



**ADOA - ASET**

Arizona Strategic Enterprise Technology

**Project Investment Justification**

**Version 01.01**

**A Statewide Standard Document for Information Technology Projects**

**Project Title: Arizona Statewide Electronic Arrest Warrant Project**

<b>Agency Name:</b>	<b>Arizona Criminal Justice Commission (ACJC)</b>
<b>Date:</b>	<b>July 11, 2014</b>
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## I. Management Summary\*

The Arizona Criminal Justice Commission (ACJC) is tasked by the Governor’s Office with a mission to “sustain and enhance the coordination, cohesiveness, productivity and effectiveness of the Criminal Justice System in Arizona.” In November 2013, the ACJC formed a multi-agency Executive Steering Committee that included the Administrative Office of the Courts and the Department of Public Safety to guide development of a strategic assessment. The scope of this assessment was to review key criminal justice processes and identify opportunities to improve operational efficiency and data quality through an enhanced technological infrastructure. During the second meeting in January 2014, the executive steering group expressed a desire to emphasize improvement in two types of criminal records: criminal history and arrest warrants. Analysis presented by the ACJC’s Statistical Analysis Center (ACJC-SAC) was the basis for this conclusion and indicated that disposition information is missing in almost 30% of criminal cases. Likewise, AOC arrest warrant studies conducted in 2012 and 2013 found that in many jurisdictions, the regularity of errors introduced in large part due to duplicate data entry, has made the current process not only inefficient but results in extensive delays in warrant entry. **Improving the efficiency and timeliness of the arrest warrant process by enabling timely sharing of information is the focus of the Arizona Statewide Arrest Warrant Project (ASAWP) initiative.** Every year, over 600,000 add, update and cancel transactions involving arrest warrants are transmitted to the Arizona Department of Public Safety (DPS) by law enforcement agencies acting as the arrest warrant holder of record. The holder of record is a law enforcement agency such as a county sheriff, local police department or the Arizona Department of Public Safety who takes responsibility for entering and maintaining arrest warrants from the point at which they are issued by a court until they are either cancelled or served. This process is almost entirely paper driven and requires entry of the same basic warrant information multiple times across multiple systems. The ASAWP workflow management system proposed herein will improve this process by eliminating duplicate data entry and streamlining workflow through the use of electronic data exchanges.

## II. Project Investment Justification (PIJ) Type\*

Yes  No Is this document being provided for a Pre-PIJ / Assessment phase?

If Yes,

Identify any cost to be incurred during the Assessment phase.	\$
Based on research done to date, provide a high-level estimate or range of development costs anticipated for the full PIJ.	\$

Explain:

6T

Yes  No Will a Request for Proposal (RFP) be issued as part of the Pre-PIJ or PIJ?

## III. Business Case

## **A. Business Problem\***

In 2012, the Administrative Office of the Courts conducted an in-depth analysis of the existing arrest warrant system in Arizona. This nine month study determined that because the arrest warrant process is completely paper driven, there are a number of systemic delays and inefficiencies. It identified five key business challenges associated with arrest warrants:

**1. Lack of uniform process for arrest warrants:** The lack of uniformity across jurisdictions exists at two levels; the business process and in the format of the arrest warrant itself. This was confirmed during additional on-site meetings. Across Arizona, practitioners desire consistency in the arrest warrant process. They feel that implementing a consistent process will not only improve data quality, but also address issues related to timeliness. Development of the ASAWP will help make this a reality by codifying a common arrest warrant business workflow. This standardization will be accomplished through a series of facilitated sessions by building on points of commonality that currently exist throughout the state such the entry of warrants into the statewide warrant repository (ACJIS).

During the design phase of the ASAWP project, we identified at least 100 variations of the arrest warrant. Currently, virtually every court in Arizona maintains their unique version of the arrest warrant. This creates a number of challenges – especially in agencies like the Department of Public Safety who is responsible for entering warrants for dozens of different Arizona courts. These variations make it difficult for law enforcement officers and warrant entry clerks to find and interpret the information on an arrest warrant since the positioning of information varies greatly. During a March 2014 meeting of the Arizona Presiding Judges meeting, there was general agreement that not only should there be a standardized set of arrest warrants, but that the AOC should develop a series of Court Rules that mandates their use. The AOC is currently pursuing a process to reconcile the different warrants into a common set of warrants.

**2. Wasted resources from duplicate data entry:** In some jurisdictions, when a warrant is issued by the court it can take up to three weeks before the warrant is entered into the ACJIS warrant repository. During this period, although the judge (and the other case parties) may believe that there is an active warrant issued against a subject, there is no information about this available to law enforcement officers that may interact with the defendant.

Throughout the current paper driven process, the arrest warrant is manually entered into multiple systems – each of which can introduce data entry errors. The problem is significant enough that as part of their quality assurance process, holders of record will review case documents such as the incident report to verify information on a warrant prior to entry in ACJIS. In fact, a number of agencies report incorrect demographic information on the arrest warrant and even situations where suspect and victim information has been swapped. In situations where these types of significant errors exist, the agency must return the warrant to the court for correction – which is a major source of entry delays.

**3. Lack of Warrant Status Updates:** Law enforcement investigators, prosecutors, and the courts all

would like to receive real-time notification when activity occurs on a warrant. Investigators would like to know when a warrant has been served-especially if a subject is under investigation in other cases. Likewise, prosecutors often only find out about a warrant being served when the subject appears at an initial court appearance following arrest. Finally, courts are interested in notifications based on the passage of time. In transient, college communities like Tucson, the court will review all outstanding arrest warrants five years after they are issued. This leading practice is entirely manual and is designed to ensure that low-level warrants do not languish in the statewide repository without ongoing judicial review and oversight. However, it is a practice that has not been implemented in any other Arizona jurisdictions - meaning there are many low-level warrants in the repository which must be validated and maintained on a regular basis (see validation below).

**4. Manual Arrest Warrant Validation:** Once issued and entered into ACJIS, the status and demographic information must be 'validated' throughout the life of the warrant. This validation process is completely manual and very time consuming. On a monthly basis, agencies receive warrant validation lists from DPS that on average identifies almost 2,000 warrants. The law enforcement holder of record and the issuing court must then look up every warrant listed on that report in their records/case management system and confirm the warrant status and demographic information on that warrant. Although the underlying software can be easily developed to perform this function, the current systems are not set up to automate this function.

**5. Limited Warrant Visibility:** When serving a warrant, many law enforcement agencies require a copy of the warrant before they will arrest the subject. This necessitates that the warrant 'holder of record' first locate the warrant and then fax it to the arresting agency – both of which can be a time consuming process.

## ***B. Proposed Business Solution\****

In 2013, the AOC hired a business analyst and a technical consultant to design an electronic statewide arrest warrant workflow system to address the five primary business problems described above. The AOC worked with the National Center for State Courts (NCSC) and SEARCH and identified two options for implementing the ASAWP.

The first option envisioned a custom developed solution which is the approach taken by many states. While remaining a viable option, this option introduces several significant risks. The current backlog of projects being developed by the AOC is significant. The resource strain involved in developing and then maintaining a solution would be significant and could not only negatively impact the ASAWP, but also other key AOC initiatives. This, in conjunction with the risks inherent in any custom developed software initiative caused the AOC and their consultant to consider alternative options.

At its core, the ASAWP is an electronic workflow system. Primary functionality is focused on the ability to process arrest warrants electronically through a series of task related electronic work queues and the

ability to share information electronically. Given these requirements, there are several commercial off-the-shelf (COTS) systems that potentially meet these needs.

As such, the ASAWP is recommending the implementation of a COTS workflow solution that will be configured to implement a common statewide arrest warrant process. This system will allow the AOC to standardize the workflow associated with an arrest warrant and implement statewide standards regarding the content and format of an arrest warrant. It is important to note that the off-the shelf solution must be configured to meet ASAWP business requirements. These tools are specifically designed for this type of modification and are able to be flexed to meet customer requirements. Using a COTS workflow product to implement the ASAWP is an innovative approach. However, the technical consultant hired to design the system is an expert in using Microsoft Dynamics to implement complex workflows.

The AOC places high degree of confidence in the proposed design. However, given the pioneering approach, prudence suggests that a proof-of-concept (POC) implementation is necessary to ensure that the basic technology can meet the business functional and non-functional requirements before committing to a full implementation of the design (see Phase I of the Implementation Approach described below).

As part of the ASAWP design project, the AOC engaged the National Center for State Courts and SEARCH to reach out to other states and conduct a survey on the availability of a commercial off-the-shelf (COTS) product that can be used for statewide arrest warrant management. After extensive research, they reported that no commercial product exists for statewide arrest warrant management. With that determination, the ASAWP team began to explore alternatives. The most promising design envisions using a COTS workflow management system.

A number of COTS workflow products were considered, including Microsoft Dynamics and Salesforce CRM. However, because Microsoft Dynamics is a highly recognized product, it was selected as the workflow management solution. First, the underlying database, Microsoft SQL Server, is a standard at the Administrative Office of the Courts. Utilizing a standard database will simplify both licensing and ongoing database administration. Second, Microsoft Dynamics is well recognized for its ease-of-use and ability to integrate with other Microsoft products. Third, there is a readily available community of software developers with experience in creating Microsoft Dynamics solutions. Finally, although competing products such as Salesforce CRM meets many of the requirements, per user costs are significantly higher. Below are the ways that the key business challenges will be addressed with this system.

1. **Standardized Business Process:** In conjunction with local jurisdictions, AOC will develop a comprehensive business process workflow that meets local agency needs and requirements. This workflow will be codified within Microsoft Dynamics – effectively enforcing a single, standardized workflow by only permitting the use of the standardized workflow defined within the workflow management software.

**2. Enter Information Once, Use Many Times:** The arrest warrant template that will be implemented within Microsoft Dynamics will ensure that once information is entered, it does not need to be reentered. For example, when a prosecutor requests a warrant they will typically indicate a subject name and basic demographics. That identity information will be included in the court warrant request. The court will then add additional information to the underlying warrant such as the assigned court case number, bond and extradition information and the judicial approval. That packet of information (including the demographics entered by the prosecutor) will then be forwarded to law enforcement for warrant packing. Warrant packing involves querying local and statewide systems for mug shots, registered vehicles and to identify any aliases that the suspect has used in the past. Packing information is combined with information originally entered by the prosecutor and court and exchanged with the Department of Public Safety for entry into the ACJIS system. At this point, that warrant information is now available to all Arizona law enforcement agencies and possibly nationally, depending on whether the warrant was flagged for inclusion in the FBI National Criminal Information Center (NCIC).

**3. Real-time Activity Notification:** Business rules can be established in Microsoft Dynamics that make it very straightforward to automatically notify interested parties when a warrant event occurs such as warrant service or the passage of time. Participants can be notified through a number of mechanisms including email and internal messages to their work queue.

**4. Automatic Arrest Warrant Validation:** Microsoft Dynamics includes a software development kit (SDK) that will be used to extend the basic functionality of the system. Although incremental versions of the software may modify the SDK interface, the system is designed and maintained with the goal of minimizing impact. ASAWP will enhance Microsoft Dynamics so that warrants can be automatically validated against information stored within systems that have been integrated into the ASAWP. Currently validation occurs three months after warrant issuance and then every year thereafter. With an automated system this validation could occur nightly – ensuring that the status and information on arrest warrants remains consistent across all system.

**5. On-Line Warrant Access:** If an agency requires a copy of the warrant prior to service, they can provide the service themselves by accessing ASAWP portal, retrieving the indicated warrant, and printing it using their in-car printers. Microsoft Dynamics features an integrated and robust access management system that allows system administrators to manage permissions at the individual or user group level. When needed, the system can even manage access for individual records (i.e., if the court determines that an arrest warrant is so sensitive that only specified and individual users should be able to access the record).

**C. Quantified Benefits\***

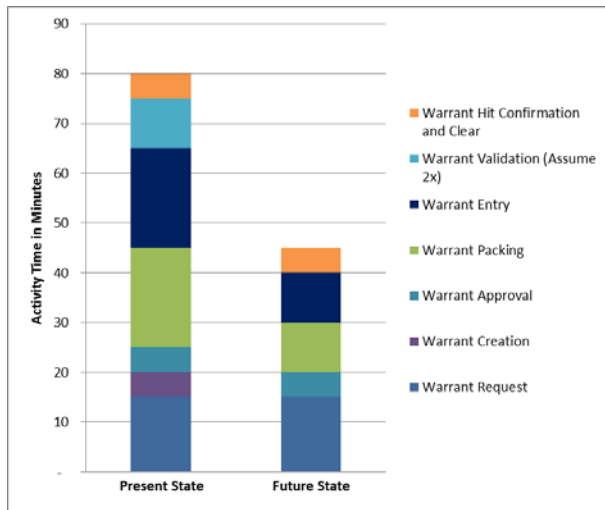
- Service enhancement
- Increased revenue

- Cost reduction
- Problem avoidance
- Risk avoidance

Explain:

**Service Enhancement:** Implementation of a standardized workflow will ensure that an arrest warrant issued by a General Jurisdiction (GJ) or Limited Jurisdiction (LJ) court is available to law enforcement immediately after it is authorized by a judicial official and reviewed by the holder of record. This will help not only expedite the process, but the use of basic edit checks will reduce the number of warrants that are returned to the court by law enforcement for missing/erroneous information.

**Cost Reduction:** It is estimated that the implementation of the system will reduce warrant processing



time by 47%, thereby making the arrest warrant process significantly more efficient. This time savings derives through the reduction of duplicate data entry (27%), automation of queries required for warrant verification (10%), and automation of the annual validation process (10%).

**Problem Avoidance:** Currently, the paper driven process is neither efficient nor effective. We anticipate significant time savings during entry and ongoing maintenance of the arrest warrant. Moreover, as many as 120,000 arrest warrants in Arizona are not entered into ACJIS and are maintained only in a local records management system. Only law enforcement officers associated

with the agency holder of record has access to these outstanding warrants – creating significant officer safety issues. These warrants were authorized by a municipal court but were not entered into the ACJIS system because of the need for duplicate data entry. Implementation of the ASAWP system will eliminate this practice of ‘local-only’ warrants because it will eliminate the need for duplicate entry into ACJIS.

**Risk Avoidance:** As described above, this system will expand visibility of warrants to ensure that all warrants are available to all law enforcement personnel.

## IV. Technology Approach

### A. Proposed Technology Solution\*

#### Methodology:

In 2013 the Administrative Office of the Courts contracted with Waterhole Justice Consulting and Expert Technology Services to identify the specific functional requirements that would be required for a statewide electronic arrest warrant system. A project team comprised of 25 subject matter experts was formed to provide governance, input and oversee execution of the requirements, analysis and design of the project. This project team included stakeholders from the AOC, local Superior Courts (Maricopa, Pima, Yavapai), local municipal courts (Glendale), Maricopa

CJIS, DPS, Attorney General's Office, law enforcement (Maricopa Sheriff, Pima Sheriff, Coconino Sheriff, Scottsdale Police), and prosecutors (Phoenix City, Maricopa County Attorney). Over the course of six months, Waterhole worked with the project team and on-site focus groups to identify specific functional requirements. From April until June 2013, the team conducted a series of on-site focus group meetings around the state with experts from law enforcement and courts (see Figure



1). Waterhole consultants reviewed findings from these focus group meetings and identified 78 distinct functional requirements (see Appendix A). Bi-weekly, the project team reviewed these functional requirements to clarify and consolidate requirements. Once a comprehensive list was compiled, the project team reviewed each requirement and assigned a priority from one to three to each requirement from (a rating of three indicates core functionality that is necessary for basic implementation). Waterhole then worked with the

consultant from Expert Technology Services, an expert in implementing workflow solutions, to determine the number of hours necessary to implement each functional requirement. These hours were broken into three categories –development hours, systems analysis and system testing. Given the number of organizations involved in the project, the team felt there is a need for a full-time project manager to oversee the project and mitigate risks during the four years of active development.

During 2013, the Expert Technology Services consultant participated in the project team and focus group meetings and began to develop the architecture design. This design was reviewed during multiple meetings starting in July 2013 and a final design review was presented to the project team in November 2013.

As noted previously, a core piece of functionality for the ASAWP involves integration with legacy records and case management systems. During meetings with the project team and later with the ACJC Executive Assessment team, it was determined that the ASAWP budget would focus on integration with the most commonly used systems in Arizona. These systems include integration with Arizona DPS systems (RMS and the ACJIS), the top three law enforcement records management systems, the top three superior court case management systems (iCIS, AJACS and AGAVE), and the statewide probation case management system.

### **Implementation Approach:**

Early during the design phase, the project team defined the arrest warrant types that are considered in-scope and would be implemented as part of the ASAWP. Furthermore, the team determined that the project scope would not include replacement of the ACJIS system. The degree of ACJIS interconnectivity as well as the underlying system complexity would significantly increase not only the risk but also the cost of the ASAWP. Finally, the team evaluated the relative levels of complexity required to implement each of the arrest warrant types. Based on this scope, implementation of the ASAWP was broken into four phases:



**Phase I (Months 0-9):** Although the COTS technology that will provide the core functionality for the project has been proven in commercial applications, it has never been used by a justice organization as part of a statewide arrest warrant project. As such, we recommend an initial proof-of-concept (POC) implementation involving:

- A single warrant type (i.e., Failure to Appear Warrants),
- In a single Arizona county,
- Using existing AOC hardware,
- Utilizing free, developer versions of the Microsoft Dynamics license.

At the conclusion of this phase, the AOC and project personnel will determine whether Microsoft Dynamics provides the best return on investment for the ASAWP.

**Phase II (Months 9-30):** Failure to appear warrants represent over half of the warrants that are entered into ACIC and is likely to be the focus of the Phase I Proof of Concept. Because they are initiated and approved by the judge, implementation only involves only two stakeholders, the court and law enforcement. During this phase, we will implement core ASAWP workflow and the core functional requirements associated with failure to appear warrants. The ASAWP system will be integrated with the DPS ACJIS, and records/case management systems. We will work with agencies that are not using one of the integrated records/case management systems to ensure they have the training and permissions to access the system through the web-based ASAWP customer portal. This portal will include all of the functionality possible with integrated systems.

During this phase, we will be purchasing Client Access Licenses (CAL) which will permit end-user access to the system. A CAL is the Microsoft licensing approach that gives an individual user or device the right to access services provided by the ASAWP system. Our proposal for Microsoft Dynamics indicates two different types of license:

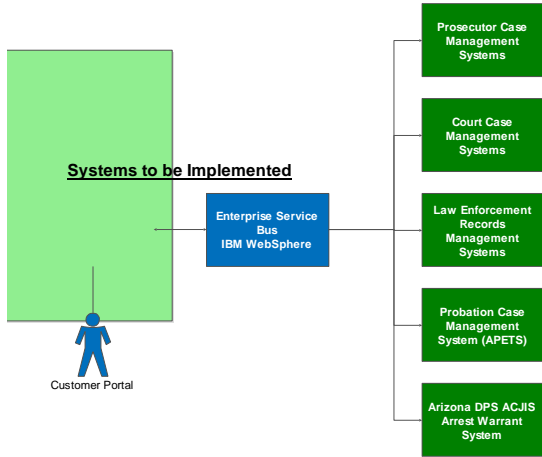
- **User Basic:** Our budget anticipates 750 user basic licenses. This license provides the ability to use all of the capabilities implemented by the ASAWP but not the ability to modify workflow, business rules or other user defined parameters such as warrant bond amounts (which is defined at the jurisdiction level). This figure was determined based on the number of warrants each of Arizona's 363 Holder of Record agencies have in the current arrest warrant system (ACIC). For example, the 78 agencies in Maricopa County collectively have almost 120,000 arrest warrants in ACIC. We have allocated 156 licenses to these agencies which represents at least 2 licensed user/devices per agency.
- **User Professional:** Our budget anticipates 150 user professional licenses. Among other things, these users are granted the ability to modify workflow – although only the AOC will be permitted to define and modify workflow. Locally, professional licensed users will be able to modify business rules and other user defined parameters such as the warrant bond amount. We anticipate only local and state (AOC) court personnel will have the authority to modify business rules and parameters. As such, the number of licenses has been determined by allocating one professional license to each court with productivity of at least 100 cases per year.

**Phase III (Months 30-38):** During this phase we will implement probation warrants which will require an interface with the Adult and Juvenile Probation case management system, APETS.

**Phase IV (Months 38-48):** During this phase we will implement the warrants that require the involvement of county and municipal prosecutors. These warrants include grand jury, misdemeanor and direct file felony warrants and tend to involve very sophisticated workflows. This phase will include integration with Maricopa County ICJIS.

**High-Level Architecture:**

*Workflow Services:* As described previously, the AOC anticipates using Microsoft Dynamics to facilitate workflow development and operational management. The workflows will be developed in conjunction with local subject matter experts (SMEs) in a series of Joint Application Develop (JAD) sessions.



*Customer Portal:* Development of web based user interface screens will be accomplished through use of the Microsoft Dynamics NAV Web Client tools. The development tools and concepts built into Microsoft Dynamics NAV permits the rapid creation of a [Document Page](#) that will allow users to view

their pending work queue so they can process a warrant by adding and updating information and triggering the next task on a warrant based on the workflow defined in the workflow services.

*Enterprise Service Bus:* The Enterprise Service Bus (ESB) provides the tools necessary to facilitate communication with external systems such as records and case management systems. Although data exchange with these external systems can be implemented without an ESB, the system performs a number of significant tasks such as message queueing. For example, if a system is not currently available, the ESB will queue data exchange messages until that system is back on-line and functioning. Moreover, use of an ESB guarantees receipt of the message once it is send from the originating agency. This is very important when considering the implications of ‘lost’ arrest warrants. The AOC and DPS have extensive experience in implementing data exchanges using the ESB and message queues and both maintain enterprise licenses to IBM WebSphere MQ – a leading middleware solution that is also used in a number of County Courts. The AOC and DPS will provide technical assistance to any agencies looking to integrate case/records management systems with the ASAWP (see below).

*Records/Case Management Systems:* The current budget includes interfaces with nine external case/records management systems. These systems include the Department of Public Safety ACJIS, four COTS law enforcement Records Management Systems, the probation case management system, two court case management systems and Maricopa CJIS which already processes warrants for the Maricopa County Superior Court and is expected to be implemented in as many as eighteen municipal courts. Integration with these systems will serve to eliminate virtually all of the duplicate

data entry. The interface specification will use NIEM XML. NIEM has become a national standard and all of the RMS vendors have experience with implementing NIEM-based data exchanges.

## **B. Technology Environment**

Implementation of the ASAWP will involve COTS software, custom software development, and integration with existing systems. The system will be hosted at the Administrative Office of the Courts on a Generation 8 Hewlett-Packard BL460c Bladed Server.

### **• Off the Shelf Software:**

- *MS Windows DC 2012*: This operating system is specifically designed to support bladed servers in a virtualized environment. The cost for Windows DC is included in the CDW-G/HP quote.
- *Microsoft SQL Server 2012*: SQL Server is used for Microsoft Dynamics object persistence. The cost for the SQL Server license is included in the CDW-G/HP quote.
- *Microsoft Dynamics Server License*: Server licensing provides the basic capabilities at a server level. Note that the licensing model used by Microsoft places most of the expense on the individual user license. The cost for the server license is included in the SHI quote.
- *Microsoft Dynamics per User License*: There are two classes of user licensing: Basic and professional. The basic license provides the ability to view and process queues and use data entry screens. The professional license allows modification to work queues, workflow, and administration of users. The cost for these licenses is included in the SHI quote.
- *Server Virtualization*: Server virtualization will allow us to ensure that hardware utilization is maximized and is included in the pricing. The cost for the VMWare license is included in the CDW-G/HP quote.
- *IBM WebSphere MQ*: The AOC and DPS currently maintain an enterprise license and server to manage communication with external systems. We envision the ASAWP would use this same server and no additional licensing cost is anticipated.

### **• Hardware**

- The hardware uses HP Generation 8 bladed servers. The pricing for the full system is included within the quote from CDW-G/HP.
- The hardware specs were based on Microsoft recommended specifications with a base install of 1,000 users and assumes 1,000,000 transactions per year.

### **• Service:**

- Five years of support has been included with the CDW-G/HP Quote.
- Installation Service, Delivery and Handling Costs and Taxes are incorporated into the CDW-G/HP quote as well.

### **• Configuration:**

- We anticipate that 52 of the 76 functional requirements indicated in Appendix A can be fulfilled through configuration of Microsoft Dynamics.
- Although we anticipate that consultants will be the primary developers of the software, the AOC will involve project staff and ensure they understand the system sufficiently to be able to maintain the system on an ongoing basis.

### **• Custom Software Development:**

- We anticipate that 24 of the 76 functional requirements will require custom software development using the Microsoft Dynamics Software Development Kit (SDK). Although custom development only accounts for approximately one-third of the overall cost, we have allocated significantly more hours to each piece of functionality to ensure that we are able to meet the budget and timelines.
- Custom software extensions will be developed using .NET and the Microsoft Dynamics SDK. As with the Dynamics configuration, we anticipate that AOC technical staff will be extensively involved during the custom software development to ensure they are familiar with the implemented capabilities. Moreover, the AOC currently develops software using .NET.
- Custom software development of course introduces a number of additional risks in to a software development project. The AOC Information Technology Division/Project Management Office uses a formal software development methodology that incorporates the use of templates and formal sign-offs to streamline and document communication from business users and stakeholders.
- As part of their formal development methodology, the AOC maintains an on-line issue tracking system for documenting software issues and their resolution. All aspects of the ASAWP initiative including the integration, custom development and configuration pieces will utilize this tracking tool during development and as part of the AOC's post go-live support.

**Integration:**

- Integration is anticipated with nine external systems:
  - Arizona DPS: Legacy ACJIS System which will remain the official repository
  - Court Case Management Systems:
    - AJACS: Used by 13 Arizona Superior Courts and being expanded to Limited Jurisdiction Courts
    - AGAVE: Used by Pima County Superior Court
  - Law Enforcement Records Management Systems (RMS): Agencies using one of the four vendors below represent 96% of all warrants entered into ACJIS. Our strategy is to implement with each of these vendors using a common agreement that ensures the interface is made available to all agencies using that RMS in Arizona.
    - Intergraph
    - New World
    - Spillman
    - ARIES
  - Probation APETS: Will be used by probation officers to request warrants for violation of probation.
  - Maricopa ICJIS (includes iCIS): Maricopa County has developed an arrest warrant system that is currently used by Maricopa Superior Court. The warrant system will interface with Maricopa ICIS to ensure we maintain a comprehensive inventory of all warrants.
- We have allocated \$97,500 to implement each of these interfaces. Based on the NIEM IEPD data specification and the integration points indicated in the ASAWP design, several vendors indicated that this is an appropriate budget.

### **C. Selection Process**

An extensive survey conducted nationally by the Administrative Office of the Court, SEARCH and the National Center for State Courts failed to identify any COTS product that can be used for statewide arrest warrant management. Consequently, the ASAWP Project Team needed to identify an alternative approach. Two approaches were considered: a custom database solution and a COTS workflow management system.

Given the extent of the project, the ASAWP team felt that a hybrid approach – one that leverages the intrinsic capabilities of a COTS workflow management system that can be extended through a software development kit would offer the best balance between a custom solution and attempting to leverage commercial software.

A workflow management system allows for definition of data entities and provides the essential tools to develop custom user interfaces and workflow systems required to implement business processes and approval workflows.

Moreover, the workflow management system has the following advantages over a custom database solution.

- Faster overall implementation compared to a custom database solution.
- Included workflow configuration ability.
- Managed user interface objects.
- Built-in alerting and notifications.

## **V. Project Approach**

### **A. Project Schedule\***

**Project Start Date:** 7/1/2015      **Project End Date:** 7/1/2019

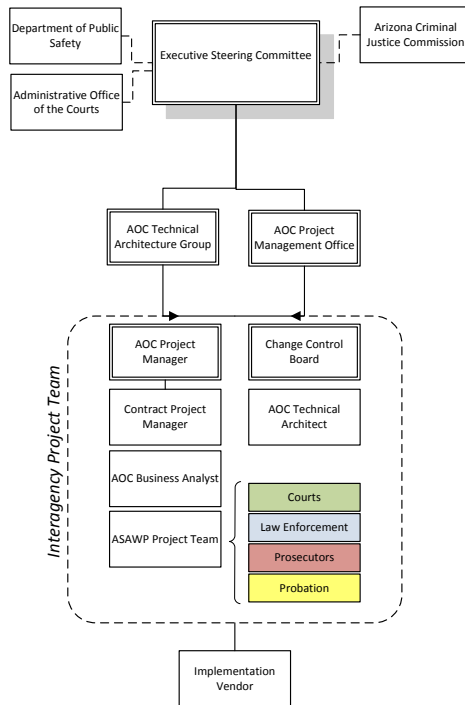
### **B. Project Milestones**

See Implementation Approach for identification of project milestones.

## VI. Roles and Responsibilities

### A. Project Roles and Responsibilities

Although the official project sponsor is the Administrative Office of the Courts, because



of the diverse nature of the project, multiple agencies will be involved in the implementation governance structure to ensure adequate representation across all arrest warrant key stakeholders.

**Executive Steering Committee:** Meetings with the executive steering committee will occur monthly. During these meetings the committee will receive a status update and review issues that are referred from the Project Team on significant business challenges – especially those that cross multiple disciplines. The Executive Steering Committee will be made of the Directors and/or their designee of the AOC, DPS and ACJC.

**AOC Technical Architecture Group:** Headed by the AOC Technical Architect, Steele Price, this team ensures that the

proposed technology for the project meets AOC guidelines and key architecture principles.

**AOC Project Management Office (PMO):** The AOC PMO is the organization most responsible for developing project management principles, templates and ensuring their utilization. They are also responsible for ensuring that project management toolsets such as Microsoft Project are correctly used throughout the life of the project. They will maintain an oversight role for the ASAWP to ensure that leading practices are adhered to.

**Interagency Project Team:** The structure defined within the dashed arrow reflects the team that will be primarily responsible for day-to-day decision making and project execution.

- **AOC Project Manager:** Michele Gillich will be the ASAWP project manager responsible for interagency coordination, issue and risk documentation and facilitating communications. Ms. Gillich will be responsible for ensuring clear communications with the Project Management Office, Technical Architecture Group, as well as the Executive Steering Committee.
- **Contract Project Manager:** The AOC anticipates hiring an outside firm to provide day-to-day project management guidance on the project.

- **AOC Technical Architect:** Steele Price, the AOC Chief Architect will provide technical guidance on the ASAWP initiative and ensure that major design decisions are reviewed and approved by the technical architecture group.
- **AOC Business Analyst:** Robert Roll and Patrick Scott, both with the AOC, are the business analysts with the most extensive experience with Arizona agencies and arrest warrants in particular. They will help ensure that the needs of all stakeholder groups are met through the use of Joint Application Development sessions.
- **Change Control Board:** This five member team will meet on a monthly basis and include two representatives from the courts (the AOC and a local court), and one representative each from law enforcement, prosecutors and adult probation. These representatives will also be part of the ASAWP project team described below. When the project team, business analysts or the project manager identifies issues that will result in significant changes to business process in any of the involved stakeholder organizations, the change control board will be engaged to discuss and review the change. If approved, the board will advise the most appropriate mechanism and timing for implementing that change.
- **ASAWP Project Team:** The project team is made of representatives from a number of stakeholder agencies across Arizona. The specific makeup of this project team will be built from the design phase project team described in Attachment E. The project team will meet every two weeks for a project status update from the project managers, technical architect and the implementation vendor’s project manager. Additionally, the project team will address any issues or challenges that are referred to them from the project managers. If they determine it appropriate, the project team may escalate any issues to the Executive Steering Committee with their recommendation on an approach. As indicated in the organization chart, the project team represents stakeholders in each of the organizations that the ASAWP initiative will impact.

**B. Project Manager Certification:**

Until funding is appropriated, Peter Henning with the Arizona Criminal Justice Commission will be the project manager.

- Project Management Professional (PMP) Certified
- State of Arizona Certified
- Project Management Certification not required

**C. Full-Time Employee (FTE) Project Hours**

	Hrs/Yr	Number Yrs	Total
Patrick Scott	200	4	800
Robert Roll	200	4	800
Michele Gillich	500	4	2,000
Steele Price	200	4	800
Development Staff	500	4	2,000
System Administrator	250	2	<u>500</u>
<b>Total Hours</b>			<u><u>6,900</u></u>

<b>Total Full-Time Employee Hours (Over 4 Years)</b>	6,900
<b>Total Full-Time Employee Cost</b>	\$414,000

VII. Risk Matrix, Areas of Impact, Itemized List, PIJ Financials



## VIII. Project Approvals

### A. Agency CIO Review\*

Key Management Information	Yes	No
1. Is this project for a mission-critical application system?	X	
2. Is this project referenced in your agency's Strategic IT Plan?	X	
3. Is this project in compliance with all agency and State standards and policies for network, security, platform, software/application, and/or data/information as defined in <a href="http://aset.azdoa.gov/security/policies-standards-and-procedures">http://aset.azdoa.gov/security/policies-standards-and-procedures</a> , and applicable to this project? If <b>NO</b> , explain in detail in the "XI. Additional Information" section below.	X	
4. Will this project transmit, store, or process sensitive, confidential or Personally Identifiable Information (PII) data? If <b>YES</b> , in the "XI. Additional Information" section below, describe what security controls are being put in place to protect the data.	X	
5. Is this project in compliance with the Arizona Revised Statutes (A.R.S.) and GRRC rules?	X	
6. Is this project in compliance with the statewide policy regarding the accessibility to equipment and information technology for citizens with disabilities?	X	

### B. Project Values\*

The following table should be populated with summary information from other sections of the PIJ.

Description	Section	Number or Cost
Assessment Cost (if applicable for Pre-PIJ)	II. PIJ Type - Pre-PIJ Assessment Cost	\$0
Total Development Cost	VII. PIJ Financials tab	\$4,746,413
Total Project Cost	VII. PIJ Financials tab	\$5,182,333
FTE Hours	VI. Roles and Responsibilities	6,900

### C. Agency Approvals\*

Contact	Printed Name	Signature	Email and Phone
Project Manager:	Peter Henning		
Agency Information Security Officer:	Peter Henning		
Agency CIO:	Peter Henning		
Project Sponsor:	Karl Heckart		

<b>Agency Director:</b>	J.R. Blackburn		
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## IX. Optional Attachments

- A. ASAWP Functional Requirements**
- B. Assessment Report**
- C. ASAWP Technical Design**
- D. Vendor Quotes**
- E. ASAWP Project Team and Charter**

Security: Because arrest warrants are considered to be criminal justice information, the system security will be compliant with FBI CJIS security policies.

## X. Glossary

- **Arizona Criminal Justice Information System (ACJIS):** A system that is supported by the Arizona Department of Public Safety that is used for statewide storage and sharing of information regarding active arrest warrants.
- **Arizona Statewide Arrest Warrant Project (ASAWP):** A statewide initiative designed to create an electronic workflow system for use by prosecutors, law enforcement, the courts and probation to request, authorize and issue arrest warrants.
- **Commercial Off the Shelf (COTS):** A software package that is offered by a software vendor as a product that can be installed on computers. This differs from a custom developed solution where the software would be developed specifically for an agency's use.
- **Court Case Management System (CMS):** A computer system used by court room judges, clerks and administrators to process cases and capture adjudication information in criminal cases. The primary CMSs in use in Arizona are AJACS (13 Superior Courts), iCIS (Maricopa Superior), and AGAVE (Pima Superior).
- **Holder of Record:** This is a local law enforcement agency or County Sheriff that enters the arrest warrant into Arizona CJIS. When a subject is located, the Holder of Record will confirm the status of their warrant so the arresting agency can serve the warrant.
- **Information Exchange Package Documentation (IEPD):** A NIEM supported, standards based approach to describing a packet of information shared based on the NIEM specification.
- **National Information Exchange Model (NIEM):** A joint initiative from the U.S. Department of Justice, Department of Homeland Security and Health and Human Services to develop a common way of describing information using XML.
- **Records Management System (RMS):** A system used primarily by law enforcement agencies to create incident reports (oftentimes called DR reports in Arizona). These incident reports provide information to the prosecutor and court about a crime including the underlying evidence to support the charges. In many cases, an RMS includes a master person index which ties the person(s) associated in an incident to the incident(s) they are involved in. This master person index can also be associated with arrest warrants that have been entered into the RMS. Eighty-three agencies in Arizona use an RMS. The three primary RMS systems in use in Arizona are Intergraph (15 agencies), Spillman (33 agencies) and New World (17 agencies).

Links:

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