

**Policy Team of the Information Technology and Systems Improvement Committee**  
**Minutes**  
**June 5, 2014**

A public meeting of the Policy Team of the Information Technology and Systems Improvement Committee of the Arizona Criminal Justice Commission was convened on June 5, 2014 at the Arizona Criminal Justice Commission, 1110 W. Washington, Suite 250, Phoenix, AZ 85007.

**Members Present:**

Karl Heckart, Chairperson, Administrative Office of the Courts  
Cathy Allen, Coconino County Sheriff's Office, by conference call  
Allister Adel, Department of Transportation  
Frank Gonzales, Pima County Sheriff's Department  
Jeff Hood, Department of Corrections, Stephen Welsh representing  
Michael Keran, Scottsdale Police Department  
Barbara Marshall, Maricopa County Attorney's Office, Rebecca Baker representing  
Julio Marroquin, Yavapai County Attorney's Office, by conference call  
Jeff Raynor, Department of Public Safety

**Members Absent:**

Steve Ballance, Maricopa ICJIS  
Shelly Bunn, Maricopa County Sheriff's Office  
Cathy Clarich, Maricopa County Superior Court  
Cheryl Harris, Navajo County Attorney's Office  
Nancy McKay-Hills, Tucson Police Department  
Mark Marino, Gilbert Police Department  
John Merritt, Pima County Attorney's Office

**Staff Participating:**

Pat Nelson, Program Manager  
Peter Henning, Program Manager  
Jonathan Moreno, Grant Coordinator  
Matt Bileski, Research Analyst  
Wendy Boyle, Executive Secretary

**Guests Participating:**

Aaron Gorrell, Waterhole Consulting  
Jerry Landau, Administrative Office of the Courts

**I. Call to Order and Roll Call**

The meeting was called to order by Chairperson Karl Heckart at 1:30 p.m. Roll was taken and a quorum was declared present.

**II. Minutes of the February 26, 2014 Meeting**

Chairperson Heckart called for a motion on the minutes. Jeff Raynor entered a motion to approve the minutes of the February 26, 2014 meeting. The motion was seconded by Designee Stephen Welsh and was unanimously approved by the Policy Team.

**III. Technical Team Update**

Peter Henning, Program Manager provided information from the Technical Team meeting on April 3, 2014.

Mr. Henning reported that Mike Morrison, former chairperson retired recently. The newly elected chairperson of the Technical Team is Joe Sweeney, IT Manager of the Pima County Juvenile Court. Mr. Sweeney previously held the position of senior software architect at the Pima County Attorney's Office and was responsible for leading the design work of the National Information Exchange Model (NIEM) workgroup pilot XML exchange with the Pima County Superior Court for its grand jury feed.

Mr. Henning explained that Mr. Sweeney demonstrated the NIEM prototype at the Technical Team meeting. The workgroup continues to meet and will be placing the NIEM exchange into production. The next Technical Team meeting will be held on August 28, 2014.

Chairperson Heckart asked if the standardized NIEM feed would be posted on the ACJC website. Joe Sweeney explained that the Department of Justice website has a place for storing IEPD's but agreed that the ACJC website would also be a favorable place to post the information for stakeholders in Arizona to review.

Mr. Henning would look into creating a location on the ACJC website for agencies to view.

This agenda item was presented for informational purposes and did not require Policy Team action.

**IV. Grants Update**

Pat Nelson, Program Manager gave an update on applications that were submitted by ACJC to the Department of Justice (DOJ) for federal grant funds totaling over \$1.9M.

Ms. Nelson described the first grant funding request to the Bureau of Justice Statistics (BJS) for the National Instant Criminal Background Check System (NICS) Program in the amount of \$769,332. The funding will be used to further the action plan and recommendations from the NICS task force that includes continuing the technical assistance visits to counties in conjunction with DPS and AOC, delivering disposition training and briefings on all of the initiatives under NICS, and discussing the county disposition scorecards created by the Statistical Analysis Center (SAC) that reflects the number of completed dispositions by the counties. The technical assistance visits are helpful in opening dialogue on county processes and practices with the goal of developing more efficient processes. The Department of Public Safety (DPS) will continue its research of missing dispositions and proceed in automating old criminal history records. Additional projects under this grant include automating the elements of the final disposition report form system to implement data exchanges, and taking the backlog of mental health court orders that are submitted to NICS by DPS.

Jonathan Moreno, Grant Coordinator reviewed the National Criminal History Improvement Program (NCHIP) grant application to BJS in the amount of \$644,951; this grant will support eight agency projects. The first project is to provide \$19,003 to Maricopa County Superior Court for the automation of the records interface and update their system. The Pinal County Sheriff's Office requested \$53,427 to fund overtime hours to update and automate over 5,000 historical records and backlog criminal history records. Maricopa County Attorney's Office requested \$162,395 for the continuation

of implementing their new case management system and to link their system to the Arizona Disposition Reporting System (ADRS) as well as to clear some of their backlog dispositions. DPS requested \$268,628 for continuation of work being done on the automation of criminal history records. The next two projects are for installations of live scan machines, one at Globe Police Department in the amount of \$32,993 and two units at Pinal County Justice Court in the amount of \$63,812. Next is a request from the Department of Corrections in the amount of \$24,900 to fund a project to barcode inmate files; and the final project is a request in the amount \$10,161 from the City of Maricopa Police Department for security systems training and system integration.

Ms. Nelson also reviewed the final grant solicitation through the Bureau of Justice Assistance (BJA) to address justice information sharing solutions. The grant submission is in the amount of \$499,165 and will be used in the development of a statewide historical warrant repository that will leverage existing technical infrastructure and business processes through data exchanges with the Arizona criminal justice information system (CJIS).

Ms. Nelson stated the funding decisions on the grant submissions are expected by September with a start date of October 1, 2014. The Policy Team was also directed to the Arizona Records Improvement and Information Sharing Strategy 2012-2017 document that updated the activities and grants proposals submitted. Ms. Nelson also stated that since 2005 the State of Arizona has been awarded a total of \$8,315,017 in federal funding for criminal records improvement. As a result, the number of completed dispositions have increased from 57.2% in 2005 to 72.1% in 2012 representing an overall improvement of 14.9%.

This agenda item was presented for informational purposes and did not require Policy Team action.

## **V. Criminal History Records**

Matt Bileski, Research Analyst gave a presentation on the findings for Completeness of Criminal History Records in the State Criminal History Records Repository. Mr. Bileski explained that per ARS §41-1750 fingerprint arrest charges are entered into the Arizona Computerized Criminal History (ACCH) repository by DPS. The fingerprint arrest charges include felony offenses, DUI offenses, offenses involving domestic violence, and sexual offenses; as well as subsequent case disposition information by law enforcement, prosecution, and/or the courts.

Mr. Bileski explained the most recent extract of arrest and subsequent case disposition in the ACCH was received in January 2014 and was used for this data brief. The information was standardized in order to compare records completion across the years. ACJC works very closely with DPS and has built a very strong relationship over the years; ACJC also provides DPS copies of any informational reports we plan to disseminate to stakeholders or to the general public prior to distribution. In order to ensure standardization, the arrest charges are entered into ACCH by December 31<sup>st</sup> following the year of arrest; and subsequent case disposition charges are considered complete if entered by the same date.

Mr. Bileski broke down the data used from 2003-2012, the first slide showed arrest charges with subsequent case disposition information in the ACCH. The total arrest charges fluctuated over the 9-year period beginning at 444,000 in 2003 to 503,000 in 2007, and ending at 456,000 in 2012. The disposition completion rate was 59.2% in 2003 and 72.1% in 2012. Mr. Bileski reviewed the percentage of arrest charges with subsequent case disposition information in the ACCH by county during the years 2011-2012. All fifteen counties were represented above 60% as of 2012.

Next, the percentage of arrest charges with subsequent case disposition information by offense type was evaluated. Mr. Bileski pointed out that felony arrest charges were low compared to misdemeanor arrest charges. For instance; in 2011 felony arrest charges were at 62.2% and misdemeanor arrest charges at 75.3%. Mr. Bileski then commented on the percentage of disposition charges by submission type during the period 2003 to 2013; the data revealed that in 2002 the electronic disposition submissions were at 9.3% and leveled from 2008-2011 at 20.5%.

The next data discussed involved the percentage of arrest charges with subsequent case disposition information by offense type during 2003-2012 and compared felony arrest charges to misdemeanor arrest charges. During the nine year span, the felony arrest charges have a lower completion rate than misdemeanor charges; however, both categories have increased with felony completion rates at 67.9% and misdemeanor completion rates at 75% in 2012.

Mr. Bileski reviewed the top ten arrest offense categories with the highest number of charges missing disposition information in the ACCH between the years 2003 - 2012. The highest arrest offense category was 2<sup>nd</sup> degree Failure to Appear with total charges missing disposition information at 112,284 and a percent of charges missing disposition information at 30.1%. The lowest arrest offense category was the Promise to Appear Violation with 41,132 of the total charges missing disposition information and 23.7% of charges missing disposition information.

Lastly, the percentage of disposition charges submitted into ACCH by calendar year 2003-2013 were presented. Mr. Bileski explained that paper submission in 2013 was the first choice accounting for over 75% and electronic was credited at only 24.4%.

This agenda item was presented for informational purposes and did not require Policy Team action.

## **VI. National Instant Criminal Background Check System (NICS) Legislation**

Pat Nelson, Program Manager presented a legislative update of House Bill 2322 that supports NICS. The Administrative Office of the Courts (AOC) has been working with DPS using federal grant funding and AOC funding to implement the mental health repository that will allow connectivity so that Title 36 rulings are automatically sent to NICS. The first rollout will be with the AJAC courts. January 1, 2015 is the date for the legislation to take effect that will allow Title 14, Rule 11 to go automatically from AOC mental health repository through DPS and on to NICS.

This agenda item was presented for informational purposes and did not require Policy Team action.

## **VII. Records Improvement Strategy/Simplified Segmented Approach (SSA) Workgroup Update**

Jerry Landau, AOC reviewed the completed activities of the Simplified Segmented Approach (SSA) workgroup. The policy aspect of the SSA has been finished and the next step is the implementation stage. The SSA workgroup is working to get fingerprinting tied to arrests since Arizona is an arrest based state. Mr. Landau reached out to Chief Mike Frazier, Surprise Police Department, President of the Arizona Association of Chiefs of Police and Chief Steve Campbell, El Mirage Police Department, Chairperson of the Domestic Violence Council of the Maricopa County Association of Governments on this issue. The SSA workgroup will be meeting again with the two chiefs to discuss missing fingerprints. The workgroup is exploring two of the issues; capturing the 10 fingerprint identification (FID) in the system, and the use of two FID to capture print for the sentencing order.

Mr. Landau also discussed other projects the workgroup has identified such as: 1) electronic warrant and warrant standardization; 2) follow up legislation partnering with ACJC on the next step of pushing information going to NICS starting in January 2015 to law enforcement; 3) revising Form 4 with requests from the Attorney General's Office and with the judicial branch to add certain information; and 4) reviewing and standardizing the code tables that will be stored in the repository at AOC.

This agenda item was presented for informational purposes and did not require Policy Team action.

## **VIII. Arizona Records Improvement Information Sharing System Assessment/Project Investment Justification Update**

Aaron Gorrell, Waterhole Consulting gave a high level overview of the Arizona Records Improvement Information Sharing System Assessment/Project Investment Justification (PIJ) project.

Mr. Gorrell covered the draft assessment report that was released to the Assessment Executive Team on May 30, 2014. The two items waiting to be funded on the PIJ includes AFIS Live scan machines and the eWarrant planned submission in June 2014.

Mr. Gorrell discussed the assessment findings and stated there has been some success with cleaning up criminal history records; however, there are still over 100,000 charges with no disposition every year. The underlying causes include the complexity of the system; solutions to case volume across justice partners have impacted productivity and increased the complications; and background criminal records systems have not been updated to reflect the difficulties. The missing/incomplete criminal history solutions were also reviewed.

Mr. Gorrell explained how specific program areas and root cause analysis is being used to identify specific targets and stakeholders to coordinate these efforts. First they will examine a data driven approach by identifying potential issues through statistical analysis and utilize subject matter experts to confirm issues and their root causes. The next step is to have the courts and prosecutors provide input on developing Rule 37/SSA during a series of team meetings. The final step will be to begin process modeling through law enforcement agencies in El Mirage and Surprise Police Department.

Mr. Gorrell elaborated on the benefits of mobile fingerprinting in the courtroom and how it would help fulfill ARS §13-607(B): "The court or a person appointed by the court shall at the time of sentencing and in open court permanently affix the defendant's fingerprint to the document or order" requirement. Some of the benefits of mobile fingerprinting is that it includes the biometric based identification for court personnel, electronic capture of fingerprint for sentencing, generalizing a label with fingerprints that will replace ink and roll process, and determine the presence of criminal history.

The live scan concept of operations was reviewed, noting that this process may enhance the capture of fingerprints in the courts. One problem that has been repeatedly expressed is the lack of accessibility and operating hours available to have fingerprints taken. A solution is to have a live scan device co-located in the courthouse and to maintain the same hours as the court. Funding would be provided for eight live scan booking devices; however, placement and staffing need to be established.

Mr. Gorrell explained the current GAP Filler Project and the proposed expansion that would include more agencies in the project. The Department of Corrections has recommended expanding the program to include the review of criminal history for those currently incarcerated on charges. Adult Probation would like the program expanded to include all fifteen counties and to include a review of criminal history for presenting charges. Prosecutors are required to submit information to the court regarding whether the defendant has been fingerprinted before a plea or disposition hearing.

Lastly, Mr. Gorrell provided information on the Arizona Statewide Arrest Warrant Project (ASAWP). Some of the key issues and drivers of this process change were: 1) lack of uniform process for arrest warrants, 2) wasted resources from duplicate data entry, 3) activity notification, 4) manual arrest warrant validation, and 5) eliminate local warrants. The implementation plan included five phases. Phase I covers the limited implementation of a single warrant type using existing hardware. AOC/project personnel will determine if the Microsoft Dynamics CRM provides the best return on investment for the project. Phase II will implement the eWarrant workflow functionality for Failure to Appear Warrants, integrate the system with DPS ACJIS, law enforcement and court case management systems. Phase III would implement the warrant that will require an interface with the Adult and Juvenile Probation case management system. Phase IV will carry out the grant jury, misdemeanor, and direct file felony warrants, as well as integrating with Maricopa County ICJIS. Phase V will not include the initial project scope; however, it will replace Arizona CJIS (warrant portion) with a new system.

This agenda item was presented for informational purposes and did not require Policy Team action.

**IX. Criminal Justice Records Improvement Program (CJRIP)**

Pat Nelson, Program Manager explained that each year there is 5% set-aside from the Byrne/Justice Assistance Grant (JAG) funding to focus on projects to improve criminal history records and information sharing and the Commission has continued to support directing the set aside to the Gerald Hardt Criminal Justice Records Improvement Program. Last year, the funding was directed to the eWarrant study, analysis, system design and the actual assessment for the Arizona Criminal Records Improvement Information Sharing Strategy.

Staff requests the Policy Team recommend to the Commission utilizing the funds in the amount of \$211,749 from the Gerald Hardt Memorial Criminal Justice Records Improvement Program for FY 2015 to support the initiative for implementing mobile fingerprint devices in each courtroom of the Maricopa County Superior Court.

Jeff Raynor entered a motion to recommend to the Information Technology and Systems Improvement Committee directing FY2015 Byrne/JAG 5% funding designated for the Gerald Hardt Criminal Justice Records Improvement Program in the amount of \$211,749 to support the initiative for implementing mobile fingerprint devices in each court room of the Maricopa County Superior Court. The motion was seconded by Allister Adel and was unanimously approved by the Policy Team.

**X. Call to the Public**

Chairperson Heckart made a call to the public. No members of the public addressed the Policy Team.

**XI. Date, Time, and Location of Next Meeting**

The next Policy Team meeting will be held on **Thursday, October 2, 2014 at 1:30 p.m.** at the Arizona Criminal Justice Commission, 1110 W. Washington, Suite 250, Phoenix, Arizona 85007.

**XII. Adjournment**

The meeting was adjourned at 3:20 p.m.

Respectfully submitted,



John A. Blackburn, Jr.  
Executive Director

Audio recording is available upon request.