



Concept For Operations For Integrated Justice Information Sharing Validation Report





**Concept for Operations
for
Integrated Justice Information Sharing**

Validation Report

July 2003

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The opinions, findings, conclusions, and recommendations contained in this publication are those of NASCIO, and do not necessarily reflect the official positions or policies of the Department of Justice.

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CONOPS VALIDATION



Background

VALIDATION REQUIREMENTS

The *Concept for Operations for Integrated Justice Information Sharing* (ConOps) was written to address a need expressed by various organizations for guidance in developing capabilities for information sharing throughout the justice community. In preparation for the final publishing of this report, NASCIO proposed to validate the ConOps message and approach at two sites to identify the strengths and potential gaps in the ConOps report. Subsequent to the validation exercise, the ConOps report would be modified as appropriate for final publication of version 1.0.

VALIDATION SITES

Validation of ConOps was conducted at the Illinois Criminal Justice Information Authority in Chicago, IL and the Department of Public Safety & Correctional Services for the State of Maryland in Baltimore, MD.

These organizations have used the ConOps report as a communication tool and reference in developing information integration capabilities. ConOps was referenced by these organizations specifically for defining fundamental concepts, building a scenario for integrated justice information sharing, developing their strategic plans, and beginning the task of validating the IT architecture.

It is noteworthy that the author of ConOps, Dave Roberts, provided consulting to both of these organizations in parallel with the writing of the ConOps draft report. The concepts and guidance provided in the ConOps report were essentially being tested and delivered as they were being developed.

At this juncture, the efforts toward integrated justice information sharing at both sites have continued to evolve since their original initiatives with Dave Roberts. Therefore, the timing was excellent for involving these two sites in the examination of ConOps, in order to identify what worked well to forward their efforts, and to identify potential gaps.

VALIDATION INTERVIEW APPROACH

NASCIO was interested to know what portions of ConOps were most useful, and determine the voids and gaps that should be backfilled in order to complete and publish the ConOps report. Questionnaires were distributed and on-site validation conferences were conducted to learn the following:

- § What motivated these sites to reference ConOps?
- § What content of ConOps was helpful?
- § What gaps in strategic plans were avoided because of information provided in ConOps?
- § What gaps were identified in ConOps?
- § What should be changed or added in ConOps?
- § What relationship exists between ConOps and site enterprise architecture efforts?



Illinois - IIJIS Planning Committee

The members of the governing board for Illinois Integrated Justice Information System utilized NASCIO's ConOps as a contributing resource for the development of their Illinois Integrated Justice Information System (IIJIS) Strategic Plan. Ken Bouche, the Vice-Chair for the IIJIS Governing Board, and IIJIS board members gathered to provide insight to their efforts, discuss the influence and importance of the NASCIO ConOps report, and offer comments and suggestions for future enhancements to ConOps.

Participants included the following members:

Ken Bouche	IIJIS Governing Board Vice-Chair – Deputy Director, Illinois State Police Information & Technology Command
Carol Cates	IIJIS Assistant Planning Project Manager, Illinois State Police (ISP)
David Clark	Office of the Illinois State's Attorneys Appellate Prosecutor
Carol Gibbs	IIJIS Planning Project Manager, Illinois State Police (ISP)
Steve Prisoc	Associate Director - Illinois Criminal Justice Information Authority
James Hickey	Chicago Police Department
Robert Lombardo	Illinois Criminal Justice Information Authority
Dennis McNamara	Office of the Cook County Circuit Court Clerk
Mark Myrent	Project Manager - Illinois Criminal Justice Information Authority

The overall reaction toward the NASCIO Concept for Operations was extremely positive.

- § ConOps provided the approach for defining fundamental concepts, building a scenario for integrated justice information sharing, and developing their strategic plan.
- § ConOps was used to identify the broader IT architectural and infrastructure issues that must be addressed by state CIOs.
- § It provided a common language for discussing the various dimensions related to integrated justice information sharing with all stakeholders, including executive management.
- § ConOps provided a means for engaging executive management in discussion and visioning activities.
- § It provided the terminology required to communicate effectively with regard to the issues and solutions
- § It provided a primer for bringing everyone involved up to the same level of awareness.

One of the foundational concepts within ConOps is the scenario. The scenario approach to planning was cited as being one of the most important contributions from ConOps. This scenario identifies the future functions, range of information exchanges, and interactions needed among primary entities throughout the justice enterprise for information sharing in Illinois. The current technology for justice information systems was validated against this scenario to identify gaps, which exist today. This approach for analyzing complex information flows, was further leveraged by documenting information exchanges in SEARCH's Justice Information Exchange Model (JIEM), providing comprehensive analysis of triggering events, exchange processes, information content, and exchange partners.

The scenario planning allowed Illinois to create a united vision for justice information sharing.

The present state was documented to a certain level of detail in order to understand current processes and information exchanges. This baseline analysis was necessary to identify gaps and shortcomings in the current interactions and information sharing. The future state was modeled to show how the processes and exchanges should work, taking account of all information exchange partners and justice processes holistically. Participants agreed that it was difficult to determine how much effort and detail should be invested in the documentation of current information exchanges. The desired outcome is comprehensive design, development, and implementation of future information exchanges, and it was soon discovered that this is where the emphasis should be placed.

The Illinois initiative began as a grass-roots effort involving elected officials, appointed officials, administration and technical staff. Faced with limited budget and other resources, the greater justice community within Illinois was originally motivated toward this effort in order to pool funding. However, it soon became apparent that greater effectiveness and new efficiencies would be a direct outcome apart from elementary fund allocation benefits. Various departments and agencies were approached by the IIJIS Planning team to begin collaborating, pooling ideas and resources, and working toward the vision presented in ConOps. This effort took time, persistence, and dedication, and it has already paid large dividends in terms of effective and efficient use of limited resources.

Significant in this effort was Illinois securing an executive order, which spawned the involvement of executive champions from a variety of major justice agencies. At this juncture, the IIJIS strategic plan has been presented by Governor Rod R. Blagojevich to the state, calling for integration of all justice related information systems. The IIJIS board members feel that the guidance provided in the *Concept for Operations for Integrated Justice Information Sharing* played a major role in the development of the IIJIS strategic plan.

SUGGESTIONS FOR ENHANCEMENTS

RETAIN CURRENT GLOBAL APPROACH

It was the consensus of the Illinois team that ConOps is currently an excellent overview of the issues, principles and general approach for achieving integrated justice information sharing. The

approach of the current ConOps report covers the global field of justice without parsing out specifics for law enforcement, courts, or corrections.

The IIJIS board members felt that the current approach is appropriate for this “primer” for integrated justice. They felt that the concepts are easily applied to specific areas of concern and that each jurisdiction will develop these areas based on the requirements within their own environments. For future expansion of ConOps, specific topical areas could take the form of separate reports, or appendices, but are not necessary for the current publication. Some examples of those topical areas suggested by the Illinois team include juvenile justice, intelligence, and homeland security.

INCIDENT LEVEL DATA

Interoperability must include those items that help police officers solve crimes, such as Computer Aided Dispatch (CAD) systems involving incident level data, voice, and graphics. It would be beneficial for ConOps to include this important aspect of justice, exploring horizontal integration concerns and solutions. This item was suggested as a good candidate for future reports.

BIOMETRIC IDENTIFICATION

Biometric identification will continue to be an important dimension for criminal investigation. Biometric data will be stored in a central repository and accessed by multiple law enforcement, investigation, and prosecution agencies. This item was suggested as a good candidate for future reports.

CONOPS PROJECT FACILITATION GUIDE

The Illinois team had the benefit of working with the original author of the ConOps report. The team felt his mentoring was a contributing factor to the successful execution of the guiding principles, dimensions, model functions, exchanges, and roles as outlined in ConOps.

Much effort can be conserved through the use of a mentoring document that would “coach” a project team on how to proceed and progress through a ConOps initiative and provide tips about issues that may emerge along the way.



Maryland - Department of Public Safety & Correctional Services

Participants included the following members:

Judi Wood	CIO, Department of Public Safety & Correctional Services, State of Maryland
Peggy Phillips	Acting Deputy Chief Information Officer for Information and Communication Division for the Department of Public Safety & Correctional Services Division
Bob Robinson	Director of Design, Information Technology and Communications Division, State of Maryland
Kris Shelor	Senior Architect, Maryland Department of Budget & Management, Office of Information Technology

As with the IIJIS Governing Board, the draft Concept for Operations was well received by the team members in Maryland. The Department of Public Safety & Correctional Services (DPSCS) for the state of Maryland had identified the need for information sharing, and was proactively looking for expertise and knowledge in this area. Judi Wood, CIO for DPSCS, recognized that ConOps presented the concepts and approach she needed to implement her vision for integration and interoperability of processes and information within Maryland's justice community.

ConOps is used in Maryland as a Primer and communications tool.

DPSCS used ConOps together with NASCIO's report *Toward National Sharing of Governmental Information* (Toward National Sharing) to pull together support from the governor and various agency secretaries. This effort started as a grass roots effort and later received executive support to evolve into a top down approach.

DPSCS then leveraged the work in Illinois to create its own strategic plan. Once the strategic plan was completed, ConOps was used as a communication tool to help describe the organizational impact of the strategic plan. The strategic plan for DPSCS includes law enforcement and information systems.

SUGGESTIONS FOR ENHANCEMENTS

RETAIN CURRENT GLOBAL APPROACH

The primary suggestion made was to keep ConOps as is. It is currently fulfilling a number of purposes. ConOps is an excellent primer for those new to the subject of interoperability, information sharing, and enterprise architecture within justice. ConOps presents the

foundational legislative requirements, guiding principles, information exchanges/conversations, dimensions, model functions, and roles and responsibilities. ConOps prepares the reader for the planning, design, and implementation phases of creating capabilities for justice information interoperability.

If too much detail is presented early in the process, it would be counter-productive. The current ConOps is a manageable manuscript for the beginner, and quickly provides a convincing, compelling message for the need for interoperability, and provides a high-level view of the delivery and approach for achieving such interoperability.

FUTURE EXPANSION – CONOPS LIBRARY

As stated previously, the Maryland team felt that the current ConOps is, and should remain, at a higher level of abstraction. Additional separate reports could be written in the future to further explore the concepts presented in ConOps and expand the concepts into other topical areas. A scenario to address wireless, performance measures, and operational requirements are good candidates for expansion in the future. Additional topical areas, provided by the Maryland team, include application of the concepts and principles within criminal justice, juvenile justice, courts and corrections.

EMPHASIZE UNIVERSAL OPERATIONS REQUIREMENT

The Maryland team felt that the Universal Operational Requirements, which are of primary importance, get lost in the midst of the chapter. Bringing these to the forefront would provide greater emphasis and be easier for the reader to identify.

MEASUREMENTS – A STRONGER MESSAGE

As DPSCS moves forward with integration efforts, metrics have become an important means for establishing baseline capability and monitoring progress toward integrated information sharing.

The team members from Maryland felt that it would be beneficial for the section on measures to include examples of the benefits of defining good measurements and/ or the risks of not collecting critical measurements. These examples would help to stress the importance of metrics and the critical role metrics play in the realm of interoperability and justice integration.

Metrics is one topic that could be added as a separate report to the ConOps Library, as part of future expansion. Some of the important issues that could be covered include, but are not limited to:

- § Measures must demonstrate the importance of interoperability and information integration.
- § Measures must be meaningful to policy makers and must demonstrate that such a concept of operations is indeed a necessity, and not just a “nice to have.”
- § Measures must be traceable to the strategic intent of the agency.
- § Measures may be specifically related to objectives that are clear and crisp – describing “by when” and “how much.”
- § Measures will help establish the baseline effectiveness of information sharing, and provide the vernacular for establishing future expectations as the information sharing capability matures.

AUDITS

For integration and information sharing to be a sustained activity, it must be audited. If an enhanced integration capability is important to an agency, that agency will conduct periodic audits of performance to ensure the continued effectiveness of that capability. The team in Maryland felt that the need for audits should be referenced in version 1.0 of ConOps and Audits for ConOps Projects would be a good topic for future enhancements, or additional publications. Audits may also be more classical in nature, comparing a program against nationally recognized standards like the Information Systems Audit & Control Association's COBIT Standards.

NATIONAL FORUMS

Maryland's efforts have been highly influenced by NGA, SEARCH, and the Department of Justice. The influence of these forums was critical to enabling their planning effort. Future efforts applied at the state and federal level should fully partner with and leverage these types of forums. Readers should be encouraged to leverage these resources.

HORIZONTAL INTEGRATION

The Maryland Team members felt that ConOps does a good job of describing vertical integration issues. However, because incident level data needs to be recorded and shared across various agencies, they felt that additional content developed around horizontal integration and crime patterns could be beneficial for future expansion reports.

ROLES & RESPONSIBILITIES MATRIX

The Maryland team felt that it would be helpful for future versions of ConOps to include an example of a matrix, or relationship map that presents the impact points that exist between various jurisdictions and roles. This example would provide an approach for jurisdictions to rationalize relationships for developing future ConOps initiatives.

For example, some crimes have both state and federal implications for sentencing. Typically jurisdiction is turned over to achieve the heavier penalty. This relationship should be documented in the matrix. This would be helpful to the prosecutors so they understand their touch points. Analysis of these processes would bring consistency and better leverage of limited resources.

CONOPS PROJECT FACILITATION GUIDE

Both sites had the benefit of working directly with the author of ConOps in the development of their initiatives. Considering that few sites will have the benefit of this mentoring, suggestions have been made to create a supplemental document that would include salient advice typically provided by a mentor. This would tie together concepts presented in ConOps with the actions that are critical to working through the strategic planning process. Actions include the establishment of strategic intent in the way of explicit mission, vision, goals, objectives, and strategies. These, in turn, lead to the identification of capabilities for delivering on that intent. This approach is not detailed in ConOps, but was an integral part of the mentoring provided by the ConOps author.



SUMMARY



Applied Updates

All suggestions were considered and are addressed in Version 1.0 of the Concept of Operations or have been identified as possible topics future versions and/or reports. The ConOps draft report has been moderately modified for grammatical structure. Based on the recommendations from both sites, ConOps has and will be essentially maintained in its original form.

The updates that are included in ConOps Version 1.0 cover the following:

- § Enhancements to readability and flow
- § Verification of consistent terminology
- § Addition of graphics and charts
- § Additional emphasis for measurements
- § Move of Universal Operational Requirements to forefront
- § Adjust of text for Operational Requirements samples to accommodate move
- § Addition of paragraphs to encourage use of national forums
- § Addition of paragraphs to stress importance internal and external audits

Areas to be considered for expansion in future versions of ConOps are as follows:

- § Metrics
- § Horizontal integration
- § Roles and responsibilities matrix



Ideas for the Future

ConOps will be enhanced and updated over time in an iterative fashion. The recommendation from both sites was that the original ConOps report be packaged and published “as-is” (no major additions). The Concept for Operations for Integrated Justice (ConOps) with its global approach would serve as an excellent “primer” document.

This document can be used as a communication tool to introduce the concepts of integration, and the vernacular needed to facilitate communications between the architecture team, executive steering committee members, and integration partners. For future expansion, ConOps will be enhanced to include additional content, however, that content will be developed and published as additional, separate reports.

Expanded scenarios and topics for future report content *could* include the following:

Scenarios

- § Corrections
- § Courts
- § Juvenile justice
- § Parole
- § Other business areas

Topics

- § Audits for ConOps Projects
- § Biometrics
- § ConOps Facilitation Guide
- § Homeland Security
- § Horizontal Integration
- § Incident level data
- § Intelligence
- § Wireless communication
- § XML



Conclusion

ConOps was a foundational reference for both validation sites in the development of their strategic plans, as well as the communication of concepts of integration, and enterprise architecture. Representatives from Illinois and Maryland stated that ConOps describes important concepts that are particularly relevant to achieving integration across various agency business processes and systems in a concise, global document. It has provided a neutral, and credible reference point that enables and enhances communication.

In Illinois, ConOps was used to define fundamental concepts, build a scenario for integrated justice information sharing, and develop their strategic plan. Through its validation, Con Ops effectively becomes the business function standard against which planning and development can be benchmarked.

ConOps is anticipated to become a key reference document that will evolve into a library of documents covering a number of subject areas related to the pressing need for inter-agency collaboration and information sharing.

The ConOps report has been validated as an important reference document describing the link between the business requirements of justice, and enterprise architecture. Future ConOps reports will continue to explore inter-enterprise architectures at various levels of abstraction. The current ConOps report will remain a primer for these concepts.

NASCIO wishes to express its sincere appreciation to the teams from Illinois and the Maryland for their generous participation in the validation of ConOps. Both of these states provided valuable insight and visioning for future viability of ConOps.