetic characters, numeric characters, special characters, and regular password changes. Note - Most agencies have a network or domain-based authentication system in operation based on a two-level authentication method.

# 4. Needs Analysis

In this phase, the initial findings gathered during the initial four-day assessment of the current New Orleans criminal justice information systems environment were used to develop a set of needs based upon gaps between the current environment and the desired future integrated CJIS environment.

Considerations taken into account in defining the attributes of the future CJIS, included: The OPISIS Program Goals and Objectives as defined in the current strategic plan (Appendix D); the highest priority information sharing and integration needs as identified in the interviews conducted with representatives of New Orleans criminal justice agencies (as represented in the "Findings" in Section 3 of this report); and, the application of best practices in achieving effective criminal justice information sharing and integration solutions (as identified by the consultant team**)**.

In general, the analysis found that the New Orleans criminal justice community needs an enterprise design approach focused on bridging gaps in the information continuum that currently make it difficult or impractical to access complete, accurate and timely information at critical decision points. As described throughout this report, this can occur when information technology solutions are designed and implemented without recognizing the need for sharing common information among criminal justice agency missions.

The TA Team performed an analysis of the gaps between the current environment and a future integrated New Orleans CJIS environment. In this process, a set of needs were developed addressing a range of issues: from governance to the management of the technology infrastructure. Most substantially, these needs address general concepts for improvement to be taken into consideration by the OPISIS program to strengthen its probability of success in achieving information sharing and integration goals.

♦ The value of maintaining the trust and interest among criminal justice agencies

♦ The importance of executive and political concurrence in driving integrated justice goals

♦ The need for leadership and authoritative governance in managing the program

♦ The necessity of an enterprise view of information sharing and integration needs

♦ The requirement for common semantics and definitions of shared information

♦ The benefit of standards in creating long term value

♦ The essential importance of sustaining the OPISIS program and future integrated CJIS environment

## 4.1.  Needs Analysis

These needs listed above were used to form the basis of the recommendations included in Section 5 of this report. In addition to the specific recommendations included in Section 5, there are additional issues that should be addressed in any integrated criminal justice information

systems environment and that are generally applicable to the New Orleans CJIS environment. These general considerations are described below.

### 4.1.1  Shared Services

As mentioned in the current situation assessment, OPISIS and the City of New Orleans and Orleans Parish agencies have made successful progress in making use of shared systems and services. Specifically, OPISIS has had success through the establishment of the DES. As the needs for common shared services grow in New Orleans, there will be an increasing need to improve upon the DES by establishing an integrated system administration model. Establishing this will centralize the policies and services needed for justice partners to be able to access more information and more systems than the current environment permits. Providing direct access to those who need the information will improve process efficiencies and reduce the need to collect information manually from agency staff members. For OPISIS, this will encompass a broad range of needs, including shared services, central data management, data quality, modernization, and the integration of agency processes and systems. To address this range of needs, the OPISIS project will need to explore different architecture and project combinations to determine the most effective next steps.

### 4.1.2  Service Level Requirements/Agreements (SLR/SLA)

Service Level Agreements (SLA), based upon clearly understood Service Level Requirements (SLR), are needed to document the business and technical arrangements between IT service agencies and user agencies. The agencies providing IT support (which as of this report included ITI, NOPD, and the OPSO) need to define and document SLR's and SLA's. For example: The emergency communications, fire, EMS, law enforcement, and jail systems must be available seven-days-per-week, 24-hours-per-day, with a minimum 99.99% availability. Other agencies may also require similar levels of availability, while some may some may require availability five-days-a-week, 12-hours-per-day, with 99% up time.

### 4.1.3  Data Quality Standards

To effectively enable the sharing of justice information across organizational and system boundaries, it is essential that all of the participating organizations have confidence in the data quality policies and practices of their information sharing partner organizations. This need is best addressed via common standards for data quality and data management. As discovered in the initial assessment phase, these standards do not exist today and, therefore, will need to be developed, adopted, and practiced. The first step in this area will be to establish a common data model addressing the semantics, data structures and naming conventions for information to be shared across agencies. These standards should be utilized or mapped to all newly implemented systems. This should be done in an effort to reduce ambiguity and streamline future data access and sharing.

### 4.1.4  Security and Confidentiality

The agencies need to conform to all state and federal laws and regulation as they pertain to information privacy and confidentiality and need to define and conform to a standard security policy like the FBI's Criminal Justice Information Systems (CJIS) Security Policy which provides documented requirements for user ID and password. The agencies also have a need to keep all servers in secure, limited entry locations where only authorized personnel may have physical access.

- A user ID must be at least six characters in length
- A password must be at least eight characters in length and contain at least one upper case one lower case, one numeral, and one special character
- Passwords must be reset every 90 days
- A user's last 10 passwords cannot be reused
- The user ID and password cannot be the same
- Log audit trail for all transactions

The agencies also need to create policies to address and prevent circumvention of rights in the system through database administration access, user administration access, tools which provide back-door access or supplier installed user accounts (these policies should include creating and reviewing activity logs).

- The agencies need to define escalation policies and procedures (e.g., allow systems to be configured to automatically notify personnel (administrators, help desk, etc.) of exceptional events (e.g., by electronic mail or by sending text to a pager).
- The agencies need to require systems to produce an adequate audit trail with sufficient data.

### 4.1.5  Federated Query and Reporting

The New Orleans CJIS environment needs the capability for end users to create and execute comprehensive queries (i.e. criminal history, involvements, and warrants) on local, regional, and state justice and public safety information. The criminal justice community in New Orleans needs improved ability for searching and retrieval of information across agency and system boundaries, such as information on a person and their related case, property, or vehicle involvements. Additionally, the criminal justice community has a need for enhanced statistical capabilities to manage their daily operations, adjusting caseloads, tracking activities, and measuring performance. This ability is currently unavailable largely because the cross-agency linking that is required to provide this level of analysis is not available. Having this capability will support evidence-based decision making across multiple agencies.

### 4.1.6  Document Management

The current environment is document dependent and better document storage and management capabilities are needed by several justice agencies throughout the City and Parish.

Several agencies currently have scanning capabilities, such as the Criminal District Court Clerk. However, these capabilities are only currently being leveraged within the owner agency. Improved electronic data storage, management, and retrieval both within and between agencies will help reduce duplicate manual efforts and improve the quality and accuracy of the criminal justice information in New Orleans.

### 4.1.7  National Information Sharing and Open Industry Standards

Significant needs exist for standardization of documents, data, and information exchange to ensure accuracy of data translations and transformations for the future CJIS information sharing environment. Due to the heavy manual nature of the current environment, data inaccuracies, and duplication make it difficult to maintain data quality. The current lack of use of national standards is largely due to unfamiliarity with such standards. Thus, there is a need to educate the New Orleans criminal justice agencies' personnel on relevant national information sharing standards. Incorporating such standards into the technology environment of the criminal justice community offers multiple benefits including significant cost savings, faster deployment, and improved access to needed information and access to grant funding. These include: National Information Exchange Model (NIEM) and the Global Reference Architecture (GRA or JRA).

New Orleans criminal justice agencies need to promote and encourage the use of these and other open industry standards rather than proprietary approaches. Agencies should define standards for data definitions and structures to accommodate information sharing with partner systems that will likely differ widely in software, hardware, structure, and design. NIEM provides a nationally-accepted standard for this purpose and can be used to jump start the development of information exchanges. NIEM can also provide a foundation for the future when the New Orleans criminal justice community seeks to establish regional, state and national information sharing partnerships within and beyond the justice domain.

In concert with developing NIEM-based exchanges, the City and OPISIS should adopt a standard for the technical development and implementation of information exchange capabilities. The JRA can provide a widely-adopted, open standard for designing services in support of the exchange of data across systems. The JRA is based upon the Organization for the Advancement of Structured Information Standards (OASIS) Service Oriented Architecture (SOA) framework (Figure 6).

OPISIS agencies will also need to implement a mechanism for federating access to applications, networks and databases. This will require adoption of an identity and privilege management capability. The Global Federated Identity and Privilege Management (GFIPM) will provide a standard model for implementing this type of complex and essential solution.
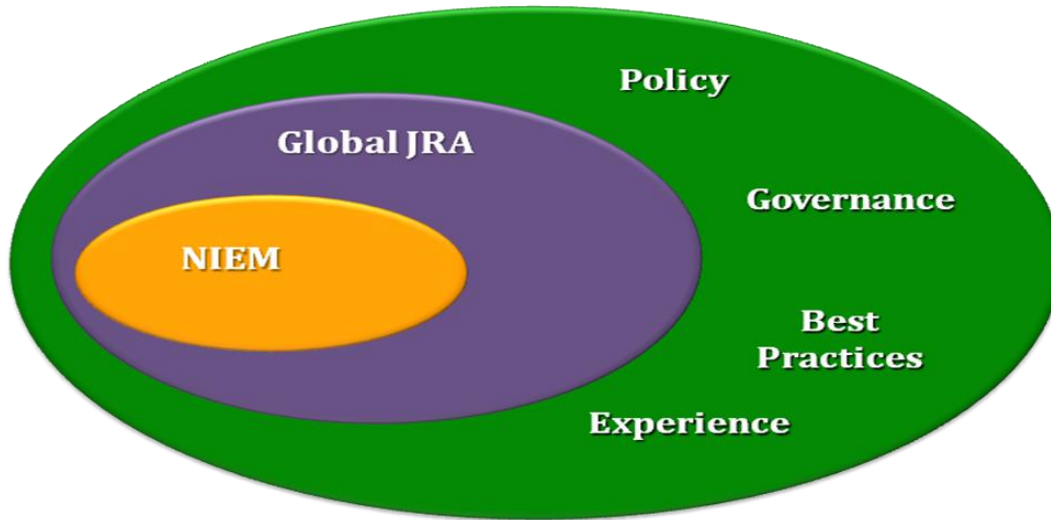
**Figure 6 – Global Interoperability and Information Sharing Standards**

# 5. Recommendations

In the course of conducting the current system assessment and needs analysis, a volume of findings were documented. In response, the team developed a set of 20 specific recommendations for the OPISIS program to continue improvement of the New Orleans CJIS environment. While these recommendations may not address all needs, they have been developed in view of the need to optimally focus limited resources within a limited time frame.

The time frame for carrying out these recommendations recognizes a three-year horizon, during which time it is recommended that the OPISIS program accept a mission focused on transition of the program to a more permanent status. During this three-year period, it is further recommended that the OPISIS program accept the following summary recommendations as discrete measures for achieving the transition.

♦ **Fortify OPISIS program management foundation** and continue to empower program leadership through a sustained partnership with the NOPJF. Engage the City leadership with the NOPJF in managing the three year transition via the OPISIS Executive Board and Technology Committee.

♦ **Develop a Criminal Justice Strategic Plan** to provide overarching direction to the OPISIS program, as well as a future CJIS strategic IT plan.

♦ I**mplement an authoritative governance structure** aligning the OPISIS program management with the direction of the Criminal Justice Strategic Plan and the future CJIS strategic IT plan.

The following detailed recommendations support these first three summary recommendations.

   o PG-1 Develop Criminal Justice Strategic Plan
   o PG-2 Implement Authoritative Governance Structure

These recommendations represent the actions required to fortify the foundation of the OPISIS program and to provide direction and structure in preparation for the challenges ahead, such that: the strengths that have made the program successful are preserved; and, that these successful practices are enhanced to form the foundation for managing information sharing and integration challenges as they become more formidable. Each recommendation is described in Section 5.1.

♦ **Revise and enhance policies for inter-agency electronic information sharing** of CJIS information specific to the form, content and administration of data to be shared among participating agencies, including a common and agreed upon set rules of engagement for participation in the OPISIS program.

The following detailed recommendations support these first three summary recommendations:

   o PG-3 Implement OPISIS Participation Agreement

This recommendation is designed to further augment the robust governance structure addressed by the items above by specifically addressing potential issues in managing future

agency participation in information sharing partnerships. Recommendation PG-3 is described in Section 5.1.

♦ **Design a CJIS enterprise business and technology architecture** that helps to ensure the integration of future application and technology solutions, that leverages OPISIS investments to date (i.e. DES shared services model), and that addresses a mix of shared, federated, point-to-point and individual agency information sharing and integration needs.

The following detailed recommendations support this summary recommendation:

   o ST-1 Adopt Enterprise Architecture Model

   o FNI-1 Implement CJIS Technical Architecture

   o MR-1 Define and Implement Enterprise Technology Policy

These recommendations address an important shift, started by the OPISIS program, to an "enterprise" (vs. agency) view of future CJIS solutions. This is required to ensure that effective and efficient information sharing solutions are designed and implemented as new projects are completed. These recommendations provide detailed views, from concept to operations, of the architecture components to be considered as the OPISIS program continues to move forward. The recommendations are included in Sections 5.3, 5.4, and 5.5 respectively.

♦ **Implement Central CJIS Data Repository and Shared Services** capability to support sharing of information of common need (person/case involvements) for all New Orleans criminal justice agencies – building upon the DES services.

The following detailed recommendation supports this summary recommendation:

   o ST-2 Enhance "DES" Capabilities

This recommendation addresses the importance of central data and system administration, including the availability of common shared services to all authorized CJIS users. This is an essential component of an integrated CJIS environment and is a central component of the enterprise architecture model. Details of this recommendation are included in Section 5.3.

♦ **Plan and initiate high-impact systems and technology improvements** to address short term process improvement and long term future integrated CJIS needs associated with the processing of individuals from arrest to disposition.

The following detailed recommendations support this summary recommendation:

   o BPO-1 Improve Critical Decision Processes

   o BPO-2 Manage Process Transformation

   o ST-3 Continue Execution of OPISIS Projects

   o ST-4 Modernize Core CJIS Applications – Police RMS

   o ST-5 Modernize Core CJIS Applications – Court Case CMS

   o ST-6 Manage Enterprise Integration of CJIS Applications

These recommendations represent the core changes required to implement an integrated CJIS in New Orleans. Included are actions of process engineering and re-engineering required to improve interactions between agencies, as well as the design standards for integration and exchanging information effectively between agencies. To ensure these new modernized solutions are successfully implemented and achieve information sharing and integration goals, it will require full scope design integration that includes architecture standards, data standards, conversion strategies and enterprise solution design – the DES. Details of these recommendations can be found in Sections 5.2 and 5.3.

♦ **Define and implement a responsive IT operations management** model ensuring that the capacity of the technology infrastructure, and responsive IT resources required to support an integrated CJIS environment, are in place and in alignment and in alignment with the City ITI Strategic Technology Plan.

♦ **Adopt and use national "Best Practice" information sharing standards** in the design of the New Orleans CJIS enterprise architecture and in the development of future information exchange capabilities supporting information sharing needs among New Orleans CJIS applications.

The following detailed recommendations support the two summary recommendations above:

- o FNI-2 Establish Infrastructure and Operations Policies and Guidelines

- o MR-2 Develop IT Management Requirements and Performance Measurements

- o MR-3 Adopt and Use National Information Sharing Standards

These recommendations focus on the importance of ensuring that IT management standards, capacities and skilled resources do not become an impediment to progress. Conversely, these recommendations are included to help accelerate implementation progress and ensure the capabilities are in place to efficiently support new application and technology solutions. Further, it is important to note the importance of considering the "technical" requirements early in the development of information sharing policy, governance and budgeting. Details of these recommendations can be found in Sections 5.4 and 5.5.

♦ **Establish plan for CJIS operational sustainment**, including the funding and technical stewardship of the OPISIS program deliverables and on-going CJIS operations, including an investment strategy for replacing costly legacy technologies supporting the current CJIS environment.

The following detailed recommendations support the two summary recommendations above:

- o PG-4 Develop OPISIS/CJIS Funding Plan

- o MR-4 Develop Operations Sustainability Requirements

These recommendations address important near and long term challenges for the City and the New Orleans administration and criminal justice leadership. To date, funding commitments to the advancement of the CJIS environment have been operationally based, with much of the funding for new projects provided by the OPISIS program. A critical success factor in achieving future information sharing and integration goals will depend

upon the creation of a confident funding strategy and plan for the future of New Orleans CJIS. Details of these recommendations can be found in Sections 5.1 and 5.5.

It is important to note the inherent assumption regarding the roles of the NOPJF and the City's department of Information Technology and Innovation (ITI). City ITI will play a critical role in the OPISIS program as the central IT management organization that will provide IT maintenance and support services for the future integrated CJIS environment. The NOPJF currently provides vital services across the OPISIS program, including as a liaison to the City ITI. As an OPISIS funding resource, program manager, and technical consultant, the NOPJF should continue to play an essential role working in partnership with the City and the New Orleans criminal justice community in advancing the OPISIS program.

In the course of preparing this report, the TA Team developed a "straw man" strategy and set of preliminary recommendations for presentation to the New Orleans OPISIS representatives. That presentation was conducted on October 22, 2010. This section is based upon the results of those discussions as documented in the sections below.

## 5.1.    Policy and Governance

Given the complexity of OPISIS and the New Orleans CJIS environment, the governance structure for the development of integrated justice has, to this point, been largely informal. The recommendations in this section are intended to provide some guidance to add structure and improve sustainability in the OPISIS program. Critical success factors for the Governance recommendations included:

♦ Continuing support and strengthen the OPISIS criminal justice community for sharing information

♦ NOPJF continues the role of program manager supporting the OPISIS program, including the Data Exchange Server (DES), for the near term

♦ OPISIS continues with its responsibilities and roles in managing the criminal justice information sharing projects; and City ITI and OPISIS work together as partners

### 5.1.1  Recommendation PG-1: Develop Criminal Justice Strategic Plan

While the scope of this TA engagement did not include detailed recommendations on the content of a plan, the team advises the leadership of the New Orleans criminal justice community work to develop a comprehensive Criminal Justice Strategic Plan. The purpose of the plan is to provide alignment of business decision making with the high order goals of the City and Parish in providing criminal justice services. It will also provide confidence that the Criminal Justice Information System is improving the execution of the respective criminal justice agency missions. In this context, this plan would set the overarching direction and value sought from investments in technology and information sharing. It should be aligned with enterprise strategies for technology, as well as the tactical aspects of programs like OPISIS.

Developing a strategic plan for New Orleans criminal justice, outlining an integrated criminal justice information system, is an important step forward. This should likely be led by the leaders of the criminal justice agencies, in partnership with NOPJF, key criminal justice representatives, and other key stakeholders. This may be confirmed as part of clarifying the role

and responsibilities of CJCC or the outcome of the Criminal Justice Working Group's activities. The Criminal Justice Strategic Plan should focus on the business of criminal justice in the City, not the technology. OPISIS leadership should ensure their participation in this process as the outcome will drive the programs technology projects and initiatives.

Grant funding may provide the City with qualified assistance in the development of this plan through IJIS Institute Alliance Partner, the National Criminal Justice Association (NCJA). More on the NCJA and their technical assistance programs can be found at www.ncja.org

### 5.1.1.1 City IT Strategic Plan

The City's ITI is planning to create a Technology Strategic Plan that will reflect enabling technology needs across all City departments, but also includes the needs arising from the Criminal Justice Strategic Plan. The Technology Strategic Plan would be developed in association NOPJF/OPISIS and other key stakeholders. The OPISIS program should participate to help ensure alignment with the Criminal Justice Strategic Plan, and to ensure benefit to the OPISIS strategic IT plan/New Orleans CJIS Strategic IT Plan

OPISIS should evolve its planning in the form of a New Orleans CJIS Strategic Information Technology (IT) plan. During the transition over the next three years, the focus for OPISIS should be in making the program (as advocated by this engagement) more formally operational. This suggests that much of the OPISIS management activity will be tactical vs. strategic. The current plan, which describes mandate, vision, goals, responsibilities, and high-level milestones, will continue to provide value as an overall guide. For this reason, it should remain active.

Although the Criminal Justice Strategic Plan and the City's ITI Strategic IT Plan may not be completed soon, it would be useful to identify the relevant technology direction, goals, key issues, relevant projects, and information sharing needs, for OPISIS and communicate them to these other strategic planning efforts. This would ensure the OPISIS plan is clear and that it remains aligned with these other important efforts, and it would provide the benefit of OPISIS information to them. This plan needs to be in alignment with both: the Criminal Justice Strategic Plan, to ensure the business priorities of criminal justice administration are driving CJIS IT priorities; and, the City ITI Strategic Technology Plan, to ensure standards for the acquisition and use of technology are consistent with citywide investment (see Figure 7).



**Figure 7 – CJIS IT Strategic Planning**

## 5.1.2 Recommendation PG-2: Implement Authoritative Governance Structure

This recommendation addresses an issue that is large in both scope and significance in achieving long-term goals for New Orleans CJIS. As such, the recommendation addresses many components and is expected to span the entire three-year transition period. It is also recognized that it is essential to preserve the benefits of the current OPISIS informal governance structure as a more permanent structure is adopted – evolution versus revolution.

The OPISIS program has proven to be a successful model for driving projects to improve information sharing. It is now time for the New Orleans justice agencies to confirm and put a structure in place that establishes their support of OPISIS as a program management organization. This organization should continue to work to provide funding, coordination, and implementation of the information sharing initiatives.

Recognizing that an effective informal organization is already in place, it is recommended that the first step be to officially recognize the working elements. It is further recommended that the NOPJF continue to provide program management services during this three year transition period, while facilitating any transitions of the OPISIS organization as decided.

A depiction of the context and primary organizational components of the recommended OPISIS governance structure are included in Figure 8 below.
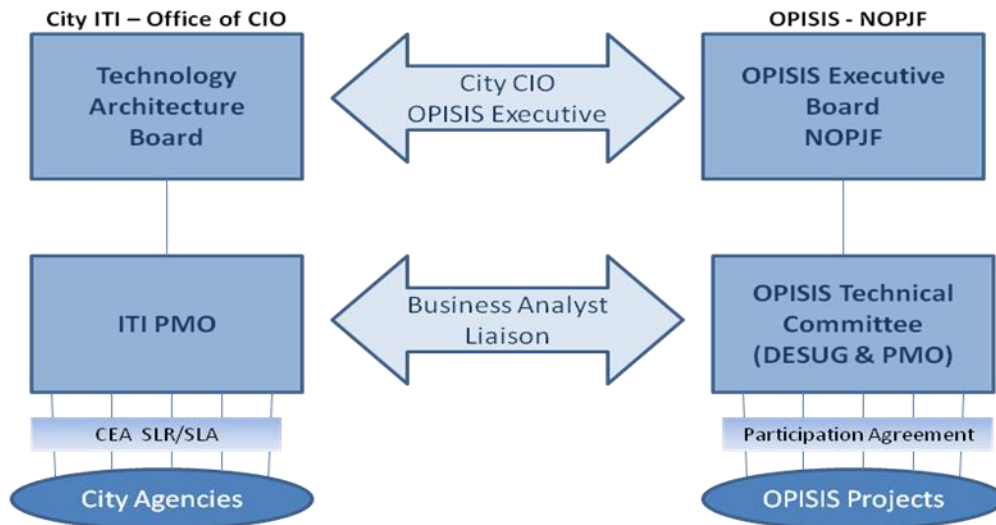


**Figure 8 - Recommended OPISIS Governance Structure**

The right side of the diagram depicts the structure and components of the current OPISIS program management structure. The primary extensions recommended to this structure are the alignments of the OPISIS structure with the City IT management organization and with the CJCC.

### 5.1.2.1 OPISIS Executive Board

OPISIS Executive Board - The Executive Board has been primarily focused on technology issues. It is important to recognize that the purpose of integration of information systems is to improve

the quality of the administration of justice. The Executive Board should continue to provide direction to the OPISIS program and the OPISIS Technology Committee. This includes setting business priorities to drive the planning and implementation of any technology initiatives. The Board should also engage more with the City in establishing the actions required to fulfill business goals and objectives set forth in a broader criminal justice strategy. Best practices suggest that the Board consist of executive level managers and department heads from each of the participating OPISIS agencies. The Board's responsibilities and roles should be clearly defined in a Charter, and they should meet on a regular basis to discuss set/review direction, issues, mitigate risks, and work through key operational problems.

The OPISIS Executive Board can provide a structure to oversee and guide projects, as well as a mechanism for defining and articulating a team's collective vision, goals, priorities, and strategies. The Board should be responsible for setting policy, making key decisions, finding funding, and committing agency resources. The Board would also be responsible for settling conflicts and removing barriers as they surface. A strong and active governance body is essential to supporting an enterprise able to sustain successful fulfillment of stakeholder business, technical, and program requirements. The OPISIS Executive Board needs to be chartered for this purpose and given the mission and authority to oversee the program.

♦ Includes executive leadership (Chief Judges, DA, Police Chief, Public Defender, and Sheriff) from all OPISIS participating agencies.

♦ Decision-making (e.g., how decisions are made, who makes them, at what level are decisions made and escalated, how are they dealt with if they overlap on an agency's jurisdiction, etc.)

♦ Roles and responsibilities (e.g., specific agencies' scope of jurisdiction and responsibility, who is responsible for managing the OPISIS, or maintaining the DES, data ownership, to clarify understanding of who is doing what and provide improved confidence that the data is being used responsibly by other agencies and individuals).

♦ Processes outlining how changes in agency participation get made, how new projects get identified and selected, how funding allocated, etc.

♦ Participation in OPISIS as well as DESUG, or other multi-level structure, e.g. core group, and then other members that have 'for information only' access.

♦ Tools for accountability to ensure people and organizations understand their responsibilities, assuring that processes are in place and being followed, and reporting is accurate and responsive, etc.

### 5.1.2.2    OPISIS Technology Committee

The OPISIS Technology Committee needs to be similarly chartered to function at the direction of the Executive Board as the technical and project management group responsible for executing the OPISIS mission. The Technology Committee should address tactical needs by providing a liaison to the City ITI on technology governance, as well as provide the PMO function for the operational oversight of OPISIS projects. The group should be formally established and charged with making recommendations to the executive body regarding issues such as technology (IT) architecture, use of information sharing standards, software systems security, network infrastructure, data administration, and project management issues. This

committee should also include an OPISIS Project Management Office (PMO) and the DES User Group as subcommittee functions.

The PMO should function in alignment with the new City PMO and incorporate a risk management framework for the OPISIS program as part of an overall project oversight role. In this role, the OPISIS PMO will perform direct monitoring of the work being conducted in the execution of OPISIS projects. It should be aligned with the City PMO to ensure that OPISIS projects are reported consistently and with sufficient detail and frequency.

Additionally, the PMO should function along with the DESUG as part of the OPISIS Technology Committee. As the DES environment grows to become the architecture for the central shared services component of OPISIS, the function of the DESUG will become increasingly challenging as it will likely reach all points of the justice system. In the short term, the DESUG should remain for the most part the same with the addition of becoming a recognized function of the OPISIS Technology Committee. Function and purpose need to be documented in the form of a subcommittee charter. The DESUG function and purpose should be agreed upon among all participating agencies.

Structurally, the PMO may take a number of forms, depending upon the complexity, needs, activities, and resources of the active OPISIS projects. In these early stages of the OPISIS program, project management has consisted of a committee composed of knowledgeable managers from justice agencies to provide project oversight. As the future environment begins to take shape, the PMO can evolve to include a full-time project manager and staff to direct development. Typically, the responsibilities of the PMO would include:

♦ Project portfolio planning and monitoring
♦ Performance and risk monitoring – projects achieving their goals
♦ Budget monitoring – tracking projects conformance to approved budgets and financial guidelines
♦ Technology guidance – ensuring appropriate standards are enacted and followed
♦ Communication – reporting regularly to OPISIS and City stakeholders

The OPISIS program is complex and will require the planning and execution of multiple projects simultaneously. A PMO that coordinates all these multiple projects will enable effective management these projects via use and reuse assets wherever possible to gain efficiencies and be more cost effective.

### 5.1.2.3   City ITI Technology Architecture Board

The City Technology Architecture Board (TAB) will be a function of the Office of the Chief Information Officer (CIO). The TAB will provide direction, select/approve projects, and oversee all City technology projects. As part of an executive exchange, the OPISIS Program Manager should have a seat on the Technology Architecture Board to ensure the Board receives input (e.g., strategies, business cases) from various City agencies, NOPJF, and the participating OPISIS agencies.

### 5.1.2.4   City ITI Project Management Office (PMO)

The City Project Management Office (PMO) should provide project management capacity, capability, and tools for managing and/or monitoring City technology projects. As some of these projects may be associated with OPISIS projects, the PMO should be capable of providing status updates to the Technology Architecture Board, ITI management, and other departments, as required. To better enable this function, it is recommended that ITI move forward with plans to create domain-based, business analyst/liaison positions, including a position solely focused on assisting improvement in the City's public safety and justice agencies.

### 5.1.2.5   City and OPISIS Relationship

The City and OPISIS organizations all play significant roles in the integrated justice information system. It is important that they work together effectively as partners to improve the information sharing for the criminal justice community and ultimately the administration of public safety and criminal justice.

Recommended actions include:

♦ Establish the current OPISIS Executive Board and OPISIS Technology Committee as the governance model for the OPISIS program as depicted above.

♦ ITI should move forward with plans to create a Technology Architecture Board (TAB) and a Program Management Office (PMO) as depicted above.

♦ Establish liaison points between the City and OPISIS governance structures to ensure alignment at the executive and technical levels, and designate executive and technical representatives from the City and OPISIS to participate in corresponding committees.

♦ Work with the CJCC to clarify and document the direction, role and responsibilities of the Council. This should include input from the City government, City ITI, the participating OPISIS criminal justice agencies, and the NOPJF.

♦ Execute an agreement between OPISIS and the City outlining each party's roles and responsibilities in improving and operating the justice system. This is not suggested as a service level agreement, rather a collaboration agreement. The form can be determined based upon the final determination of the nature of that agreement.

♦ Execute a formal agreement between the City and the NOPJF to ensure continued support of OPISIS. As OPISIS program manager, the NOPJF remains essential to the delivery of the activities/projects that affect New Orleans criminal justice departments.

♦ Clarify and document the direction, role and responsibilities of ITI in providing business and technical services for the City's justice agencies (e.g., funding, infrastructure support, use of Service Level Agreements). These understandings should be documented in some form of participating agreement.

### 5.1.2.6    Communications Plan

 OPISIS should develop a communications plan. This would be a component of the OPISIS Program transition management. The communications plan would include; messages, delivery mechanisms, target audiences, from whom, timing, who is responsible, etc. Use communications strategically, not only to inform users and key stakeholders of what goals and actions are planned and achieved, but also to build support for electronic information sharing and the benefits that are being realized in the New Orleans criminal justice environment.

As the OPISIS projects and information sharing gets implemented, accepted, and most importantly - imbedded, it will become more accepted and quite importantly, more difficult to take away or stop. Integrate communications across all aspects of the program. For example, imbed the informing of benefits realized into the training program, so that new users truly understand "why?" an integrated system is being implemented, their roles, responsibilities, and processes. This should result in fewer disagreements, and misunderstandings, as well as an increased engagement and commitment to the program, the new processes, and identifying new areas for improvement.

## 5.1.3  Recommendation PG-3: Implement OPISIS Participation Agreement

The OPISIS program is widely recognized as working very effectively to identify, develop, and implement the information sharing opportunities in an informal way. Yet as there are more and increasingly complex operations, the OPISIS and project team members have expressed a need for increased structure and process for the OPISIS program, without becoming bureaucratic, negatively affecting relationships, or becoming ineffective. To this end, a multi-purpose MOU for the DES has been developed and continues to evolve.

At this stage, formalization of the intention of the DES MOU should be done in a single purpose document defining the rules of engagement for the electronic sharing of information for the agencies choosing to participate in OPISIS – ensuring that all play by the same set of rules. The agreement should define key processes such as, making decisions, dispute resolution, project identification/evaluation (including use of business cases, Return on Investment, Total Cost of Ownership, risk assessment) from any criminal justice agency, monitoring progress, adding/removing members, inclusion of other stakeholders, etc. For example, part of the process for selecting projects might include requiring participating agencies to agree via majority. Minimally, the agreement needs to include:

♦ Purpose and objectives of OPISIS, and 'agreement'

♦ Structure of governance, i.e., Executive Board, Technical Committee and PMO, DESUG - their members, and key stakeholders

♦ Definition of members and other stakeholders, and their roles and responsibilities (e.g., work together to identify information sharing improvement opportunities, assist with developing solutions, sit on the DESUG, etc.); and policy/guidelines around data – release of data to DES or other agencies, ownership/control, data usage, access, accuracy, changes, security, etc.

This agreement needs to be sufficiently detailed to define the approach or process to work out solutions and/or assign responsibilities and timing. This will be a dynamic process and fits with the approach successfully used to date. It should clearly define requirements for membership on the OPISIS Executive Board including the roles, responsibilities, and key processes, and extensions required to create a seat for the City CIO. The City's role in the technology direction and support for criminal justice is significant and will increase in the foreseeable future, which warrants its membership on the Executive Committee.

Similarly, membership in the OPISIS Technology Committee, including the DESUG and the PMO must be clearly decided. Roles and responsibilities need to be documented, e.g., integrated justice business and technology architectures development. Key processes for the Technology Committee need to include areas such as identifying and adding new members, inviting non-members to the Committee meeting when required, identifying priorities, problem resolution, communication practices, etc. Additionally, like the CIO participation on the Board, the ITI business analyst/liaison should be a member of the OPISIS Technology Committee providing input and support from the City/ITI perspective.

## 5.1.4  Recommendation PG-4: Develop a CJIS Funding Plan

As OPISIS continues to gain momentum, the demands on resources are increasing, and by virtue of this report, the program will be setting more ambitious goals for the next three years. These will mandate the continued managing of projects, managing more information sharing processes, providing project management and reporting, delivering new and follow-up training, solving problems, preparing documentation, preparing business cases, meetings, working with more stakeholders, and continuing to build the relationships required. It is likely that greater investment will be required.

Numerous government (city, state, and federal) agencies, and not-for-profit organizations have been making investments in the improvement and operations of the criminal justice system for New Orleans. To continue, such investments need to be coordinated, and aligned with the long term goals for New Orleans CJIS to be most effective. Funding plans need to be shared and coordinated (grants, project, and general funds) and driven by the OPISIS Executive Board, as well as the City ITI leadership. As with many government initiatives today, funding is becoming increasingly competitive. The ability to provide evidence based rationale when seeking funding is, and will continue to be, essential.

This will require decision models on projects and operational changes to be based upon a business case and Return on Investment (ROI) metrics (e.g., more accurate decisions, cost savings in operations, reduced errors). A template should be prepared (one that is consistent across NOPJF/OPISIS and ITI) to instill the practice of defining these issues as part of the

project definition process. There could be more than one level of detail, to apply to varying sizes or complexity of projects.

Additionally, the need for a shared multi-agency funding allocation approach needs to be developed that can be applied flexibly to specific projects, including: development/ acquisition, implementation, and maintenance of future New Orleans CJIS application and technology solutions. It should be based on estimates of value to the benefiting agency or agencies and should include the method to calculate benefits. Relevant understandings of where benefits will be generated will help in the prioritization of projects, as well as the establishment of fact-based funding allocations.

A funding plan will be an essential part of providing participating agencies with confidence and predictability that the information will continue to be provided electronically, thus allowing them to make changes ultimately required to achieve the benefits from the investment. The criminal justice community needs to work together to solve this issue for the near term, and to set the stage for long term operational support. Further, all options should be considered in this strategy, such as: 1) NOPJF seeks to secure funding for more than just the project, but also for one or two years of maintenance; 2) City ITI is funded to provide operations and maintenance services; and 3) shared funding from the participating agencies is provided to help sustain the central shared services environment.

### 5.1.4.1 Manage for Transition

The OPISIS program is progressing but has also identified changes that are needed in order to be successful in the long term. This report is intended to assist in planning for these changes. OPISIS and the City ITI will need to continue short-term wins in order to demonstrate that the new plan is successfully underway and maintains momentum. NOPJF, the consortium and the City ITI should not build unrealistic expectations for making all the changes contemplated. Plans should include milestones over a three year period, understanding that there some goals may take even longer.

For the longer term, as the shared information, processes, and technology advances become increasingly integrated and cemented into the business of the criminal justice agencies, a more permanent structure will be required. This could occur in approximately three years. During this time, a new Criminal Justice Strategic Plan should be in place, along with a City Information Technology Plan. At this stage, the OPISIS program should be prepared to develop its next strategic plan.

In terms of the form of the New Orleans CJIS central IT organization, decisions will have to be made regarding establishment of the management of the central services supporting the CJIS environment. Some options to consider over the next three years could include: 1) All central services remain and/or are moved to the City ITI; 2) Management of IT Central services are outsourced to an independent entity; 3) Transition central IT management services to an independent authority (e.g. Orleans Communications District), operating under administrative or legislative provision; or, 4) IT central management services are moved under one of the criminal justice agencies. While of these have merits of sort, the decision needs to be made in light of the progress that will be made in the three year transition period, during which time all combinations of options should be considered.

Sharing information across the criminal justice community of New Orleans will require changes to the way people do their work, and changes to the way people relate to each other. It also

requires agencies and people to allocate their time and resources differently, and some of these require compromises.

Accordingly, Change Management should become a standing agenda item on the OPISIS Executive Committee meeting agendas, as this will be a dynamic process affecting agencies, people, other resources, processes, and New Orleans, over the long term.

In order to be effective in making change in this environment, and reaching the vision and goals, there are a few guiding principles:

♦ The relationship building and change process to date has been successful. The NOPJF, consortium and the City must try to ensure this approach and relationships built are maintained.

♦ As members come and go from the consortium the group will need to be cognizant of the need to directly manage the transitions. This requires dedicating time and effort to building the new relationships.

## 5.2.    Business Process and Operations

In order to realize the benefits of an integrated justice system, OPISIS needs to ensure that business process and operations requirements drive the selection of future technology solutions. The recommendations in this section focus on addressing specific business needs gathered from our interviews that will support the sharing of data between OPISIS agencies.

The TA Team recognized the need for both data independence, as well as the need for all agencies to share information via daily process interactions. Each agency has a common interest in supporting the criminal justice mission.

### 5.2.1  Recommendation BPO-1: Improve Critical Decision Processes

The need for accurate and timely information at critical decision points is an essential need. Most noteworthy, criminal history and related arrest and disposition information was a common concern among the New Orleans justice agencies. Development of the criminal history information sharing needs should be a function of the OPISIS Executive Board and Technology Committee, and should follow the OPISIS methodology for defining system acquisition and development requirements. The project should involve all agencies that generate arrest and disposition information, as well as those that rely upon this information in the execution of their respective missions. Additionally, the project should incorporate the regional and state criminal history reporting requirements.

The needs of these agencies will drive the selection of modern, secure, scalable, system that has expanded capability to capture the full array of data associated with search warrant and arrest data. These needs provide critical driver in the considerations for replacement of the legacy MOTION system. The replacement system should be easier to share with authorized agencies/users and should contain a fully-realized auditing/reporting sub-system. It should be highly intuitive for all criminal justice users. The MOTION system should also be integrated into existing systems to minimize data entry and to offer real-time, updated, complete information.

## 5.2.2  Recommendation BPO-2: Manage Process Transformation

During the visits to each department, the TA Team sought to understand the current business processes and operations of each department. The objective was to identify potential changes that would be required to enhance the abilities of departments to work effectively as a criminal justice organization. For the most part, there were no major issues and/or needs identified in terms of changing current processes at this time.

However, it is important to note that this is a function of being in the early stages of the OPISIS transformation. As new IT projects are undertaken, it is critical that an impact assessment on current business processes and operations be a major driver of new system requirements and project plans. Business Process Engineering (BPE) and Re-Engineering (BPR) will provide both a solid baseline for future requirements, as well as a view of future process and operational changes requirement to successfully implement future CJIS information sharing and process integration solutions.

There is a need to improve the process interactions and information exchanges between agencies. Each agency needs to develop an awareness of not only the information that their agency needs to receive, but also an awareness of how the information they capture is used by other agencies within the criminal justice enterprise. The following is a list of the most critical business process and operations improvements to be expected from the implementation of new information sharing and integration capabilities. These were identified following an extensive set of on-site interviews conducted by the IJIS TA Team.

*Criminal History:* Establish a new comprehensive system view when replacing and/or modernizing the multiple systems generating relevant information on persons involved in the justice system and develop short term process improvements to begin comprehensive capture of local RAP sheet information.

*Business Process Improvements for Capture of Arrest and Disposition:* Perform business process re-engineering when planning for the modernization of the MOTION system to provide the information AND structure geared for the volume of expanded law enforcement/criminal justice needs. The current system works, but is a patchwork, and does not have the capability to capture needed information. Modernization of the MOTION system should create valuable improvements in process interaction and information sharing across all agencies.

*Municipal Court Integrations:* Currently, Municipal Court's data is considered, for the most part, an island. Yet the information it possesses has bearing on decision-making at NOPD, the DA, and Criminal Court. Ensure all process and operational needs are considered in the effort to integrate the Municipal Court information into the OPISIS environment.

*Access to Probation and Parole Systems:* Currently, State Probation and Parole data is not shared electronically with Criminal Court/Municipal Court/NOPD/OPDAO. This data is necessary for decision makers to properly investigate and adjudicate new cases effecting parolees and probationers. For example, an investigator has additional leverage points to use when a criminal suspect is on parole or probation. This is an area for improvements in process interaction and information sharing.

*Access for Judicial/Prosecutorial and Law Enforcement to Protective Order System:* When deciding on incarceration (and requests for incarceration), DA's and Judges weigh a defendant's danger to the community. Currently, complete, digital, updated Protective Order information is not available to these Public Servants in the furtherance of their positions, though a data system exists at the state level. Process and information sharing improvements here can mitigate life critical decision making.

*GIS system Integration with NOPD Data Systems (RMS and NOPD Electronic Police Report):* Crime incident locations shared with stakeholders (OPSO, Judiciary, DA, Bordering LEA, Public). This is new capability that can provide the New Orleans criminal justice community with essential "place based" analysis capabilities – supporting new prevention mission paradigms. Effective use of this type of technology will require significant process engineering to create new and effective methods of interaction across the justice spectrum.

## 5.3.    Systems and Technology

The recommendations included in this section are intended to provide high-level guidance on systems and technology efforts in the City of New Orleans and Orleans Parish agencies. These recommendations support the aforementioned policy and business process recommendations and address the systems and technology findings presented earlier in this report.

Historically, CJIS projects are conducted independent of each other, with no overarching design to align efforts, maximize benefits, and leverage resources. OPISIS has begun to change the New Orleans CJIS environment by raising the importance of information sharing and integration as a critical consideration in the development and acquisition of new application and technology solutions.

Any technology plan affects not only the agency involved but their internal and external justice partners as well. The number of agencies and applications involved further complicates the planning process. It also creates complex interactions between the agencies. As with many complex tasks, it is useful to decompose the work into manageable pieces by applying a methodology to segment the choices and planning.

To accomplish this for OPISIS, an enterprise-oriented approach is best. Simply stated, it has now become important for OPISIS to take an all-encompassing view of the challenge of enterprise information sharing. It is no longer an agency or departmental view that is needed; an enterprise view is now needed. Going forward, the only way to ensure that all components connect and function properly is to adopt this type of design approach at all levels.

Adopting this concept and gaining the support of participating agencies is critical given that there are will be a number of ongoing initiatives in New Orleans, with several projects that may overlap in user base and functionality. It is important to recognize the overlap in the various initiatives and enable users to better understand where and how to locate the information they need as quickly as possible, as well as for achieving best economic results.

Enterprise architecture frameworks generally address these concerns by organizing the description of the technology portfolio and standards into a set of separate sub-architectures, or layers. A more detailed description of these concepts is included in Section 5.3.1.

The TA Team further recommends that agencies consider the benefits of using Commercial Off-The-Shelf (COTS) and Government Off-The-Shelf (GOTS) solutions, including hosted solutions as a primary source for the replacement of core business systems. Any identified replacement efforts should be driven by the level of urgency and level of impact to the criminal justice community.

### 5.3.1 Recommendation ST-1: Design an Enterprise Architecture Model

The TA Team recommends that the OPISIS program design and adopt an Enterprise Architecture model that will set the stage for effectively integrating agencies into the future CJIS environment. The future New Orleans Integrated CJIS environment needs a formalized business and technology architecture that is agreed upon and supported by the participating agencies. The technology architecture should be based on "best fit" and define the scope and boundaries of the new system, and at a minimum address architecture layers such as data, information exchange (transport), auditing, administration, security, and work flow.

On the surface, an enterprise CJIS model may appear to be an artifact that should wait until current projects are fully completed. However, the ubiquitous presence of such architectures across integrated criminal justice information technology enterprises of all scales and complexities, points to the value of adopting an enterprise architecture model that is cognizant of the organization's ultimate goal to arrive at such an outcome.

At its core, enterprise architecture is a framework that can help improve the effectiveness and efficiency of an organization's IT investments. For New Orleans CJIS, this framework can provide business and technical leaders with an effective decision-making capability that will help to ensure a more efficient, more consistent, and better aligned business and technology solutions. For example, business and IT managers alike could look to an enterprise architecture approach when asking questions like the following:

♦ What are the CJIS information sharing and integration priorities based upon the overall criminal justice strategy?

♦ What information is shared in common across all justice organizations?

♦ What information exchanges will provide support to the highest value business requirements?

♦ What application(s) will New Orleans justice organizations' staffs use to share information and technological capabilities?

♦ What infrastructure (networks, devices, physical plant, etc.) are necessary to support the envisioned application and information exchange portfolio?

♦ What technology investments should an IT manager plan for in next year's budget or grant cycle in order to meet the critical business objectives established by the criminal justice enterprise leadership?

♦ What technology standards should the enterprise follow in order to best ensure interoperability with other local partners, state partners, and federal partners?

Figure 9 below shows a visual representation of the methodology employed to divide the technology elements of the project into a manageable approach. The methodology uses a

pyramid model to represent the different technology environment aspects and is useful in showing which areas will be affected by the revised architecture.
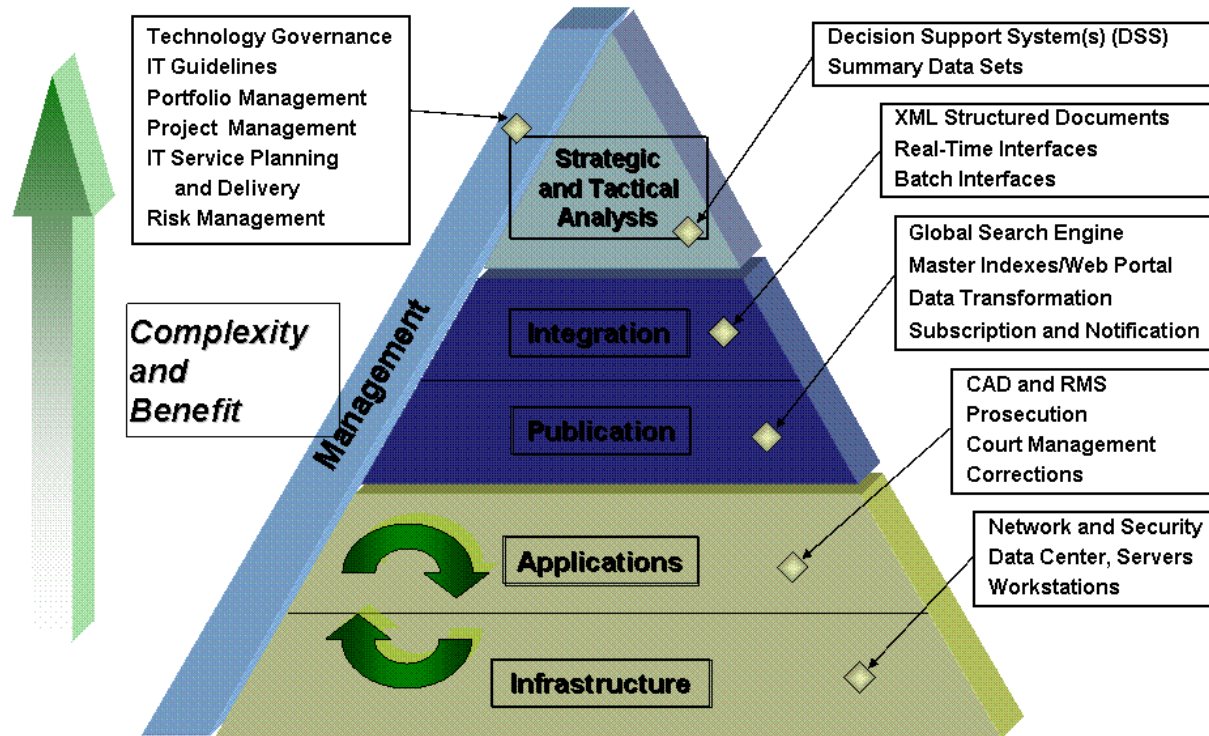


**Figure 9 – Enterprise Architecture**

Each layer builds upon the layer below in the pyramid. The complexity of the environment increases as you move higher on the pyramid, but the business value created increases as well. Identifying the potential changes in the different layers in the planning process provides input for the tactical project planning and assists in managing the overall rate of change in the environment. The remainder of this section provides details on each of the pyramid's layers.

### 5.3.1.1   Systems Foundation Infrastructure Layer

Infrastructure components provide technology solutions that deliver, secure, and run business systems. Examples of these infrastructure components include:

♦  Firewall systems that isolate system resources from unauthorized systems.

♦  Intrusion-detection mechanisms within the network environment.

♦  Certificate or token systems that provide message surety to users and systems outside of the secured environment.

♦  Backup systems that provide information- and system-recovery capabilities.

♦  Data center design that provides consistent support and operational service to the agency users.

♦ Workstation equipment sufficient to support the agency business applications.

♦ Network infrastructure that provides connectivity to internal and external agencies.

These infrastructure components provide the foundation upon which the applications layer described in the next subsection operates. Many components within the infrastructure layer directly affect the applications layer.

### 5.3.1.2   Business Applications Layer

Applications software components provide specific computer system solutions that meet the core business needs of the criminal justice agencies. Examples of applications components include:

♦ Line-of-business applications support specific criminal justice agencies business needs.

♦ Expanded application offerings provide new capabilities to criminal justice users.

♦ Defined interface requirements provide vendors and development staff with clear guidance for criminal justice transactions with acquired and existing systems.

♦ Database management systems are used to store data within the business applications.

These applications support operations for the criminal justice agencies. These applications directly affect the infrastructure layer by creating and altering infrastructure requirements based on application requirements. The applications layer also forms the foundation upon which the publication layer, described in the next subsection, distributes information.

### 5.3.1.3   Publication Layer

Publication components provide information to criminal justice users from existing systems. Examples of publication components include:

♦ Web portals provide access to existing information.

♦ Indices enable complex searches and faster access.

♦ Global search engines provide single-point access.

♦ Data-transformation services deliver aggregated information to users.

♦ Subscription and notification systems provide mechanisms to notify users that information is available.

♦ Standard reports are generated from the business applications.

The publication layer communicates the information gathered by the applications layer to the internal and external justice agencies in a useful manner. Automated communication through subscription and notification mechanisms can form a rudimentary integration framework. However, the integration layer, described in the next subsection, provides a more robust platform from which to exchange data between agencies.

### 5.3.1.4   Integration Layer

Integration components exchange information between existing systems. Examples of integration components include:

♦ Batch interfaces move information between systems at predetermined times.

♦ Real-time interfaces move information between systems as the business system records the information.

♦ XML structured documents provide flexible interfaces that contain varied data and allow common interface paths.

The integration layer expands upon the capabilities in the publication layer by moving the information from one system to another as part of a business process. Information exchanged in this manner frequently forms the basis for automated action within the business application and process. The integration layer also sets up capabilities used by the strategic and tactical analysis layer, described in the next subsection, by enabling data collection and aggregation during business processing.

### 5.3.1.5   Strategic and Tactical Analysis Layer

Analysis components provide complex relational information to criminal justice users from existing information systems. Examples of analysis components include:

♦ Summary data sets used to build comprehensive data warehouses for criminal justice information.

♦ Decision-support systems represent the most complex form of criminal justice system aggregation and utilization and generally use warehoused data sets.

This layer represents the top of the pyramid. It depends upon all the underlying layers to function correctly and provide the information necessary to conduct the analysis for critical decision making. This layer is also the most difficult to attain. The business value created by using the information from this layer is very high, but the cost, difficulty, and management necessary to achieve the desired results from the investment are also high.

### 5.3.1.6   Management Layer

The management components represent the complex tasks of managing IT investments, projects, and service delivery. Examples of the management components include:

♦ Documented and enforced project management standards and processes.

♦ Trained project managers who administer the projects within the technical environment based on the project management standards and processes.

♦ Organizational structures, processes, standards, and guidelines in place to plan and select projects, as well as monitor the agencies' overall IT investment.

♦ Identification and management of inter-project dependencies.

♦ Use of defined systems development standards and methods.

As shown in the pyramid (Figure 9), the management layer runs throughout the other layers to ensure proper operations and coordination. While this layer does not represent a particular technology component, proper technology management ensures the technology employed meets the business needs in a sustainable manner through planning, standards, and oversight.

## 5.3.2  Recommendation ST-2: Enhance "DES" Capabilities

It is recommended that the DES become a central component of the future New Orleans CJIS environment. The DES provides for a central repository of information of common interest to all New Orleans criminal justice agencies. It provides this information with security controls

allowing only authorized agencies and user access.  While these controls will need to become more expansive to support expanded access control and role-based privilege management, the function of the DES provides both a central repository for storing and managing data, as well as the potential of a full shared services environment to support enterprise level person/involvement searches.

Currently, the DESUG drives decisions affecting the function and capability of the DES. These decisions have been, and should continue to be based upon business and operational needs. OPISIS data sharing projects have been driven by specific, readily articulated needs.

Future sharing, however, will be more complex, involving new agencies and new partnerships with more granular sharing needs. As a function of the OPISIS Technology Committee, the DESUG should be empowered to provide for a more expanded "shared services" technical governance model, including: conformance with relevant enterprise architecture components; the ability to support expanded agency participation; and, the centralized management of system operations, system auditing, system backup, continuity of operations, maintenance and upgrade plans. Once expanded and governance applied, the DESUG will be able to:

♦ Support an overall integrated CJIS strategy

♦ Support an enterprise view of business and technology needs

♦ Provide the capability and the process to handle more complex information sharing

♦ Support regional information sharing

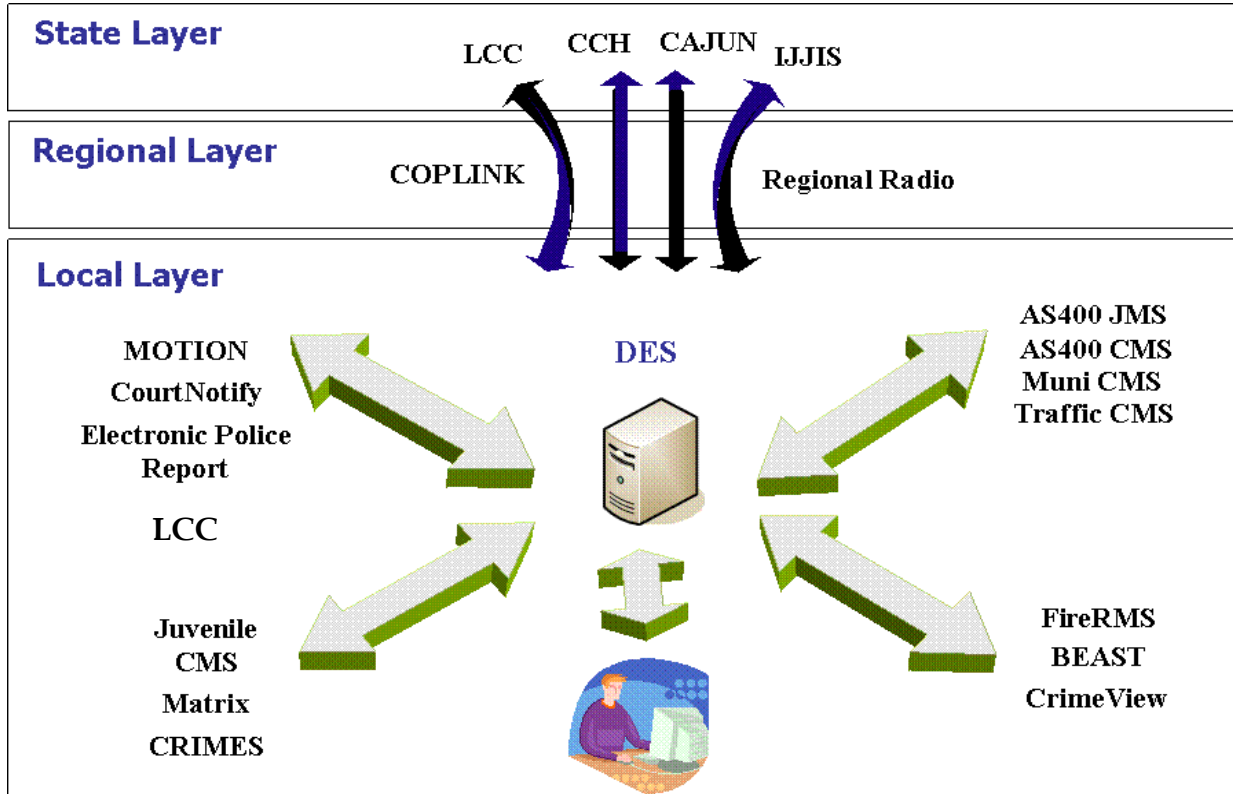♦ Provide a forum for multi-agency technology planning



**Figure 10 – Future Systems and Technology Environment**

As depicted in Figure 10, there are numerous systems used by criminal justice agencies in the City of New Orleans and the Orleans Parish. As in many large jurisdictions, information sharing and system integration is a complex undertaking. This mandates the need to support the required data exchanges utilizing shared services and central data and system administration. It is anticipated that as the New Orleans criminal justice information systems (CJIS) environment continues to grow in both size and complexity, these same needs will be required to keep pace. The OPISIS program has demonstrated via the Data Exchange Server (DES) configuration that this concept is viable and it is recommended that the DES be expanded to support this shared services concept.

As shown in Figure 10, the systems reside in multiple operational layers including a local layer (the City and Parish layer), regional layer (includes neighboring parishes), and state layer (the State of Louisiana).Expressing the future technology environment should align with the OPISIS strategy such that it outlines the steps, priorities, and specific vision that will shape the future. At a minimum, the TA Team recommends that the Future Technology Environment include steps for enhancing the current DES with additional capabilities to perform:

♦ *Queries:* This includes the ability for a criminal justice practitioner to submit an electronic query on a person of interest that targets numerous systems in the city, parish, region, and state and returns a list of candidate names and other information.

♦ *Reporting:* This includes the ability for a criminal justice practitioner to develop and print reports that incorporate data from multiple systems, thus broadening criminal justice decision makers' visibility and capabilities for business intelligence.

♦ *Statistical and Decision Support:* This includes the ability for criminal justice decision makers to make educated decisions based on facts that are compiled through accessible and accurate criminal justice information.

In order to achieve the enhanced capabilities noted above, the TA Team further recommends that OPISIS enhances the DES environment with enterprise-level COTS such as a portal, middleware, index, and data warehouse.

## 5.3.3  Recommendation ST-3: Continue OPISIS Projects

The OPISIS project has achieved significant progress with the implementation of new multi-agency applications (see Section 3.2.1). The TA Team recommends that OPISIS projects continue as part of the overall enterprise architecture approach described in Section 5.1.1. This includes progress made with individual agency projects. Agencies should continue their efforts for modernization and/or replacement of current core business systems. The order and priority in which agency systems are replaced or modernized should be in alignment with the OPISIS program direction, and with the enterprise architecture design. If these alignments are adhered, then progress in these areas will enhance achievement of the long term information sharing and integration goals for New Orleans CJIS.

# 5.3.4 Recommendation ST-4: Modernize Core CJIS Applications – Police Records Management (MOTION)

The NOPDMOTION system is indicative of the age and challenges of many existing New Orleans CJIS applications. It is a legacy "green screen" application designed to operate on an IBM mainframe during the early 1970's. It is currently operating in a mainframe environment at City ITI. MOTION is an arrest and disposition and warrant management system which includes modules for pawn shop, bicycle, gun registration, and a variety of Police Records Management System (RMS) functions. Disposition and warrant information is entered into the system manually instead of through electronic interfaces. Additionally, case disposition entries have not been made for the Criminal District Court cases for a decade. This results in the inability for many City and Parish criminal justice agencies to view criminal history of offenders.

The TA Team recognizes that the modernization of MOTION has been identified as one of the projects under the OPISIS strategic plan (Project #10 – see Appendix D). The TA Team supports this project and emphasizes the urgency and critical nature of this project.  Further, the TA Team recommends that MOTION, which provides the primary information comprising local criminal history, is replaced with a new solution. The new solution should reengineer MOTION data, processes, and functionality to align better with how criminal justice agencies need and access relevant information, and integrate the management and publication of criminal history information with the DES as part of the shared services environment.

There are other similar initiatives across the nation that have established or are currently establishing local or regional criminal history solutions, such as the Shared Computer Operations for Protection and Enforcement (SCOPE) and Wanted Vehicle System (WVS) replacement effort in Clark County, Nevada (Las Vegas Metropolitan region). The TA Team recommends that the New Orleans MOTION system replacement initiative review and learn from such efforts in other jurisdictions to minimize risk and save costs.

The MOTION replacement project is largely unfunded. However, City ITI has current budget of approximately $200,000 for removing MOTION from the high cost operation on the City's IBM mainframe. Although these funds will not be sufficient to complete the entire MOTION modernization effort, the availability of these funds can and should be used to start a successful campaign. The TA Team recommends that a portion of these funds be used by the OPISIS PMO to competitively select (via RFP) and engage a credible and proven justice and public safety consulting firm to assist NOPD, City ITI, and other affected criminal justice agencies with the following services (see guidelines for selecting a consultant in Appendix E):

♦ Facilitating gaining consensus among the criminal justice agencies and stakeholder community on the goals, objectives, and vision of the MOTION replacement effort.

♦ Identification and documentation of the requirements for criminal history reporting.

♦ Identification and review of the options available for a new Records Management System (RMS) including COTS, custom developed, and/or current implementations at other jurisdictions.

♦ Development of detailed transition and conversion plans from the current MOTION system to a new RMS.

♦ Determining the projected cost estimates as well as funding strategies and sources for the overall effort.

♦ Providing experienced and educated guidance and recommendations for moving forward with the MOTION replacement effort, including the system integration and data conversion issues required to ensure a successful transition.

## 5.3.5 Recommendation ST-5: Modernize Core CJIS Applications – Criminal Court Case Management

Similar to the NOPD MOTION system, the Court Case Management applications are managed in a legacy IBM AS400 environment. The IBM AS400 is housed at the Sheriff's office and provides the Jail Management System (JMS) and Orleans Criminal District Court's and Court Clerk's Court Case Management System (CMS). Although the AS400 system is legacy and is in need of modernization, the TA Team observed little urgency for change; few issues were raised in reference to this application in terms of deficiency or cost.

Given the limitations of funding and other resources, the recommended short-term course of action is to build efficient "standards-based" information exchanges to bridge critical process interactions and data sharing needs. As funding becomes available, the TA Team recommends that the Sheriff and the Criminal District Court consider looking at existing COTS/GOTS jail management and case management systems.

Specifically, consideration for future court case management should include the Louisiana State Supreme Court Louisiana Court Connection application (LCC). Like other states that are structured in districts for the trial courts, the state of Louisiana has developed a court case management application that is available to the district trial courts. The TA consultant team was able to view a demonstration of this application and believe it should be given serious consideration by the New Orleans trial courts. It is important to note that the Supreme Court is open to various IT management arrangements for the management of the LCC application, technology and data environments in working with the trial court districts.

Similar to the replacement of MOTION, the disengagement of the Criminal Court CMS will present significant integration challenges to the OPISIS PMO. The TA Team recommends that a portion of these funds be used by the OPISIS PMO to competitively select (via RFP) and engage a credible and proven justice and public safety consulting firm to assist the Criminal District Court and Clerk, OPSO, City ITI, and the other affected criminal justice agencies with the following services (see guidelines for selecting a consultant in Appendix E):

♦ Facilitating gaining consensus among the criminal justice agencies and stakeholder community on the goals, objectives, and vision of a Criminal Court CMS replacement effort.

♦ Identification and documentation of the requirements for disengaging the CMS functionality from the Sheriff's platform, and consideration of future requirements for modernization of the Sheriff's booking and inmate management functionality.

♦ Identification and review of the options available for a new CMS including the Supreme Court LCC, COTS, custom developed, and/or current implementations at other jurisdictions.

♦ Development of detailed transition and conversion plans from the Sheriff's AS400 platform system to a new CMS environment.

♦ Determining the projected cost estimates as well as funding strategies and sources for the overall effort.

♦ Providing experienced and educated guidance and recommendations for moving forward with the CMS replacement effort, including the system integration and data conversion issues required to ensure a successful transition.

### 5.3.6  Recommendation ST-6: Manage Enterprise Integration of CJIS Applications

As stated in Section 5.3.2 the DES should become an integral component of the future New Orleans CJIS enterprise. Accordingly, the TA Team is recommending that the DES become the integration component of the New Orleans CJIS in support of future information sharing and application integration design and development. The DES should provide both a central repository for data management and system administration, as well as become the "hub" or switching point for data transport and messaging. In this capacity, the DES should be become the central component in the enterprise technical architecture (see Section 5.4.1), as well as the design standard for information exchange with and among the various agency applications.

## 5.4.  Facilities and Network Infrastructure

The New Orleans facilities and network infrastructure is capable of supporting CJIS information sharing and will support modern, open standard approaches to integration. It is recommended that these standards-based concepts and practices be expanded as part of the OPISIS program to ensure future New Orleans CJIS information sharing solutions include standards like the NIEM and the JRA.

Most substantially, OPISIS will need to make a series of decisions as to how to apply these capabilities and standards as the integrated CJIS application and technology environment is implemented. Decisions should focus on developing common standards, shared across agencies and systems, for sharing information and connecting departmental applications.

All of the decisions to develop these capabilities should be made in concert with an enterprise architecture approach to ensure that policy and critical business needs are the decision drivers. To the point, the City of New Orleans and the OPISIS agencies need to:

♦ Document their current software systems (e.g., maintain an inventory/list at a minimum).

♦ Define a set of common/minimum policies and procedures for network security, while supporting the federation of network access and privilege management.

♦ Gain a better understanding of the responsibilities and functions that are provided by the City of New Orleans ITI (i.e. help desk).

♦ Define facilities and network infrastructure documentation.

♦ Adopt conformance with FBI CJIS Security Policy requirements for wireless networking, including encryption, certification of cryptographic modules, and minimum key lengths.

♦ Configure hardware-based firewalls so that only authorized users may access servers and networks.

♦ Keep all hardware and software, especially anti-virus software and operating systems, up to date with all published security fixed and system patches.

♦ Commit to conformance with all state and federal laws and regulation as they pertain to information privacy and confidentiality.

These concepts are applicable to the recommendations included in the remainder of this section.

### 5.4.1 Recommendation FNI-1: Implement CJIS Technical Architecture

The OPISIS technology team will soon need to make decisions on the technical (vs. conceptual) architecture for creating an integrated information sharing environment. As New Orleans CJIS integration design evolves to an enterprise view of the New Orleans integrated criminal justice information systems environment, a key component of the architecture will be the solution for providing and managing the shared services environment as recommended in the previous Section 5.3.2. The current environment, as supported by the DES, suggests a combination of central data management services (Repository), with other services components working in a federated network and data management configuration. It is recommended that the OPISIS team work with the City ITI to gain the advantage of their research and decisions process in this area. Figure 10 below illustrates this concept:
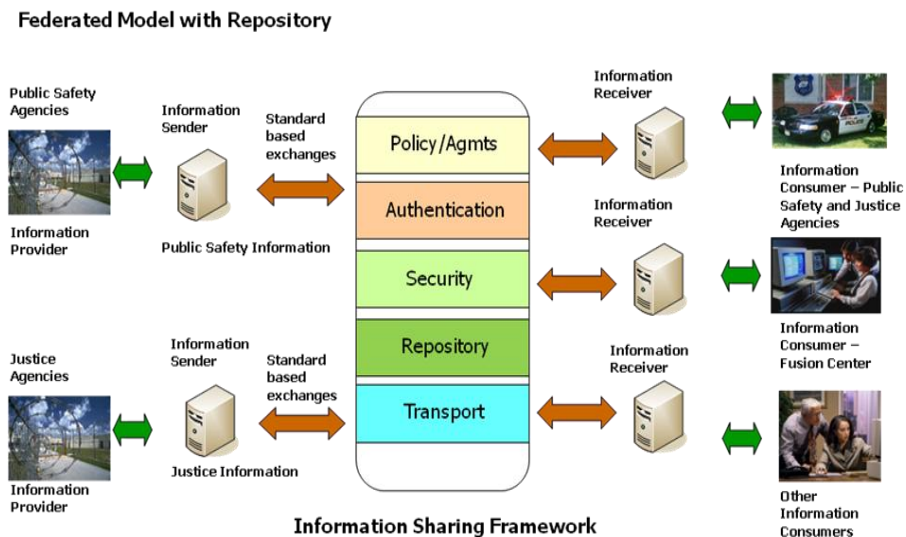


**Figure 11 - Federated Model with Repository – DES**

There are many options for creating a shared services capability, including data warehouse, repository, federation, etc. Most often, it's a combination of more than one (as illustrated above). As the technical design and architecture decisions take shape for OPISIS, it will be imperative that the impacts of those decisions on the planning, deployment and management of the facilities and network infrastructure plans.

### 5.4.2 Recommendation FNI-2: Establish Infrastructure and Operations Policies and Guidelines

The TA Team recommends that the City of New Orleans IT, working in conjunction with the OPISIS team and the criminal justice user community, develop standards and policies for the technical infrastructure and operations network design and documentation using an established network design documentation standard. Network design is an iterative process aimed at

ensuring the network meets the service needs of its users. This network design would include specifications for network services availability during different time periods, as well as document requirements for short-term and long-term business and operations support. This initiative should be led by the City ITI in accordance with the SLR/SLA process described in Section 4.1.2.

The CJIS business requirements should be documented to ensure that network performance can be effectively monitored. These requirements should consider the exchanges and shared services to be implemented in support of an integrated CJIS environment. Documenting the network requirements and design will help determine future network capability and capacity.

The operations portion will examine how the network will run on a day-to-day basis. The topological design is a portion of the overall network design and can help optimize the location placement and cost of network facilities. The City of New Orleans can use the network design, including bandwidth requirements to support short-term and long-term exchange implementation, to effectively estimate future network upgrade and operating costs. These defined policies would support the daily technology operations of the City of New Orleans as well as the various external agencies. This initiative should be led by the City ITI.

These policies would provide guidelines in the following areas:

### 5.4.2.1    Help Desk

The Help Desk function would support all users. Policies will provide guidelines in the following areas:

♦ Establishment of Help Desk standards

♦ Monitoring compliance with help desk standards

♦ Setting direction for implementation of help desk support

♦ Managing the help desk

♦ Managing the problem management support process

### 5.4.2.2    Network and Communications Processes and Procedures

The network and communications function would support the network and communication infrastructure for all the users. These policies would provide guidelines in the following areas:

♦ Defining and establishing the deployment and hosting models for the various systems

♦ Establishing network and communication standards

♦ Monitoring compliance with network and communication standards

♦ Managing network and communication environment

♦ Managing telecommunication providers and contracts

♦ Supporting messaging environment

♦ Conforming to the FBI Criminal Justice Information Systems (CJIS) Security Policy requirements for user ID and password; for example:

♦ User ID must be at least six characters in length

♦ Password must be at least eight characters in length and contain at least one upper case, one lower case, one numeral, and one special character

♦ Passwords must be reset every 90 days

♦ User's last 10 passwords cannot be reused

♦ User ID and password cannot be the same

♦ Conforming to the CJIS Security Policy requirements for wireless networking, including encryption, certification of cryptographic modules, and minimum key lengths

♦ Conforming to all state and federal laws and regulation as they pertain to information privacy and confidentiality

### 5.4.2.3   Data Management Operations Processes and Procedures

The data management operations policies would support the data center for the public safety and justice enterprise including the disaster recovery activities. These policies would provide guidelines in the following areas:

♦ Establishing data management operation standards

♦ Monitoring compliance with data management operation standards

♦ Transitioning to production operations

♦ Transitioning infrastructure to production operations

♦ Managing production environment

♦ Establishing disaster recovery plan and standards

♦ Managing contingency and recovery operations

♦ Implementing change control

♦ Implementing record retention policies for physical and electronic records

♦ Defining and adhere to policies for expungements

### 5.4.2.4   Continuity of Operations Processes and Procedures

The continuity of operations policies would define and support how the essential functions will be handled during any emergency or situation that may disrupt normal operations, leaving office facilities damaged or inaccessible.

These policies would provide guidelines in the following areas:

♦ Defining plans and procedures

♦ Identifying essential functions

♦ Delegating authority

♦ Establishing orders of succession

♦ Identifying alternate facilities

♦ Interoperable communications

♦ Vital records and databases

♦ Tests, training, and exercises

## 5.5. IT Management and Resourcing

It is recommended that the OPISIS program leadership, representing the participating criminal justice agencies, work in concert with the City Department of Information Technology and Innovation (ITI) to develop a technical human resource requirements statement for the OPISIS program and future support of New Orleans CJIS. This requirements statement would focus on the future acquisition of required skills and expertise to implement future integration solution components, as well as the long-term retention of skills and expertise to support operations management and growth of the technology environment.

Development of this statement should begin with a definition of resource requirements based upon the decisions of OPISIS and City IT leadership regarding policy and direction for the OPISIS program. It is further recommended that upon completion of the Criminal Justice Strategic Plan (as discussed in Section 5.1.1), a CJIS Strategic IT Plan be developed (see Section 5.1.1.2). As described, this plan should be developed in alignment with both the Criminal Justice Strategic Plan, and the City ITI Strategic Technology Plan. In short, planning for sustained operations can't fall behind the progress curve.

There were a variety of needs identified for the purpose of shoring up IT management practices and ensuring criminal justice level support. As stated throughout this report, the OPISIS team has demonstrated the ability to manage projects and complete professional system deployments. Soon, these individuals will soon be facing the challenges of the next stage of system management and administration that come with implementing new systems. Challenges will include change management, security, data conversions, technology deployments, re-engineering of process interactions, standards and technology, new technologies, and system integration. All of this will affect the New Orleans justice system enterprise.

As the New Orleans CJIS enterprise view comes together and the organization begins to consider the challenges of the future, new IT management and resourcing requirements. Management issues will include decisions as to how to organize and define roles and responsibilities. Resourcing issues will be both temporal and sustaining to deal with the development versus ongoing operational support requirements of an integrated criminal justice information system environment. This will require clear definitions of what will be "in-house" expertise, and what will be handled through agreements with outside firms.

IT portfolio management approach may be a helpful approach in this area as it can provide a structure for aligning application and technology needs with skills and expertise. Additionally, this approach can provide guidance for communications practices.

Strategic considerations include:

♦ Operations management (IT Help Desk, acquire expertise in JRA, NIEM, etc.)
  o Base technical communications protocols on industry standards such as Web Services and XML to allow transmitting information as messages between systems.
  o Make all functionality accessible through APIs or Web Services rather than solely through the application's user interface.
  o Define and adopt a standard for describing services so they can be used, understood, and consumed across jurisdictions.
  o Create an infrastructure that supports a Service-Oriented Architecture (SOA).

♦ Documentation, infrastructure design required (policies/procedures/guidelines)

  o Define and adhere to minimum back up policies and procedures. They should mandate that backup tapes shall not contain CJIS/NCIC data, but only backups of supporting system for the purpose of disaster recovery.

  o Include battery backups with sufficient capability to take servers down gracefully to minimize data loss and corruption upon power failure.

  o Define and adhere to minimum back up policies and procedures. They should mandate that backup tapes shall not contain CJIS/NCIC data, but only backups of supporting system for the purpose of disaster recovery.

  o Include battery backups with sufficient capability to take servers down gracefully to minimize data loss and corruption upon power failure.

  o Define and adhere to IT and record retention policies for physical and electronic records, including timing and confidentiality considerations.

♦ Interagency communication/collaboration

  o Continue to create value added application extensions in-house that can be shared between applicable agencies (using a structured methodology).

  o Identify the potential areas where reducing the amount of paper that must be printed to save on the costs associated with printing the large volumes of paper.

♦ Information sharing

  o Encourage information sharing mechanisms and approaches based on open industry standards rather than on approaches proprietary to one technology provider, one domain, one level of government, or one specific partner.

♦ Standards

  o Use industry-standard and national justice community-standard formats and protocols for exchanging information between agencies, to enable maximum interoperability and solution choice (e.g., NIEM).

♦ Architecture governance
  o Mandate that all standards updates affecting the definition and structure of information exchanges are managed.

## 5.5.1  MR-1 Define and Implement Enterprise Technology Policy

The City ITI architecture governance, working in conjunction with CJIS agencies and the OPISIS program, should develop and promulgate an appropriate set of policies covering enterprise technology issues relative to information sharing, including:

♦ Security

♦ Privacy

♦ Data Ownership

♦ System Access and Privilege Management

♦ Data Administration

♦ System Administration (including ongoing maintenance)

♦ Use of Guidelines/Standard

- System Scalability, Reliability, Availability, Performance
- Business and Technical Stewardship

Following establishment of the governance structure, participating agreements, as discussed throughout this document, can provide more specific policy agreements between agencies establishing information sharing partnerships. The participating agreement is an instrument that defines and documents agreement(s) between agencies and can, in many instances, be construed as a contract. The participating agreement documents important and detailed understandings, provisions, and terms between two or more cooperating agencies. A major objective of a participating agreement is to commit resources, ensure consistent agreement on the included terms, and to serve as a point of reference should differing understandings develop over time. An SLA and Operational Level Agreement (OLA) can be embedded within a participating agreement or they can exist independently. These kinds of agreements are only appropriate and effective if they are tested in a collaborative environment with the full involvement and consent of all impacted parties.

The agencies must define roles for each agency to specify whether they can own data based on guiding principles. For example:

- The agency that controls the event which gives rise to the data creates the data.
- The agency that creates the data owns the data.
- The agency that owns the data controls the updating and deletion of the data.
- The agency that owns the data decides whether or not the data can be shared with other agencies, by which ones, and at what level (view, create, edit, delete).
- Agencies may transfer ownership of data (e.g., Dispatch to LEA to Jail to Prosecutor to Court to Probation).

The agencies must to define/create a mechanism that allows levels of confidentiality to be set on data and/or documents. For example:

*Public* – the is the default level for any cases or documents filed with the court; all roles may list and view, but only the owning role controls rights to create, edit, and delete system data.

*System* – used to protect data needed by the system itself (code look-up tables, etc.); only roles with administrative rights should have the ability to create, view, edit, or delete system data.

*Sealed* – applied to cases or documents filed with the court upon court order; any role may list, but only authorized roles may view or edit.

*Non-disclosed* – applied to cases or documents filed with the court upon court order; only authorized roles may list, view, or edit; display an non-disclosure alert when displaying or printing Non-disclosed data.

*Confidential* – applied to data or documents that must be kept confidential without a court order (victims' information, healthcare events while in custody, etc.); only authorized roles may list, view, or edit; overrides normal inter-role data sharing settings.

*Private* – a more restrictive type of confidentiality (internal affairs investigations, public figure investigations, healthcare details, etc.); data marked private cannot even be listed by anyone not assigned to the owning role (the data and documents don't appear to exist to other roles).

*Expunged* – the most restrictive level; applied to cases, data, and documents upon an order by a court to expunge a file; leaving this information available to only those persons authorized – marked data and documents appear to not exist to any other roles.

## 5.5.2  Recommendation MR-2: Develop IT Management Requirements and Performance Measurements

It is recommended that the City ITI Management team work in concert with the IT management teams from the justice agencies to develop a technical human resource requirements statement for an integrated public safety and justice system. This requirements statement would focus on the future acquisition of required skills and expertise to implement the integration solution components, as well as the long-term retention of skills and expertise to support operations management and growth of the technology environment.

Development of this statement should begin with a definition of resource requirements based upon the decisions of IT Management regarding policy and direction for the public safety and justice environment. The IT Service Management area should distinguish between network and infrastructure management and the applications and data management. The IT governance committee should clearly define and document the roles and responsibilities for the City of New Orleans IT services department and the IT departments of the various public safety and justice agencies.

It is further recommended that the City ITI, in conjunction with the OPISIS program, work with the New Orleans criminal justice agencies service level IT performance management criteria for: 1) setting and managing expectations of user agencies; 2) measuring customer satisfaction and identifying opportunities for improvement; and, 3) initiating and maintaining a constructive dialog on the business and technology issues affecting the criminal justice community.

This function would include the following activities:

♦ Joint development of service level performance criterion
♦ Establish mechanisms to measure customer satisfaction
♦ Develop surveys and other methods to measure customer satisfaction
♦ Conduct surveys and analyzing the responses to determine the level of customer satisfaction and identify any gaps
♦ Develop reports to the CIO with findings of the surveys

## 5.5.3  Recommendation MR-3: Adopt and Use National Information Sharing Standards

To assist the New Orleans IT management team in the development of the integration architecture, it is recommended that the recognized national information sharing and interoperability standards be used to save time and cost, and to ease future integrations. These would include: the National Information Exchange Model (NIEM) for data structures and naming supporting information exchanges; the Global/Justice Reference Architecture (JRA) as a Service Oriented Architecture (SOA) framework for supporting the implementation of NIEM based exchanges; and, the Global Federated Identity and Privilege Management (GFIPM) for providing federated capabilities for shared services applications.

*National Information Exchange Model (NIEM)* – NIEM provides a common vocabulary of terms that can provide an information exchange platform allowing different systems to communicate without the development of custom or "stovepipe" solutions for this purpose. NIEM exchanges exist for many of the highly-used law enforcement and justice information sharing transactions, and can be leveraged by other information sharing partners like homeland security and intelligence fusion centers. NIEM effectively enables information sharing across internal systems, as well as with other partners and outside jurisdictions. NIEM also forms part of the national Information Sharing Environment (ISE) Baseline Data View for the ISE Architecture, and is the basis for developing ISE functional standards under the Common Terrorism Information Sharing Standards (CTISS) program.

*Federated Identity and Privilege Management* – Federated identity solutions such as the Global Federated Identity and Privilege Management (GFIPM) which provides a framework for identification/authentication, privilege management, and audit access to applications. GFIPM can be used to ensure that security and authentication policies are enforced throughout the organization, since it provides the definition and management of access privileges to the applications and data contained in the applications and databases. Additionally, it provides the efficiencies of a single sign-on protocol for all authorized system users, avoiding redundancy and providing cost-reduction. Additionally, eXtensible Access Control Markup Language (XACML) provides a standards-based infrastructure for exchanging information about the access control and privacy policies of protected resources in terms of the elements in the metadata model. User organizations can leverage Security Assertion Markup Language (SAML), which is an XML-based framework for specifying authentication information about a user. It allows for assertions to be made regarding the identity, attributes, and entitlements of a user. These assertions are passed from one business entity, partner, company, or application to another. The audit aspect of GFIPM helps determine what information is needed or required for the purposes of auditing systems, systems access and use, and legal compliance of data access and management practices.

*Justice Reference Architecture (JRA)* - The JRA is an abstract framework for understanding significant components and the relationships between them using a Service Oriented Architecture (SOA) approach. It lays out common concepts and definitions as the foundation for the development of consistent SOA implementations within the justice and public safety communities. It is a reference architecture that provides a proven template solution and a common design approach to discuss implementations, often with the aim to stress commonality. It leverages the best practices of industry and specifically the OASIS Reference Model for Service Oriented Architecture (SOA). The JRA is based on longtime industry standards and best practices, to link the various standards available (such as NIEM and GFIPM), and to provide a consistent, uniform approach to managing technology resources to support information sharing. Deliverables from the JRA project can assist with developing business architecture (e.g., Service Identification and Design Guidelines), information architecture (service modeling guidelines) and technology and solutions architecture (execution context guidelines, service interaction profiles) components. The JRA approach uses a cohesive or natural grouping of technologies, standards, or techniques in meeting those service development requirements. The JRA is the recommended architecture of the Global Information Sharing Working Group (GISWG) and has been unanimously selected by Global Justice Information Sharing Initiative Advisory Committee (Global) as a framework for achieving justice integration.

It is also recommended that the leadership of the City and the various public safety and criminal justice agencies (e.g., PMO) evaluate the possibility of implementing the following standards to ensure consistency across software development projects and to increase the probability of delivering successful projects on time and on budget:

♦ Project Estimating Standards (e.g., Function Point Analysis)

♦ Project Management Methodology (Project Management Body of Knowledge)

♦ Software Development Methodology (e.g., Rational Unified Process, Agile Modeling)

♦ Information Technology Service Management (ITSM) (e.g., Information Technology Infrastructure Library)

## 5.5.4 Recommendation MR-4: Develop CJIS Operations Sustainability Requirements

It is recommended that the City ITI and OPISIS program management teams develop requirements for the short and long term requirements for the acquisition of the skills and expertise required to: 1) Support the development/acquisition, integration and implementation of new CJIS application/technology solutions; 2) Manage the OPISIS projects in accordance with generally accepted standards for project and program management; 3) Provide long term maintenance and support of new CJIS application/technology solutions, including data and system administration; and, 4) integrate a program and operational funding strategy. Strategies for development/acquisition of the required skills and expertise should consider a full range of in-house and managed service alternatives and combinations.

In the immediate term, the City and OPISIS will need to continue to engage expertise via a combination of in-house and contract resources. Expertise will be required in the areas of enterprise architecture, including Service Oriented Architecture (SOA), as well as in the area of the development of integrated information sharing solutions using web services capabilities and technologies.

Long-term needs will necessitate that the City and OPISIS develop the requirements for the resources and expertise to both maintain existing and new systems, as well as manage new projects. Decisions in this area must consider the decided approach to resolving short-term needs; for example, an investment in developing and/or acquiring permanent staff expertise should be made in concert with the long-term view of what the City ITI and OPISIS will require to keep pace and take advantage of future technology opportunities with a combination of in-house and contract resources. This long term view should be developed via a New Orleans CJIS strategic plan that is aligned with the intersection of the Criminal Justice Strategic Plan, and the City ITI Information Technology (IT) strategic plan.

As short-term and long-term resource and support decisions are being contemplated, the OPISIS program will need to assist the City ITI with designing an optimal IT organizational structure for supporting the enterprise–central and departmental IT services, one that is fine tuned to the technologies as selected and implemented.

The City of New Orleans IT department and individual agency IT departments need to clearly define and communicate the roles and responsibilities for support and maintenance of the various public safety and justice software systems. The agencies need to define roles for each

agency to specify whether they can own data based upon capability, capacity and guiding principles for data administration. For example:

♦ The agency that controls the event which gives rise to the data creates the data.

♦ The agency that creates the data owns the data.

♦ The agency that owns the data controls the updating and deletion of the data.

♦ The agency that owns the data decides whether or not the data can be shared with other agencies, by which ones, and at what level (view, create, edit, delete).

The agencies transfer data as part of the justice process where data will be transformed (for example, police to prosecutor to court to probation). However, ownership of original data is never relinquished per constitutional mandate.

# 6. Implementation Plan

This section includes a summary implementation view of the summary and detailed recommendations included in Section 5 of this report. In Figure 12 below, these recommendations have now been organized into a series of implementation actions designed to achieve an integrated New Orleans CJIS environment. While implementation of these recommendations is expected to span more than the three year period depicted, the significance of the three year view is recognition of the need to transition the OPISIS program to the next stage of New Orleans CJIS development. More succinctly, it is recommended that the New Orleans criminal justice leadership, including participating City and Parish agencies, accept a mission focused on transition of the program to a more permanent status.

| New Orleans CJIS Transition Timeline | PG= Policy and Governance<br>BPO = Business Process and Operations<br>ST = Systems and Technology | FNI = Facilities and Network Infrastructure<br>MR = IT Management and Resourcing |
|---|---|---|
| Year 1 (2011-2012) | Year 2 (2012-2013) | Year 3 (2013-2014) |
| **Fortify OPISIS Program Management Foundation** | | |
| PG-1: Develop Criminal Justice Strategic Plan | | |
| PG-2: Implement Authoritative Governance Structure | | |
| **Revise and Enhance Policies for Inter-Agency Electronic Information Sharing** | | |
| PG-3: Implement OPISIS Participation Agreement | | |
| **Develop CJIS Enterprise Business and Technology Architecture** | | |
| ST-1: Design Enterprise Architecture Model | | |
| FNI-1: Implement CJIS Technical Architecture (Infrastructure) | | |
| MR-1: Define and Implement Enterprise Technology Policy | | |
| **Implement Central CJIS Data Repository and Shared Services** | | |
| ST-2: Enhance "DES" Capabilities | | |
| **Plan and Initiate High-Impact Systems and Technology Improvements** | | |
| BPO-1: Improve Critical Decision Processes | BPO-2: Manage Process Transformation | |
| ST-3: Continue OPISIS Projects | | |
| ST-4: Modernize Core CJIS Applications – Police RMS (MOTION) | | |
| ST-5: Modernize Core CJIS Applications – Criminal Court CMS (LCC) | | |
| ST-6: Manage Enterprise Integration of CJIS Applications | | |
| **Define and Implement Responsive IT Operations Management** | | |
| MR-2: Develop IT Mgt Requirements and Performance Measurements | FNI-2: Establish Infrastructure and Operations Policies and Guidelines | |
| MR-3: Adopt and Use National Information Sharing Standards | | |
| **Establish Plan for CJIS Operational Sustainment** | | |
| MR-4 Develop CJIS Operations Sustainability Requirements | | |
| PG-4: Develop OPISIS/CJIS Funding Plan | | |

**Figure 12 – Transition Time Line**

As indicated in the diagram, this implementation approach is designed to address a number of simultaneous activities aimed at both evolving the foundation of the program to a more

permanent status, and to best ensure zero disruption in current progress of the OPISIS program. The consultant team believes both of these to be critical success factors for the future of New Orleans CJIS.

Central to achievement of the design of the information sharing and integration goals envisioned by the OPISIS program, are the design and architecture components of the plan. These will set the design and architecture foundation for implementation of future application and technology solutions, such that the information sharing and integration goals for the future New Orleans CJIS are achieved.

♦ **Develop CJIS Enterprise Business and Technology Architecture** is critical to ensuring that multi-agency information needs are planned, designed and implemented into new application and technology solutions.

♦ **Implement Central CJIS Data Repository and Shared Services** is an essential component of the implementation strategy as it will represent the integration design of the central CJIS services facilities to be leveraged from the DES model, becoming the intersection for sharing information across agencies, processes, and information management boundaries.

♦ **Plan and Initiate High-Impact Systems and Technology Improvements** will address implementation of the new mission critical application and technology solutions required to improve the core criminal justice process interactions, including the modernization/replacement of legacy systems (MOTION, Criminal Court Case Management) with implementation of new systems for NOPD law enforcement RMS, and for the Criminal Court CMS. These will become the integral components of the integrated New Orleans CJIS environment, and will become major system integration projects under the OPISIS program.

Additionally, the range of issues encompassed in this plan include establishment of an overall criminal justice leadership model, including an authoritative governance structure through which direction and guidance can be provided, as well as coordinated development efforts designed to raise the level of technical sophistication to a point where lack of technical capability, capacity and/or effectiveness will not become a disruption to future progress and operational effectiveness.

Details of the recommendations included in this plan are included in Section 5 of this report. Detailed project plan recommendations, including: project life cycles, schedules, resourcing and budgets will be provided under separate cover.

# APPENDIX A
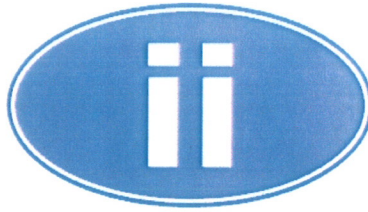
# IJIS Institute

**Realize the Power of Information**

## IJIS Institute Technology Assistance Engagement Program
## New Orleans

This Agreement, made this 24th day of September, 2010, between the **IJIS Institute** (hereinafter after referred to as IJIS or the Institute) and City of New Orleans (hereinafter referred to as "Client").

## IJIS Institute Background

IJIS is a nonprofit Institute, organized under the laws of the State of Delaware and recognized as a tax-exempt entity pursuant to 501(c)(3) of the Internal Revenue Code. The purpose of the organization is to provide technology-based assistance to states, local governments, and organizations seeking to plan, design, create, implement or enhance integrated justice information systems.

In order to enable states, local governments, and other organizations to acquire needed assistance, the IJIS Institute provides its professional services at fees and costs significantly below prices charged in the competitive market. Some technology-related activities of the IJIS Institute may qualify for subsidization by the federal government, through a grant provided by the United States Department of Justice, Office of Justice Programs.

The professional services provided by the IJIS Institute and set forth in Attachment A below will be performed remotely by one or more consultants whose activities are directed and controlled by the IJIS Institute but who are regularly employed by companies offering integrated justice information services on an entrepreneurial basis.

## Engagement Provisions

The provisions of this letter assume that the Client is both desirous of having certain specified integrated justice information services provided by the IJIS Institute and acknowledges and consents to the nature of the relationship between and among IJIS and its consultants.

To facilitate the execution of this work, the parties agree that:

1. The IJIS Institute will perform the professional services for Client as set forth in Attachment A hereto, which is hereby incorporated by reference and made a part hereof.

2. The Client will compensate IJIS for these professional services as set forth in Attachment B hereto, which is hereby incorporated by reference and made a part hereof.

3. The Client acknowledges and agrees that applicable purchasing law and policies do not prohibit, preclude, or restrict any company from bidding on any future Solicitation for Bid or Request for Proposal which may be issued by Client, solely because the subject matter of the Solicitation or Request flows from professional services performed by one of the company's regularly employed consultants acting as a consultant of IJIS under this Agreement.

4. The Client acknowledges and agrees that applicable purchasing law and policies do not prohibit, preclude, or restrict any company from bidding on any future Solicitation for Bid or Request for Proposal which may be issued by Client, solely by reason that such company regularly offers its employees and agents as IJIS consultants.

5. The Client acknowledges that analysis and effort of IJIS consultants in furtherance of this Agreement may assist IJIS in its efforts on behalf of others involved in integrated justice information systems and may increase public knowledge and awareness of potential improvements or enhancements of the delivery of justice systems generally. In support of this end, Client asserts no proprietary interest in any analysis performed, recommendation prepared, or report developed as a result of IJIS professional services under this Agreement.

## Attachment A: Work Statement

The professional services provided to the Client by the IJIS Institute will include the work defined in the following Statement of Work (SOW):

### Background

The new mayor and administration and the New Orleans Police Department (NOPD) are cooperating with the Department of Justice in making reforms that include identification of deficiencies in information systems needed for accountability and management. The new administration has also reached out to New Orleans criminal justice agencies to begin a strategic planning process to develop goals for information sharing and integration involving all the stakeholders in the system.

Shortly after Hurricane Katrina, the NOPJF used federal funding to sponsor the creation of the Orleans Parish Information Sharing and Integrated Systems (OPISIS) program. OPISIS initiatives promote public safety and justice through the implementation of shared applications, information exchanges, and IT capacity for New Orleans criminal justice agencies. The IJIS Institute conducted a technology assistance (TA) site visit in August 2006 to assess the technological environment of the criminal justice system of Orleans Parish and provided a report with recommendations for feasible approaches to integrating key criminal justice

information systems and enhancing information sharing and data exchange. The report provided valuable input to the OPISIS strategic planning process.

Since the last TA engagement, the OPISIS program has resulted in an unprecedented level of cooperation among criminal justice executives and their technology staffs, and has successfully implemented a number of information sharing projects. Given the experience gained in the last four-years, and given the new city administration's interest and support, the City is planning to take a fresh look at their long and short term goals and to develop a coherent and realistic enterprise-wide model for their criminal justice information systems compliance with national standards. This technical assistance engagement has been requested to define in detail the steps needed for realizing that model. As part of this initiative client is requesting TA in both these areas.

**IJIS Institute Technology Assistance (TA) Project**

The IJIS Institute has developed this statement of work in preparation for a TA engagement with the City of New Orleans. The Institute will coordinate with the NOPJF to field a team of consultants with the experience and expertise required by this TA. It is anticipated that the city will designate a project lead from the New Orleans Police and Justice Foundation.

The IJIS Institute will conduct the engagement on-site at a location designated by the City of New Orleans. The purpose of the engagement is to provide refreshed guidance to assist the City of New Orleans and the OPISIS program in the attainment of future short and long term information sharing goals. The scope of the engagement will encompass an enterprise review of the City of New Orleans and Orleans Parish criminal justice information systems environment, with consideration provided to include a statewide perspective. The scope will specifically address the challenges with enabling information sharing and data exchange. Areas of focus will include:

- Confirmation of short term and long term information sharing and integration goals;
- Assessment of current IT systems, technology, projects and plans;
- Review of the envisioned justice enterprise model including a high-level statewide perspective;
- Develop strategy for alignment with national information standards;
- Update IT project priorities and planning.

**Specific Engagement Activities**

The IJIS Institute will work with the NOPJF to conduct a series of interviews and meetings with key project stakeholders. The engagement will require the selected consultant team to participate in a combination of off-site and on-site activities:

**Preparatory Activities:**

The selected consultants for the IJIS Institute TA team will be required to participate in reviews of key documents and a two (2) hour conference call with principal stakeholders in advance of

the on-site engagement. The team will be provided with all project documentation, as well as a pre-call briefing, by the IJIS Institute engagement manager.

<u>On-Site Activities:</u>

The selected consultations comprising the IJIS Institute's TA team will perform a site visit at the New Orleans facility/site and conduct meetings with key project sponsors, stakeholders and technical staff. Specific activities to be performed by the IJIS Institute TA Team will primarily include fact finding interviews with key stakeholder management and technical staffs, and reviews of documentation as provided by the Client, and will generally include the following activities:

- Provide an initial presentation of the purpose and objectives of the TA engagement for all stakeholders, and discuss/confirm reviews of preparatory communications and document reviews.

- Conduct interviews with justice stakeholder organizations to review and confirm mission, critical success factors, short and long term information sharing and integration goals, including: discussions of information sharing challenges and issues (policy, governance, operational, and technical); discussions on critical functional, application, technological and IT management requirements; and, definition and prioritization of information sharing and integration actions and initiatives.

- Assess the current technology environment to include systems and technology supporting the following agencies, as well as all active and planned IT projects affecting criminal justice administration.
  - o New Orleans Police Department
  - o Orleans Parish Criminal Sheriff's Office
  - o Orleans Parish Criminal Court
  - o Orleans Parish District Attorney
  - o Office of Indigent Defender Program
  - o Orleans Parish Criminal District Court
  - o Orleans Parish Municipal and Traffic Court
  - o Orleans Parish Juvenile Court
  - o Orleans Parish Communications District (9-1-1/CAD)
  - o New Orleans Fire Department
  - o DOJ Civil Rights Division

- Review the New Orleans criminal justice "enterprise" model to confirm understanding of the desired or "to-be" systems, technology, facilities/network infrastructure and IT management components, to include relevant policy, governance and operational considerations affecting information sharing and integration goals.

- Prepare high-level documentation for the current or "as-is" systems, technology, facilities/infrastructure and IT management environment.

- Conduct a gap analysis of the "as-is" environment and the "to-be" criminal justice enterprise model and identify priorities for actions and initiatives.

- Develop strategic considerations for the alignment of technology standards and best practices (i.e., NIEM, JRA, GFIPM, and other technology being used in the field of justice information sharing).

- Compile results of the on-site analysis activities and present initial findings and recommendations to the program stakeholders.

<u>Post On-Site Activities:</u>

The primary effort of the IJIS Institute TA team following the on-site visit is the development of the TA engagement report for the City of New Orleans. The report will be prepared by the IJIS Institute and will include expert contributions from the selected consultants, and will include participation from the NOPJF in its preparation and finalization. The report will include the preliminary findings from the on-site engagement, as well as final observations and recommendations as provided from the on-site participants. It is anticipated that the consultant team will participate in the writing of specific sections of the report, as well as editorial reviews prior to release of the draft to the City of New Orleans.

The structure of the TA engagement report will be as follows:

**Current Situation Assessment:** This section will present observations of the TA Team developed during the TA engagement. The findings and observations were gathered during the on-site, high-level review of the "current state" (or "as is" state) of policy and governance, business processes and operations, systems and technologies, facilities and network, and IT management.

**Future Needs Analysis:** This section will present the TA Team's comprehensive understanding of the information sharing and integration needs of the OPISIS program, including perspectives from each of the participating organizations. Supporting requirements for future information sharing and integration will be captured from multiple perspectives – from policy and governance, to technology and infrastructure, to IT management – and will help form the updated "to-be" view of the enterprise model.

**IT/IS Strategy Recommendations (Gap Analysis):** Following the completion of assessment and analysis captured in the preceding sections, the TA team will conduct a gap analysis of the "As Is" and "To Be" views and develop a set of recommended strategic considerations and to help advance the City of New Orleans mission and goals for information sharing. These recommendations will address the needs identified in the *Future Needs Analysis* step, and will address various relevant issues such as: policies, standards, high-priority implementation objectives, and, where applicable, specific issues discovered during this engagement.

**Actions and Initiatives:** This represents the final section of the TA engagement report and will summarize the recommendations into a series of priority actions, where appropriate new initiatives for the City of New Orleans and the NOPJF will be identified for planning and

execution. Actions and initiatives will be organized according to urgency and impact, and labeled consistent with the strategy recommendations included in the section described above.

The end result will be a TA Report inclusive of the sections above that will provide the City of New Orleans with updated guidance to their strategy and plan for attaining their goals for criminal justice information sharing and integration.

**Proposed Implementation Schedule:**

*(Note: dates are subject to change due to client and consultant requirements)*

| | |
|---|---|
| Issue Call for Consultants | August 23, 2010 |
| Client Conference Call – Confirm TA Scope | September 2, 2010 |
| Consultant Selection by the IJIS Institute | September 13, 2010 |
| Client to Provide Preparatory Documentation | September 13, 2010 |
| Preparatory Conference Call with Client | September 17, 2010 |
| Client Site Visit 1 | September 27, 2010 |
| Preliminary Findings – Client Site Presentation | October 1, 2010 |
| Client Site Visit 2 | October 18, 2010 |
| Preliminary Recommendations – Client Site Presentation | October 22, 2010 |
| Draft TA Report Submission | November 12, 2010 |
| Final Report Submission | December 10, 2010 |

## Assumptions:

*The Client acknowledges and agrees that applicable purchasing law and policies do not prohibit, preclude, or restrict any company from bidding on any future Solicitation for Bid or Request for Proposal pursuant to items 3 and 4 of the "Engagement Provisions" section of this Letter of Agreement.*

## *Attachment B: Compensation*

Services provided by the IJIS Institute fall under the purview of a grant with the United States Department of Justice, Bureau of Justice Assistance (BJA). The IJIS Institute Technology Assistance Grant is BJA award number 2009-DB-BX-K107. Travel, lodging, meals, incidental expenses, staff salaries and consulting fees associated with this Technology Assistance engagement will be compensated accordingly.
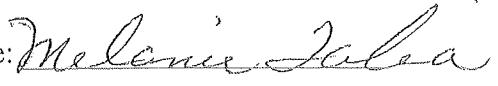
**IJIS Institute**

Name: Paul Wormeli

Signature: _David Frederburgh for Paul Wormeli_

Title: Executive Director
_Director - Finance & Admin_

**New Orleans Police Justice Foundation**

Name: Melanie Talia

Signature: _Melanie Talia_

Title: Executive Director

---

Please **FAX, EMAIL or MAIL** this signed agreement to:

IJIS Institute
Attn: Samantha Styles
Contract and Reporting Administrator
44983 Knoll Square
Ashburn, VA 20147
Fax: (703) 726 -3557
Samantha.Styles@ijis.org

**The IJIS Institute will mail a copy of this executed agreement to the Requesting Agency or Organization address listed on this page.**

*Accounting Contact Information:*

Name: _____

Tel: _____

Email: _____

Address: _____
_____

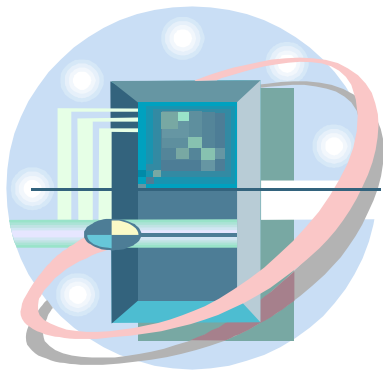City: _____

State: _____ Zip: _____

# APPENDIX B

(provided under separate cover)

# APPENDIX C

# Consequences of Inadequately Integrated Justice Information Systems

## A Project Report

**March 2002**

**Center for Society, Law & Justice**
**University of New Orleans**
3330 N. Causeway, Suite 413
Metairie, LA 70002


Primary Research and Report by
**Michael R. Geerken, Ph.D.**

Additional Research by
**Kera Moseley, Ph.D.**



**Robert A. Stellingworth**
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Center for Society, Law & Justice

# Acknowledgments

Often the *first* study in a line of research sets the tone for additional research and formulates questions that shape later studies and policy. This study by Dr. Michael Geerken is, we think, the first empirical examination of the consequences of failing to create and maintain adequate integrated criminal justice information systems. It explores new territory related to a core assumption of the integrated criminal justice systems movement. This assumption is that adequately integrated justice information systems lead to decreased criminal activity.

Lurking beneath this premise is the business case for the expenditures needed to implement these systems. There are other significant issues that deserve consideration as well. Are gaps in the sharing of criminal information likely to result in new crimes? Will closing these gaps reduce the crime rate or, as some speculate, result in increased costs related to minor offenses with no concurrent impact on serious crime? What role might improved integrated system capacities have on the continuously evolving needs of law enforcement, court, and correctional resources?

In the aftermath of September 11, 2001, the study further suggests the risks that may be present in a non-integrated criminal justice information system. As crime becomes more mobile and our global society more complex, how is crime to be controlled among those perpetrators who cross U.S. and international jurisdictional lines?

Though additional research is needed, this study is the best delineation to date of the risks of not closing the gaps in criminal justice information networks. The methodologies developed for this study will no doubt be useful in assessing the national status of integrated criminal justice information systems and in developing policies and funding strategies needed to reduce crime in the United States.

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# Introduction

The business case for integration of justice information systems has recently been developed by the Center for Technology in Government and by NASCIO[1] as part of a broad initiative by the Department of Justice to promote such systems. The case rests in part on cost efficiency arguments connected to the elimination of redundant data entry, manpower savings in the retrieval and compilation of information, and technology savings from open systems and common standards. The case is made most compellingly, however, in terms of improvements in the quality and timeliness of information upon which justice officials make decisions and initiate action. It is argued that the electronic sharing of justice data makes the information available to officials more accurate, complete, and timely. It is further argued that improvements in the accuracy, completeness, and timeliness of such information have important public safety benefits and at the same time enhance justice and the rights of suspects.

The final decision to develop and participate in integrated systems is made in most cases by an elected official, often by an executive. Development of these systems represents, therefore, not just a financial but also a political investment. The official must invest his or her time and energy, as well as the time and energy of top staff in such projects. The difficulty of making a business case for justice system integration lies in proving that the money and effort and political risk involved is not better spent on projects and issues better understood and appreciated by the voting public. Proponents must argue that spending on integration of information systems is equally important to near term alternative uses of funding, such as hiring more patrol officers, detectives, prison guards, probation officers, social workers, and teachers within the justice system, or other social and economic uses outside the system. Only if justice system integration is important to public safety can such an argument be made.

A powerful case for justice system integration is best made by detailing the consequences of a *lack* of effective electronic data sharing among justice agencies, especially by reference to real-life examples or "horror stories." The exploration of those consequences is the focus of this report. The exploration consists of four parts:

1) A non-technical, operational overview of an ideal, fully integrated justice information system.

2) Key operational features of integrated systems.

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[1] See Anthony Cresswell et al. (2000). *And justice for all: designing your business case for integrating justice information.* Center for Technology in Government, University at Albany-SUNY web site: http://www.ctg.albany.edu/resources/pdfrpwp/doj_guide.pdf.

NASCIO. (2000). *Justice report - toward national sharing of governmental information.* NASCIO web site: http://www.nascio.org/hotIssues/justice/Fullrept.pdf.

3) A taxonomy of problems preventable through integration of systems.

4) Real life examples of deaths, injuries, rights violations, and public risk potentially preventable through better integration of information systems.

# Section 1:
# Operational Overview of Integrated Justice Information Systems

## Description of an Ideal, Comprehensive, Fully Integrated System

A fully integrated justice information system is a network of justice agency computer systems which provides to each agency the information it needs at the time it is needed in the form it is needed, regardless of the source and regardless of the physical location at which it is stored. The information provided is complete, accurate, and formatted in the way most useful for the agency's tasks. The information is available at the agency official's work station, whether that work station is a patrol car, a desk, a laptop, or a judge's bench. Information is shared both horizontally and vertically. Each agency shares information not only with the upstream and downstream agencies in its own jurisdiction (police agency => booking agency => prosecutor => court => correctional facility), but with other agencies like itself and with other agencies at other levels (federal, state, county, city/town). Accurate information is also available to non-justice agencies with the statutory authority—and sometimes legal obligation—to check criminal histories before licensing, employment in certain sensitive occupations, and weapons purchase.

Information is recorded in the integrated system as each individual performs his or her normal business on a computer (booking, typing an incident report on a mobile data terminal in a patrol car, entering the minutes of a court proceeding, etc.). Other agencies' systems are automatically updated immediately if they have immediate use for the information. The information is available on demand to all others. Transfer of information to other agencies is automatic, and these transfers are invisible to the individual originally entering the information or requesting it. As the information is automatically transferred between agencies, certain data may automatically cue a warning, a notice, or may initiate some action in the other agency's system.

As a case is passed from one agency to another, key information is passed electronically. Though paper documents may also be transferred for legal and other reasons, electronic data transfer initiates the processing of the case by the receiving agency and serves to track receipt of the necessary documents. Cases are not "lost" because a document is misplaced or misrouted. The receiving agency usually adds additional information to the case consistent with its function, but information is not re-entered. As the case is "handed off" from one agency to another, only new information is added by the downstream agency, and that new information is automatically passed back or available to the appropriate upstream agencies. Previously entered data, such as identification and demographic data, is copied from the originating agency's information system or from some central storage hub, such as a state bureau of identification information system. As a result, data elements—such as name spellings—are the same in all agency systems. As a justice agency receives its work in electronic form from another agency, it becomes possible to manage

the tasks more efficiently and create queuing, error-detection, and quality assurance systems to use manpower more efficiently and reduce error. Fewer cases "slip through the cracks."

The individual user is not required to have special technical knowledge or extensive training to perform his or her job on the computer system. The requesting, acquisition, and updating of information is intuitive to the justice official. When an individual needs information compiled and/or summarized about an offender, a case, an incident, or some other entity for which a decision must be made or an action initiated, a single request, made on the user's system, automatically searches all other relevant systems, retrieves all relevant information, and formats the information for the user in the way most useful for the decision or action. With a single request a user can retrieve not only traditional rap sheet information, but current status information on an individual, including custody status (incarcerated, under supervision, out on bail), all outstanding warrants, detainers, restraining orders, and current conditions of release (if on probation, parole, or pretrial release). For example, a probation officer may request a report which includes a comprehensive rap sheet, all local, state, and federal warrants, all currently active criminal cases with the current status of each case, and summary reports from other proba- tion or parole officers who have supervised the offender in the past. The end-user does not have to log into additional systems or manually compile information from other systems. The integrated justice system automatically gets the information needed from wherever it is stored.

The system is investigator-friendly. Detectives can easily compile infor- mation from across the system for investigative purposes and load the data into analysis environments (from spreadsheets to complex computer algo- rithms) in order to identify suspects or patterns of activity. For example, by entering the times and dates of serial offenses along with suspect characteris- tics, a detective could compile a database of suspects who have those characteristics and who were at large for each of the offenses.

For the information in such a system to be accurate, offenders must be routinely identified through biometric means—which today means finger- prints but some day may mean DNA. Other elements in the system—charges, cases, and incidents—must have unique identifiers which are issued at the time the information is created and track the information in all other systems. For example, a charge is given a unique numerical identifier at time of book- ing and that identifier—along with the offender's fingerprint-based identifier—is recorded along with the charge in the prosecutor's system, the court system, and correctional systems. Additional means of identification such as photographs, scars, marks, tattoos, and physical descriptors are also recorded and available to all agencies in the system to assist in identification, especially where fingerprints cannot readily be taken and searched. Coded information has the same meaning in all systems. There is a common data dictionary shared by all agencies so that coded data elements such as statutes, race codes, case dispositions, etc., are defined exactly the same in all justice agency systems.

# Section 2:
# Key Features of an Integrated Justice Information System

1) **Identification of subjects is accurate and is accomplished quickly and conveniently.**

   a) Today, accurate identification means fingerprint identification through an Automated Fingerprint Identification System (AFIS). AFIS fingerprinting is performed from a paperless fingerprint-scanning device and identification is returned quickly. AFIS fingerprinting and photographing are integral parts of each booking for every arrestee. Identification can also be quickly confirmed by an AFIS device in a courtroom, in the field in a patrol car, or through a probation officer's laptop computer. All AFIS databases are integrated so that a single scan locates a match whether stored in a state or a federal system.

   b) Latent prints are also entered into the AFIS system. Cold searches are performed not only when the latent is entered, but on all subsequent bookings as well.

   c) When fingerprints have never been taken of a suspect, photographs of wanted individuals—even driver's license photos—can be retrieved to help verify identification.

   d) Identification numbers of individuals (typically a State Identification Number or Federal Identification Number) established through fingerprints follow the individual through all systems, so that information transferred between agencies is referenced to the correct individual. Each charge is also assigned a unique number at arrest or booking so that the correct charge is referenced when disposition and status information is transferred.

2) **Warrants, detainers, and restraining orders are available and accurate.**

   a) A warrant issued by one agency is automatically available to any other agency who may have contact with the individual. As any other agency issues a query or does any other data entry on that individual (a booking, initiation of a probation log, entry into a jail or prison visitation log, etc.) that other agency is automatically notified that the individual is wanted.

   b) Any agency that receives notification of wanted status can quickly verify identity through fingerprint comparison, photograph, or some other reliable means.

   c) Any agency who issues a warrant is notified—at the time the warrant is entered—if that individual is currently in custody or under supervision. The agency holding the individual is also notified when the warrant is issued without having to make a specific inquiry.

   d) Warrants satisfied or recalled are immediately removed from all systems.

   e) A *detainer*, as distinct from a *warrant*, is a notification that an individual *already in custody* in a jail or prison is wanted by another agency once the individual's sentence is served, or charges are disposed of, or the individual

has performed some other function, such as serving as a witness. These detainers must have the same system-wide availability as arrest warrants.

f)  A *restraining order* or *stay-away order*, may be issued in a civil or criminal proceeding, usually to prevent domestic or child abuse. The current status of these orders is available to the patrol officer—ideally the officer is notified when dispatched to the scene—and to all courts and probation/parole officers, and to appropriate agencies doing licensing checks, such as Brady checks, adoption agencies, and child care agencies.

3)  **Criminal histories are comprehensive, complete, accurate and available.**

a)  Criminal histories are available to all agencies and are comprehensive. This means that all charges ever filed against an individual (except those expunged) are listed on the criminal history regardless of the jurisdiction of the arresting agency. Final or current dispositions on all charges are accurate and available.

b)  Criminal history information includes not only charges, but all terms of supervision or custody with the outcome of those terms.

4)  **Current status and location are accurate and available.**

When an individual is in custody or under supervision by an agency, the status of that custody or supervision is available in real-time to all requesting agencies. This includes not only information such as abscond or failure-to-appear status but also details about the conditions of release if the defendant is under probation, parole, or pretrial supervision. Probation, parole, and pretrial supervision agencies are automatically notified when an individual they supervise has a contact, such as an arrest, with another justice agency.

5)  **Electronic information transfer cues workflow between agencies.**

As a decision or action by one agency requires action by another (a court orders a release, for example, which must be executed by jail personnel), the order or notification and the relevant data are passed electronically between the agencies. Receipt of the information cues the action in the receiving agency and allows managers to ensure that the appropriate actions have been performed. Though paper documents may still be exchanged, electronic data transfer cues the primary action. When the action is carried out, the first agency is automatically notified. Both agencies can then ensure that appropriate actions are carried out and that cases are not lost.

6)  **Information exchange takes place automatically as a function is performed.**

All posting and retrieval of information, all checking for warrants, all notifications to appropriate agencies of custody status take place automatically as the justice worker performs his or her function. For example, an officer booking an arrestee should not have to remember to check for

outstanding warrants, then contact the agency who placed the warrant, then wait for confirmation. All these steps should be performed automatically for the officer as he or she enters the arrestee's booking information into the computer. If the individual is on probation, the probation office is automatically notified and a detainer is electronically sent in response.

## Table 1: Summary of Key Features of an IJIS

1. Identification of subjects is accurate and is accomplished quickly and conveniently.

2. Warrants, detainers, and restraining orders are available and accurate.

3. Criminal histories are comprehensive, complete, accurate, and available.

4. Current status and location are accurate and available.

5. Electronic information transfer cues workflow between agencies.

6. Information exchange takes place automatically as a function is performed.

# Section 3:
# A Taxonomy of Integration-Related Problem Types

**A) Improper Release or Failure to Hold**

An individual is inappropriately released because a decision-maker lacked information or had misinformation about a suspect/defendant. *Result: risk of additional crimes committed by released offender.*

Subtypes:

1. Unknown Warrant or Detainer

   A warrant or detainer issued by a law enforcement agency, court, or probation/parole agency is unknown to a patrol officer, a booking/detention agency, or a prison. This may occur because: 1) an existing warrant is unavailable or not queried or 2) the suspect has been misidentified.

2. Status Unknown to Judge/Prosecutor

   An individual's current court or supervision status is unknown to a judge making a bond/release condition decision (or unknown to a prosecutor who makes a bond recommendation to the judge). Had the judge known the facts (that, for example, the individual was on probation from another jurisdiction or was in violation of pretrial release conditions in another case), then the judge may have imposed a higher bond or stricter conditions of release.

3. Event Unknown to Supervising Agency

   A court or probation/parole agency is not made aware of a supervisee's arrest or abscond and fails to issue an appropriate detainer or warrant.

4. Incomplete Criminal History Available

   A judge makes a bond or sentencing decision or a prosecutor makes a plea agreement without knowledge of the defendant's complete criminal history. In some cases (DWI, multiple offender statutes), minimum sentences are legally determined by criminal history.

5. Status in One Confinement Agency Unknown to Another after Transfer

   An individual is transferred from one jail or prison to another to serve as a witness, face additional charges, or serve a sentence. That individual should then be returned to the original jurisdiction to serve a sentence or answer charges. However, no warrant exists because that individual is already in custody, and detainer paperwork is not transferred with the individual. The individual is then released from the second jail or prison without serving his sentence or satisfying charges in the original jail/prison.

6. Court Action Not Received or Misinterpreted by Custody Agency

> A sentence or other order of court is misinterpreted or not received by a jail or prison because of confusing documents, confusion among courts, or name confusion.

## B) Improper Arrest or Confinement

An individual is arrested or confined because the arresting officer or custody official lacks key information or has inaccurate information. *Result: individual is unjustly incarcerated. Denial of civil rights and lawsuit.*

Subtypes:

1. Misidentification on Warrant

> An individual is arrested or held in custody on a warrant or probation/parole hold for another individual because of misidentification.

2. Recalled/Satisfied Warrant

> An individual is arrested or held on a warrant that has already been satisfied through arrest, withdrawn by the issuing agency, or recalled by the court.

3. Order of Release not Received

> An individual is held in confinement despite an order of release by the court or refusal of charges by the prosecutor because the appropriate documents are not received by or were improperly interpreted by the confining agency.

4. Incarceration Status Unknown

> A court may issue a failure-to-appear warrant or a probation agency may issue an abscond warrant when the individual is in fact incarcerated in a jail or prison. When that individual's sentence expires or when the court orders his release the jail or prison discovers the warrant and keeps the individual in custody.

## C) Risk to Officer from Lack of Information on Offender

A justice official is endangered when dangers associated with an offender are not made known to the officer. For example, an officer responding to an incident or executing a warrant is placed at risk of death or injury when the suspect is known to be dangerous by another law enforcement agency, correctional agency, or supervising probation/parole officer, but that information is not available to the officer. The same risk is present for probation/parole officers and corrections officials who handle the individual. *Result: preventable death or injury to officer.*

## D) Risk to Suspect/Inmate from Lack of Information

An arresting, custodial, or supervisory agency fails to take action or takes the wrong action with a suspect/supervisee/inmate because the agency lacked information available elsewhere in the Justice System. *Result: preventable death or injury to suspect/inmate.*

Subtypes:

1. Law Enforcement Agency Mishandles Incident or Suspect

    Police may improperly handle a suspect who has in the past been determined by a justice agency to be mentally unstable or impaired. Extensive information on the suspect may be available in jail, prison, or probation/parole officer records or be available from the records of the same or other law enforcement agency records.

2. Confinement Agency Fails to Take Proper Precautions or Provide Proper Medical Care

    An individual may be known to be a suicide risk or be known to have a serious or contagious medical condition in one jail or prison, yet this information is not readily available to other jails or prisons unless the prisoner was received directly from that institution.

**E) Failure to Solve Crimes**

An investigating officer fails to solve a serious crime because information maintained by a justice agency is not available or not available in an efficiently usable form. *Result: risk of additional crimes committed by unapprehended or unconvicted offender.*

Such information includes:

> Comprehensive custody information (when the suspect was locked up and where)
>
> Gang membership identification in jails and prisons
>
> Jail/prison visitor logs and phone contacts
>
> Probation/parole case officer notes, especially family/friend relationships and "hangouts"
>
> Jail/prison cellmates
>
> MO information from other jurisdictions

**F) Failure to Apprehend**

An at-large individual is wanted by a law enforcement agency, court, or probation/parole agency and information exists (current address, place of employment, etc.) that would make it possible for the appropriate agency to apprehend that individual, yet the information is not available to the agency responsible for the individual's apprehension. An officer may actually come into contact with the wanted individual but not be aware of the individual's wanted status. *Result: risk of additional crimes committed by unapprehended or unconvicted offender.*

Subtypes:

1. One justice agency has information that would help locate a wanted individual, but that information is not readily available to an agency seeking that individual. For example, a wanted individual may be on the visitor or phone list of a prison or jail inmate with his/her current address.

The individual may be on a subpoena list as a witness or victim in an unrelated case or as the parent or guardian of an offender in juvenile court. Yet an officer patrolling the wanted offender's neighborhood or serving on a warrant task force has no ready access to this type of information.

2. A non-justice government agency has information on a wanted, at-large individual that would locate that individual in place and/or time, but that information cannot be accessed by the agency seeking to apprehend that individual. A variety of federal, state, and local agencies may have such current information. These include taxing agencies, driver's license bureaus, welfare agencies, and voter registration lists. (Law in some cases may, of course, prohibit use of these non-governmental sources.)

### G) Inappropriate Clearance

Increasingly, legislatures and the Congress are mandating that criminal history checks be performed before employment or licensing in certain sensitive positions such as those dealing with children (teachers, daycare workers, or foster parents, etc.). In addition, such checks have always been the standard for law enforcement officers and other justice officials. A criminal history check is also now required for purchase of a firearm. To the extent that criminal histories are incomplete or unavailable, inappropriate individuals will be cleared for sensitive occupations or allowed to buy firearms.

## Table 2: Taxonomy of Information Related Problem Types
### Summary

A) Improper Release or Failure to Hold
1. Unknown Warrant or Detainer
2. Status Unknown to Judge/Prosecutor
3. Event Unknown to Supervising Agency
4. Incomplete Criminal History Available
5. Status in One Confinement Agency Unknown to Another after Transfer
6. Court Action Not Received or Misinterpreted by Custody Agency

B) Improper Arrest or Confinement
1. Misidentification on Warrant
2. Recalled/Satisfied Warrant
3. Order of Release not Received
4. Incarceration Status Unknown

C) Risk to Officer from Lack of Information on Offender

D) Risk to Suspect/Inmate from Lack of Information
1. Law Enforcement Agency Mishandles Incident or Suspect
2. Confinement Agency Fails to Take Proper Precautions or Provide Proper Medical Care

E) Failure to Solve Crimes

F) Failure to Apprehend
1. One justice agency has information that would help locate a wanted individual, but that information is not readily available to an agency seeking that individual.
2. A non-justice agency has information to locate wanted individual, but that information cannot be accessed by the agency seeking to apprehend.

G) Inappropriate Clearance

## Nature of Transmission Failures

How does lack of justice system integration lead to poor information transmission? There are two basic situations that should be distinguished:

1) An existing information transmission mechanism is inefficient or unreliable, while integration of systems would increase efficiency and minimize error.

   In many cases, paper document-based systems have been developed to pass information from one agency to another: arrest/booking information to courts, bail/sentence/release/warrant information from courts to jails and prisons, law enforcement, and probation/parole agencies, etc. In many cases, these documents must pass through multiple hands, be sorted and resorted, interpreted and reinterpreted, and then acted upon or filed for future use. Properly integrated computer information systems allow virtually instantaneous transmission of information between agencies, help ensure accuracy, and allow tracking and supervision systems to be developed to prevent information from "falling between the cracks."

   Some linked computer systems may allow inquiry by one agency into the records of another but are not used to transmit documents or data intended to initiate or confirm some action. Such transmission is especially effective and accurate when identification numbers, case and charge numbers, and other key identifiers are commonly indexed. Sometimes information is available on "bulletin board"-type systems such as NCIC or similar state and local systems, where one agency posts a warrant, stolen auto information, etc. and the information is then available to be requested by other agencies. But these systems are inherently limited by this "post-request" procedure. For example, Police Department A posts a murder warrant to NCIC on a suspect. That suspect is, in fact, in prison in another state at the time the warrant is posted. Ideally, Department A should learn this as soon as it posts the warrant, yet it will in fact be notified only if the prison checks NCIC for that particular individual, which will happen (if it happens at all) only just prior to the suspect's release—perhaps years in the future.

2) No transmission mechanism exists, while integration of systems would create such a mechanism.

   There are many situations in which systems or procedures for routinely passing certain information from one agency to another in a given situation have never existed. For example, there is often no procedure in place for notification of a probation/parole agency when one of its supervisees have been arrested, especially if the arrest takes place in another county or state. Trying to establish a paper document system to accomplish such notification would be extremely difficult. A statewide or national integrated justice information system could make such notification easy for both the arresting agency and the supervising agency.

# Section 4:
# Identification Of Examples

> "Christy Robel drove up to a restaurant with her 6-year-old son Jake…. She left the keys in the ignition of her Chevy Blazer and went inside to get her son a coke, leaving him in the car. While she was inside, Kim L. Davis jumped into the car and started to drive off. The mother chased the car and attempted to yank her son from the back seat as it was moving, but the boy got twisted in the seat belt and was killed as the vehicle sped away and he was dragged to death." Note: Kim L. Davis had been released earlier that day.

A significant goal of this project was the location and verification of real-life incidents that illustrate the consequences of not having adequately integrated justice information systems. At the beginning of this study, we proceeded based on an assumption that when these incidents (as outlined in the taxonomy in Section 3) occur, the involved justice practitioners will generally recognize them as consequences that better integrated systems might prevent. However, as the study progressed, we found this was not the case. In fact the practitioners generally did not link the documented incidents to the inadequacy of information systems.

The project proceeded as follows. First, a description of an ideally integrated justice information system was developed, drawing largely on work already done by the Department of Justice, SEARCH, and statewide integration initiatives. Such a system would be national in scope and include every segment of the justice system at local, state, and federal levels. Information would be exchanged in real time and accessed in the way most efficient for each agency's operations. Information would be contributed to the system automatically as workers record it while performing their agencies' functions.

Second, a taxonomy of types of error was developed from the idealized model and from our own professional experiences and discussions with fellow practitioners. This taxonomy was later expanded somewhat based on information from the latter stages of the project.

Third, a search was made of published sources for examples of information-related justice system errors using a long list of keywords drawn from the taxonomy. The search of web pages was performed using Internet search engines and of legal, newspaper, and magazine publications using LEXIS/NEXIS. Virtually all useful possible cases developed by the methods came from newspaper accounts. These searches were done by Tulane and Loyola University Law School students in their 2nd and 3rd years.

Fourth, the law students were given the task of contacting the reporter and agency representatives involved in the published cases by phone, using a

script prepared by the authors. The newspaper reporter, if available, was to be contacted first for leads; then representatives of the agencies were contacted. It was our original intention to make site visits in a few of the most promising cases to develop very detailed information on the case and the information systems involved. The students were also instructed to solicit information on additional cases from all respondents.

Fifth, one law student was selected to make "cold calls" to prosecutors, corrections officials, and law enforcement officials in other jurisdictions to identify unpublished cases. A variety of sizes of jurisdictions were contacted. This effort yielded no additional cases.

For the cases identified in newspaper accounts, confirmation turned out to be very difficult and, with a few exceptions, the interviewer could not obtain adequate verification of the facts. Though by design all cases occurred in the 1995-2000 time frame, it was often the case that no respondent could be found who remembered (or said they remembered) the incident. Interviewers often could not establish contact with the officials involved and often could not get calls returned once they had explained the purpose of the interview. Some respondents refused to answer, sometimes because the case was under litigation. This lack of response and limits on resources made planned site visits impractical.

With some exceptions, respondents who did agree to be interviewed characterized the cases as "human error" and did not view the cause as a lack of information system integration: somebody didn't send the proper paperwork or misunderstood a document; someone "should have checked" by phone, fax, or Teletype or should have looked up the information in a separate system; someone should have manually compiled a summary from multiple sources and failed to do so.

It is our speculation that a number of factors are behind this lack of response. First, the types of errors these cases involve are seen as reflecting badly on those involved. Some of the newspaper articles present lurid accounts of the incidents and express outrage at the performance of the agencies involved. Many of these agencies are the responsibility of elected officials who believe, correctly, that the public has a poor understanding both of the complexities of justice information systems and the promise of comprehensively integrated systems. Cooperation in a process that may further publicize a blunder is seen, quite understandably, as a mistake. It may also damage the agency's legal position in a lawsuit.

Second, in many of these cases a procedure exists, usually involving the manual transfer of a document or notification by phone or fax, that was not followed and would have prevented the incident. A document, form, or message may in fact have been sent, but was misinterpreted. In such cases the proximate cause of the incident was, in fact, human error, albeit often under workload demands or special circumstances that almost guaranteed errors (see, for example, the description of the Los Angeles County "pony express" below). In many of these cases of "human error," a new procedure based on a well-designed electronic transfer of properly coded information would reduce error significantly.

Almost every sheriff and police chief, prosecutor, judge, and corrections official knows of erroneous releases and failures to release, warrant misidentifications, missed opportunities in detective work because of missing information, and a host of errors that *could* have been prevented had the right information been known to the right person at the right time. Anyone with experience using criminal histories is aware of the errors and omissions that are endemic to many of them. Experienced police officers know of arrests made on warrants that turn out to be invalid. Jail records managers know of inmates kept in jail too long or released when they should have stayed in jail. But without a detailed understanding of the promise of integrated information systems, incidents will be seen only as human blunder and result only in human solutions: fire, discipline, train, or retrain somebody (or everybody), or put in additional checking and procedures that might catch errors but only at a significant cost in time and manpower. For example, if there was an erroneous release, modify policy so that every release of an inmate has to be checked by a supervisor before the release is executed. Of course, more supervisors will be needed (or other supervisory work will not get done) and the inmate will wait longer to be released.

In fact, the inability of many justice officials to visualize a comprehensively integrated system and its advantages is one of the reasons such systems are so hard to develop. Making the case for such systems is a difficult challenge because the first and most natural reaction to "horror stories," such as those outlined below, is to attack the human element directly rather than to seek solutions through comprehensive integration of information systems.

NOTE:

Since full and completely reliable confirmation of these examples—and especially, the deficiencies on the information systems involved—could only be done through extensive on-site interviews and observations, these examples should be treated only as illustrations. Even as such, the information system discrepancies described are in some cases dated by as much as seven years[2] from the date of this report, and some of these jurisdictions are known to have made significant improvements since the incident described.

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[2] In the original search for cases in 2000, only cases less than five years old were selected.

# Examples: Incidents Preventable Through IJIS

*The following 21 "horror stories" illustrate the tragedies preventable through IJIS, commentaries on how integration might have prevented them, and a reference to the key features of IJIS outlined in Section 2.*

## Rafael Resendez-Ramirez

The Border Patrol at the Santa Teresa INS border station took Rafael Resendez-Ramirez into custody June 1, 1998, after his arrest as an illegal immigrant at Sunland Park, NM, near El Paso. His photo was taken and his fingerprints run through the INS IDENT system for identification. He was released June 2 after being transported back into Mexico. At the time, however, he was the target of a massive manhunt both by the FBI and Texas police as a suspected serial killer wanted for four killings. Within days of his arrest the "Railway Killer" returned to the U.S., where he is suspected of committing at least four more murders. The victims were: a 73-year-old woman who was bludgeoned to death west of Houston, a 26-year-old school teacher at her home, and a 79-year-old man and his 51-year-old daughter in Gorham, Illinois on June 15th. He is also a suspect in a number of other murders.

His prints were on file, and warrants had been placed in both NCIC and the Texas Crime Information Center (TCIC). Texas police had in fact contacted the INS in Houston as part of their investigation, but none of the INS investigators posted a "lookout" in INS IDENT. INS IDENT is not linked to the FBI and Texas systems. Therefore, when Resendez-Ramirez was checked in IDENT on June 1, the INS had no way to know he was wanted. In fact, he had first been picked up by the INS in Michigan in 1976 and was subsequently deported. He also was deported in 1985, 1987, and 1991 and had been apprehended nine times by Border Patrol agents since January 1998.

Resendez-Ramirez had a 20-year criminal history. He obtained driver's licenses in California and Florida using at least six aliases and four different birth dates.

*Sources: Houston Chronicle, June 8 and 27, 1999; Des Moines Register, July 2, 1999; Washington Times, March 22, 2000.*

### Comments

The fact that fingerprint and name checks run in the INS computer system are not automatically made in the FBI's system, but must be done as a separate task, means that most of the 1.5 million INS apprehensions each year are not searched in the FBI system. Linking the two systems, so that checks are automatically made in both, would not only improve apprehension of aliens wanted for crimes but would allow law enforcement agencies who check prints with the FBI to easily determine immigration status of arrestees. In this case linking these two systems would have prevented multiple murders.[3]  (Relevant Key Feature 1a, 2a)

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[3] Note also that this case points out the limitations of drivers' licenses as a means of identification for law enforcement purposes—and of course for other purposes as well.

### Kim L. Davis

On February 14, 2000, Kim L. Davis surrendered to the Independence, Missouri Police Department on a municipal warrant for possession of drug paraphernalia. He pled not guilty and bond was set at $1,000. Because he could not post the bond, he was transported to the Carroll County jail under a contract that jail has with the police department to hold some of its prisoners. On February 16, a warrant for probation violation was issued for Davis on an unrelated matter. On February 22, Davis changed his plea to guilty. A judge accepted his plea, gave him thirty days to pay the $150 fine, and ordered him released. Independence police faxed a release form to the Carroll County jail.

Independence police had checked Davis for warrants when he was booked on the 14th, but neither they nor Carroll County checked Davis for warrants on the 22nd, and he was released on 11:30 am that day. Davis hitched a ride back to Independence with an Independence police official, who dropped him in Independence. Christy Robel drove up to a restaurant with her 6-year-old son Jake about a half-mile from Davis's drop-off point. She left the keys in the ignition of her Chevy Blazer and went inside to get her son a coke, leaving him in the car. While she was inside, Davis jumped into the car and started to drive off. The mother chased the car and attempted to yank her son from the back seat as it was moving, but the boy got twisted in the seat belt and was killed as the vehicle sped away and he was dragged to death. Several motorists apprehended Davis.

Newspaper reports indicated that Carroll County officials assumed Independence police had checked for warrants before release and Independence police said at the time that they made the same assumption about Carroll County. Bill Pross, Public Information Officer for the Independence Police Department, told our interviewer that the only Independence police officer who could accurately check warrant systems was fired just a few days before Davis's release.

*Sources: The Kansas City Star, Feb. 25, 2000; Our interview with Tanyanika Samuels, reporter; our interview with Bill Pross, Public Information Officer, Independence Police Department.*

#### Comments

Both Carroll County and the Independence Police Department had the technical capacity to locate the warrant that would have kept Davis incarcerated. However, the warrant check required, as it still does in most jurisdictions, a separate operational step which is procedurally, but not technically, part of the release process and which falls by the wayside under time constraints, confusion about responsibility, or lack of specially trained personnel. A warrant check that is made automatically as part of an automated release process eliminates the need for specially trained personnel, which is often lacking, especially in small departments. In addition, when the warrant was initially entered, a fully integrated system would have notified the probation department that Davis was currently in custody at Carroll County.

Mr. Pross reported that in response to this incident the Missouri legislature passed "Jake's Law," which requires law enforcement agencies to make the kind of checks that weren't made here, if means were available. This was, however, a nonfunded mandate that provided no funds for additional personnel, training, or new technology. (Relevant Key Feature 2a, 2c)

### Angel Moya

In July 1995, Moya was arrested in Los Angeles by the California Highway Patrol in a drunk driving incident that killed 18-year-old Leticia Cabrera. Los Angeles County's central jail officials released Moya on July 26 because CHP officers had not filed charges within the 48-hour limit prescribed by law. In fact, prosecutors had issued a warrant for Moya before his actual release, thinking he had already been released because of the time limit. Jail officials, however, did not check for warrants before releasing the suspect.

*Source: Los Angeles Times, August 23, 1995.*

#### Comments

The proximate cause of Moya's release was the delay by CHP and prosecutors in filing charges. However, a justice system in which CHP, prosecutor, and jail information systems were integrated would allow CHP and prosecutors to file charges electronically, prosecutors to check custody status when issuing warrants, and jails to automatically check for warrants as a part of release processing. Such a system would likely have prevented this incident.

### Isadore Jackson

When picked up by the Broward County Sheriff's Office for a child support violation, Jackson, 31, had an outstanding warrant for parole violation. He was released without a warrant check, however. He subsequently beat his girlfriend's baby, Kayanna Smith, to death.

*Source: Orlando Sun-Sentinel.*

#### Comments

As in other cases of this type, a failure to check for warrants, i.e., "human error," is the direct cause of the erroneous release. However, a warrant check which is made automatically as part of an automated release process eliminates the need for specially trained personnel or for personnel to remember to perform the task as a separate step in the release or booking process. (Relevant Key Feature 2a, 5)

## William Hallinan

Hallinan, 28, escaped from a minimum-security work program in Concord, New Hampshire, on December 24, 1996. Upon his rearrest it was discovered by Claremont police that he had two outstanding warrants from Massachusetts for theft and drug charges. Had they known of the warrants, Hallinan would never have been placed in a minimum-security program.

*Source: New Hampshire Sunday News, January 5, 1997.*

### Comments

This case is an example of the need for prison classification systems to have easy access to criminal history and warrant information. In an ideally integrated system, prison classification computer programs would access criminal history and warrant information to calculate the appropriate classification level. (Relevant Key Feature 2a)

## "Rambo" Guy Cummings

Cummings was released on his own recognizance twice in December of 1994 by courts in Taunton and Stoughton, Massachusetts, despite the fact that he had larceny, kidnapping, and assault warrants in Arizona, Georgia, and New York. The probation office report used by the courts did not include information on outstanding warrants outside Massachusetts.

*Source: The Boston Herald, December 28, 1994.*

### Comments

This incident was also a breakdown at the law enforcement agency level, where apparently no NCIC check for warrants was made. Warrant checks could be performed automatically during release processing in an integrated system. (Relevant Key Feature 2a,3a)

**Gregory Devon Murphy**

Murphy, 29, was released on parole from Virginia State Prison on April 7, 2000, after serving more than six years for malicious wounding, petty larceny, and obstructing justice. Murphy reported to the Alexandria Probation and Parole Office after his release, and his case was assigned to a parole officer on April 17. On the same day, Murphy was arrested on a cocaine possession charge in neighboring Fairfax County. The parole officer was not aware of the arrest, however, and Murphy did not report it to him in a phone contact April 19. On the same day as the phone contact, evidence indicates that Murphy stabbed to death 8-year-old Kevin Shifflet.

Murphy failed to keep his meeting with his parole officer on April 20. He failed to appear for a court hearing on the drug charge in Fairfax County and the judge issued a bench warrant.

After failing to locate Murphy in three attempts, the parole officer issued a parole warrant on May 11, but by department policy this first step warrant is only good in Alexandria County. An NCIC warrant can only be issued by the state Parole Board, which in this case was not done until June 19. Murphy was arrested in Fairfax on the bench warrant on June 9, but he was released on $2,500 bond because the Sheriff's Office did not know about the parole warrant in Alexandria County. Finally, on June 25, Alexandria police arrested Murphy on the parole violation charge. DNA evidence linked him to the murder a few days later.

*Source: The Washington Times, July 19, 2000.*

<u>Comments</u>

At first this would appear to be a case of erroneous release after failure to check warrants. However, the parole warrant was unavailable to Alexandria authorities by policy, since the Virginia Department of Parole established a two-tiered system of issuing parole warrants: first in the local jurisdiction, then nationwide (NCIC). In any case, the release on June 9 occurred after the boy's death.

The more serious breakdown in this case is the parole officer's lack of knowledge of Murphy's arrest and the Fairfax County authorities' (apparent) ignorance of Murphy's parole status on April 17. If a detainer had been filed while Murphy was still in custody on April 17, the boy's death may have been prevented.

In most states, probation or parole authorities are notified of a supervisee's arrest only if the arresting agency performs the notification or if the probation/parole officer makes a criminal history check. In an integrated system, arresting agencies are automatically notified of an arrestee's supervision status, and the supervising agency is automatically notified of an arrest with an opportunity to place a detainer before the offender's release.

## Richard Sherroan

In February 1999, Sherroan was convicted of drunken driving and marijuana possession in Scott County District Court in Kentucky. He paid a $300 fine and was released. At the time, he was on parole in Kentucky for 1995 robbery and forgery convictions, but the prosecutor was unaware of his status and the Division of Probation and Parole of the Kentucky Correction Department was unaware of the arrest. There is no system linking the court and state systems in Kentucky.

In April of the same year, Sherroan is alleged to have murdered Isaac Davis, 18, Aaron Mills, 22, and Frank Reschke, 57.

*Source: The Cincinnati Enquirer, May 2, 1999.*

### Comments

As in the Gregory Devon Murphy case above, an integrated system would have automatically made Sherroan's arrest and conviction known to parole authorities and provided them the opportunity to initiate a detainer and revocation proceedings.

## Jose Serrano

On April 16, 1998, a Brooklyn Narcotics Team arrested a man who identified himself as Joseph Figueroa for possession of heroin. The arrestee also, apparently, had some documentation with that name. He was fingerprinted but was issued a desk appearance ticket and released before his prints were identified, a process that at the time took up to eight hours.

When his prints were finally returned from Albany, police learned that he was in fact Jose Serrano, who was wanted for parole violation. When officers went to Serrano's home to arrest him for missing a May 18 court date, they were ambushed by Serrano and his girlfriend who took one of the officers' guns. Officer Anthony Mosomillo was shot four times by Serrano. Mosomillo shot and killed Serrano before he died.

After this incident, New York police changed the policy of releasing misdemeanor and minor felony offenders before fingerprint results are received, a decision that will affect some 80,000 arrestees a year and lengthen the time in detention of many.

*Source: The New York Times, May 28, 1998.*

### Comments

Integrated systems must provide information quickly, or the benefits will be lost to shortcuts forced by workload pressures on operations. (Relevant Key Feature 1a)

**Antonio Martinez**

Martinez was in New Mexico state custody on a parole violation while awaiting trial for the February 2000 slaying of Dale Garcia, a 35-year old state employee. Since the Santa Fe District Attorney had not filed a detainer on him, however, corrections officials released him in June 2000 from the Torrance County Detention Center.

The DA indicated that the problem in part stemmed from Martinez's transfer from the Santa Fe county jail to the privately run jail. State corrections officials stated, however, that they had contacted the DA's office on May 2, but the prosecutor's staff could not locate the case, apparently because Martinez used multiple dates of birth.

Martinez was still at large 48 days after his release.

*Source: The Santa Fe New Mexican, August 2000.*

Comments

In this case there are at least two problems amenable to integrated system solutions. In an ideally integrated system, prosecutors would not have to track defendants from correctional facility to facility in order to file detainers to ensure they would not be released. The detainer would be posted centrally and available to all facilities to check before release.

Secondly, a common fingerprint-based identifier carried in all court, prosecutor, and correctional systems would eliminate the type of name and DOB-based identification problems evidenced here. (Relevant Key Feature 1b, 2e)

**Leo Mitchell**

Mitchell, 26, was released on February 13, 2000, after posting a surety bond of $26,000 for assaulting his ex-girlfriend, Elena Smith. At the time Mitchell was on parole for a 1991 shooting in New Orleans. On April 2, Mitchell returned to Smith's house where he killed Henry Porter, wounded Smith's brother, and kidnapped Smith. A state trooper captured him the same day, and Smith was released unharmed.

Though criticism was leveled at the magistrate for setting the $26,000 bond, there is dispute about whether the magistrate was made aware that Mitchell was on parole when he set the bond. It is clear, however, that the state Probation and Parole Office did not file a detainer on Mitchell which would have kept him in custody. Apparently the Jefferson Parish Sheriff's Office would fax a magistrate list to that office before each magistrate hearing, and each probation and parole officer was responsible for checking the list. Mitchell's parole officer, apparently, missed his name on that day.

*Source: The Times-Picayune, April 18, 2000.*

<u>Comments</u>

Since the Jefferson Parish Sheriff's Office information system was not integrated with the state Probation and Parole Office's system, individual parole officers could not be efficiently notified about their clients' arrests. As a result, each officer had to be diligent about making daily checks of a faxed list. (Relevant Key Feature 4)

**Dean Mallis**

Mallis, 27, was arrested November 14, 1999, after a 40-year old mentally disabled man told police that Mallis had held him prisoner, tortured him, and sexually abused him for 10 days. The next morning a judge set a $2,500 bail, rejecting requests from the prosecutor that it be much higher. At the time the judge and prosecutor were unaware that in 1995 Mallis was convicted of beating his 69-year-old roommate and killing his cats as he lay helpless on the floor.

The state's Bureau of Identification may take days to compile a criminal history, especially if there are out-of-state convictions, as in this case.

*Source: Portland Press Herald, December 29, 1999.*

<u>Comments</u>

Since bond setting must occur shortly after arrest, only through nationally integrated criminal history systems can a magistrate get a reasonably complete criminal history with which to make an informed decision in time. (Relevant Key Feature 3a.)

**Charles Louis Rodriguez**

Rodriguez, 34, was a crack addict who was arrested May 4, 1995, by Hillsborough County, Florida, deputies for use of a stolen credit card. At booking he gave the name "Lyle Plummer" and was released on a low bail after a check revealed no outstanding warrants. A fingerprint check against Hillsborough files was not completed until four hours after his release. In fact, he had an 18-year history of arrests and convictions for theft and drug possession in central Florida, and was wanted at the time both by Pinellas County and the same Hillsborough authorities that arrested him. He was often able to make bail or receive probation because of his frequent use of aliases. He was known by at least 17 aliases, had two valid Florida driver's licenses, and multiple social security numbers.

Most of his arrests were for minor property crimes, and in such cases fingerprint searches against local files are often given low priority. Checks against the Florida Department of Law Enforcement fingerprint files took as long as eight weeks at the time of the report.

Two weeks after his release on May 4, Rodriguez was arrested in Hernando County after dressing as a doctor and stealing nurses' purses in a hospital. In this case his true identity was discovered. He received a sentence of four and a half years.

*Source: St. Petersburg Times, August 7, 1995.*

Comments

This case points to the importance of a near real-time, state or nationwide fingerprint identification system as the basis of criminal history and warrant information. Note also that the ID system must be manpower efficient enough so that it can be used in times of heavy workload and even for minor crimes. Someone arrested on a minor crime may be a career criminal or wanted for a serious crime. (Relevant Key Feature 1a)

## Leonard Saldana

In early March, 1998, Leonard Saldana was arrested for violating a stay-away order from his common-law wife, Sylvia Hernandez, by Austin, Texas, police. The municipal judge set only a $4,000 bond, not knowing of Saldana's extensive criminal history. He had been jailed 19 times in the prior 10 years, including DUI, violating protective orders, and domestic assault, but the police department had refused to allow municipal courts on-line access to criminal histories. Courts could obtain them orally in response to individual requests or on paper if the court's investigators retrieved them.

On April 4, after his release on bail, Saldana stabbed his wife to death.

*Source: Austin American-Statesman, April 29, 1998.*

### Comments

Lack of on-line access to criminal histories by the courts and prosecutors often means that use of criminal record to make bail and sentencing decisions—especially in non-felony cases and minor courts, is hit-or-miss at best. A procedure involving telephone requests and oral reports or paper transfer is often too cumbersome to be used consistently by high volume court operations. (Relevant Key Feature 1a)

## Forris Massey

In July, 1996, Massey, 33, was convicted in Tarrant County, Texas, on four counts of aggravated robbery for four home invasion robberies and sentenced to life imprisonment. After these convictions, he was transferred to Dallas County for trial on two additional home invasion robberies. While awaiting trial there, Massey was returned to Tarrant County to serve as a witness, then returned to Dallas County when he refused to testify. Dallas County prosecutors dismissed their charges against him in June 1977. Since there was no detainer from Tarrant County in the file, he was released by Dallas County.

The mistake was not discovered until January, 1998, when Tarrant County contacted Dallas officials to ask about his status. He was captured shortly thereafter.

*Source: The Fort Worth Star-Telegram, January 16, 1998.*

### Comments

When inmates are moved back and forth between correctional facilities, the possibilities of error multiply if those facilities rely on paper document "detainers" to be filed at each step. In an ideally integrated system, a correctional facility or probation/parole department's "hold" notice on an individual would be electronically available to all facilities, and a check could be made of a centralized file before any facility releases the individual. (Relevant Key Feature 2e)

**Thomas Lee Carey**

Carey, 21, was transferred from the Franklin, Tennessee jail to the Nashville jail in May 1998 by Metro Police warrant officers on a warrant for failure to appear on a misdemeanor. His bail was set low by Davidson County night court, and he was released. After his release it was discovered that a detainer filed by the Davidson County Sheriff's Office at the Franklin jail was not known to Metro authorities at the time of his release. That hold was pursuant to a grand jury indictment for the 1996 kidnapping and murder of Michael Dickerson, 18.

*Source: The Tennessean, June 19,1998.*

Comments

This is another example of the loss of detainer information as inmates are moved among correctional facilities. As in the Forris Massey case, an electronic file of "holds" accessible to all facilities would have probably prevented the release of this murder suspect. (Relevant Key Feature 2e.)

## Los Angeles County Cases

Perhaps nowhere have the results of poor communication between jail and court information systems been better documented than in Los Angeles County, California. This system is one of the busiest in the country. As of 1996, about 2000 inmates arrived at the jail from county courts each evening. In an entirely paper-driven process called the "pony express," court paperwork is tossed off each prisoner transport bus in yellow bags and two dozen clerks labor into the night sorting, filing, and entering information into the Sheriff's Office computer system. The cumbersome process led to the (known) mistaken releases of 36 inmates in 1996. Five separate homicide suspects were mistakenly released between mid-1995 and mid-1996: Gregory Stinson, Juan Espino, Pedro Quezada, Anait Zakarian, and Angel Moya. Four of the five suspects were released because of confusion about court paperwork by records clerks. Zakarian was still at large four years later.

In addition to mistaken releases, the cumbersome process led to many inmates being held in custody too long. County supervisors recently agreed to pay $27 million to settle five class action lawsuits involving the illegal detention of 400,000 inmates over a five-year period. This second problem stemmed in part from attempts to remedy the erroneous release problem by waiting for release until there was assurance all court paperwork had been received.

*Source: Los Angeles Times, August 23, 1995, August 22, 1996, October 23, 1999; interview with Commander Chuck Jackson, LASD.*

### Comments

The problems are huge in this case because the system involved is huge. However, the problem of mistaken releases and failure to release is present everywhere there is a high volume of court activity handled by a correctional facility, and there is no efficient link between the information systems involved. In part the problem exists because of the complexity of the legal process and the lack of training of records clerks in interpreting court documents. In part the problems stem from a disjunction between information levels: correctional institutions must make decisions at the level of the individual and courts at the case level. A court will issue a release order on a case without regard to (and usually without knowledge of) other open cases or sentences. In an integrated system, courts issue decisions on charges and cases using the same unique individual, charge, and case identifiers that are used in corresponding law enforcement and correctional systems. These decisions are coded in a fashion understood by those systems, so that the meaning and impact of the court's action is clear and can be acted upon appropriately. (Relevant Key Feature 5)

## Seminole County, Florida, Erroneous Releases

Between June and September, 1998, seven inmates were released from the Seminole County, Florida, jail because of records clerks' misinterpretation of court documents. One of the releases was a suspect in an Orange County murder case.

Records clerks at the jail work from handwritten court minutes sent by the court. They must interpret these notes and enter the results into the jail computer system.

*Source: Orlando Sentinel, January 19, 1999.*

### Comments

Handwritten court minutes are even more difficult to interpret than typed orders, since the sometimes ambiguous textual nature of court minutes is combined with the problems of handwriting legibility. (Relevant Key Feature 5)

## Kenneth Gagum

Gagum, 39, was a habitual felon sentenced in August 1999 to 80 to 105 months in jail by a Durham, North Carolina, court. However, the jail was not notified of the sentence until five days later. Gagum had been released on bail the same day he received his sentence.

*Source: The Herald-Sun, September 2, 1999.*

### Comments

In an ideal integrated system, an electronic transfer of sentencing information to the jail occurs at the same time the sentence is produced by the court's information system in the courtroom. In this way, the transfer of information is not only accurate and clear, it is timely. (Relevant Key Feature 5)

**Enrique Sandoval**

Sandoval was sentenced in Albuquerque, New Mexico, March 11, 1997, to 18 months in prison for aggravated assault with a deadly weapon, with 12 months suspended. He was also sentenced to a year's probation and a year's parole. On November 21 of the same year, he violated his probation and was given 201 days in state prison. He was then paroled on March 22. He violated his parole in connection with a murder charge and was returned to New Mexico state prison. He was transferred from a state-run facility to a private facility on December 23.

The Bernalillo County District Attorney sent a letter to the corrections department informing them that Sandoval had been charged with the killing of Angelo Cavez, 18, in August. Sandoval completed his sentence February 1, 1999. Bernalillo County Sheriff's deputies picked up Sandoval along with 12 other prisoners on February 1 because a prison official told the deputies he had some traffic warrants and a felony warrant. Deputies could find no felony warrant after a computer check but returned Sandoval to the county to deal with the traffic and misdemeanor warrants. He was released February 6 despite the murder charge.

*Source: Albuquerque Journal, February 16, 1999; interview with Captain Van Sickler, Bernalillo County Sheriff's Department.*

Comments

The information breakdown in this case occurred when corrections officials did not pass the DA's letter to sheriff's deputies on February 1, apparently overlooking it because it was not a formal detainer order. Even if the proper form had been used, detainers are not "posted" in warrants systems. Detainers are typically documents that must be transferred by hand from agency to agency as the offender is physically moved, and the likelihood of error increases with each transfer. In an integrated system, detainer information is available simultaneously to all justice agencies so checks can be made, like warrant checks before release. (Relevant Key Feature 2e, 5)

**Simon Gonzales**

On June 22, 1999, Gonzalez bought a gun from a federally licensed firearms dealer. He passed a federal "Brady" background check. At that time there was a domestic restraining order against him, but a check of such orders was not part of the "Brady Check" system.

After the gun purchase, Gonzales murdered his three daughters before dying in a shootout with Castle Rock, Colorado, police.

*Source: Denver Rocky Mountain News, September 13, 1999.*

Comments

There has been a growing recognition that Brady Checks and other licensing-related checks require information not found on traditional arrest-based criminal history records. Complete information can only be provided by an integrated system that combines arrest-based rap sheets with other database types. (Relevant Key Feature 2f)

# APPENDIX D

# Orleans Parish Information Sharing and Integrated Systems Strategic Plan and Status Report

## September 2010

### *OPISIS Goal:*

The primary goal of the Orleans Paris Information Sharing and Integrated Systems (OPISIS) program is to improve the criminal justice system in New Orleans by improving the timeliness, quality, and completeness of information at all stages of the criminal justice process.

### *OPISIS Key Objectives:*

1) Establish a permanent governance structure for cooperative efforts to improve New Orleans criminal justice information systems;

2) Implement efforts to improve information systems within each agency by:

    a) Replacing manual systems with modern automated systems

    b) Replacing inadequate computer applications with modern computer systems with enhanced features;

c)  Providing temporary or permanent information technology professionals to manage new or existing systems;

d)  Integrating multiple systems within an agency or replacing multiple systems with a single, more comprehensive, system;

3) Improve information sharing among agencies by:

a)  Automating information exchanges;

b)  Creating information management applications that are shared by multiple agencies;

c)  Integrating existing applications across agencies;

4) Improve the quality of information throughout the system by:

a)  Sponsoring efforts with and between agencies to error check and correct information in existing systems;

b)  Establishing improved mechanisms for automated error checking at data entry;

5) Enhance the capacity for fact-based decision-making by:

a)  Building or requiring extensive pre-designed and ad hoc reporting capabilities in every new or enhanced computer application;

b)  Expanding the scope of information available in electronic form;

c)  Expanding the availability of information among agencies and to the public.

Most OPISIS projects address a number of these objectives. For example, the CourtNotify electronic subpoena management system (described below) is designed to be shared by the Criminal District Court, the District Attorney, NOPD, the Orleans Public Defender, the Sheriff, and Municipal Court. (Long-term plans include Juvenile and Traffic courts, as well as the Louisiana Office of Probation and Parole.) All of these agencies will use a common system to send and receive subpoenas and notices, record service, manage witness information, schedule inmates for transport to court, and monitor activity to manage time and workload and ensure accountability. The selection and implementation of this application was a product of the first objective (establishment of a governance structure) and will result in achievement of the remaining four (improvement

of agency systems, improved information sharing, improved information quality, and improved availability of information for decision-making.


## *OPISIS Strategy:*

New Orleans Police and Justice Foundation (NOPJF) strategies are a reflection of the realities of large criminal justice systems.  In New Orleans, as in most jurisdictions, criminal justice agencies are directed by elected officials or the appointees of elected officials, and the interests of those agencies are in part common and in part in conflict. Every agency has its own distinct function and the interactions of those agencies have historically been characterized by lack of trust, lack of understanding of other agencies' business processes, competition over financial resources, space, and status, and concerns about legal and political liability which leads to finger pointing and denial when problems are brought to light.  In addition, computer-based information systems have historically been developed by each agency independently, usually without consultation with other agencies and narrowly focused on a single agency's needs.  Often these systems simply duplicated the workflows of the manual, paper-based systems they replaced and failed to take advantage of the opportunity to reengineer old business processes that modern information systems provide.

For all these reasons, the New Orleans criminal justice system was, with some exceptions, characterized by separate "stovepipe" computer systems that shared limited information or were inadequate in a variety of ways.  Some agencies had multiple stovepipe applications that shared no information even within the agency.

In a variety of ways Hurricane Katrina brought these deficiencies into a glaring light. Obviously, the first lesson of Katrina was the importance of disaster recovery plans and provision for backup sites that allow an agency reestablish operations soon after a disaster.  But the loss of access by all agencies to their information systems for weeks and sometimes months made them aware of their critical operational importance, and the

impact of the loss of access to information from other agencies showed their interdependence.

NOPJF is a nongovernmental nonprofit agency with the purpose of improving the New Orleans criminal justice system. The NOPJF OPISIS program emphasizes cooperative and consensus-based decision-making by all major New Orleans criminal justice system agencies, and has established a simple but effective governance structure that minimizes overhead and formality. The OPISIS Executive Board includes the NOPD Superintendent, the Sheriff, the District Attorney, the Chief Judge of the Criminal District Court (or Chairman of the Court's Technology Committee), the Criminal District Court Clerk, the Chief Public Defender, and the Executive Director of NOPJF. The OPISIS Technology Committee is made up of the IT directors of the participating agencies.

OPISIS objectives imply the following criteria for selection of projects:

1)  Project fosters development of _shared_ information systems;
2)  Project leads to integration of existing information systems with each other, or with new applications;
3)  Project addresses "pain points": critical problem areas affecting multiple agencies that can be remedied with new or improved information systems;
4)  Project develops agency capacity to exchange or manage information, through replacement of existing applications, development/acquisition of new applications, or improvement of network connectivity among agencies;
5)  Project develops agency capacity to exchange or manage information by the addition of temporary or permanent IT professionals.

Just as many projects meet multiple objectives, many OPISIS projects meet multiple criteria. The CourtNotify subpoena system, for example, is a shared information system that addresses the critical problem of subpoena service, especially in post-Katrina New Orleans. The Comprehensive Evidence Management System is a system shared by NOPD and the Criminal District Court Clerk that replaces each

agency's inadequate evidence inventory system and directly addresses post-flood evidence problems, and impacts the ability of DA's and judges to efficiently manage cases in the court system.

## *Description and Status of Current OPISIS Projects*

During the initial year of OPISIS, criminal justice stakeholders were surveyed extensively on their existing technology environment and key needs related to access, reliability and availability of data and information. The findings were compiled into an overall Needs Assessment Report in May of 2006. That Assessment has guided the OPISIS Executive Board and Technology Steering Committee in its planning and prioritization of projects.

Based on that Assessment and the criteria for project selection, as well as subsequently identified priorities and opportunities, the following projects have defined. Many were or can be implemented with currently available funding. Some can be partially accomplished and others will need additional resources. Each of the projects is listed and described below along with an update on the current status of implementation.

1) *Disaster Recovery/Hot Site for Sheriff's Office and Criminal District Court Information Systems.*
   OPISIS has funded a hot-site disaster recovery location for the OPSO IBM AS400 and servers on which reside the Sheriff's jail management system and Orleans Criminal District Court's case management applications.

   **STATUS: COMPLETED**

2) *Electronic Subpoena System for Orleans Parish Courts and Justice Agencies*
   The Orion Corporation's *CourtNotify* application (CNS) is a comprehensive electronic subpoena production, delivery, service tracking and management system shared by the Criminal District Court and Clerk, OPSO, NOPD, the

District Attorney, the Public Defender (OPD), the Municipal Court, and, in the future, the Juvenile and Traffic Courts.

**STATUS:**

The production system has now been activated; contract personnel employed by NOPJF  completed "catch-up" witness data entry at the Clerk and DA's offices for the six Criminal District Courts initially participating.  Another NOPJF contractor  supervised their work and trained docket clerks and minute clerks in use of the system.  The NOPJF contractor assigned to catch-up data entry for state witnesses trained DA personnel in use of the system.  Orion performed onsite training for administrators, supervisors, the Compliance Unit, and ICOs at NOPD.

The system went live for the six participating district courts on February 2, 2009 and all Criminal District courts, including Magistrate Court on May 12th .  Orion Corp. continued to make some fixes and adjustments to the system as minor problems were discovered during use.  A number of features were added to the system, most notably address verification routines using the Sheriff's Office's US Postal Service Carrier Route Sort database.

A number of elements of the project are not yet fully implemented.  The "jail list" features of the system – used by the Court , Clerk, and Sheriff to schedule and assemble inmates for court appearances - is undergoing testing but is not yet in operation.  Municipal Court, which will participate in CNS through mechanisms somewhat different from Criminal District Court, was delayed while minor modifications to the court's case management system by their vendor, but now appears to be back on track for startup by early Fall 2010.  Technical problems related to connection of Municipal Court to the City network are currently being addressed.  OPD began to use the system to enter and maintain their own witnesses on June 21st, 2010, after working out procedural rules with the Clerk.  A mechanism for read-only access by private defense attorneys is currently under

discussion with the Court.  Finally, the New Orleans District of the Louisiana Department of Probation and Parole has agreed to participate. They are expected to be online by year's end at the latest.

Discussions have been held with Juvenile Court about participation in CNS.  The Court expressed a strong desire to participate, and NOPJF, Orion, and the Court have held discussions on the financial and technical details.  The court's participation is currently on hold until the court moves to its new case management system. Positive preliminary discussions have also been held with the Traffic Court Chief Judge and staff.  As in the case of Municipal Court, modifications will be necessary to the court's case management system to use CourtNotify.  Since no OPISIS funds are currently available for Traffic Court, its participation will have to be funded from other sources.

NOPJF OPISIS purchased two web servers for City ITI so that access to the system can be enabled through a web connection as well as a dedicated database server to address system performance issues. The web servers allow access over the public Internet to authorized users, so that police officers can acknowledge notices and manage their court appearance calendars, prosecutors can set up witnesses and choose service for court events, and deputies can record service of civilian subpoenas from personal or office computers wherever Internet access is available.  OPISIS has provided funding to the Criminal District Court to establish wireless access throughout the court building and has purchased laptops both for the DA and OPD to access not only CNS but also their own case management systems from inside the court building or any other Internet accessible location.  The DA and OPD laptops are now in use in all sections of court

A police reporting area has been established in the basement of Criminal District Court, furnished, and has been equipped with a desktop pc so that officers can log into the system when reporting for court.  The NOPD compliance unit is

responsible for this reporting area and manual logs of officer reporting are being maintained. NOPJF has purchased two additional desktops so that officers can log themselves in and out and indicate whether they testified, and minute clerks in court can then use CourtNotify to determine if an officer has checked in. The implementation of this CourtNotify feature is awaiting resolution of some networking issues.

The bond management module to be shared by the Criminal District Court and Clerk and OPSO has been developed and will begin testing soon. It will be rolled out simultaneously with the first phase of the new case management system for Criminal District Court (see #6 below.)

3) *Comprehensive Evidence Management for the New Orleans Criminal Justice System*
Porter-Lee's BEAST evidence management system application was selected through an RFP-based bid process to serve as the single, shared, evidence tracking and management solution for NOPD's Central Evidence and Property Division and the Clerk's Evidence Division. The system will be integrated with the AS400 Criminal Court applications and NOPD's Electronic Police Report.

**STATUS:**
NOPJF has issued an award letter to Porter-Lee in September of 2008 and expected to negotiate a Statement of Work within a few months. The Statement of Work , however, took much longer than expected because of the complexity of precisely defining system integration requirements with NOPD's Electronic Police Report system and, particularly, the Criminal District Court's case management system, which currently resides on the Sheriff's IBM AS400. Since the court is planning to transition to an entirely new case management system within the year (see project description below), a court data integration strategy is being developed for the new evidence system which will minimize the necessity

for reworking the interface when that transition occurs. (See Data Exchange Server Project described below).

In conjunction with the ASPIRES program and the Innocence Project of New Orleans, additional funding has been obtained to hire staff to complete an exhaustive inventory of existing evidence. That effort is now in progress. The end result of this effort will be to provide the new evidence management system with a validated and accurate inventory of evidence in custody, further enhancing confidence in the viability of the new systems.

The NOPD Central Evidence and Property Division began using the new system in January. The Clerk went live in May.

The system installed by Porter-Lee at NOPD and the Clerk is currently in use. However, major pieces of the project have not been completed, including completion of staff training, integration with existing NOPD and Court information systems, and web-based functionality. NOPJF, NOPD, and the Clerk are currently in final discussions with Porter-Lee about the completion of the project, now scheduled for no later than 12/2010.

4) *Case Management and Professional IT Support for the District Attorney*
The Orleans Parish District Attorney (OPDA) has recognized the need for a high level IT professional, on a full-time basis, to review the Office's use of its CRIMES system and solve some technical problems to enable that system to accept electronic downloads of booking and Magistrate list information from the Sheriff's AS400.

**STATUS:**
Candidates were interviewed and a selection was made by NOPJF and the DA. The individual is currently developing a screening case management system that

will create the ability to 1) receive arrest and court data electronically from the Sheriff's AS400, 2) manage the assignment and tracking of cases, 3) receive and account for police reports electronically, 4) print the Screening Action Form and Bill of Information, 5) transmit the SAF and Bill in electronic form to the court, sheriff, and CRIMES. He is also working with NOPJF on a mechanism for importing court information (defendant, charge, event schedules and dispositions, etc.) directly into CRIMES to replace the current manual data entry process. This will probably be accomplished as part of the Data Exchange Server Project described below.[1]

OPDA is now receiving arrest and booking data from the OPSO on an automatic basis via FTP. OPDA pulls the data into an application process which then populates an internal database, generates a dataset summary and arrest record reports which is available on an internal network using a web browser, and then populates the CRIMES server with the available data in a separate testing area. The arrest data push to CRIMES has now been engineered and is operating.

The OPDA has completed development of an electronic version of the Screening Action Form designed to be transmitted to the Sheriff, Clerk, and NOPD in connection with the Magistrate Court, OPSO Booking Modernization, and NOPD Investigative Case Management System projects. They have established a stable connection too the Data Exchange Server and are working out the details of pulling court event data into CRIMES. Finally, the OPDA is currently working with NOPJF, Column Technologies, and NOPD to implement the DES-based exchange of police reports and other case screening transactions. (See project description in #11 and #16 below.)

OPISIS has also funded the purchase of 41 desktop computers so that the new screening application and CRIMES can be reliably and efficiently accessed inside

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[1] The Da's IT Professional, originally funded as an OPISIS project, is now funded through the DA's normal operating budget.

the DA's office and 20 laptop computers so that ADA's can access these systems from Criminal District and Juvenile Courts.

5) *Case Management and Professional IT Support for the Public Defender*

NOPJF, through OPISIS funding, supported a programmer to develop a custom-designed case management system for OPD that can import initial appearance data from the OPSO Booking/Magistrate applications and court event data from the AS400 CMS and export data to the Louisiana Public Defender Board system.

OPISIS is funding the purchase of 20 laptop computers so that OPD attorneys can access the system from courtrooms in Criminal District and Juvenile Courts.

**STATUS:**

The OPD CMS is functional but all needed features are not yet in place, and work is ongoing with an OPD attorney with a professional IT background. The Orleans Public Defender's Case Management System has completed multiple features and improvements and has other major new changes under development:

a) Seamless integration of arrest register data. The data from arrest registers reduced manual data entry by administrative staff and improved data accuracy.

b) Interface for assigning attorneys and other staff to cases. The system now tracks full assignment history as well as identifying lead members of the team.

c) Dashboard for attorneys and staff with upcoming case events and case tools.

d) Supervisor tools for case assignments and management.

e) Improvements in the data export process to the state defender board.

f) System performance improvements.

g)      Improvements in management of multiple case clients (in
        progress)

h)      Improvements in case load reporting (in progress)

The OPD programmer is now working on an access method to the Data Exchange
Server to begin importing CDC case event and disposition data. This individual
has also taken responsibility for rollout of OPD participation in CourtNotify,
which has now been accomplished.

6) *Modern and Comprehensive Case Management System for Criminal District*
   *Court and Municipal Court*

The Louisiana Supreme Court is in the implementation stage of a project to
develop a web-based case management system called the "Louisiana Court
Connection" to be shared, on a voluntary basis, by all Louisiana city courts.  In
the current phase there are three pilot sites under development.  At the request of
NOPJF, the Supreme Court agreed to work with the Criminal District Court
(CDC) as the first district court to be included in the LCC.  All judges of Criminal
District Court have agreed to participate.  The New Orleans Municipal Court has
also expressed a strong desire to adopt the LCC as their case management system,
and NOPJF has agreed to support this effort as well.

The LCC will be non-proprietary and based on a NIEM 2.0 compliant database.
The Orleans Parish Criminal District Court version will operate on servers hosted
by Criminal District Court and managed by Criminal District Court and Clerk IT
personnel. The system will be a comprehensive case management system that
meets all the specifications of modern electronic case management systems as
defined by the National Center for State Courts. It will be able to import and
export electronic documents and, in New Orleans, will be designed to be
integrated with the information systems of other criminal justice agencies such the

Sheriff and DA as well as the Orion CourtNotify subpoena and bond management systems and the NOPD-Clerk evidence management system.

**STATUS:**

NOPJF and  the Criminal District Court are currently working with LCC developers at LASC to incorporate as many district court-specific features as possible in the "core" LCC.  The remaining elements needed in an Orleans Parish version will be developed by a contractor selected through a competitive bid RFP process managed by NOPJF with the participation of the OPISIS Technology Committee.

Many of the case management system features needed for the New Orleans system are already being developed in the pilot sites.  The RFP for the New Orleans system will cover all the tasks necessary to implement a full-featured, state-of-the-art case management system.  Based on a vendor-led needs assessment or gap analysis, the vendor will be required to provide 1) additional functionality, 2) modifications to align the system with local business processes, naming conventions, and coding, 3) historical data conversion from AS400 CMS files, 4) integration of the CMS with other local systems, especially the Sheriff's booking and records system and the MOTION warrants file, and 5) training and support.  The Jury Management System is the subject of a separate RFP.

Originally, the LCC for the city court pilot sites was to be operational by April 2009.  However, implementation has been delayed.  The vendor originally chosen by LASC has been removed and development of the application has been assigned to enhanced in-house and contractor IT staff.  Since the New Orleans LCC is to be an enhanced version of the city court applications represented by the pilot sites, detailed definition of the pilot site screens, database structure, and business logic must be available for the New Orleans RFP vendor to define the work necessary to meet New Orleans court needs.  Therefore delays in LCC implementation for the city courts has resulted in delays in implementation of the

Orleans Parish Criminal District Court Version, probably until fall 2010 at the earliest.

One part of the current CDC Case Management System known *not* to be a part of the city court design of the LCC is Magistrate Court and the "bind-over" process used by the Clerk to convert magistrate number-based cases (used for pre-filing matters such as bond setting and probable cause determinations) into CDC docket cases. These functions are currently handled by a special Magistrate Court Docket system and bind-over/allotment programs on the AS400. Given this situation and the delays in implementing the LCC, the decision was made to move forward with development of a Magistrate Court module for CDC that could be put into operation by mid-summer and later incorporated into a complete LCC-based Case Management System for CDC.

This "Phase I" RFP required that the system be non-proprietary and developed with the same approach used for the LCC: web-based, SQL, .NET, and delivered as a Visual Studio Project. It is to be developed using the database structure now used in the AS400 Magistrate CMS under the assumption that data conversion to LCC database structures will be made at the time of charge filing once the complete LCC is implemented in Orleans Parish. The new Magistrate system will make use of the electronic Screening Action Form and Bill of Information now being developed by the DA and interface with the new bond system now being implemented.

The RFP was issued in early November and bids have been evaluated by the OPISIS Technology Committee. Orion Communications, Inc. was selected for the project. The project is proceeding on schedule with implementation of the system likely by the end of 2010.

7) *Jury Management System for Criminal District Court*

The LASC envisions a Jury Management System as a module to be developed as an enhancement to the LCC. The Criminal District Court has expressed a strong desire for such a system as an addition to its implementation of the LCC, and NOPJF will therefore include this function under OPISIS.

**STATUS:**

Criminal District Court IT staff developed an RFP for a Jury Management System which was released October 8th, 2009. After consideration by an evaluation committee all bids were rejected. Instead, NOPJF and the Court are currently exploring enhancement of Jury Commission staff's access to the jury management system used by Civil District Court.

8) *Document Imaging System for the Clerk of Criminal District Court*
NOPJF, through OPISIS, funded a document imaging and archival system that has been used by the Clerk to scan, label, and store over 6 million Criminal District Court documents. These document images are ready for upload and conversion into the LCC application when it becomes operational, so that users will be able to view, online, all court documents in the court's docket case record.

**STATUS:** While the document scanning and archival system is currently operational and in use, it is not yet clear how that system will have to be modified to interface with the LCC CMS applications. NOPJF is currently investigating the possibility of enhancing the existing system to make document images available to court and other criminal justice system personnel through a web-based application.

9) *Modernization and Integration of the Sheriff's Booking, Records, MOTION Mirror, and Transportation Dispatch System*

OPSO maintains a complex and highly customized booking and records system responsible for the booking of all adult arrestees in New Orleans, which shares data electronically with the Criminal District and Municipal Courts, as well as the NOPD MOTION system and the AFIS/LACCH system of the Louisiana State Police. While desiring to maintain its databases and extensive business logic application code on its large IBM AS400, OPSO has expressed a strong desire to convert the "green screen" user interfaces of these applications to modern web-based user interfaces and to enhance the business logic features of those applications, especially to take advantage of the new opportunities for electronic document receipt and processing offered by the Criminal Court's migration to the LASC LCC.

OPSO and NOPD have for the past 20 years maintained a synchronized copy of the warrant and criminal history databases of MOTION (referred to as the "MOTION Mirror") on its AS400 to support the efficiency of its booking process. This version of MOTION is a modern relational DB2 database. As part of this OPISIS project, a web-based application may be created to query and create reports from MOTION data (subject to legal restrictions on access to criminal history data), which would be available both to OPSO users and to NOPD. Alternatively, the MOTION modernization project (see #10), depending on the design of the resulting system, may make the OPSO MOTION Mirror unnecessary.

**STATUS:**

Construction of an RFP for this type of project is in many ways more complex, and therefore difficult, than writing requirements for a standalone proprietary application since bidders have to have a clear idea of how many different programs will need to have web-based user interfaces implemented and what business logic modifications will have to be made. The web-based "front ends"

must be required to be take advantage of all the features of modern web browser interfaces and not be solely cosmetic, and be fully maintainable by OPSO staff and contractors. The RFP must therefore provide extensive information about the current applications in use, not only at the operational level, but also at the database and code level, so that the bidder can determine the skill level and man-hour resources needed for the project.

On October 3rd, NOPJF released an RFP for the first phase of this project. This first phase focuses on development of a web-based "acceptance" process to replace the AS400 module currently in use. The new module will link to NOPD's Electronic Police Report files or import scanned images of arrest report documents (Face Sheet and Gist) to eliminate redundant data entry by the Sheriff and move important information to Magistrate Court and the DA in electronic form. A second module, referred to as the Document Exchange Processing Module, will also be developed in this initial phase. This module will be designed to receive and process electronic documents from the DA and Courts for inmate records processing. Initially, this module will be used to process the new electronic DA Screening Action Form and Magistrate Court Releases.

Three bids were received in response to the Oct 3rd RFP, and Orion Communications, Inc. was selected by NOPJF and the Technology Committee. A Statement of Work has been completed and accepted and work has begun. The new software is projected to be in operation by December 2010.

NOPJF will work with OPSO and other OPISIS agencies to craft an RFP to complete the modernization of the booking and records system. This will require 1) an inventory of all booking and records modules currently in use, 2) an identification of all data exchanges with the court and other criminal justice agencies, and 3) a reconsideration of the uses of the MOTION Mirror data in the context of the adult booking system and the modernization of MOTION itself.

10) *Modernization and Integration of the NOPD RAP Sheet, Juvenile, Booking, and Local Warrants System: Steps toward a Fully Integrated NOPD Records Management System*

NOPD has expressed an interest in replacing or modernizing the current MOTION system, a "green screen" application designed to operate on an IBM mainframe during the early 1970's and currently operating in a virtual mainframe environment at City ITI. MOTION is a RAP sheet and warrant system which also includes modules for pawn shop, bicycle, and gun registration. The RAP sheet module database receives arrest data from NOPD Juvenile Division and from the Sheriff's booking operation through a complex data exchange among the booking system, NOPD MOTION (maintained by City ITI on the City's servers), and a "MOTION Mirror" on the Sheriff's AS400. Both charge disposition and warrant information is maintained entirely through manual data entry rather than through electronic transfer from the courts. However, case disposition entries have not been made for Criminal District Court cases for at least a decade. As a result, information on felony conviction history for New Orleans offenders is largely unavailable through MOTION.

The goal in modernizing MOTION is not simply to "web-enable" the existing MOTION application but to reengineer the way the MOTION components function in an evolving New Orleans criminal justice information systems environment. This reengineering can be done only in consideration of the following facts and issues:

a)  All data entry of adult arrest information into the RAP sheet module of MOTION is currently done through the OPSO booking system interface (the MOTION Mirror on the Orleans Parish Sheriff's AS400 is maintained as part of that interface). Therefore reengineering MOTION will involve rethinking and reworking the OPSO-MOTION interface.

b) Juvenile bookings are performed by the NOPD Juvenile Division through the original "green screen" MOTION booking interface rather than by OPSO. As a result, and because of the special legal and ethical privacy considerations of the juvenile justice system, a completely separate booking interface and special records access rules will be needed for juvenile arrestees.

c) MOTION was originally conceived as the core of a regional information system for law enforcement. However that system remains the same COBOL mainframe-based set of applications that was developed in the 1970's and not significantly modified since then. Over time, the law enforcement agencies in neighboring parishes have established their own booking and records systems and abandoned MOTION.

d) For a variety of reasons, including the press of immediate needs and the lack of a reliable stream of funding, NOPD has been forced over the last decade to expand its use of modern information technology through the procurement of specialized COTS applications rather than a single, comprehensive Records Management System: the Investigative Case Management System (Column Technologies CCMS), the Comprehensive Evidence Management System (Porter-Lee Corp. BEAST EMS), and the Crime Analysis System (Omega). Only the Electronic Police Report application was developed as a non-proprietary system by City of New Orleans contractors, and it, too, is a standalone system separate from MOTION. The ICMS and EMS are now operational and the EPR and Crime Analysis systems are in the process of implementation. These four applications are not entirely "stovepipe" systems, however. Though all these are standalone applications, integration with other criminal justice information systems – including arrest, court, and correctional data – was either made part of the procurements requirements or planned as part of other projects now under implementation.

e) The other current components of MOTION - gun registration, bicycle registration, and the pawn shop functions - also need to be replaced.  This may be accomplished either by creating small web-based applications for these functions or as part of building a modern Records Management System which replaces the criminal history functions of MOTION and is fully integrated with the Electronic police report, the Investigative Case Management System, the Crime Analysis System, and the Evidence System.

The RAP sheet and warrants functions are still needed by the New Orleans criminal justice system.  However, the environment in which MOTION was designed and implemented in the 1960s and 1970s is fundamentally different from the situation today.  The replacement for the legacy MOTION RAP sheet and warrants modules must account for, and take advantage of, changes in information technology, new opportunities for information sharing in the New Orleans criminal justice system, and the existence of the new ICMS, EMS, EPR, and CA applications at NOPD.

*Features and Requirements for a MOTION replacement:*

- Web-based on a modern SQL Server platform;
- Compliant with national standards, especially NIEM 2.0 data structure and Services Oriented Architecture (SOA);
- Web-services designed to consume booking data (OPSO adult and NOPD Juvenile), warrant and case disposition data (district, municipal, traffic, and juvenile courts) and to provide criminal identification, criminal history and warrant data to authorized agency users and applications;
- Powerful, search, query, and reporting user interfaces;
- Privacy and security features for identification/authentication, privilege management, and audit, ideally compliant with GFIPM standards;
- A Juvenile Division booking module;
- A portal for NLETS/NCIC queries, available for authorized individuals and agency applications (especially OPSO and Juvenile Division bookings, but also CCMS and, possibly, EPR.)

*Implementation*

It is possible that there exists one or more COTS solutions that can address most or all of these requirements. An RFI/RFP process (with national distribution) will be needed to determine whether one is available at an affordable cost. If not, or if the cost of suitable systems exceed available funds for acquisition and future maintenance and support, the system will have to be custom built as a non-proprietary application with the features described above.

Whether COTS or custom built, implementation will require conversion of existing MOTION data, possibly including some data cleaning and update from available court case disposition databases. Some modification of other local systems and/or the procurement of a (ideally national standards-compliant) middleware solution:

- OPSO Booking for interface for NLETS/NCIC checks, local warrants checks, criminal id queries, and posting of booking and release data to the CCTWS;
- Interface of local court systems for posting of disposition data. This should be done in real time and be completely automated;
- Interface of local court systems for issuance and recall of warrants. Ideally, warrants management would be accomplished in a completely paperless way in an integrated fashion with appropriate MOU's among NOPD, OPCSO, and the Criminal District, Municipal, Traffic, and Juvenile Courts.

**STATUS:**

There is no funding currently available for this project.

## 11) *Investigative Case Management System for NOPD*

The goal of the investigative case management system is to address the disparate manner of case tracking and management among various NOPD districts by consolidating investigative case management information into a single, agency-wide database. The new system is accessible at all levels within the department and provide differing levels of view and edit (add/edit/delete) access depending on the job assigned to each user. This system is also capable of providing a wide array of statistical and management reports on the status of cases, investigators, investigative units, location of occurrence, and location of significant activity.

**STATUS:**

The functional requirements and design specifications of the Investigative Case Management system were developed by an OPISIS subcommittee composed of key NOPD stakeholders. The RFP was released on Jan 12, 2009 and bids were received February 13. After evaluation of submitted bids, no bidder was found who met the RFP requirements and all bids were rejected.

The RFP was reworked for greater clarity and to more closely align with NOPD's immediate needs. In addition, the cost ceiling was increased to better reflect the reality of the current market for quality, proven systems. This RFP was reissued April 20, 2010 and three bids were received. Presentations by the two responsive bidders were made June 5, 2010 and scoring of the responses resulted in the decision to award the project to Column Technologies in early July.

 Initial project planning began in July and the needs assessments analysis phase proceeded through August. Hardware was installed in early September and the applications and database followed shortly after. Integration with Computer Aided Dispatch systems, and Court SQL Data View system were completed in mid October. Systems development and customizations progressed steadily and the User Acceptance phase began at the end of November. NOPD began using the system in late December as Column continues to make enhancements.

During the implementation process NOPD decided to begin using the ICMS for their "A-Case" Officer function. A-Case officers are responsible for tracking police reports and ensuring their timely submission to the DA. NOPJF and NOPD determined that a reasonable extension of this functionality in ICMS is to use the application to electronically submit reports to the DA's Screening Division, i.e., to interface ICMS and the DA's screening management application currently under development, using the Data Exchange Server to manage the transfer and log the results. Work on this and other enhancements to the original specifications proceeded from January-April 2010 and a functioning NOPD to DA police report transfer (through the DES) has been completed. A complete police report/DA response exchange system should be operational by the end of September.

## 12) *Homicide Records Archival System for NOPD*

The New Orleans Police Department stores over seven decades worth of homicide supplemental report information that is currently not archived on any digital system. The proposed system will allow the Homicide Unit to control the archival and retrieval of past and present homicide supplemental reports as well as other homicide investigation documents. This will improve the Department's ability to capture, manage and share information on homicide cases.

**STATUS:**

The Homicide Archival system is in the implementation phase with some pieces having been purchased and others in the process of procurement.

## 13) *Automated Warrant Management System*

This system is a possible expansion module of the LCC, but also is related to functions of the MOTION warrants file and the MOTION NLETS link to NCIC.

Ideally, warrants management would be accomplished in a completely paperless way in an integrated fashion with appropriate MOU's among NOPD, OPSO, and the Criminal District, Municipal, Traffic, and Juvenile Courts. Such a system could be separated from the MOTION Modernization project (see #10 above) or included in that project.

**STATUS:**

Better management of warrants in Orleans Parish will be addressed by a number of ongoing projects: an existing effort to integrate the Municipal Court case management system with the MOTION warrants file, modification of the Sheriff's Booking and Records system to automatically "locate" warrants in MOTION when a subject is booked on that warrant, and implementation of features in the new LCC Case Management System which will result in warrants issued by a CDC judge to automatically place and recall warrants in MOTION.

This project, for which funding is not currently available, will extend these efforts by developing a single web interface to search warrant information in local, state, and federal (NCIC) jurisdictions, and create a web service that local criminal justice applications can access.

### 14) *Crime Lab Report Management System*

The NOPD Crime Lab has requested a system to manage, track, and process evidence analysis reports, ideally integrated with the new evidence management system. The Lab is not yet in a position to make use of a fully functional Laboratory Information Management System and has an immediate need for a easy-to-use application to manage, track, and process reports.

Long term goals for the crime lab include a comprehensive Forensic Laboratory Information Management System (LIMS). Such a system includes features such as workflow management, standardized testing to national quality standards, instrumentation interfaces, and secure chain of possession recording. This system

should integrate seamlessly with the evidence inventory management (BEAST), investigative case management, and court case management systems.

**STATUS:**

It has been the determined that the best approach for the Crime Lab is to use the services of an IT professional to develop a basic report management and tracking system for immediate use and assist the Lab in developing a more long term information systems plan.  NOPJF's Technical Administrator, hired to assist with OPISIS project management and technical expertise, has also taken on this role.

The current report management system resides on an obsolete Paradox database, and efforts are underway to move this system to more modern platform. Preliminary analysis and design is complete. Further development of this effort has been put on hold until implementation of the BEAST system so it may be integrated with the reporting system and the full benefit of the bar-coding of evidence can be realized by the Crime Lab. Current plans are to use current NOPJF staff for conversion and development of the new system. The records update system is at best a stopgap measure designed to keep the crime lab data management capabilities intact through future platform upgrades and does not address the long-term needs of the crime lab, which can only be met through a LIMS.

15) *Crime Analysis System*

This is a project to replace the current mapping and analysis system used for COMSTAT and for public web access to crime maps.  It will not only improve the public's timely access to crime information, but will improve NOPD's ability for strategic and tactical planning.  It will also replace the offense tabulation and reporting functions of the current MOTION system.

**STATUS:**

An RFP was developed for this project and was released April 20, 2010. A presentation by the sole bidder was made June 5 and a decision was made to accept this bid in July. Additional software requirements specified by the vendor are in the process of being procured through normal City of New Orleans bid processes. As this progresses, certain other functionality of the system has been developed based on existing information from the 911 Call Center data, and data from the MOTION Records Management System currently in use. Test data extracted from the RMS has been submitted for verification. Upon validation, this data will form the primary resource for the statistical reporting requirements of the new system.

The project is currently on hold while the City obtains the underlying geo-mapping software (ArcView) needed to use the system.

16) *Data Exchange Platform and Server with Court Information SQL Data View*

There was an immediate need for access to court data by applications being developed by the District Attorney, Court, and Public Defender in the form of a modern SQL database. Such a database will exist and be accessible once the Criminal District Court (and later, Municipal Court) transition to use of the Louisiana Court Connection Case Management System (see above). However, the timing of on-going projects in these three agencies and the needs of the Evidence System, the Investigative Case Management System, and the Crime Analysis System for court status and disposition data argued for a quick and inexpensive temporary solution to court data access, which currently is available only in DB2 form on the Sheriff's AS400 and difficult to access. The new electronic subpoena system currently consumes complete court data (case, defendant, charge, event) from the Sheriff's AS400 via an ODBC connection every 10 minutes and converts it into SQL form inside the application's proprietary database. NOPJF determined that Orion Communications (the subpoena system vendor) could expose this data for use on a web server

accessible by criminal justice agency applications in a non-proprietary form quickly and inexpensively and tasked them with creation and maintenance of a SQL version of the AS400 court files on a "Data Exchange Server" (DES) purchased with OPISIS funds and residing on the City's network. Later, as part of the contract with the LCC vendor, NOPJF will require that a similar or identical court data view will be provided so that DA and Public Defender applications can continue to access court data with minor modifications.

Originally the DES was intended primarily to make Criminal District Court data more easily accessible to New Orleans criminal justice agencies. However, as the OPISIS Technology Committee developed projects that required inter-agency data exchanges, it became clear that the DES could also serve as an agency-independent platform through which one agency's application could push or publish documents and other data that other authorized agency applications could retrieve, without the necessity for engineering point-to-point connections for every application-to-application exchange.

There are available a wide variety of middleware solutions for creating a data exchange system. However no OPISIS funds are currently available for purchasing or building a sophisticated system. Instead, NOPJF and the Technology Committee is implementing a simpler approach that can be accomplished with existing agency and NOPJF IT staff. This approach involves the development of event logs maintained on the DES to which appropriate agency applications have write/append access. When an a key criminal justice event has occurred (an arrest, inmate release, booking, document filing, etc.) or data or a document are posted to the DES by an application, that application will add a record to a DES event log indicating that the event has occurred or data is available (along with appropriate case and/or person identifiers). Applications needing to be aware of the event or needing the published data or document can monitor the event log for new entries, retrieve the data or documents needed, and post another event log record indicating that the data has been retrieved or a

subsequent event has occurred.   In other words the DES event logs will be used both for person and case tracking and to key data exchanges.


The design policy of the event log is be based on the following general guidelines:
*       Single common data repository
*       Data is written by the owning agency where the event originates
*       Data is unique to a single:
    o       Individual
    o       Incident
    o       Charge
    o       Event
*       Data complies with disclosure policy
*       Data conforms to established standards
    o       Individual Identification method
    o       Charge Codes
    o       Event Codes
*       Data is available as long as necessary
*        Transactions are derived from existing applications and data
*        Event recording is fully automated




**STATUS:**

Dedicated file server hardware has been purchased and installed at a temporary NOPD site pending relocation to a permanent facility. Initial court data loads were completed on October 17$^{th}$, 2009 and after some minor data update issues, the system is considered fully operational. It is currently being used by the Investigative Case Management system to read arrest case disposition data and soon to manage the exchange of police reports with the DA.  The Court will soon start to use it for customized reports.  The DA has established a secure connection to the server and are working with NOPJF staff on the technical aspects involved in importing data. A working group made up of OPSO, NOPD. DA. OPD, Court, Clerk, and NOPJF technical staff (Data Exchange Users Group) has begun

meetings to pool knowledge of data structures and coding, work out technical aspects of access, and develop policies for use.

The event logging system has been implemented for NOPD to DA police report exchanges (see #11 above) and will be used for publishing the DA's Screening Action Form (SAF) to the DES for use in the OPSO Booking (See #9 above) and New Magistrate Court (see #6 above) projects.

## 17) *Data Dictionary and NIEM*

Due to the large number of data systems being added, and the integration of this data, it is imperative that a comprehensive data dictionary be developed for the overall OPISIS project data. This dictionary should include the primary data origination point, the relationships of this data to other data systems, entity-relationship diagrams for all systems and functional diagrams. Requirements for this complex project include the establishment of documentation for each individual system in use, and the subsequent integration of the data and functionality of these systems. The dictionary should be cross-referenced by application, function, ownership, parent/child processes, and data structures.

NOPJF and OPISIS have not required that vendors either for COTS or non-proprietary system projects conform to National Information Exchange Model (NIEM[2]) data representation and transmission standards because few available COTS criminal justice applications conform to NIEM and there is little knowledge or experience either among agency staff or local IT companies using NIEM. Also, for exchanges among the limited number of local criminal justice agencies using NIEM would be much more expensive than a simpler solution such as the DES/Event Log approach. However, since NIEM will in the future represent the accepted standard for criminal justice information exchanges the

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[2] NIEM 2.0 incorporates the Global Justice Data Exchange Model (GJXDM 3.0)

Data Dictionary should include the NIEM schema as one organizing principle to ease conversion of exchanges to NIEM in the future and to form the basis of a data-sharing hub to share New Orleans criminal justice data with other jurisdictions.

**STATUS:**

There is currently no funding available for this project.

18) *Electronic Police Report Program Upgrade*

The NOPD Technology division through the help of a city contractor developed an Electronic Police Report program. The program is currently being used by four divisions in the NOPD and will be used department wide by the end of the 1$^{st}$ qtr of 2010 . The contractor has been terminated by the City and upgrades to the system are needed. The NOPD would like the ability to submit Arrest Gist electronically to the OPSO Booking system and would also like to create and submit Crime bulletins from within the system.

**Status:**

NOPJF has obtained a small grant from private sources to complete this project, now targeted for November 2010..

# APPENDIX E

# Realizing Public Safety Project Success: Benefits of Using a Consultant

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## Acknowledgements

## Introduction

This paper is intended to provide relevant and important information to improve federal, state, local, and tribal public safety critical information sharing efforts. The material contained herein is expected to be a valuable resource for public safety practitioners who may require assistance in the strategic planning for, procurement of, or implementation of any public safety system or component. Anyone who may require additional resources or expertise specific to a project will benefit from understanding how and when the use of a consultant may be valuable.

Practitioners may not know what specific areas a consultant can assist them with or may not know how to go about selecting a consultant that best suits their needs. Situations when external consultant expertise can prove invaluable include the selection of solutions such as Computer Aided Dispatch (CAD), Records Management (including law enforcement, fire service, and jails), mobile data, and wireless communications systems (voice and data), as well as specialized projects like consolidation or interoperability. Consultants can provide specialized assistance in areas such as requirements definition, change management, consolidation evaluation, or contract negotiations, and they can also supplement the existing staff who would normally address these tasks. Consultants can provide a significant return on investment, saving far more than the cost of their services.

## Why Consider a Consultant?

Consultants are typically brought in to supplement team expertise or to fulfill staffing requirements, especially in unique situations that are outside of, and in addition to, the normal day-to-day activities.

Thinking About Consolidation or Regionalization?

With the trend toward consolidation or regionalization, today's public safety projects are increasingly complex and often costly. Agency practitioners are busy with full-time jobs and may lack the time, expertise, or familiarity with new technologies required to successfully complete a large-scope project. In addition, consultants are seen as "outside experts" that are not biased by internal or local politics or vendor preferences, and can provide objective recommendations. Because of this objectivity, consultant recommendations may be more convincing to decision makers. Top industry consultants know the technological, operational, and financial reasons for and against consolidation and regionalization, and can help their client agencies select the best course of action for their unique environments.

Thinking About Replacing a Key Application?

There are many phases and components involved in a system replacement including:

- staffing the project;
- grant applications;
- requirements and workflow analysis;
- system architecture and design;
- Request for Proposal (RFP) development;
- service provider due diligence and selection;
- Statement of Work (SOW) development;
- contract negotiations;
- project management;
- acceptance testing;
- training; and
- go-live support.

Errors or misunderstandings in any of these phases can delay the project, change the scope, or increase costs significantly. Top industry consultants are experienced with issues like the ones mentioned above and are well-suited to assist an agency with some or all of these tasks. From identifying the need for a new system, to implementation, testing and go-live, procuring major applications can consume years. Rarely is an agency able to devote sufficient skilled staff to these lengthy projects.

Perplexed by New Initiatives and Standards?

There are also new technologies and federal initiatives that require more than a passing familiarity in order to properly implement and fully realize the benefits. Examples include:

- The National Information Exchange Model (NIEM)
- The Justice Reference Architecture
- The Law Enforcement National Data Exchange (N-DEx)
- The National Suspicious Activity Reporting Initiative (NSI)
- Next Generation 9-1-1 (NG9-1-1)

Well-informed and experienced consultants know what standards exist and which are applicable to a given project, and, therefore, often take a leading role in developing or enabling these technologies.

Need to Justify the Effort?

There are many cases where an idea, project, or improvement needs to be clearly defined and justified. Consultants often take a key role in bringing examples and other experience to round out concepts, provide key success stories or funding examples, and evaluate and/or estimate efforts for budget or funding purposes.

Pressured by Impending Deadlines?

Consultants may be helpful when facing timeframe pressures such as grant funds that must be expended, expiration of maintenance contracts, hardware obsolescence, end-of-life announcement for one of your applications, or new requirements forcing a change. Delays in any phase of a project addressing these events ultimately increases costs for the agency, either in direct costs from the service provider or internal staff costs. Frequently, internal staff just does not have the availability to start a new project, and a consultant can provide the additional resources to get the project started.

Concerned About Contracts?

It has been said, "good contracts make good friends," but do you know what makes a good contract involving a complex technology system? Service providers propose, negotiate, and implement many technology projects each year whereas agency practitioners seldom engage in these activities. While your agency's legal representative ultimately has responsibility for contracts, consultants can be very helpful within the framework of the agency's legal process. Consultants provide not only the knowledge of technology but also the key issues that make contracts fair and balanced for all parties. In the unfortunate circumstance where everything does not go as planned, the time to have a good contract is before the ink is dry on the agreement, and not after. Contracts are complex documents that should clearly detail what is being purchased, when it will be delivered, how much it will cost, and a variety of other details. Top-tier consultants are highly-skilled advocates that help ensure that you get what you want as well as what you need, and incorporate appropriate contract language to protect the agency.

Inexperienced with Change Management?

Change Management is the "people" side of technology projects. You can select the best products from the best service provider, and if your agency is not prepared for change, your project may fail. The best consultants are skilled in assessing change readiness and assisting the agency in dealing with the human and IT governance factors impacting the successful implementation of projects and systems.

Puzzled by Emerging Technologies?

The capabilities of public safety systems are evolving each day. Just as consultants must stay current with technologies and federal initiatives, they must also stay abreast of emerging functional capabilities and integration possibilities. An experienced consultant can help you determine what is possible, what is feasible, what is practical, and what is most valuable based on current levels of performance by systems in place across the nation today.

## Does Your Agency Need a Consultant?

You may find value in using a consultant if your agency faces issues with any of the areas below:

- Independence and Objectivity - Practitioner staff close to a situation tend to favor a predetermined solution. A consultant brings an independent focus to the problem and can offer a different and valuable perspective.

- Subject Matter Expertise – Practitioner staff already have full-time responsibilities that may preclude staying current with the newest technologies and solutions available (such as NIEM). Consultants are retained for their subject matter expertise and must maintain their currency on new and emerging technologies in order to be competitive.

- Implementing the Desired System – A consultant may have successfully implemented dozens of solutions similar to the one the practitioner envisions. The practitioner staff may have never implemented a similar project or only done it once or twice. In this case, a consultant can bring his/her repeatable solution experience and methodology which has historically ensured success.

- Mentoring Staff – Increasingly, RFPs for consultant work require the consultants to share their expertise with practitioner staff. This promotes project success and creates a more informed staff to support the solution in the future.

- Short-Term or Long-Term Staffing Requirements – Practitioners may need to augment staff for a short period or may be unable to hire staff on a permanent basis. A skilled consultant often requires no training and can be immediately productive. In addition, a consultant does not require the overhead of a permanent hire.

- Change Management Best Practices – Change is inevitable and almost everyone is uncomfortable with change. Typically, public safety organizations seek to return to the "status quo" as quickly as possible so change is even harder. Since Change Management is relatively new to the public safety environment, skilled consultants can ensure that you have the assessments and training you need to make sure your change is successful, accepted, and institutionalized.

- Managing Project Risk – Public safety projects are complex, lengthy, and incorporate multiple technologies that need to interoperate. All these elements introduce deployment risks. A consultant can assist the agency in reducing this risk through proven IT governance best practices. Other risk categories where consultants may be helpful include technical, project cost and schedule, legal, operational, and financial.

## General Types of Consultants

Some consulting firms offer specialized skills in specific service areas. Selecting the right type of expertise is an important success factor. The following are generic categories of consultant expertise:

- Staffing Consultants – These firms have specialized staff to augment agency personnel with specific services such as project managers, programmers, trainers, or clerical staff.
- Domain Consultants – These firms provide specialized business expertise such as public safety voice or data communications, project development, data sharing, or disaster recovery.

- Management Consultants – These firms focus on advisory services such as assessments, strategic planning, acquisition, governance, and program management.

While some firms specialize, many firms span some or all of these service areas.

## Consultant Value-Added Services

Consultants bring many value-added services to their engagements – services that may not be available from existing staff or may not be needed on a continuous basis, thus precluding the retention of a permanent resource. The following list describes areas where the use of a consultant can add significant value to a project:

- Strategic Planning – Identification and justification of future agency needs including staffing, funding, operations, governance, and project facilitation.

- Requirements Gathering and Analysis – Agency vision is often limited to existing knowledge and capabilities. Consultants can document existing requirements as well as introduce new capabilities that are prevalent in modern systems for enhanced operations and improved workflow.

- System Architecture and Design – The underlying technology can impact how well a system integrates with your current environment, how well it operates, and the overall ease of maintenance.

- Procurement Assistance – Consultants assist in the overall procurement process including: develop of an RFI/RFQ /RFP as appropriate, pre-bid meetings, response to questions, development of addendum, proposal evaluation, demonstrations, solution recommendation, and contract negotiations.

- Implementation and Project Management – Once the solution is chosen, a significant amount of work is often required to actually implement the solution. Successful implementation takes skill and experience, and often requires a dedicated and experienced resource for an extended period of time that can transfer knowledge to agency staff in the use of sound project governance best practices.

- Change Management – Since new solutions frequently require changes to operating procedures and methodologies, agencies may need assistance to effectively optimize the changes, as well as assist in implementing the changes.

- Supplement Staff Resources –Any new project requires resources, and as many agencies face reduced staffing and increased workloads, an external consultant is frequently the best way to provide the resources needed to accomplish the project, especially if the resource is skilled in the particular area of expertise.

- Schedule/Timeline Optimization – In many cases, a consultant can come in with a detailed understanding of the technology and perform with little or no learning curve, making the use of a consultant a more efficient way to complete a project.

- Independent Verification and Validation (IV&V) – For an independent review, it is imperative to use an independent agency that does not have any bias for or against the system. A consultant can provide this independent review and ensure that the system is performing as required.

- Subject Matter Expertise – A specialized consultant comes to the project with an advanced knowledge of the desired system or technology, and provides the ability to understand and articulate needs, provide options, and make recommendations. This knowledge can be obtained and even transferred very cost effectively and efficiently.

## Consultant Evaluation Criteria

| Requirement | Considerations for Evaluating the Consultant |
|---|---|
| **1) Service Expertise (Planning, Acquisition, Implementation, Developing, etc.)** | Work previously completed in this area (both quantity and quality). <br><br> Acknowledgement by industry peers as subject matter expert. <br><br> Participation in industry working groups and/or committees. <br><br> Referrals from agencies of similar size and having the same level of project complexity. |
| **2) Technology Expertise (CAD, RMS, Wireless, Radio, and more)** | Work previously completed in this area (both quantity and quality). <br><br> Acknowledgement by industry peers as subject matter expert. <br><br> Participation in industry working groups and/or committees <br><br> Referrals from agencies of similar size and having the same level of project complexity. |
| **3) Domain/Operational Experience (familiarity with environment or issues)** | Number of projects completed. <br><br> Projects completed with similar size, scope, and domain. <br><br> Prior practitioner/end user experience. |
| **4) Independent (not affiliated with manufacturer or service provider)** | Experience with multiple manufacturers and technologies. <br><br> Recommended solutions customized for each client. |
| **5) Reputation and Experience, References, and Resumes** | Has a history of meeting deadlines. <br><br> Has a history of keeping the budget under control. <br><br> Performs correct and complete analysis. <br><br> Historically provides successful recommendations and valid solutions. <br><br> Maintains positive interaction with practitioner staff. <br><br> Visible work is unique and relevant. <br><br> Provides quality status reporting. |
| **6) Certifications** | Participation in industry organizations such as the IJIS Institute. <br><br> Education and experience of staff. <br><br> Currency of certification. <br><br> Value reputation of certification. <br><br> PE, PMP, ENP, CMC, and RCDD are a few examples of certifications that may be of value to your project. |
| **7) Public Safety Resources (depth, stability)** | Additional capabilities and areas of expertise available from the consultant's company. <br><br> Current projects underway and availability of backup staffing. |
| **8) Fiscally Sound** | Financial information (from Dunn and Bradstreet, Transperion, Lexus-Nexus, etc.) on the company to evaluate their stability. <br><br> Background check on both company and participant staff. |

After reviewing the consultant's submission and after personal interviews, you should feel entirely comfortable that the consultant/company has demonstrated:

- The ability to diagnose problems and identify innovative, value-added solutions.
- A confirmed record of presenting workable solutions to practitioners (as evidenced by past performance references).
- The ability to successfully implement high-quality solutions on time and within schedule that will address your needs.
- The ability to obtain consensus from practitioner staff and commitment to the solution.
- The experience and references showing the consultant has delivered all of the above successfully.

## How to Work with a Consultant

Agencies need to spend quality time in determining what they want a consultant to do in order to select the best consultant for their project. Consultants with expertise in radio projects may be abysmal at assisting with Computer Aided Dispatch projects. You must select your consultant very carefully as the firm or individual will become your partner in the project. However, it is your project and you must never abdicate responsibility for its success. You have to live with the results and ramifications of your decisions for what may very likely be a long time.

Just as it is necessary to define the success objectives for a project, it is important to achieve a common definition of success with your consultant. The information you supply to your consultant to ensure a successful project can include:

- Explicit and clear expectations – What skills does the consultant need? Make these expectations clear in your initial conversations with the consultant, as well as in the contract with the firm. If you expect a certain number of hours, onsite meetings, or status reports of a specified frequency or format, be sure to articulate this verbally and in writing. Do not assume that the consultant knows what you are thinking or what your expectations are.

- Unambiguous and clearly defined scope of work – Consultants need to cover their expenses and make a profit to stay in business, so it is very important that the agency realize that the consultant's time is valuable and worth money to them. They will be unable to go repeatedly beyond the scope of the defined work and have their engagement with you be cost effective. Know that they are in business and usually answer to a boss who will examine their hours and work product. Be fair. Define roles and responsibilities and be specific.

- A complete list of deliverables – What deliverables are expected, and when are deliverables due? What level of detail are you expecting? What should the consultant complete by the end of the engagement? What format are deliverables to be provided in, and how many copies are to be provided? Will there be multiple revisions and review cycles? How much time is allocated for internal review as well as for final editing by the consultant?

- Unambiguous statement as to the timeframe allotted for the work product or deliverables – What is the time frame of the engagement? What milestones need to be met? Are schedule constraints fixed or is there flexibility in some milestones?

- Open and honest communications with the consultant – There should be no hidden agendas. Do not hire a consultant with the idea in mind that you are looking for a scapegoat if the project should fail. Do not hesitate to discuss any project detail with the consultant if at any time you are concerned or dissatisfied. Do not let a feeling, opinion, perception, or misunderstanding fester – clear the air, the sooner the better.

- Established chain of command, reporting, and decision-making structure – Make the hierarchy and decision-making structure clear to the consultant. What are the types of decisions that he/she is empowered to make and when must he/she seek agency authority?

- Detailed understanding of the resources that will be available – This can range from workspace, to staff, to use of facilities such as computers, copiers, typists, and more. Determine what internal subject matter experts the consultant will have access to and the time allotted. What will you, the client, be providing to the consultant? What services will your staff provide? What will be the roles and responsibilities for both the consultant and your staff?
- Quantifiable success measures – Is there agreement on measures of success for this project? Define and document project success criteria. How will you determine if your goals have been met?

## Additional Evaluation Considerations

If you are interviewing a number of consultants and their qualifications appear to be similar, you may want to make inquiries as to that status of the following:

- Are the consultants an active participant in industry organizations such as the IJIS Institute?
- Do the consultants participate in, and demonstrate at, trade shows such as APCO, NENA, IACP, etc.
- Are the consultants listed by the respective certifying agency?
- Do neighboring agencies recommend the consultants and share their experiences? The best advertising is by word of mouth from a satisfied client.
- Are service providers familiar with the consultants' capabilities, quality of work, objectivity, and performance? If so, they can provide guidance.

## Conclusion

Consultants can add a tremendous amount of expertise, quality, and value so that you are more likely to realize success at the conclusion of the project. However, the wrong consultant can be a waste of time and money, dampen enthusiasm for the project, and negatively impact confidence in project and agency leadership. Agencies must expend considerable effort in evaluating the need for a consultant as well as selecting the right consultant for the project.

There are many great consulting firms and subject matter experts in the public safety space – unfortunately there are just as many who will borrow your watch to tell you what time it is. Agencies must expect to spend quality time conducting due diligence on their consulting partner as they would for an employee, because the consultant should become part of the team. Take care and do your homework!

## Acronyms

| | |
|---|---|
| APCO | Association of Public Safety Communications Officials |
| CAD | Computer Aided Dispatch |
| CMC | Certified Management Consultant |
| ENP | Emergency Number Professional |
| IACP | International Association of Chiefs of Police |
| IJIS | Integrated Justice Information Systems Institute |
| JRA | Justice Reference Architecture |
| N-DEx | FBI Law Enforcement National Data Exchange |
| NENA | National Emergency Number Association |
| NG9-1-1 | Next Generation 9-1-1 |
| NIEM | National Information Exchange Model |
| PE | Professional Engineer |
| PMP | Project Management Professional |

RCDD......................Registered Communications Distribution Designer
RFI..........................Request for Information
RFP.........................Request for Proposal
RFQ ........................Request for Quote or Request for Qualifications
RMS........................Records Management System
SOW .......................Statement of Work

## About the IJIS Institute

The IJIS Institute, a 501(c)(3) nonprofit corporation, represents industry's leading companies who collaborate with local, state, tribal, and Federal agencies to provide technical assistance, training, and support services for information exchange and technology initiatives. Serving as the voice of industry, the IJIS Institute unites the private and public sectors to improve mission-critical information sharing for those who protect and serve our communities.

The IJIS Institute was founded in 2001 as a result of the U.S. Department of Justice's interest in raising private sector participation in the advancement of national initiatives affecting justice and public safety, and more recently homeland security. Today, the IJIS Institute represents the leading companies serving these and other related sectors. The IJIS Institute provides assistance to government agencies by bringing industry to the table in a constructive role, and continuing to drive toward achieving high regard for the companies that are dedicated to helping the public sector find high value solutions. The IJIS Institute is funded through a combination of Federal grants, industry contributions, and partnership agreements.

The IJIS Institute thanks the many companies who have joined as members that contribute to the work of the Institute and share in the commitment to improving justice, public safety, and homeland security information sharing.

See www.ijis.org for more information.