BJA
Bureau of Justice Assistance
U.S. Department of Justice

Global Services Task Team

2012–2013 Priorities Definition Workshop Summary Report

August 29–30, 2012

Global
Information
Sharing Standard

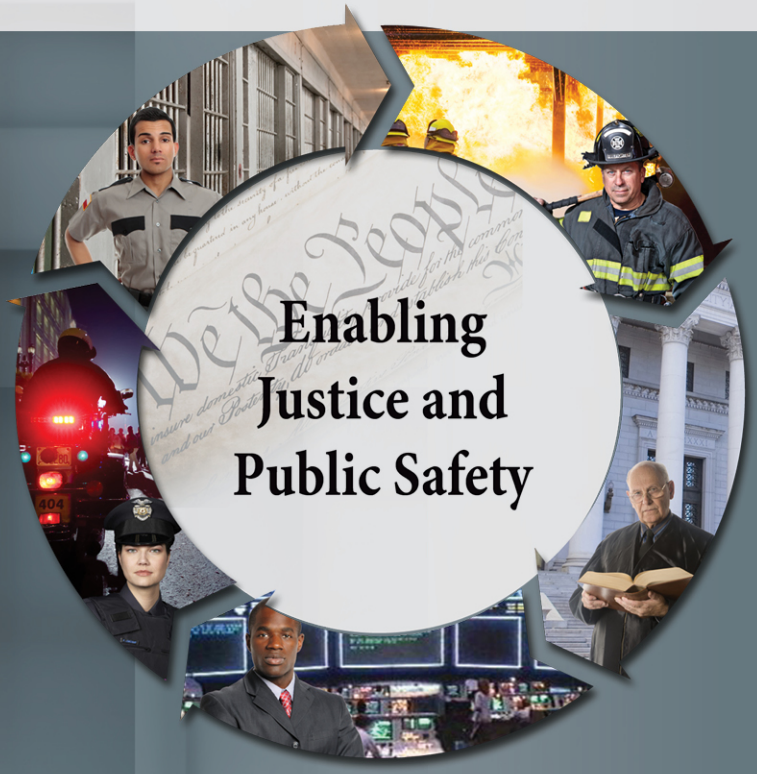
Global Standards

The collection of Global-recommended normative standards has been developed and assembled into a unified package of composable, interoperable solutions that enable effective information exchange. This collection is known as the Global Standards Package (GSP). GSP solutions are generally focused on resolving technical interoperability challenges but also include associated guidelines and operating documents to assist implementers. The GSP includes artifacts associated with many of the Global product areas, including but not limited to:

- **Global Reference Architecture (GRA):** Offers guidance on the design, specification, and implementation of services (and related infrastructure) as part of a justice Service-Oriented Architecture (SOA).
- **Global Service Specification Packages (SSPs):** Reference services that are reusable nationwide in order to save time and money and reduce complexity when implementing particular information exchanges with external partners.
- **Global Federated Identity and Privilege Management (GFIPM):** Guidelines and standards for establishing, implementing, and governing security, identity management, and access control solutions to ensure that information can be accessed only securely and appropriately.
- **Global Privacy Technology Framework:** A framework for automating information access controls based on privacy and related policies restricting the use or dissemination of such information.

For More Information

For more information on the GSP and the Global Standards Council (GSC)—the Global group responsible for developing, maintaining, and sustaining the same—please visit http://www.it.ojp.gov/gsc.



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Executive Summary

This document provides a summary of the discussions and conclusions of a group of justice practitioners who met in August 2012 to identify national justice community business problem area priorities that can be addressed through the exchange of information. The immediate use of problem area identification is to outline recommended overarching goals requiring national coordination that can be addressed by the Global Services Task Team (STT) in 2012/2013.

The STT is a group of justice technologists and practitioners whose goal is to develop guidelines and service specifications for justice information exchanges. These guidelines and specifications are intended to be used by justice practitioners nationwide to accelerate their own information sharing projects, while improving interoperability through a more consistent approach across jurisdictions.

The STT will use the results of the August workshop, documented here, to help scope and define the group's work over the coming year. By the end of 2013, the STT will have produced specific reference services and pilot implementations of those services based on the prioritized list of business problem areas. When implemented, these services will contribute significantly to the achievement of the identified priorities.

Background and Methodology

The STT follows a set of principles for information exchange design – called service-oriented architecture – which has been developed and evolved by the Global Infrastructure Standards Working Group (GISWG) in the Global Reference Architecture (GRA)[1]. The GRA includes a set of guidelines – called the Guidelines for Identifying and Designing Services (GIDS)[2] – which describes how to identify the information sharing services that contribute to solving a particular set of business problems.

The first requirement of the GIDS is that a group of representative operational business subject-matter experts (rather than technologists) define the business requirements of the exchange. In the case of a single service, this is typically done with subject-matter experts and produces a discrete set of business goals and requirements. To establish broader recommendations to define an overarching set of business needs across the justice community, the Priorities Workshop subject-matter experts were instead charged with defining larger business problems that can later be scoped down into discrete information exchanges. This process allows the STT

[1] http://www.it.ojp.gov/default.aspx?area=nationalInitiatives&page=1015
[2] http://it.ojp.gov/docdownloader.aspx?ddid=1171

to prioritize activities while leaving room to further refine the service requirements. In short, the purpose of the first step in the methodology is to ensure that we do the right thing, before we focus on doing the thing right.

To this end, the Priorities Workshop participants began by evaluating the factors identified in the 2009 workshop[3] and refining them for prioritization of current business problems. Although the prioritization factors identified in 2009 remain largely intact, the factors were arranged into four (4) categories: solution criticality, reach, solution implementability, and problem definition. The group spent the majority of the first day identifying priorities from a list of justice events (e.g., arrest, booking, sentencing, etc.). Towards the end of the first day, the group engaged in a "blue sky" roundtable to identify additional justice business problem areas. Approximately 40 priorities were identified on Day 1. On Day 2, the group applied the revised prioritization factors to create a final list of five (5) justice business problem areas.

The remainder of this report presents the conclusion of the group's discussion.

Prioritization Factors

Any productive discussion of business problems or challenges—if it intends to reach efficiently a conclusion on the relative importance of those problems to the business—should begin with the establishment of principles to aid in decision-making and prioritization. As such, the Priorities Workshop group began by reviewing the 2009 factors or principles in weighing the priority of business problems to be considered by the STT for Global reference service development and pilot service implementation.

The group's view was that business problems should be evaluated against the following priority categories and associated principles:

Solution Criticality: How important is it for the justice community to solve the problem?

- *Impact on Decision Making*: The problem is one of providing key information to decision-makers for the purpose of making better decisions in critical (e.g., life-and-death) situations.

- *Accuracy, Currency, and Completeness of Data*: The problem is one of improving the quality of information available to practitioners.

- *Time Sensitivity*: The problem is one of ensuring responsiveness on the order of seconds or minutes versus days or weeks.

- *Legal Requirement*: The problem is required to be solved by law or policy (e.g., liability for noncompliance).

[3] http://it.ojp.gov/docdownloader.aspx?ddid=1238

Reach: How widespread is the business problem?

- *National Scope*: The problem is recognized as significant nationally and will lead to identification of services that will likely have more national commonality.

- *Number of Consumers*: The problem will lead to the identification of services that will have a high potential for reuse.

- *Multijurisdictional or multidisciplinary*: The problem crosses boundaries of geography, level of government, or agency.

Solution Implementability: How compelling is the business case for implementing a solution to the problem?

- *Potential to Achieve Measurable Outcomes*: The problem is amenable to the computation of performance measures that reflect the overall effectiveness and productivity of the justice system in promoting public safety and providing services to citizens.

- *Cost to Implement*: Solving the problem does not require an unreasonable "cost of entry."

- *Potential for Adoption*: The problem is one likely to be solved in a large number of jurisdictions once reference service specifications are available.

- *Willingness and Tradition of Sharing*: The problem involves justice partners who have traditionally worked well together and shared information, or are willing to share.

- *Common Capabilities, Shared Services*: The problem involves information systems that are typically provisioned at the national, regional, or state level, or could be provisioned efficiently for local agencies with limited IT resources.

Problem Definition: How well do we understand the business problem?

- *Known Requirements*: The problem is well known, with a well understood underlying set of business practices and requirements.

- *Clear Semantics*: The problem involves the exchange of information that has well understood, unambiguous structure and meaning (e.g., there is an existing information standard).

- *Technological Simplicity*: The problem involves relatively simple (e.g., not bleeding-edge) technology.

- *Access-Control Policies*: The security, confidentiality, privacy, and data-handling rules for personally identifiable information are well understood.

For simplicity, the group scored each proposed problem on a 1–5 scale for each factorization category. The group also decided to provide the following weighting to each category in determining priorities:

	Solution Criticality	**Reach**	**Solution Implementabilty**	**Problem Definition**
Weighting Factors	5	4	4	3

Business Problems Identified

The workshop participants identified the following business problems and prioritized them in this order according to the factors presented above.

Identity Discovery and Validation (Person Matching)

The justice system has a compelling need to determine the identity of the persons with whom it has contact. In some situations, subjects are unable to provide identifying information because of injury, inebriation, language barriers, or issues with cognition or memory; in other situations, subjects provide erroneous information. The justice system and its information-sharing partners also have a compelling need to validate that they are discussing the same person. Justice practitioners also frequently need to determine whether two records in their information system concern the same person and therefore should be merged. In addition, for protected information, it is required that practitioners accurately match a person's consent to disclosure with that person's records.

Workshop participants assessed *Identity Discovery and Validation* as their highest priority business problem because they consider it a fundamental capability for every information-sharing initiative. In other words, without effective person matching, no information-sharing project can succeed in achieving its business goals. Workshop participants explained some of the challenges of effective Identity Discovery and Validation:

- Adult criminal justice practitioners are accustomed to biometric identification, such as fingerprints, but that is not the practice of their information-sharing partners in juvenile justice and outside the justice system.

- Technology enabling biometric identification is quickly evolving and should be leveraged to solve the *Identity Discovery and Validation* problem.

- Despite the growing prevalence of biometric identification in the private sector, government's use of biometrics raises public concern about privacy.

- The demographic characteristics maintained by different justice practitioners and their partners vary, meaning that the data elements available for comparison and algorithmic analysis will vary.

- Identity validation based upon demographic characteristics (such as name and date of birth) cannot achieve a 100% confidence level. Therefore, practitioners must analyze the level of confidence required for specific business purposes.

Offender Triage

Two of the core goals of the criminal justice system are to protect the public and to rehabilitate offenders. Accurate assessments of an offender's risk to the community and needs are required to develop a plan for supervision and treatment that is likely to achieve both goals. Supervision that exceeds an offender's risk wastes public resources and can harm the offender's employment, family relationships, and other community connections. Insufficient supervision risks additional criminal conduct as well as posing a risk to supervision officials and the public. Mismatches between needs and treatment, unfortunately, are quite frequent. Not only do the wrong services fail to yield positive outcomes; they often exacerbate an offender's criminality.

The business problem of effective offender triage is acute for both adult defendants and youth who are in conflict with the law, and it occurs at every stage of the criminal justice process:

- Discretionary decisions by local law enforcement and prosecutors to divert an offender into an informal program prior to the creation of a court case

- A court's pre-trial determinations of bail, bond, and eligibility for formal diversion programs

- The prosecutor and offender's negotiations of a plea

- Determinations of an offender's compliance with a diversion program

- A court's determination of the supervision conditions and other requirements in a sentence

- A correction officer's classification of an inmate

- A probation or parole officer's modification of the terms of supervision

In many jurisdictions, the current practice is to repeat assessments at each milestone in the criminal justice process, because prior assessments (and behavior and treatment history) are not typically shared with "downstream" partners. The practice likely wastes public resources; it also risks incompatible assessments and teaches offenders how to "game" assessment tools. Our inability to link risk and needs assessments with outcomes also hampers our ability to analyze the accuracy of the assessments and the effectiveness of the treatment services provided.

Juvenile Justice

Responding effectively to the needs of youth in conflict with the law requires intense coordination among many stakeholders: families, law enforcement, assessment centers, prosecutors, schools, juvenile probation, child welfare agencies, detention centers, treatment providers, youth corrections, benefit eligibility entities, and courts. Sharing appropriate information with appropriate parties is critical. Implementation of juvenile information sharing among state, local, and private partners is complex and requires a commitment to leverage Global standards:

- Numerous geographic and organizational boundaries (i.e., youth-serving agencies are even smaller and more diverse than local law enforcement agencies; 80 percent of delinquent youth have some prior involvement with a human services agency)

- Diverse (and often misunderstood and insufficiently documented) access-control and data-handling policies (e.g., confidentiality, expungement)

- Very few private solution providers offering information systems for juvenile justice

Despite these challenges, stakeholders agree that it is a high priority to gain access to the case-level information needed to complete accurate assessments, provide tailored services, and monitor accountability for juveniles. Stakeholders also agree that, at a system level, aggregate data about outcomes are needed to achieve continuous quality improvement in assessment tools and services and to identify evidence-based best practices. For example, Illinois has created a statewide treatment catalog that maps need assessments to available services; outcome data would enable the continual refinement of this tool.

Reentry (Adult and Juvenile)

During the workshop, participants from California described their experience with realignment associated with the 2012 release of 40,000 offenders from the state Department of Corrections.

Given state budget constraints, it is likely that policy makers will continue to highlight successful reentry (and lower recidivism rates) as a high priority.

Reentry begins at intake and continues to the end of supervision. Successful reentry programs reduce recidivism, victimization, incarceration, and costs.

Reentry stakeholders include corrections (jails and prisons), community corrections (probation and parole), law enforcement, courts, and service providers. Corrections agencies seek relevant information to manage the transfer of supervision between custodial and community agencies. Law enforcement seeks relevant information to prevent and investigate crime and to hold offenders accountable to the conditions of their community supervision. Service providers seek relevant information to make decisions about health care, employment, and housing.

The types of information to be shared include case management records, offender profiles, integrated case planning, behavior, education, treatment, and medical history. Timely, accurate data about offenders' status transitions are also needed.

Corrections participants reported that re-entry's best practices are well understood and that they require an information-sharing dialogue between justice and treatment providers: providers need information from justice for accurate intake assessments, and justice needs information from providers about an offender's program progress. Providing a technology solution to this need will foster communication and collaboration among multiple agencies, which will enable them to make relevant information available to the right decision-maker at the right time. Challenges are similar to Juvenile Justice: much less prevalent electronic records among behavioral health providers, and a need to enforce access-control and data-handling policies.

Interstate Justice Information Sharing

In some situations, interstate justice information sharing is mandated by federal statute (e.g., Adam Walsh Act governing sex offenders) or by compact (e.g., Interstate Compact for Adult Offender Supervision). However, participants identified greater interstate (and even international) information sharing as a high priority because they predict the same benefits they have realized from *intra*state information sharing through their CJIS projects: improved crime prevention tools, improved investigations, improved criminal apprehensions, and improved officer safety.

The challenges are to define the specific business capabilities desired and then to tackle the policies governing interstate access. Interstate information sharing may largely be a matter of enabling national-scope queries. If this is the case, an effort is needed, through Global, to determine what information is desired prior to an STT breakdown of the problem into specific business processes and services.

Summary

These problem statements are appropriately defined at a high level, with detailed descriptions only where the workshop participants felt it important to emphasize specific points. The problem statements will be provided to the Global Standards Council (GSC) for review and feedback to the STT. The problem statements and GSC feedback will provide direction to the STT Chair and enable the STT to gain a general understanding of the problem areas it should address. The STT's next steps will be to choose appropriate subject-matter experts to further refine problem areas and support the definition of business processes and services. It is understood and expected that the STT will leverage the GSC's feedback and selected subject-matter experts' guidance on where these focus areas should be, and to choose specific areas of focus within these general problem areas.

The STT will begin working on identifying business processes and services underlying these problems and their solutions. Given resource limitations, it is unlikely that the STT will make progress on all of the problems and that the STT will treat every possible aspect of the problems. However, the STT will ensure, to the extent possible, that its activities are consistent with the prioritization indicated here and will track and report progress toward that end. Additional consideration will be given to those areas where implementation through early adopters and demonstration projects can rapidly occur, with assistance as needed by related BJA-supported training and technical assistance service providers. This consideration is crucial to ensure that developed service specifications are adequately tested for acceptance and usability, and to avoid creating specifications that, for a variety of factors, may not be utilized to their design potential.

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About the Global Advisory Committee

www.it.ojp.gov/global

The Global Advisory Committee (GAC) serves as a Federal Advisory Committee to the U.S. Attorney General. Through recommendations to the Bureau of Justice Assistance (BJA), the GAC supports standards-based electronic information exchanges that provide justice and public safety communities with timely, accurate, complete, and accessible information, appropriately shared in a secure and trusted environment. GAC recommendations support the mission of the U.S. Department of Justice, initiatives sponsored by BJA, and related activities sponsored by BJA's Global Justice Information Sharing Initiative (Global). BJA engages GAC-member organizations and the constituents they serve through collaborative efforts, such as Global working groups, to help address critical justice information sharing issues for the benefit of practitioners in the field.

For more information on Global and its products, including those referenced in this document, call (850) 385-0600 or visit http://www.it.ojp.gov/GIST.

About the Global Standards Council

www.it.ojp.gov/gsc

The Global Standards Council (GSC) serves as a Global Advisory Committee (GAC) subcommittee, supporting broadscale electronic sharing of pertinent justice- and public safety-related information by recommending to BJA (through the GAC) associated information sharing standards and guidelines. To foster community participation and reuse, the GSC reviews proposed information sharing standards submitted by Global consumers and stakeholders. Additionally, BJA emphasizes an open, participatory review-and-comment process for proposed standards; please see the Global Justice Tools Web site at www.globaljusticetools.net for more information on this opportunity. BJA-approved standards are developed, maintained, and sustained as one cohesive Global Standards Package (GSP) located at http://www.it.ojp.gov/gsp.