

Policy Team of the Information Technology and Systems Improvement Committee
Minutes
January 10, 2013

A public meeting of the Policy Team of the Information Technology and Systems Improvement Committee of the Arizona Criminal Justice Commission was convened on January 10, 2013 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, Jonathan Rodriguez representing
Cathy Clarich, Glendale City Court
Cheryl Harris, Navajo County Attorney's Office
Mark Hendershot, Maricopa County Adult Probation
Nancy McKay-Hills, Tucson Police Department
Michael Keran, Scottsdale Police Department, Mike Morrison representing
Mark Marino, Gilbert Police Department
Barbara Marshall, Maricopa County Attorney's Office
Jeff Raynor, Department of Public Safety
Marianne Sullivan, Attorney General's Office

Members Absent:

Shelly Bunn, Maricopa County Sheriff's Office
Frank Gonzales, Pima County Sheriff's Department
Jeff Hood, Department of Corrections
Julio Marroquin, Yavapai County Attorney's Office
Rob Peck, Pima County Attorney's Office

Guests Participating:

Steven Scales, Administrative Office of the Courts
Tony Coulson, NICS Task Force
Aaron Gorrell, NICS Task Force

Staff Participating:

Pat Nelson, Program Manager
Wendy Boyle, Executive Secretary

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 October 4, 2012 Meeting

Chairperson Heckart called for a motion on the minutes of the Joint Policy Team and Technical Team. Mark Hendershot entered a motion to approve the minutes of the October 4, 2012 meeting. The motion was seconded by Jeff Raynor and was unanimously approved by the Policy Team.

III. Technical Team Update

Mike Morrison, Technical Team Chairperson provided an update from the Technical Team. Mr. Morrison stated that the IJIS Institute will offer a three day technical training session on National Information Exchange Model (NIEM). The training will be offered February 26-28, 2013 at the Scottsdale Police Department and is intended to address Arizona specific data exchange needs. Mr. Morrison explained that a high level NIEM presentation will be conducted during the Policy Team meeting on March 7, 2013. Mr. Morrison stated that the Data Dictionary is under review by the NIEM workgroup in an effort to conform it to existing NIEM standards. The workgroup is also reviewing the model materials and looking at arranging for a law enforcement case file to be used as a pilot project. The next Technical Team meeting will be held on Thursday, January 31, 2013 at 2:00 PM.

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

IV. e-Warrant project Update

Steven Scales, Administrative Office of the Courts presented an update on the progress of the e-Warrant Project. Mr. Scales stated that the goal of the project is to standardize and streamline the exchange of arrest warrant information between participating justice partners throughout multiple jurisdictions. A study was conducted that outlined the scope of the project by segmenting it into three specific phases. Phase I deliverables include establishing the project charter, high-level business requirements, and the high-level non-functional requirements. Supporting documents will be uploaded to a secure SharePoint site for easy access and collaboration among participants. In Phase II/III the emphasis will be to build on the work done in Phase I with detailed business analysis and technical design, leading up to the ability to move into an implementation phase. Two grants have been procured by ACJC to fund two contract resources for this project. The expected deliverables from Phase II include research into other state efforts

and vendor systems; policy, rule and law change recommendations; business and functional requirements utilizing cases and process flows; non-functional requirements such as security polices and performance; and identification of funding options for Phase IV, deployment. Mr. Scales discussed anticipated deliverables from Phase III that encompasses the architecture and design document. In this phase the team will focus on technical assumptions and dependencies; high availability and disaster recovery; system architecture and hardware requirements; logical and physical data models; detailed system design; service definitions; and security design.

Mr. Scales reviewed the 2013 project milestones and the diagram of the project governance structure that includes the Executive Team, Project Team and the Focus Group. The communications plan consists of leveraging ACJC relationships to ensure the same message is being conveyed to all stakeholders, monthly status reports to executive team and stakeholders, project team meetings and an effective use of SharePoint website information. The current tasks include publishing study documents on SharePoint, formation of executive and project teams, and MOU development with Search and NCSC for their tasks on the project.

Mr. Scales explained that they anticipate some policy issues to arise such as consistency across statute categories; warrant format or source of format not stipulated; refinement of some definitions like "receipt of notice" or "as soon as practicable"; clearly defining and standardizing the language used in creating warrants; and updating old paper based policies to allow for automated solutions.

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

V. Criminal Process Mapping

Cathy Clarich, Glendale City Court reported the last meeting with the Disposition Business Process Improvements workgroup was held in September. Since that meeting, Ms. Clarich spoke to Pat Nelson, Program Manager and agreed that there is a duplication of functions between the workgroup and the NICS task force. This resulted in a decision to have the work of the Disposition Business Process Improvement workgroup transferred to the NICS work group especially since a number of members of the workgroup also serve on the NICS task force.

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

VI. Arizona National Instant Criminal Background Check System (NICS) Initiative

Pat Nelson, Program Manager introduced Tony Coulson and Aaron Gorrell, consultants working with the NICS Task Force to present the recommendations from that group. Ms. Nelson encouraged the Policy Team to offer any questions, concerns or suggestions and their feedback would be shared with the Task Force.

Tony Coulson reported that the NICS Task Force is involved in developing recommendations that focus on immediate improvements to NICS reporting for prohibited possessors. Of the ten prohibited possessor categories, the task force is examining seven specific categories and offering recommendations relative to each category.

There were nine recommendations offered in Category 1 involving felony convictions. This category addresses such issues as the need for ongoing analysis of missing dispositions; non-matching dispositions in Arizona Disposition Reporting System (ADRS) rejected in ACCH, and are not reported to NICS; lack of ability to verify fingerprinting prior to plea or sentencing; and the lack of formalized mandatory training for judges, courts, prosecutors and law enforcement on fingerprint requirements, disposition reporting process and record improvement responsibilities. The fifth recommendation (1.5) requiring a ten-print (PCN) is verified before the subject can be offered a plea agreement and/or sentencing was discussed in detail by the committee. Several Policy Team members expressed concerns with the courts not having control over the availability of fingerprinting options, and having certain requirements in meeting the terms of adjudicating cases in a timely manner. The committee also discussed the cooperative efforts for the fingerprinting function between law enforcement and the courts. Ms. Nelson stated that the recommendation by the Task Force did not specify who would operate the live scans in courts, the required resource levels, and funding for maintenance. The Policy Team's concerns will be provided to the task force for further evaluation.

The second category involves active indictment; information returned or filed with a court and verified complaints. Arizona is not effectively reporting active indictments, information, and verified complaints. The recommendations are to develop a mechanism for courts to report indictments, information and verified complaints, and utilize the CJIS WAN to transmit required information to NICS.

The third category is active wants/warrants and the issue is a lack of standardized warrant forms and business processes. The recommendations include creating and implementing a standardized e-warrant form to be used across all courts and jurisdictions, and supporting the creation and implementation of a warrant repository (including rule warrants) for NICS reporting.

The fourth category deals with unlawful drug use, the issue centers around the requirement for reporting medical marijuana cardholders. The recommendation is to determine whether through legislation or proposition, all medical marijuana cardholders should be reported to NICS in alignment with federal law.

Category five is mental health adjudications or commitments and deals with the issue of limited reporting of all mental health adjudications to NICS. The recommendations include 1) adding guardianship orders/findings to data collected from the courts, stored in a repository, and reported to NICS; 2) add findings of not competent and not restorable to data collected from the courts, stored in a repository, and reported to NICS; 3) add courts orders of dismissal based on not competent to assist defense, to data collected from the courts, stored in a repository, and reported to NICS, and 4) implementing a database to track those seeking relief for Category 5 NICS-based denials.

Category six involves protection or restraining orders; the issues include, system interfaces are needed from courts into the Court Protection Order Repository (CPOR). The recommendations for this category is to have the Task Force support the ongoing effort by AOC to develop and implement interfaces into CPOR from Pima, Maricopa and AJACS users, to use CPOR as the primary data source for reporting protection orders to NICS through DPS; and to promote policy that ensures protection orders are promptly removed from NICS when they expire or are quashed. Following discussion, the Policy Team decided to remove the second recommendation (6.2) since the Task Force was not making a recommendation to use CPOR as the primary data source for reporting protection order to NICS through DPS at this time. The committee members agreed that a law enforcement agency that is available around the clock would be better for processing these orders instead of CPOR, which is managed through the courts and not available 24/7.

Category seven is convictions for potential misdemeanor crimes of domestic violence (DV). The concern is that the Arizona definition of protected relationship is different from NICS. The recommendations are to create a "Repeat Domestic Violence" indicator that law enforcement officers can use to charge DV under felony statute; if no corresponding arrest record is found, ADRS should forward a DV guilty disposition to NICS; and to work with the courts to capture the relationships between the victim and the perpetrator.

Next, Aaron Gorrell reviewed the programmatic recommendations; these recommendations focus on system wide development, modifications and/or enhancements that impact data collection and quality.

The first recommendation is to establish specific stewardship guidelines for each justice stakeholder (law enforcement, prosecutor, and court) responsible for maintaining the integrity of only those charges established and/or adjudicated by the stakeholder.

The second recommendation is to modify ADRS to support the stewardship guidelines established above and capture charges as they exist during each segment of the case lifecycle.

Recommendation three is to modify the Arizona Rap Sheet to display the charges captured during each segment.

The fourth recommendation is to establish a performance overview for each Arizona county to measure progress toward record submission quality improvements including completeness, accuracy and timeliness.

Recommendation five includes the following: 1) ACJC and NICS Task Force will support the ongoing efforts of the e-Warrant project by ensuring that the appropriate personnel are available to help develop a comprehensive solution; 2) The ACJC and NICS Task Force will support AOC's ongoing efforts with the mental health repository project; and 3) The ACJC and the NICS Task Force will work with AOC to refine requirements and improve business processes for utilization of the protective order database and support efforts to broaden the installation base.

Recommendation six is to conduct process mapping with each county's criminal justice agencies in order to understand the differences in their business processes, document the different processes with a goal of achieving statewide improvement in the collection and reporting of criminal justice and mental health data.

Lastly, recommendation seven seeks to provide technical assistance to Arizona justice agencies with a goal of assisting in the creation and implementation of technology solutions to resolve defined reporting problems.

After review and discussion, Mike Morrison entered a motion to approve the Arizona NICS Task Force recommendations that are focused on improving the completeness, automation and transmittal of records and mental health information to the NICS; eliminating recommendation 6.2 and conducting further research on the wording of recommendation 1.5. The motion was seconded by Barbara Marshall and was unanimously approved by the Policy Team.

VII. Call to the Public

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

VIII. Date, Time, and Location of Next Meeting

The next Policy Team meeting will be held on **Thursday, March 7, 2013 at 1:30 p.m.** at the Arizona Criminal Justice Commission, 1110 W. Washington, Suite 250, Phoenix, Arizona 85007.

IX. Adjournment

The meeting was adjourned at 3:45 p.m.

Respectfully submitted,



John A. Blackburn, Jr.
Executive Director

Audio recording is available upon request.