



Arizona Records Improvement And Information Sharing Strategy 2012 - 2017

VISION – ENHANCE PUBLIC SAFETY AND SECURITY FOR ARIZONA CITIZENS THROUGH A COLLABORATIVE JUSTICE INFORMATION SHARING ENVIRONMENT WHILE PROTECTING THE PRIVACY OF CITIZENS AND CONFIDENTIALITY OF INFORMATION.

GOAL 1 - Improve criminal records quality by increasing the timeliness, accuracy, completeness and accessibility of record information.

Objective 1.1 – Identify opportunities to enhance the automation of information delivery, the effectiveness of programs, and the efficiency of operations.

Objective 1.2 – Promote ongoing records improvement collaboration across the flow of the criminal justice system.

GOAL 2 – Enhance information sharing across jurisdictional boundaries.

Objective 2.1 – Develop a conceptual framework that supports information sharing and leverages initiatives and opportunities.

Objective 2.2 – Pursue avenues that enhance the connectivity of disparate components, systems and databases to promote seamless information delivery.

Supporting Activities & Performance Measures:

- Extend the availability of electronic disposition information entry (via ADRS) statewide by 12/31/12 **Supports Obj. 1.1, 1.2, 2.2**
- Expand XML data transfer ability to ADRS pilot agencies (MCAO, Maricopa County Clerk of the Court, and Pinal County) by June 30, 2012. **Supports Obj. 1.1, 2.2**
- Increase the completeness of criminal history records in Arizona by 10 percent by 12/31/17 **Supports Obj. 1.1, 1.2, 2.1 COMPLETED 2013 / 57.2% 2005 TO 72.1% 2013 – INCREASED 14.9%**
- Extend JWI functionality and data sources available to JWI through collaboration with stakeholders and DPS. **Supports Obj. 1.1, 2.1, 2.2**
- Continue to support through facilitation, participation and information sharing the warrant reengineering initiative focused on business process improvements, information exchange and record retention of warrants. **Supports Obj. 1.1, 1.2, 2.1**
- Continue support through facilitation and participation of executive and stakeholder workgroups and subcommittees allowing stakeholders to discuss, analyze and recommend changes to business processes, legislation, and administrative policy. **Supports Obj. 1.2, 2.2**
- Facilitate the National Instant Criminal Background Check System (NICS) project awarded to the ACJC from the Bureau of Justice Statistics in October 2011. Improve the reporting of mental health adjudications and completed dispositions for offenses used by the NICS unit for making determinations regarding firearm purchases. Offenses included are all felonies, domestic violence and drug offenses. Deliverables of grant include Arizona NICS Record Improvement Plan. **Supports Obj. 1.1, 1.2, 2.1, and 2.2**

- Improve completeness of failure to appear (FTA) (13-2506 and 13-2507) charges currently existing in the state repository through coordinated efforts with county and municipal prosecution offices. Evaluate with stakeholders direction for warrant process improvements / reengineering. Suggested changes to be vetted through policy, technical, legislative committees and Commission as required. **Supports Obj. 1.1, 1.2**
- Be attentive to federal records improvement and information sharing priorities and leverage opportunities to align with federal initiatives. **Supports Obj. 2.1**
- Continue partnerships with Judicial Branch to encourage standardized business processes for electronic filing. **Supports Obj. 1.1, 1.2**
- Provide information regarding the benefits of E-citation to law enforcement and courts. **Supports Obj. 2.1**

TECHNOLOGY STANDARDS

- Continue to educate stakeholders on federal information exchange standards (such as NIEM) and support global initiatives through training and informational resources. **Supports Obj. 1.1, 2.1 and 2.2**
- Educate stakeholders regarding the capability of querying across multiple informational sources through JWI. **Supports Obj. 1.1, 2.1 and 2.2**
- Adopt NIEM compliant exchange standards for E-filing and E-citation information sharing. **Supports Obj. 1.1, 2.1 and 2.2**

FUNDING

- Identify funding opportunities (federal, state, local, private, other) to further the priorities of the state strategy and coordinate efforts to leverage the greatest benefit. **Supports Obj. 2.1**
- Continue to encourage national and state legislative appropriations for public safety records and information exchange efforts. **Supports Obj. 2.2**

GOAL 1 – IMPROVE CRIMINAL RECORDS QUALITY BY INCREASING THE TIMELINESS, ACCURACY, COMPLETENESS AND ACCESSIBILITY OF RECORD INFORMATION.

Objective 1.1 Identify opportunities to enhance the automation of information delivery, the effectiveness of programs, and the efficiency of operations.

Objective 1.2 Promote ongoing records improvement collaboration across the flow of the criminal justice system.

NO.	ACTIVITIES	FY 15 Priority		POTENTIAL PARTNERS	EXISTING RESOURCES	RESOURCE NEEDS	STATUS
			LEAD ORG				
1.	Continuation of ADRS rollout and further system enhancements.	Began 2/ 2012	DPS ACJC GRANT ADMIN	All Stakeholders ACJC, AOC, DPS, AZ NICS Task Force	AOC, DPS,, ACJC, Task Force and implementation agencies Funding for state systems (DPS & AOC) through NICS grants	NEED for additional funding for local system enhancements	Ongoing
ACTION STEPS	1. AOC / DPS continued roll-out Web Services available to all agencies XML - revisions in progress to include Simplified Segmented Approach (SSA) – AUTO ADD capabilities for court dispositions.		DPS On-going AOC On-going		Funding provided to AOC and DPS from NICS grants	NEED for funding to assist local system implementation	Ongoing
	2. AOC - DPS implementation of enhancements – SSA recommended changes for ADRS Auto Add capabilities	AOC to make system modifications to AJACS 2014/2015	AOC SSA –Rule 37 Wkgrp ACJC GRANT ADMIN	SSA/Rule 37 Workgroup, ACJC, DPS, CJ Stakeholders	AOC, DPS, ACJC and SSA/Rule 37 Workgrp Funding provided for Auto Add modifications to systems through NICS grants.	NEED for funding to assist local system changes required. Grant proposal submitted May 2014 to NCHIP	Ongoing
	3. Ongoing review and analysis for system improvements.		ACJC Ongoing AOC SSA/Rule 37 Workgroup	SSA/Rule 37 Workgroup, ACJC, DPS, CJ Stakeholders	ACJC, AOC,DPS, SSA- Rule 37 Workgroup and All Stakeholders	TBD	Ongoing
	4. Create Formal Communication Plan for ADRS	TBD	DPS Ongoing	ACJC, AOC, DPS	ACJC, DPS, AOC	TBD	Ongoing

	ACTIVITIES			LEAD ORG	POTENTIAL PARTNERS	EXISTING RESOURCES	RESOURCES NEEDED	STATUS
2.	<i>Criminal History Records Clean-Up & Completion</i>							
ACTION STEPS	1. Activities currently funded to support the clean up of missing records by addressing backlogs and rejected dispositions.	Ongoing since 1998		ACJC Ongoing	CJ Stakeholders	NCHIP, CJRIP, NICS, BJA Improving Background Checks, BJA Information Sharing Solutions funding & Agency Personnel	Currently funded through 9/30/2014 Federal proposals submitted May 2014	Ongoing
	2. Extensive discussion required by the Policy Team to develop scope of areas to be addressed in FY2016	Begin discussions Oct. 2014		ACJC Ongoing	All Stakeholders	Stakeholders currently attending business process improvement meetings.	Continued support from stakeholders	Ongoing
3.	Mandatory Fingerprint Compliance							
ACTION STEPS	1. Continued discussions with Law Enforcement leaders on missing prints, Prosecutor review of criminal histories and Probation pre-sentence reports	Ongoing since 1998		ACJC AOC - SSA/Rule 37 Workgroup Ongoing	CJ Stakeholders	CJ Stakeholders		Ongoing
	2. Continued monitoring of DOC – GAP Report for Counties.			DOC Ongoing	ACJC, NICS Task Force and All CJ Stakeholders	Continuation of GAP Report from DOC		Ongoing
	3. Implement 2FID in courts to capture quality one print for sentencing document. Pilot in 3 Maricopa County Superior Courtrooms	Ongoing since 1998		ACJC Ongoing	ACJC, SSA/Rule 37 Workgroup, Maricopa County Superior Court, DPS	FY2015 CJRIP Funds if approved by Commission July 2014.	CJRIP Funding for roll out of 2FID in Courts	July 2014

GOAL #2: ENHANCE INFORMATION SHARING ACROSS JURISDICTIONAL BOUNDARIES

Objective 2.1 – Develop a conceptual framework that supports information sharing and leverages initiatives and opportunities.

Objective 2.2 – Pursue avenues that enhance the connectivity of disparate components, systems and databases to promote seamless information delivery.

NO.	Activities	FY15 Priority			POTENTIAL PARTNERS	EXISTING RESOURCES	RESOURCE NEEDS	STATUS
				LEAD ORG				
1.	Warrant Repository – eWarrants Process	Began FY2011		AOC Ongoing ACJC GRANT ADMIN	All Stakeholders	AOC, DPS, all CJ Stakeholders, Federal funding – NICS and BJA Improving Background Cks	Funding and continued stakeholder involvement	Study completed in 2013. Phase II is funded for Proof of Concept – Final phase will need directed funding – ACJC Budget Request 2015
ACTION STEPS	1. Phase II of the project – finalization of design documents and development of a proof of concept model for electronic workflow for warrants.	Projected to begin 9/ 2014		AOC	AOC, DPS & All Stakeholders	AOC, DPS, all CJ Stakeholders – Federal funding BJA Improving Background Cks Grant proposal submitted 2014 to support development of Historical Warrant Repository – BJA Information Sharing Solutions	Continued funding & stakeholder involvement	On-going
	2. Development of Historical Warrant Repository	TBD						
	3. Analysis of FTA Warrant process and recommendations for improvements.	July 2014		AOC SSA/Rule 37 Workgroup	All Stakeholders	AOC, DPS, & CJ Stakeholders - Currently stakeholder discussions thru SSA workgroup & NICS Task Force	Continued stakeholder involvement	On-going

NO.	ACTIVITIES	FY 15 Priority			POTENTIAL PARTNERS	EXISTING RESOURCES	RESOURCE NEEDS	STATUS
				LEAD ORG				
2.	Support NICS Task Force Project	FY2011		ACJC	AZ NICS Task Force	Consultants – Project Manager & System Analysts, ACJC SAC & Program Staff and CJ Stakeholders Federal funding through NICS	Continued stakeholder involvement and funding. Federal grant request submitted May 2014.	Ongoing
ACTION STEPS	1. Task Force developed 33 recommendations for business process and reporting improvements to NICS. Recommendations were presented to the Commission May 2013. Commission approved to support all recommendations.	FY2011		ACJC	AZ NICS Task Force and SSA/Rule 37 Workgroup	Task Force – CJ Stakeholders Funded through BJS – NICS, BJA Improving Background Cks, NCHIP and CJRIP grant programs	Continued involvement of stakeholders Continued NEED for Federal and State funding to support implementation of recommendations	Ongoing - Additional funding requests submitted 4/2014
	2. Automation of Mental Health court orders currently being submitted in paper to DPS (Title 36). 3. Automation to include mental health rulings/orders – Rule 11 and Title 14 Guardianships as passed in HB2322. Delayed Effective Date 1/1/2015.	FY2012		AOC ACJC GRANT ADMIN	AOC, DPS & ACJC	AOC, DPS, ACJC Funding provided through BJS NICS and BJA Improving Background Cks grants.		In progress – All work to be completed by 1/1/2015.
3.	NIEM Standards and Education	FY2000		ACJC Tech Team	All Stakeholders	Technical Team	Committee Direction	Ongoing
ACTION STEPS	1. Technical Team to develop plan for Arizona adoption of NIEM standards and educational opportunities in partnership with federal resources (Global, SEARCH, BJA and NCJA technical assistance)	FY2012		ACJC Tech Team FY15	All Stakeholders	Committees	Committees and Stakeholders	Ongoing

High Priorities in FY2015

- **Continuation of activities supporting recommendations in the AZ NICS Records Improvement Plan**
- **Criminal eFiling**
- **Failure to Appear** – Business process improvements are being addressed through the SSA/Rule 37 Workgroup
- **Development of Historical Warrant Repository**
- **Pilot projects – 2FID used in court to capture fingerprint for sentencing/minute entry document**
- **eWarrant Proof of Concept Project – Flagstaff Municipal Court**

Medium Priorities for 2015

- **eCitation** – Implementation in all jurisdictions – Discussion needed with Policy Team and Technical Team for recommendations of how to assist smaller jurisdictions – evaluation if DPS software could be made available. Need to develop consortium model.
- **Synchronization of Probation – Release – Statute and Ordinance Systems – Common Code Tables.** Policy and Technical Team discussion required to develop recommendations to the Commission.
- **JWI – Data Source Sharing** – Additional detailed discussion required with Policy Team to formulate recommendations to the Commission
- **Multi-disciplinary outreach and Training** – ADRS

Current Grants Supporting Strategy Goals/Activities

BJJ – NICS Records Improvement Program

FY2012 ***\$1,012,166***

Goals:

- Continuation of AZ NICS Task Force – Project Management and Systems Analyst
- DPS Research Project – Missing Dispositions for Maricopa County Superior Court
- Data Exchanges to support ADRS – Jail and Prosecutor Case Management Systems

FY2013 ***\$657,313***

Goals:

- Analysis, Design and System Changes to support – Simplified Segmented Approach
- Analysis & Documental of Lessons Learned – DPS XML Testing – ADRS Implementation Guide
- Implementation – Maricopa & Pima ADRS
- Automate transmission of ADRS rejects to NICS

BJA – Improving Background Checks

FY2013 ***\$634,236***

Goals:

- System changes required to support NICS legislative requirements from 2015 NICS proposed legislation
- Development of Promising Practice Documents to support business changes required from 2015 NICS proposed legislation
- Law Enforcement notification indicators – MH / prohibited possessor legislative changes
- Mental Health Reporting to NICS – Title 14 and Rule 11
- Transmission of ACIC warrants to NICS
- eWarrant Proof of Concept – Electronic Warrant Workflow

BJS – National Criminal Justice Records Improvement Program (NCHIP)
FY2013 \$248,819

Goal

- Agency research projects to address missing dispositions and backlogs

FY2014 Grants

BJS – NICS Records Improvement Program
\$769,332

Goals:

- Continuation of AZ NICS Task Force – Project Manager & System Analyst
- Travel for technical assistance to be provided to all counties – disposition reporting and NICS records improvements
- DPS continuation project for research of missing dispositions
- DPS continuation project for automating criminal records
- Data analysis and development of business and system requirements for final disposition report (FDR) data exchanges
- DPS to process backlog of mental health records to NICS

BJS – National Criminal History Records Improvement Program (NCHIP)
\$644,947

Goal:

- Organizational projects to support records and information Improvements & backlog reductions
 - Maricopa County Superior Court
 - Pinal County Sheriff's Office
 - AZ Department of Public Safety
 - Maricopa County Attorney's Office
 - City of Globe PD
 - Pinal County Justice Court
 - AZ Department of Corrections
 - City of Maricopa PD

ACJC – Criminal Justice Records Improvement Program
\$211,749

Goal:

- Improve one print on court sentencing documents by capturing through 2FID device
- Roll-out to Superior Courts after successful pilot