Arizona Criminal Justice Commission

Systems Improvement

Arizona Records Improvement and Information Sharing Plan

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2008

ARIZONA CRIMINAL JUSTICE COMMISSION

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Introduction

Because so many important decisions—potentially life and death decisions—are made based on criminal records information, the importance of sharing accurate and complete information in a timely manner and the need to establish an enterprise for information sharing are critical issues for Arizona. The state continues to improve criminal history records and criminal justice information processes in the face of the state's rapid population growth, high crime rate and complex issues associated with Arizona's shared border with Mexico. The criminal justice community is committed to preserving the integrity of the criminal justice information flow by improving and maintaining efficient and accurate information systems.

Through studies to assess criminal justice records integration and information sharing completed in 2004 and 2005, conceptual and architectural design documents were delivered for the Arizona Integrated Criminal Justice Information System (AZ ICJIS). Initiatives were approved according to a short-term goal focused on improving the completeness of criminal history records and disposition reporting. A long-term strategy reaching to 2012 will focus on information sharing. The ability to exchange information through integrated systems will improve the records quality and public safety by eliminating errors from redundant data entry, provide timely access to critical information, and improve the consistency and reliability of information at key decision points.

> "This is a challenging time for those responsible for coordinating information sharing in the justice system. We must make it a top priority to ensure that leaders at every level of government have the information they need to protect our communities."
>
> *Deborah J. Daniels*
> *Assistant Attorney General for the Office of Justice Programs, Department of Justice*

For the information to be accurate, offenders routinely must be identified through biometric methods. Without the ability to fingerprint an individual at each event, other elements are necessary to integrate information associated with charges, cases, and incidents. A unique identifier must be issued at the time the information is created in order to track from first point of contact through the entire system. The ability to access integrated criminal record information is imperative to aid national security, Border Patrol, and to respond to threats of domestic terrorism, major incidents, and natural disasters, as well as to support the daily operation of our justice and public safety enterprise.

Arizona Records Improvement Plan 2008

The Arizona Criminal Justice Commission (ACJC) recognizes that in order to adequately address the needs for criminal history record improvements and information sharing capabilities, a records plan and integration strategy is critical. Integration and the automated sharing of relevant information and complete records throughout the justice enterprise is essential for public safety, homeland security, quality of justice and the efficient expenditure of scarce public resources. Successful planning, implementation, and management requires disciplined and visionary leadership, strong and active support among all stakeholders, financial commitment and support, technical development of standards and infrastructure, and policy development to facilitate appropriate business practices and legal policies. This document represents the 2008 Arizona Criminal Justice Records Improvement Plan and provides historical information and priority direction. The plan is structured so it will consistently address current issues, with a focus on both long and short-term goals and objectives. As technology and existing conditions change, this plan will be adjusted accordingly.

In December 2006, the Arizona Criminal Justice Commission held its first Criminal Justice Information Sharing Symposium. The symposium was designed to bring private and public sectors together to exchange information on the use of criminal history records with focus on the completeness of records. In addition, presentations were given to raise awareness on integration and information sharing projects taking place throughout the state. A long-term strategy was

> **Arizona Criminal Justice Information Sharing Symposium**
>
> **Public and private sectors partnering together**

presented to obtain support from all stakeholders so that one voice from the justice community could be heard at the legislature as budget requests moved forward. This juncture was not only critical, but timely, as the need to improve criminal justice information sharing has become recognized among agencies and jurisdictions across the state, as well as on a nationwide scale.

The Strategic Plan for integration outlines a course of action that will enable Arizona to build general systems that will deliver timely information into the hands of decision makers when they need it. By adopting and executing this plan, the necessary steps are put into place to develop a justice information sharing capability that benefits all of Arizona.

Key features of an integrated justice information system will include, to every extent possible, accuracy, timeliness, completeness, and accessibility relating to:

- Identification of subjects
- Warrants and restraining orders
- Criminal histories
- Subject status and location
- Interagency information transfers
- Information exchange as function is performed.

The state vision focuses on the following three areas:

Build:
- Build a sound architecture for justice information exchange by leveraging the Internet
- Build a trusted framework for integrating justice operations across agencies.

Secure:
- Develop and implement a comprehensive security policy for the sharing of justice and public safety information among authorized users
- Develop security requirements that embrace all justice agencies operations for data sharing.

Leverage:
- Leverage available resources to establish a strategic direction, as well as a tactical implementation plan for the investment of accurate, complete, and timely justice information exchange
- Leverage local and county initiatives for ongoing operation of cost effective solutions.

The statewide strategic plan for records improvement and information sharing goes beyond the previous commonplace improvement projects that were beneficial to individual agencies or counties. The comprehensive AZ ICJIS plan seeks to utilize technological advances to move Arizona toward a more effective and efficient community of criminal justice professionals providing for public safety through improved information sharing systems.

Authority

The Arizona Criminal Justice Commission has the authority under ARS §41-2405.A.2, 2405.A.3, and 2405.A.4.e to submit recommendations to the state legislature for a statewide criminal justice information network. Recommendations include the coordination of agency funding to support individual systems, allocation of state funds, federal grant monies, and other matters as may be required to achieve the goals of the AZ ICJIS plan.

Governance

Governance is an ongoing activity that will encompass all of the tasks necessary to further define the duties and responsibilities of the Arizona Criminal Justice Commission relating to the design and implementation of the AZ ICJIS. The Arizona Criminal Justice Commission is the coordinating, facilitating and monitoring agency for criminal justice information in Arizona, pursuant to its authority under Arizona Revised Statutes and functions as a service and resource organization.

A governance structure manages and directs the state's criminal history information integration and information sharing programs. A Policy Committee was formed to develop and recommend strategies to enhance the effectiveness and cohesion of an integrated criminal justice system. A Technical Committee supports the strategic plans, business goals, and objectives established by the Policy Committee. In addition, a Funding Team addresses issues surrounding record improvements, information sharing and integration efforts. Included in the governance structure is a member of the Government Information Technology Agency (GITA), the Arizona Criminal Justice Commission's partner in criminal justice integration efforts across Arizona.

Funding

Adequate resources are critical to support the AZ ICJIS plan. In the past, the Edward Byrne Formula Grant Program was a primary funding source. Initially, funding to support information and record improvement projects was provided through a congressional requirement that each state allocate at least five percent of its total Edward Byrne Memorial State and Local Law Enforcement Assistance Formula grant fund for the improvement of criminal justice records. No longer a mandatory set-aside, the Commission approved continuance of five percent of the current Byrne/JAG funding for the Gerald Hardt Memorial Criminal Justice Records Improvement Program (CJRIP) to be allocated to the support and development of the Arizona Integrated Criminal Justice Information System (AZ ICJIS).

Additionally, the National Criminal History Improvement Program (NCHIP) has provided federal grant monies for projects focused on improvements to criminal history records.

Records Funding 2000-2007

Arizona Growth 2000-2007
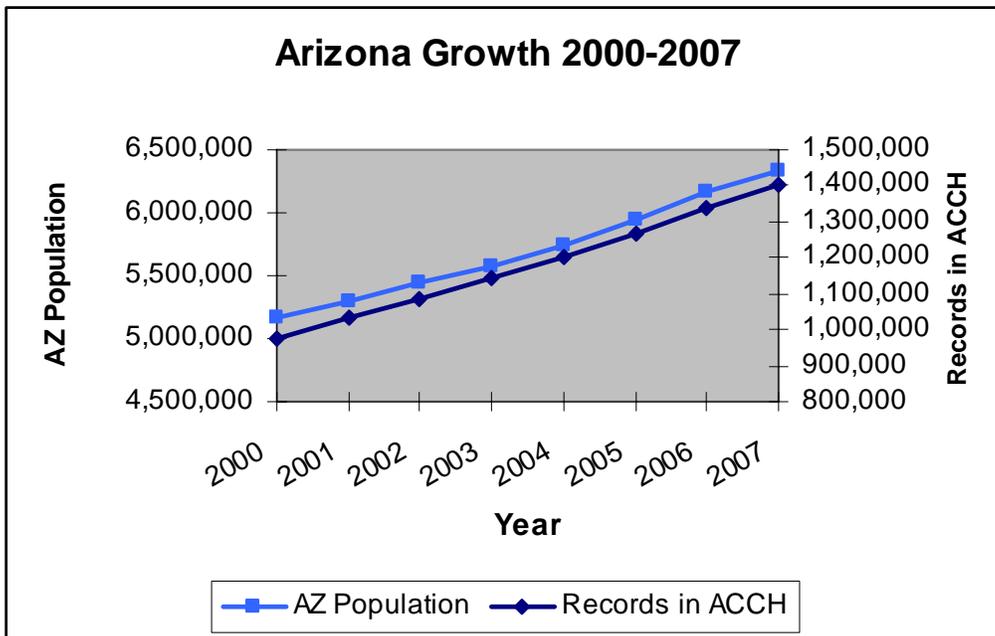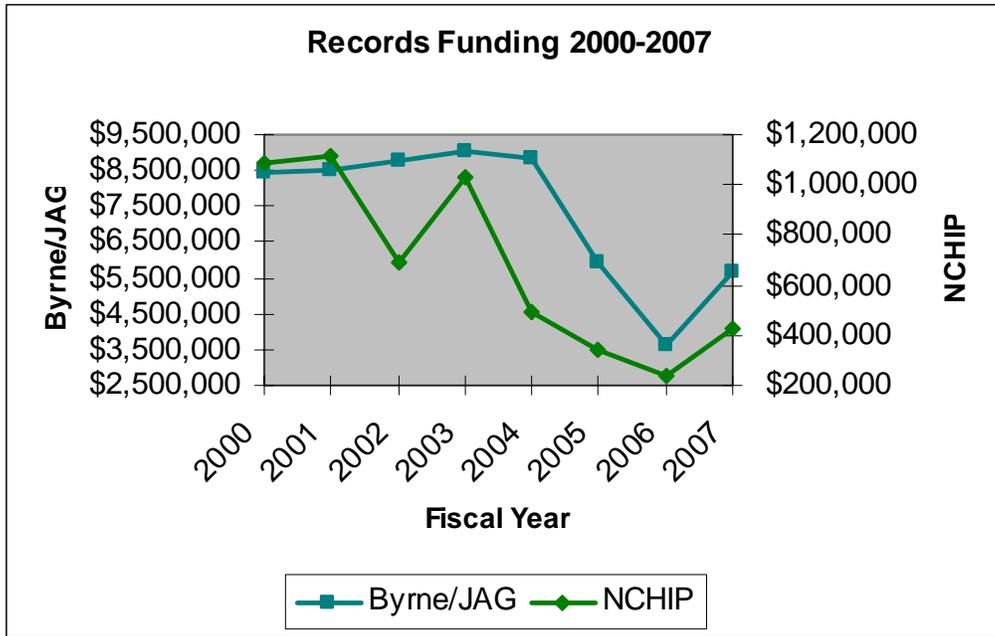
However, with the reduction in federal funding and much of the federal funding being redirected to other areas of priority, resources for projects like the integration of criminal justice systems are at great risk. At this crucial juncture in time, Arizona continues to grow at a rapid pace, yet resources to meet the

growing needs have dwindled. The Funding Team continues to seek out opportunities to leverage resources. Legislative proposals for appropriations are being pursued and an analysis to determine means for ongoing support and maintenance of the AZ ICJIS program is underway. The charts above and below depict the reduction in financial resources allocated toward information processing and records improvements.

Collaboration

ACJC is statutorily authorized to facilitate various criminal justice efforts and programs in Arizona. Serving to sustain and enhance the coordination, cohesiveness, productivity, and effectiveness of Arizona's criminal justice system, ACJC promotes the efficiencies and benefits derived from collaboration. Partnering across the criminal justice community, ACJC assists in extending a collaborative framework of multi-agency information sharing projects and initiatives that go beyond Arizona to partner with neighboring jurisdictions and national efforts.

With public safety as its goal, ACJC supports the Arizona State and National Homeland Security strategy of protecting citizens from potential terrorist attacks and other critical hazards. Through continuous efforts to improve intelligence and information sharing beyond jurisdictional boundaries, Arizona seeks to deliver rapid access to critical information through technological advancements, innovative ideas, and best practices among disparate agency information systems. Arizona stands as a leader in its ongoing collective efforts to build an infrastructure for criminal justice information exchange.

Strategic Direction

Historically, strategic planning, funding, and implementation of programs have been allocated to specific justice function areas such as records management, jail management, court and disposition management, county attorney systems, and law enforcement records and analysis. Though programs have been critical and offer major benefits to agencies involved, only limited business and system objectives have been accomplished.

The state plan focuses on the areas of building, securing, and leveraging in the information exchange. Arizona plans to build a sound, trusted architecture; develop a secure policy for information sharing; and leverage resources whenever available to provide cost effective solutions.

The Arizona ICJIS Strategic Plan introduces a criminal justice information strategy for Arizona criminal justice agencies to integrate disparate agency information along shared business process points using technology. The strategy will add tracking and workflow management components for disposition reporting. The technology underlying the existing systems will have to be interfaced to the new tracking system. The plan provides a common link to the interagency services using a web browser client. Portal access to services can be expanded in the future as other agencies provide web-based access to their technology based services.

In order to educate, facilitate, and deliver the concepts laid out in the Arizona Integrated Criminal Justice Information System (AZ ICJIS) plan, a number of factors surfaced as critical to its success. The plan would require: a) marketing and funding; b) a state defined security program for information and operational roles; c) acceptance of operational changes that may be required across agencies; d) defined ownership of information sharing; and e) clear and measurable deliverables.

Short-Term Goals

Short-Term Activities

A short-term strategic plan was approved for implementing the Arizona Disposition Reporting System (ADRS) and the Arizona Capture/Data Collection (AC/DC) system. Implementation of both systems and functionality are part of the overall AZ ICJIS strategic plan approved in 2002 and updated in 2006.

Arrest Capture/Data Collection (AC/DC)

A demographic data entry system called the Arrest Capture/Data Collection System (AC/DC) has been implemented, providing faster identification and processing of offenders through reduced data entry requirements placed on the officer. The AC/DC system provides an easy-to-use means of capturing quality information about Arizona arrests in a consistent fashion. By the time an offender is transported to the county jail, the information, including positive fingerprint identification, is available to accelerate the booking process. This system is compliant with the Global Justice XML Data Model (GJXDM) 3.0 that was adopted by the Arizona Criminal Justice Commission in 2004. The system provides full integration with the state's fingerprint capture systems (Livescans), as well as the arresting agency's records management system (RMS) and the Maricopa County jail booking system. The initial pilot project included Phoenix Police Department, Arizona Department of Public Safety, Maricopa County Sheriff's Office, and Maricopa County ICJIS.

The Arizona Disposition Reporting System (ADRS)

During the 48th legislative first regular session in 2007, the Legislature provided two-year funding of $1.7 million to the Arizona Criminal Justice Commission (ACJC) to manage the Arizona Disposition Reporting System (ADRS) Project. This project would expand the automation of criminal justice disposition reporting, which currently is a primarily manual process. (This funding for the project has been marked for rescission from the budget by the legislature.)

Shifting criminal history information reporting from a manual to an automated process will improve the efficiency of information reporting, and consequently, record quality. Records quality is often measured in terms of completeness, accuracy, and timeliness. As of 2006, the criminal history records maintained in the state repository, the Arizona Computerized Criminal History (ACCH) database, were only 67 percent complete. Complete is defined as final disposition reports having sufficient pertinent information to be recorded in the ACCH repository.

The lack of completeness of criminal history records impacts all aspects of the criminal justice process and presents a public safety issue as well. The police officer on the street who initiates first point of contact with a suspect needs accurate and timely information. Criminal justice agencies rely on accurate and complete criminal history information for making determinations with regard to bail, sentencing, release, and eligibility to possess firearms. Public and private sector employers that require background checks rely on criminal history records when making employment decisions. Inaccurate or incomplete information can leave a company with serious liability.

The Arizona Disposition Reporting System (ADRS) is part of the strategic integrated justice plan for the state of Arizona. The goal of the system is to improve the reporting of disposition and sentencing information from justice agencies throughout the state.

The Arizona Integrated Criminal Justice Strategic Plan clearly identifies the integration of justice and law enforcement systems with ADRS as an essential component for improving the accuracy and completeness of Arizona's criminal history information. The following benefits will be achieved through this integration effort:

- Increased accuracy and completeness of disposition reporting

- Improved decision making by the justice and law enforcement practitioners through accessibility to improved criminal history information

- Increased accuracy and consistency of information being delivered throughout the criminal justice process, thereby improving the efficiency and effectiveness of all agencies

- Increased accountability within agencies for complete, accurate, and timely reporting of disposition information.

The Arizona Disposition Reporting System (ADRS) is a software product that handles information flowing from law enforcement to the prosecutor's office, to the courts, and then through final disposition recorded at the Central State Repository housed and managed at the Department of Public Safety (DPS). The system will allow for the automation of disposition reporting, which will improve efficiency, accuracy, and completeness of criminal history records.

The service oriented architecture (SOA) provides access and interaction among criminal justice agencies for critical information necessary to criminal justice agencies and stakeholders statewide. The architecture provides a layer of service components that combines application and information assets from agencies into useful and reusable service enterprise components, thereby increasing business

value. Portal technologies and agency web services bring together a variety of business processes and functions from multiple agencies and provide direct access to systems through service components that increase functionality and process by building flexible information technology systems.

ADRS Phase I has been developed, tested and implemented as of October 2007. This phase established a web interface to justice agencies for entering disposition and sentence data, thereby eliminating the need for submittal of the paper disposition forms to DPS for data entry. The initial pilot agencies were Maricopa County Attorney's Office and Maricopa County Clerk of Superior Courts.

Additionally, electronic interfaces with the Arizona Automated Fingerprint Identification System (AZAFIS) and the Arizona Computerized Criminal History system (ACCH) were completed in this project phase. AZAFIS populates all of the fingerprint-based arrests in the state into ADRS utilizing a two-way interface with ACCH. Dispositions added, updated or deleted through ADRS will be updated into ACCH on a real-time basis. As updates occur directly in ACCH related to arrest/charge information, transactions will update ADRS to keep them synchronized.

ADRS Phase II is being implemented by the Administrative Office of the Courts and expands on information delivery by moving beyond single disposition update to system direct automation, allowing the delivery of numerous entries. The system's structure has expanded significantly to a broader capacity, multi-agency use with greater functionality for the criminal justice system. The project has devised a working system that allows rapid incorporation of additional agencies addressing the issue of upgrading record processing and record systems. Implementation of Phase II completion is targeted for September 2008.

The ADRS project coupled with the AC/DC project are the first steps for collecting and reporting criminal information in an automated process. The ADRS will not only improve criminal information processing, but will assist in the prevention of terrorism by enhancing the abilities of federal, state, regional, and tribal agencies to gather, analyze, and share criminal record information. The AC/DC and ADRS projects address the importance of complete and accurate criminal records for background checks and enhance Arizona's foundation of information sharing.

Through ACJC's two-year budget, the state legislature appropriated $1.7 million to invest in the ADRS architecture at DPS. The funding provides $900,000 in FY08 and $800,000 in FY09 for hardware upgrades to make the system more robust and allow for more users; includes critical enhancements to the software product; provides necessary security enhancements; and includes two full time

equivalent (FTE) positions to support the system. (This funding for the project has been marked for rescission from the budget by the legislature.)

The ADRS program furthers a multi-year, multi-agency initiative to improve disposition reporting. The project utilizes dedicated funding from federal grants along with individual agency, local and county contributions to system development, in addition to the legislative funding designated in FY08 and FY09. ADRS continues to be a priority for Arizona's criminal justice community, but has been met with resource challenges including the recently appropriated state funds being marked for rescission.

Long-Term Goals

The Arizona Strategic Planning Subcommittee of the Executive Steering Committee has established specific strategies and goals for statewide information sharing. The strategies are:

1. Expand the capability of the Arizona Disposition Reporting System (ADRS)

2. Deliver the capability to track data across systems

3. Deliver an integrated information query capability across justice systems

4. Extend federal initiatives for statewide records improvement and information sharing.

Foundational goals to improve operations and work processes:

- Provide unique identification for the exchange of justice information
- Ensure information security without impacting data delivery and job performance
- Provide the capability for law enforcement to establish positive identification of individuals at the earliest authorized point
- Enter information only once and at the earliest point in the process
- Deliver rapid retrieval of criminal history data for law enforcement
- Utilize unique identification to link non-arrest events
- Facilitate the delivery of 100% completion for dispositions to the criminal history repository
- Provide agency visibility to criminal justice information across jurisdictional boundaries
- Provide an avenue for information exchange with federal, state and regional information sources required to support decision making
- Provide metrics for information quality, completeness, and timely delivery
- Provide bi-directional data delivery capabilities across agencies
- Provide alert notification capability for criminal and intelligence data
- Track data associated with pre-fingerprint events and link to fingerprint-based information.

Current Activities

State Initiatives

Records and Information Processing

Under the authority of the Commission, the Systems Improvement Unit facilitates records improvement activities in accordance with regulatory statutes. In addition, efforts are coordinated with the Commission's Executive Steering Committee, as well as Policy and Technical Committees for integration. Vital resources have been allocated at federal, state and local levels to improve records accuracy, timeliness, completeness and accessibility.

Criminal History Records User Forum (CHRUF)

Criminal justice records professionals meet regularly to share information and address records processes, issues, and concerns. This ongoing forum has been providing a venue to address issues common to criminal justice records management and information processing for more than a decade. As the practice of networking and sharing common concerns has proven beneficial for group members, the group continues to grow. Round table discussions include disseminating information on pending and updated legislation, reporting updates on grant-funded records improvement project activities, implementing procedures, and compliance with regulations. Additionally, subject matter experts may be enlisted to present on procedures, mandates, or related information.

Monthly meetings of CHRUF are coordinated by the Systems Improvement Unit of the Arizona Criminal Justice Commission. As a coordinating entity statutorily created to facilitate information and data exchange among criminal justice agencies across the statewide system, ACJC is attentive to the dynamic nature of information maintenance. In the face of one of the fastest growing geographic regions in the country, business practices and the technology necessary to keep pace are fluid. What may have been good business practice a decade ago falls short of meeting the information demands in today's environment. Open avenues of communication are imperative to stay abreast of mandates and best practices. The meetings continue to serve as a vehicle to bring forth issues and concerns as well as opportunities to share "what works" among the larger group.

The benefits of the records workgroup cannot be overstated. In addition to providing a platform in which information and updates are presented, the common ground of receiving, recording and relaying critical information allows group participants familiarity with each others' routine business environments. With this common foundation, workgroup members come together as partners focused on leveraging ideas and resources toward improving Arizona's criminal justice information and records systems.

Records Retention Workgroup

As recurring issues regarding records retention policies were brought to the Criminal History Records Users Forum (CHRUF), a separate workgroup was formed to investigate common concerns and possible solutions. Records professionals from various agencies across the criminal justice spectrum representing local, county and state jurisdictions came together. Partnering together for workable solutions, law enforcement, court, prosecution, corrections, and probation sought to identify both short and long-term solutions to recurring challenges.

The Records Retention workgroup began meeting in early 2006, and participants identified concerns over lengthy retention/destruction approval processes, disparate destruction deadlines for similar record categories, and an inordinate amount of time allotted toward developing, monitoring, and following schedules. In response to surfacing issues, the workgroup met to identify retention, retrieval and destruction issues, address statutory mandates for recordkeeping, discuss retention periods for various record types, as well as address issues of record storage type and cost.

A representative from Arizona Library, Archives, and Public Records (LAPR) was invited to participate. The Records Management Division of LAPR serves statutorily under ARS §41-1345 to establish standards, procedures and techniques for records management. LAPR's attendance and participation has been invaluable, first to educate the group with regard to roles, record ownership and authorities, as well as for retention procedures and strategies. LAPR continues to play a key role as the workgroup continues to prioritize and plan. Ideas and concerns presented by the workgroup have been timely. Interest in enhancing or upgrading system capabilities to meet the needs of records maintenance and storage is high.

Records Quality Index

The Bureau of Justice Statistics enlisted the Structured Decisions Corporation to develop a National Records Quality Index (NRQI) that is supported by records data from each state. Indications from the first cycle's result of the NRQI for Arizona showed the need for Arizona to expend funds on the submission of dispositions to the Central State Repository, transmission of applicant fingerprints to IAFIS, and become part of the Interstate Crime Control and Privacy Compact. Since then, Arizona leaders have responded by extending the availability of fingerprint delivery through Livescan equipment throughout the state, and have made improving disposition reporting a priority through the AZ ICJIS plan.

NRQI's second cycle (1997-2003) results showed improvement for Arizona from an index score of 53 in 1997 to a score of 228 in 2003 as compared to the national weighted average of 167 in 2003. The improved score may be attributed to the signing of the Interstate Crime Control and Privacy Compact in 2002,

Chart 1. Records Quality Index, RQI
State of Arizona
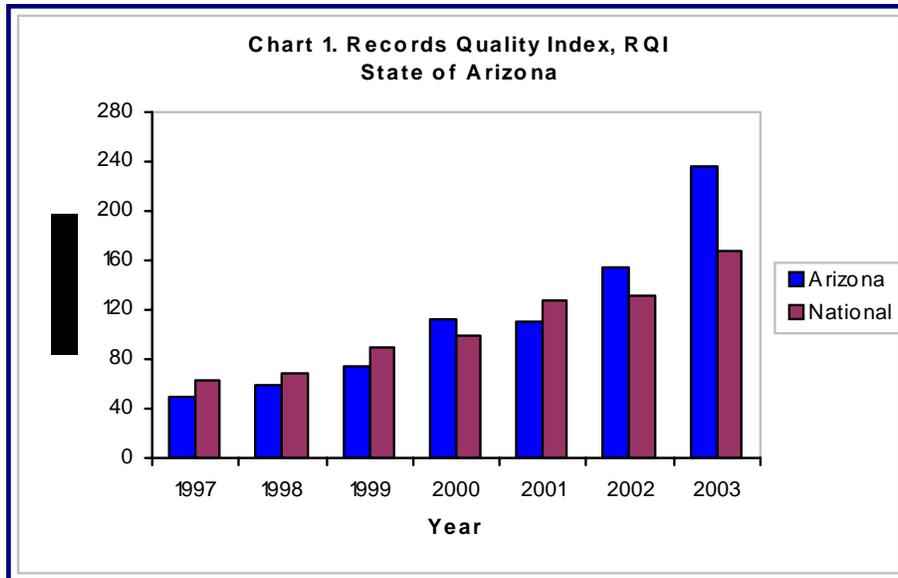
increasing the automated submission of information to the Central State Repository, and improvements made within records processing.

In 2006, staff of the Arizona Criminal Justice Commission's (ACJC) Statistical Analysis Center (SAC) devised the Arizona RQI using the National RQI as a model. The Arizona RQI provides meaningful performance measures and evaluation criteria for each records improvement project. ACJC has the ability to provide agencies with an assessment of the quality of criminal history records originating, updated, or maintained by NCHIP grantees and other criminal justice agencies in Arizona. For example, SAC staff conducted an RQI assessment for NCHIP grantees to serve as a baseline to determine the degree to which their program activities improved the quality of criminal history record information processed by their jurisdictions.

In addition to the direct use of the RQI for NCHIP grantees, the RQI measuring tool may be used to assess the quality of criminal history records in all of Arizona's 15 counties and the state as a whole. These activities will expand ACJC's ability to monitor and build upon improvements in the criminal history record system.

Still another example of the Arizona Criminal Justice Commission's commitment to improving the quality of Arizona's criminal history records system, three additional research projects undertaken by the Statistical Analysis Center staff

are used to illustrate the continuing need to improve criminal history record quality. These projects include:

- an analysis of criminal history records of arrests and convictions for sexual assault and the false reporting of sexual assault: http://azcjc.gov/pubs/home/Final07ARS41-2406Report.pdf
- an analysis of rates of sex offender recidivism using criminal history record information (expected to be published late 2008)
- an analysis of gaps in the reporting of offenses to be mandatorily submitted to the criminal history records system: http://azcjc.gov/pubs/home/ARS_41_1750_Revised.pdf.

Each of these projects brings attention to the value of accurate, complete, timely and accessible criminal history record information in Arizona.

Arizona Violation Code Table (AVCT)

The need to change the method of reporting dispositions to the Central State Repository was recognized and a process was devised to provide standardization and accessibility to statute changes. Initial project funding was given from the National Governor's Association which allowed the conversion of Arizona Revised Statute (ARS) offense codes into an XML format for availability on the ACJC web site. The continuing improvement process consisted of multi-agency planning meetings that produced a process flow for updated postings, explanation of tables, and enhanced features for user ease. As a result, the Arizona Violation Code Table (AVCT) became activated on ACJC's web site in October 2006, and has become a frequently visited resource on ACJC's web site. The Arizona Criminal Justice Commission (ACJC) along with the Department of Public Safety (DPS) work together to maintain and deliver the Arizona Revised Statutes (ARS) as well as City and County Criminal, Civil and Tribal Codes to the public web site.

Pursuant to ARS §41-2405 A.1, the Arizona Criminal Justice Commission is directed to "monitor the progress and implementation of new and continuing criminal justice legislation." Systems Improvement Unit staff review all bills that pass though the legislative process for statutory language identifying citable criminal offenses. In a coordinated effort, updates are reviewed with representatives from the Administrative Office of the Courts (AOC) and Arizona's Motor Vehicle Division (MVD) to identify and code appropriate changes. A standardized 30-character description of each Arizona Revised Statute for which a criminal penalty is created. The procedure requires multiple steps of review and analysis before implementation and posting to the public web site.

Maintaining a single table for use across the statewide system has allowed for standardization of code descriptions so agencies may "speak the same language." The web site resource expands the benefit to user agencies by

providing multiple formats that may be viewed or downloaded. Additionally, helpful information for understanding the table, instructions for downloading, explanation of new changes, and an opportunity to register for automatic e-mail notification of table updates may be found on the web site: http://azcjc.gov/AVCT/1.0/arsccc1.asp. This successful project significantly reduces the resources and time previously spent to announce and disseminate updates, minimizes the potential for error as users have a single source for information, provides data definitions and download instructions in multiple formats, and provides downloadable offense code tables for electronic systems such as Livescan units.

Orders of Protection/National Crime Information Center (NCIC)

The Administrative Office of the Courts continues to work to improve and expand a system to electronically send domestic violence information and Orders of Protection to the Protection Order File of the National Crime Information Center (NCIC) system. Currently four counties are operational and Administrative Office of the Courts (AOC) is working to bring additional courts to a live reporting format to the Court Protection Order Repository (CPOR). In addition to efforts across the state, AOC is focusing on bringing courts in a rural county and additional Maricopa County courts onto the CPOR system to be able to retrieve, review and accept orders of protection from the court records system.

Sex Offender File

The Arizona Department of Public Safety (DPS) has developed an interface among criminal history records, sex offender registry, and the civil protection order files and can be accessed by criminal justice users with one inquiry. The Sex Offender Compliance Unit of DPS is attentive to state and federal legislation and guidelines for adhering to registry mandates. In Arizona, sex offenders are required to register with the sheriffs' office of the county in which they reside. The sheriffs' offices are responsible for the registration of sex offenders. The Arizona Department of Corrections registers all sex offenders prior to release. The state of Arizona continues to move forward to consistently register all sex offenders within the state. Arizona continues to be a major contributor to the FBI's National Sex Offender Registry System.

Today the sheriffs' offices within the state register sex offenders on Livescan fingerprint devices, and the information is then printed out and faxed or mailed to the Arizona Department of Public Safety. With present technology, data transfer could be accomplished electronically from the sheriffs' offices to the Department of Public Safety for inclusion into the State Sex Offender Registry and sent to the FBI's National Sex Offender Registry. Staffing limitations restrict the ability to set this project as a priority for the Department of Public Safety. As soon as adequate staffing is on board, coupled with other AZAFIS projects being completed, the electronic fingerprint capture will be made a priority. As of

February 2008, there are 19,404 records in Arizona's system and 12,188 in the national registry.

Disposition Reporting

Increasing automated disposition reporting remains a priority. The Arizona Computerized Criminal History (ACCH) receives more than 400,000 dispositions annually. The number of dispositions submitted electronically has gone from just over one percent a decade ago (1998) to more than 13 percent. Since 2004 Arizona DPS has worked hard to eliminate the backlog of nearly 22,000 paper dispositions into the automated system. To date this backlog has been eliminated and submissions are current. Although a concerted effort is being made to automate criminal case disposition submissions, a large majority are still reported to the ACCH in paper format. Electronic disposition reporting can greatly reduce the length of time required to record information into the ACCH database and has been shown to decrease errors in information reporting.

Fingerprint Identification Technology

Fingerprint identification is the current basis for positively identifying individuals involved in the criminal justice cycle. This includes the use of an Automated Fingerprint Identification System (AFIS) such as the state's Sagem Morpho AZAFIS application maintained through the Arizona Department of Public Safety (DPS) and remote Livescan equipment that captures fingerprint images and submits them to the Central State Repository for an electronic matching process. This process populates records in the ACCH.

NCHIP funds were used in conjunction with Criminal Justice Records Improvement Program (CJRIP) funds to enhance the fingerprinting capabilities of agencies within the State of Arizona. Livescan fingerprint units and image scanners for fingerprint use were purchased. Federal awards leveraged with state funds have provided each of the 15 sheriffs' offices within the state Livescan units for the submission of fingerprints. Today, 98 percent of the fingerprints received by the Central State Repository are received through an automated system. Though there are still challenges of fingerprints not being captured because of Arizona's procedures on summons and citations issued, the reporting of arrests today is fast and accurate for the prints that are being submitted. This is reflected in the Records Quality Index for Arizona under outcome measure three, *transmission of arrests to repository*.

Central State Repository

The Arizona Computerized Criminal History (ACCH) is the Central State Repository for Arizona and is managed by DPS pursuant to statutory mandate. The Repository collects, maintains and disseminates criminal history and other criminal justice information to jurisdictions within Arizona, other states and the

Federal Bureau of Investigation (FBI). Local agencies or jurisdiction submit information to ACCH electronically and manually.

Laboratory Information Management System (LIMS)

In December 2004, the Arizona Department of Public Safety initiated the ability of prosecutors to obtain information from the laboratory information management system in Coconino County. The state crime laboratory is working on an enhanced project to electronically provide laboratory results to prosecutors and law enforcement officers through a web-based system. The laboratory information management system (LIMS) is expected to expedite the decision making process by the county attorneys so cases can be processed more efficiently. The project is now providing information to 10 of the 15 county attorney offices and one municipal police department. Maricopa County Attorney's Office is being added to the system and contact has been made with the remaining four counties. In addition, two connections have been made to city prosecutors' offices, two police departments and two sheriffs' offices.

Information Security

Continued progress has been made to connect county sheriffs' offices to the Arizona Department of Public Safety using TCP/IP connection. With this connection in place, sheriffs' offices are connected to each other to share information. The project began in 2002. Eleven of 15 counties are now connected to DPS via a secure TCP/IP connection. Agencies are capable of sharing data via the same application. Pima County Sheriff's Office participated in a pilot project to share data such as names, mug shot photos where applicable, vehicles (including photographs) where applicable, and property information. The TCP/IP connections to DPS allow for data sharing among all sheriffs' offices and availability to Arizona Department of Public Safety. The server is housed at DPS and it is via this server that access to other records management systems is accomplished.

Department of Corrections Arizona Inmate Management System

Participation in the FBI's Interstate Identification Index (III) program requires custodial information be available in the criminal history provided by a Central State Repository. Arizona's Central Repository is the Arizona Computerized Criminal History (ACCH) managed by DPS, and information is updated by electronic transfer to ACCH on a weekly basis. The Department of Corrections must provide information concerning admittance and release of offenders to the Central Sate Repository in a timely manner. Until a more integrated structure of record processing capability between ADC and ACCH can be implemented, both agencies work to improve record accessibility and overall process efficiency.

The Department of Corrections (ADC) records system, Arizona Inmate Management System (AIMS) holds all inmate information. ADC would like to

implement a more effective records management system but faces unique challenges in this respect. AIMS was designed and written in a proprietary format. The vendor is no longer in existence which makes an upgrade or re-write both time and cost exhaustive. ADC continues to work in partnership with DPS to reduce criminal history accessing time.

In a continuous effort to economize processing time and leverage resources, ADC has implemented the use of two-fingerprint identification (2-FID). The 2-FID devices are used for rapid identification of inmates across the state corrections system. Inmates are identified through 2-FID at intake, upon release, and at other processing points when positive identification must be done. The use of 2-FID technology has dramatically reduced the time is takes to make a positive identification, and more quickly frees up corrections staff to focus valuable time in other areas.

Current Activities

County and Local Initiatives

Coconino County

Coconino County - Electronic Citations
Coconino County served as a pilot for the electronic flow of information from point of arrest, booking, and citation to the county attorney, city attorney, and court system. By the end of 2006, this integrated process was established. A prototype system to send court filing information has been established. Coconino County was the first agency to use the new statewide citation schema definition for delivering citations electronically to the court system.

Coconino County - No File System
Coconino County is developing an enhanced no file system for the county attorney's office to streamline the filing process. This system was first developed in 2002 and technology has improved enough that a new system is underway to streamline this process further.

Coconino County - Jail Trend Analysis
In 2006, Coconino County introduced a report server for running statistical analysis on the jail population, providing a tool to analyze trends, and may be expanded upon for other criminal justice information purposes. A data warehouse is being created for routine practitioner use in accessing data and analyzing trends. The County's integrated system has transferred more than 75,000 messages to state and internal organizations.

Maricopa County

Maricopa ICJIS
Maricopa Integrated Criminal Justice Information Systems (ICJIS) is a Maricopa County Department formed in 2000 to facilitate the integration of disparate information systems among Maricopa County criminal justice agencies, for the purpose of reducing expenses resulting from non-integrated criminal justice systems. To date, Maricopa ICJIS has developed numerous applications that facilitate the exchange of information among Maricopa County agencies.

Among the projects Maricopa ICJIS has developed or enhanced are a common case number, a common code table, a pre-booking system, a video visitation program, court and prosecution information exchange applications, and several others. The ICJIS system utilizes a secure network in compliance with FBI's NCIC 2000 CJIS requirements for data encryption and information exchanges.

The business plan, strategies, structures, and concepts implemented by Maricopa ICJIS have demonstrated effectiveness in reducing duplicate and redundant data entry, reducing workflow, and expediting data transfers efficiently.

Pinal County

Pinal County Integration
Pinal County is implementing multiple phases of a major integration project. Pinal County has dramatically reduced the time and resources needed to expedite the flow of intelligence and criminal history information from the Pinal County Sheriff's Office to the Pinal County Attorney's Office. All information is compatible with the Global Justice XML Data Model (GJXDM) 3.0. The core infrastructure ensures the sharing of data in a secured justice network. All interfaces required for internal and external agencies are available for implementation as agencies begin to participate. Scanning and document imaging solutions have been implemented which has aided in the accuracy of criminal history information among agencies. The process is established to easily send no file disposition reports from the county attorney's office to the central state repository located at the Arizona Department of Public Safety. Phase II allows disposition information to flow from the sheriff's office, county attorney, and the courts to the central state repository from each agency.

Pinal County Multi-Jurisdictional Data Sharing System
Pinal County received funding through the Arizona Department of Emergency and Military Affairs, Department of Homeland Security, in the form of a Law Enforcement Terrorism Prevention Program (LETPP) grant. The purpose of the award is to link every sheriff's office throughout the state of Arizona, as well as some police departments, allowing them to share booking and jail information among all of their records management systems. This project gives agencies the ability to query participating agencies' databases for information about people, associated images, vehicles, and property, regardless of which database, platform, or programming language is used.

The capability to view detailed record information on name, vehicle, property, view photos associated, view alerts such as alcohol user or assaulted police officer, or any involvements (criminal history activities) is a valuable tool for officers. This system provides real-time information sharing without requiring a data warehouse, which allows local information to remain in local databases. While on routine patrol without leaving their patrol car, picking up the radio, or going back to the office, officers can utilize the system to search not only their own agency system, but other jurisdictions statewide. Currently, 10 of the 15 Arizona sheriffs' offices are able to share their information using this web application. There are additional shared police departments and law enforcement agencies waiting to participate in the project. Future rollouts are being planned.

Pinal County Attorney's Case Management Systems

Previously the county attorneys' offices throughout the state, especially in rural Arizona, did not have automated case management systems. Many were using stand-alone computers that were not networked and statistical reporting was non-existent. Today, thanks to NCHIP and the Criminal Justice Records Improvement Program (CJRIP), which was supported by the Byrne five percent set-aside funds, the county attorneys' offices in the state are using networked computers with case management systems that allow for statistical reporting.

Multiple County Initiatives

Law Enforcement Systems Link

The law enforcement systems link is an investigative program linking suspects, acquaintances, cars, guns and methods-of-operation. Developed as a cooperative effort between the University of Arizona and Tucson Police Department, the systems link has been deployed in several agencies in Pima County and across the state. The law enforcement systems link application allows police agencies to rapidly share crime information across jurisdictional lines and analyze the data. The system allows investigators to access a wide variety of sources to link suspects to crimes, identify and apprehend them. The system provides for information sharing even when using non-linked systems across jurisdictional lines. This method of information sharing allows law enforcement agencies to use their existing data storage systems, rather than building expensive data storage systems.

Records System Connections

In an effort to address the barriers of data sharing among criminal justice agencies, the records system connections application has been implemented and continues to expand in Arizona. Utilizing the GJXDM tool to standardize information exchanges among disparate systems, the records system connections application allows information to be shared in a secure and timely manner.

The connection, which is supported by software, hardware and vendor technology support services, provides an avenue to share jail information and information from users beyond primary level record system data, i.e. more detailed person involvement data, vehicle data, etc. To date, Pima, Pinal, Graham and Mohave counties are participating with the records system connection as agency or regional initiatives in information sharing efforts.

While many of these projects can and will contribute to a statewide integrated system, funding is needed to provide the overarching network that links disparate systems across jurisdictional boundaries without compromising security

or proprietary authority. The technology to accomplish this is in use today in other states, making criminal justice information accessible to criminal justice practitioners and decision makers at necessary points throughout the information process. A system as proposed in the Arizona ICJIS Strategic Plan and supplemented by the Northrop Grumman 2004 studies will accomplish this goal. Recognizing the need for a statewide integration effort, local agencies statewide have come forward to participate in information forums to learn about current projects within Arizona, and to consider how they may fit in the integration plan for Arizona's criminal justice community.

Information Technology Standards

Realizing the importance of XML (Extensible Markup Language) and the GJXDM (Global Justice XML Data Model) and NIEM, the Arizona Criminal Justice Commission adopted the GJXDM in January 2004. As the State Administering Agency for the Byrne/JAG and the National Criminal History Improvement Program (NCHIP) grants, the Commission is requiring sub-grantees to use GJXDM/NIEM when improving, updating, or replacing an existing information system.

In March 2004, 68 technical programmers from state and local agencies were trained on the GJXDM and the XML Dictionary through the Integrated Justice Information Systems Institute (IJIS). After the initial training, the ACJC received permission from the Bureau of Justice Statistics (BJS) to utilize reverted NCHIP funds for contracted services from IJIS for an advanced XML training class. The training utilized with NCHIP funds has given Arizona a good foundation for the integration and records improvement projects using the required GJXDM/NIEM standards. The Commission continues to work with multiple agencies in the development of schemas for record dispositions, citations, and sentencing projects. Criminal justice agencies must be able to create and know how to use the data files based on the XML schemas.

The key to implementation of data exchanges based on the GJXDM/NIEM is training. XML training for criminal justice agency personnel is the greatest need to fulfill prior to implementation. While the IJIS Institute has provided the training for understanding the GJXDM/NIEM and the development of schemas, criminal justice agencies must be able to create and know how to use the data files based on the XML schemas.

By using XML, a standard vocabulary and structure is available to be used by everyone without making changes to underlying technology systems. Because XML is independent of the various technologies used by criminal justice agencies, all agencies can send and receive data in the common manner. The justice system will benefit from GJXDM/NIEM by having a common language and vocabulary that reduces cost and technical barriers. Quality and consistency of the data will be improved by using GJXDM/NIEM schemas. Agencies can own their data yet easily share the data. Time consuming and costly changes to underlying system and databases are avoided.

The uniform schemas must be developed not only for use in Arizona but in conformance with other states to move information around the state and around the nation.

Participation in National Databases

Interstate Identification Index (III)

Arizona has been a participant with the Interstate Identification Index (III) since December 7, 1997. III is an automated database index of persons with a criminal record. Each state has an individual agency responsible for providing the state's records to the FBI for inclusion in the III through fingerprints. Arizona DPS submits records to the FBI database. Fingerprint identification is required for information to be submitted to the database. III is considered a decentralized database. As such, the III index points to the criminal history record either in the FBI system or the particular state(s) repository holding the information. This promotes the use of the state records, which are more complete, and reduces the FBI workload to maintain and disseminate record information. As of January 2008, the number of records in the system shows 212,118 with multistate status, and 392,179 single-state offenders.

National Instant Check System (NICS)

All inquiries to determine if a person is disqualified from receiving or possessing a firearm are sent directly through the FBI system. The State of Arizona does not maintain a NICS database to process requests but submits requests to the FBI NICS system. DPS' Criminal History Record Section (CHRS) responds to NICS inquiries within 72 hours, even if the information is "no response from the court." The labor intensive process requires logging of the requests to a worksheet that tracks all the steps taken to obtain the requested information and completion of the fax request. The CHRS would like to automate the process to entering the information once and transferring the data to all of the required documents. NICS inquiries continue to be processed at a rate of more than 2,000 per month, totaling 34,465 for calendar year 2007.

NCIC Protection Order File

Protection orders presented to the sheriffs' offices in the state are being entered into the FBI's Protection Order File System. There are a large number of protection orders that are not provided to the sheriffs' offices. Some that are provided to sheriffs' offices are not entered because necessary information is lacking for the proper entry to take place. The Administrative Office of the Courts continues to work to improve and expand a system to electronically send orders to the Protection Order File of the National Crime Information Center (NCIC) system. AOC is also working to bring courts in a rural county and additional Maricopa County courts onto the CPOR system to be able to retrieve, review and accept orders of protection from the court records system. Arizona agencies used the Arizona Protection Order Entry more than 28,000 times. There are currently more than 18,000 records entered into the NCIC system.

National Sex Offender Registry

In Arizona, sex offenders are required to register with the sheriff's office of the county in which they reside. The sheriffs' offices are responsible for the registration of sex offenders and do so through Livescan fingerprint devices. This information is then sent to the Arizona Department of Public Safety for inclusion into the State Sex Offender Registry and sent to the FBI's National Sex Offender Registry. The state of Arizona continues to move forward to consistently register all sex offenders within the state. The state of Arizona continues to be a major contributor to the FBI's National Sex Offender Registry System.

Integrated Automated Fingerprint Identification System

The Arizona Automated Fingerprint Identification System (AZAFIS) interfaces with the Integrated Automated Fingerprint Identification System as indicated by outcome measure five of the Arizona Records Quality Index. Arizona has one of the best automated fingerprint identification systems in the United States as indicated by the Bureau of Justice Statistics, *Survey of State Criminal History Information Systems, 2003,* which indicates 95 percent of daily arrests in the state are reported by automated means. Each of the sheriffs' offices within the state has at least one Livescan for the processing of arrestee fingerprints. Law enforcement officers in many of the larger cities in the state have access to Livescans for obtaining the fingerprints and sending them to the Arizona central state repository. All criminal history records within the state are fingerprint-based, which means fingerprints are required for a criminal history record to be initiated and a disposition of charges to be entered into the record.

Summary

Arizona continues to grow, bringing increased need for efficient information management. As the demand for information delivery grows, so too does the need to provide quality and timely information across the justice system. Never before has the need for improving the process for criminal justice information exchange been so recognized. Through information sharing efforts, criminal justice professionals seek to produce much greater efficiency in record and information processing, providing the framework for critical decision-making, and improved quality of justice by allowing for faster and more comprehensive information delivery.

Information is the link that connects independent criminal justice entities into an effective, cohesive criminal justice system. Arizona's Integrated Criminal Justice Information System (AZ ICJIS) and records improvement plan serve as the blueprint to build an infrastructure capable of automating and tracking the complete life cycle of recorded information without duplication of data collection, entry or storage, that enhances the cohesiveness and effectiveness of Arizona's criminal justice system. Arizona has made it a priority to ensure that leaders and professionals at all levels have the information they need to protect our communities.