IJIS Institute

JUDICIAL BRANCH OF THE NAVAJO NATION TECHNOLOGY ASSISTANCE ENGAGEMENT REPORT

Development of an Integration Architecture Strategy and Plan for the Navajo Nation Integrated Justice Information Sharing Project (NNIJISP)

Final Report	August 27, 2009
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Acknowledgements

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The IJIS Institute also acknowledges the outstanding work of ***Josephine Foo***, ***Orlando Bowman***, ***Ben Mariano***, and ***Gwendolyn Williams*** of the Navajo Nation Integrated Justice Information Sharing Project (NNIJISP) Project Management Subcommittee for their diligence in hosting this Technology Assistance site visit.

The IJIS Institute is grateful for the support of the member companies and their professional representatives who devote time and share their invaluable expertise for the Technology Assistance program. We particularly thank ***Chuck Georgo***, from NOWHERETOHIDE.ORG, ***Susan Laniewski***, from SAL Consulting, LLC, and ***G. Thomas Sandbach***, from Justice Technology Consulting for their outstanding work throughout this engagement. This Technology Assistance engagement would not have been possible without their tireless participation.

The IJIS Institute appreciates the opportunity to have assisted the Navajo Nation on this project. We are available for additional assistance and facilitation on any of the recommendations listed in this report.

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1. Introduction

The Navajo Nation Integrated Justice Information Sharing Project (NNIJISP) is an initiative of the Navajo Nation Judicial Branch in partnership with the Division of Public Safety and the Office of the Chief Prosecutor. NNIJISP is managed by a Technical Oversight Committee (TOC), comprised of branch and divisional chiefs and IT managers, to address pressing integrated justice information sharing and case management concerns in the Navajo Nation. Specifically these concerns include:

1. The Division of Public Safety has an Records Management System (RMS) used by law enforcement and a Jail Management System (JMS) used by the Department of Corrections that are in an implementation phase internally;

2. Information from Public Safety's RMS and JMS cannot presently be shared across the justice environment other than manually;

3. The automated Case Management System (CMS) in use by the Judicial Branch in the district and family courts is obsolete and cannot support IJIS;

4. There is no Case Management System in the Supreme Court, Peacemaking Office, Office of the Prosecutor, Probation Services, and Public Defender's office—which means all processes are manual ; and

5. There are no real time Integrated Justice Information Sharing (IJIS) and Criminal Justice Information System (CJIS) exchanges across components, resulting in delays, dismissals, and errors. The goals are: to expand automated case management support to the courts, probation, prosecutors, peacemakers, and public defenders; and implement National Information Exchange Model (NIEM)- and System Oriented Architecture (SOA)-based information exchanges between criminal justice entities in public safety (police and corrections).

The establishment of NNIJISP followed a Needs Assessment Report generated by the National Center for State Courts (NCSC) following a site visit on March 20-23, 2007. The overall concept and vision consists of modernizing to new technologies and integrating agency systems to foster collaboration and effective communication and sharing of information within and across agency and jurisdictional boundaries. The TOC is responsible for development of the NNIJISP objectives.

The Navajo Nation judicial and criminal justice system consists of a complex web of programs, departments, and divisions representing sometimes-competing interests. However, the establishment and implementation of an integrated data input and sharing system will serve the combined interest of all. No one component acting alone can have a significant impact on implementation of a shareable data management system in the formation of an IJIS environment. By working together, NNIJISP has the potential to implement an integrated information sharing system once and for all and, thereby, improve the quality and timeliness of justice in the Navajo Nation.

NNIJISP includes all judicial, criminal justice, and agency components that have a stake in accessing justice data in order to perform law enforcement, judicial, and other public service functions on behalf of the Navajo Nation public. More specifically, organizational roles are outlined as follows:

♦ <u>Supreme Court</u> is the Navajo Nation's appellate court.

♦ <u>District and Family Courts</u> are trial courts in which a range of matters are brought under Navajo law, including civil, criminal, juvenile, family, domestic violence, probate, small claims, repossession, etc.

♦ <u>Prosecutor's Office</u> primarily handles criminal misdemeanor, delinquency, dependency, and white collar crime cases, initiating cases by filing complaints in the district courts, then representing the Navajo Nation in proceedings until obtaining an order.

♦ <u>Defender's Office</u> is court appointed to criminal cases and defends indigent criminal defendants.

♦ <u>Peacemaking Program Office</u> of the Judicial Branch coordinates peacemaking and Diné law trainings and meetings between Peacemakers, Peacemaker Liaisons, and the courts.

♦ <u>Peacemaking Liaisons</u> are employees of the Judicial Branch who interface between the court and community-based peacemakers, and assist in the preparation of peacemaking agreements, scheduling peacemaking, and resolving court-related peacemaking issues.

♦ <u>Probation Services</u> are within the Judicial Branch and supervised by the courts. They monitor defendants and juveniles referred to them by the court, assess a defendant's income qualifications for pro bono counsel, refer to community service, track inmates, and perform outreach to communities, agencies, non-profits, and other services in order to maximize restoration of defendants to their communities.

♦ <u>Public Safety</u> has the responsibility of law enforcement and correctional activities. From the IT perspective, public safety operates and maintains an operational RMS and JMS and is responsible for the sex offender registry, criminal investigations, and criminal background checks. Currently, important information exchanges occur manually between these systems and the courts' systems.

The overall NNIJISP plan projects modernizing to new technologies and integrating agency systems to foster collaboration and effective communication and sharing of information within and across agency and jurisdictional boundaries. A successful, committed, energetic NNIJISP will provide a forum for, and be the primary force behind, the exchange of data, information, expertise, and ideas on current and future problems and projects that impact justice information sharing. Specific objectives of the NNIJISP project, as stated by the Client, include (but are not limited to) the following:

♦ Establish a unified, automated, web-based case management system for judicial and justice components who do not now have a supported Courts Management System (CMS) [Prosecutors in 10 district offices; Public Defender in 4 district offices; a central Peacemaking Program Office; Peacemaking Liaisons in 10 districts; Probation Offices in 10 districts; and a central Supreme Court], or have an obsolete, non-web-based CMS [Trial Courts in 10 districts].

♦ Design and completion of an RFP with a goal toward commitment of CMS purchase funds no later than September 30, 2009.

♦ Put in place project management tracking and timelines accessible by all NNIJISP stakeholders in their respective districts.

♦ Establish commitment and buy-in of all NNIJISP district stakeholders and components, including a full and comprehensive understanding of the specifics of what is required of

each district component in order to achieve NNIJISP goals, and what the consequences are for a failure of commitment by all stakeholders as a unified team.

♦ Obtain the IJIS Institute advice and assistance in best practice techniques and methods for evaluating and sorting through responses to RFPs.

♦ Interface and integrate information sharing in real time with existing public safety RMS by establishing a NIEM framework for information exchange using SOA. Public safety presently uses the CODY RMS, yet its archive databases, NCJIS and CRIS, are still relied on for criminal background checks.

♦ Active support of the Sex Offender Registry (responsibility of public safety).

♦ End redundant data entry.

♦ Increase data accuracy.

♦ Enable seamless real time information linkage and warrant and protective order notification.

♦ Improve identification and apprehension of wanted individuals by providing more accurate and complete information to justice users.

♦ Decrease event to depository lag time.

♦ Decrease operational costs.

♦ Enable expansion of CMS as unique Navajo laws develop, including possibility of orders "published" as sound recordings in the Navajo language.

♦ Put in place a training scheme so that operators are skilled in CMS use and internal staffs have the long-term capability to train other staff members.

♦ Standardize processes and documents and establish member policies, practices, and procedures.

♦ Revitalize the Automated Fingerprint System (AFIS) with software upgrades and staff training.

♦ Implement NIEM- and SOA-based information exchanges between criminal justice entities.

1.1. Executive Summary

The Judicial Branch of the Navajo Nation (the "Client") requested assistance from the Bureau of Justice Assistance (BJA) from the Training and Technical Assistance Program, administered as Technology Assistance (TA) engagements through the IJIS Institute, to provide a review of a Court Case Management System Request For Proposal (RFP) and guidance to develop an overall justice integration framework (conceptual architecture) and implementation strategy. A team (the "TA Team") was established to perform the requested TA engagement.

This document contains the observations, assessments and recommendations of the IJIS Institute Technology Assistance Team (TA Team) relative to the NNIJISP's request for assistance. The engagement addressed a comprehensive review and assessment of the Navajo Nation's Judicial Branch, and other related agencies, for the development of a justice integration framework (conceptual architecture) and implementation strategy. The TA Team recorded business and technical observations and made recommendations as detailed in this report.

As described in <u>Section 2 (Engagement Methodology)</u> of this report, the TA Team executed a progressive approach to conducting this TA engagement. The team followed a methodology

which included the development of multiple perspectives on several issue areas affecting, and/or potentially affecting, the NNIJISP initiative. The results of these findings and analyses were derived for key information technology life cycle areas and are described in this report as:

♦ Current Situation Assessment – Section 3

♦ Needs Analysis – Section 4

♦ Recommendations – Section 5

♦ Actions and Initiatives – Section 6

For each of the sections above, multiple business and technical issue areas were examined to include:

♦ Policy and Governance

♦ Business Process and Operations

♦ Systems and Technology

♦ Facilities and Network Infrastructure

♦ IT Management and Resourcing

In general, it was found that the NNIJISP initiative requires guidance, stakeholder buy-in, and adjustment to remain on track for completing specific steps critical to achievement of a successful operational IJIS with the implementation of new CMS to support civil and criminal case management activities. Subsequently, with the inclusion of operational data exchanges to public safety (police) and corrections (detention), the IJIS can be recognized as a Criminal Justice Information System (CJIS) environment. While these systems will be significant accomplishments, they will introduce many new challenges. In Section 3 of this report, the current situation observations of the TA Team are captured by each issue area. These observations are based on relevant document reviews and the onsite staff interviews. Such observations are primarily intended to call attention to areas of which the NNIJISP leadership should be aware, and where it is likely that action will need to be taken.

In considering the integration challenges that lie ahead for NNIJISP, various needs were identified as the team performed an analysis of the current situation and the integration and information sharing goals sought. In Section 4 of this report, the critical needs are described by issue area.

Specific recommendations are included in Section 5 of this report addressing the respective issue areas. It is clear that the NNIJISP initiative is committed to move towards an IJIS application and technology environment, and then on to the CJIS environment with the establishment of information exchanges to include agencies beyond the Courts. Integrated IJIS/CJIS environments have challenged many jurisdictions for decades. This is primarily because it requires that independent justice agencies periodically balance departmental needs with the broader needs of the justice enterprise. It is important to note that those organizations that have been successful in their respective IJIS/CJIS programs have understood this concept well. Mostly, they understood and defined the value of this type of investment to both the mission of the justice enterprise, as well as to the missions of their individual departments.

The Judicial Branch appears to be in a good position to implement the planned system and take full advantage of the benefits that the project proposes. Contributing factors to this position include the following:

♦ A collective positive attitude among justice organizations recognizing the value and importance of the integration and information sharing prevails;

♦ Legacy systems and information histories will be of minimal disruption; and

♦ Incident and case volumes are relatively low and manageable.

While all of this bodes well for the NNIJISP in their integration effort, it does not mean that challenges do not abound. To accomplish the goals set forth by the NNIJISP leadership, it will be necessary to overcome a series of hurdles; hurdles like these have challenged many justice jurisdictions and are not necessarily unique to the NNIJISP initiative. Highlights include:

♦ The current inability to connect reliably by electronic networks consistently within and across districts remains as a significant problem and must be resolved to move forward;

♦ A more rigid governance structure, and perhaps establishment of a separate bureaucratic NNIJISP, should be implemented to oversee future programs and projects;

♦ A clear commitment from all members of the NNIJISP community is required to achieve short-term and long-term improvement goals, and must include the participation of the Department of Public Safety in this CMS project and other IJIS/CJIS initiatives.

These are summary level points that must be addressed if an effective IJIS/CJIS program is to be achieved. The report details these and other similar issues and concerns in the subsequent sections.

The TA Team has developed a set of recommended actions and initiatives crossing an expanse of issue areas, from policy and governance to systems and technology to IT management. "Actions" represent major objectives to be achieved in the immediate time frame and "Initiatives" represent long-term operational implementations. The reference to Tiers in the following sections suggests the order in which the various actions and initiatives should be executed to accomplish the NNIJISP vision.

These are listed below as Tier 1A through Tier 3 in progressive order. The order of the key tasks and milestones for the project has considered how they might be viewed both from an ideal perspective as well as from a realistic and practical Navajo Nation perspective. The TA Team has endeavored to combine both of these two perspectives and to present a balanced view that would be most effective going forward. Further details of these recommended actions can be found in Section 5 and Section 6 of this report.

1.1.1 Tier 1A Actions & Initiatives – Initial CMS Implementation

Actions and initiatives in this tier give particular consideration to the expenditure commitment deadlines that the project is faced with, as well as immediate underlying technology issues that must be resolved before progress at the enterprise level can be achieved. *It is important to note that the actions and initiatives in this tier are recommended to be executed in parallel with Tier 1B.* While they are of a different nature, parallel action is recommended to ensure that key program components are shored up to guide CMS project activities. The key component included in this tier is the initial phase of the CMS implementation–Phase 1. Phase 1 is to be considered a "proof

of concept" or "pilot" system that will serve as an operational and developmental site in which the product must prove the applicability of the software to the Navajo Nation's working environment. References to Phase 2 (and beyond) are addressed in Tier 2 for the replicated deployment of the Phase 1 system into each of the remaining districts at a pace defined by NNIJISP. The pace of these downstream implementations will be based upon the available resources and funding to support those deployments.

Tier 1A actions and initiatives include:

♦ Develop and Issue Court Case Management System Request for Proposal (RFP)

♦ Identify the District for the "Initial" CMS Implementation – Phase 1

♦ Acquire CMS Software Product

♦ Upgrade Supporting Infrastructures for the Initial District

♦ Configure and Implement Phase 1 CMS in the Selected District as a Parallel Operation

♦ Conduct Phase 1 Post Implementation Review and Evaluation

♦ Develop a Phase 2 Deployment Plan (based on Phase 1 experience)

1.1.2 Tier 1B Actions & Initiatives – Program Management

The actions and initiatives included in this tier are required to provide the overarching policies and direction for the NNIJISP initiative. This first set of actions involves the establishment of a formal leadership and directional structure for the NNIJISP initiative. It is recommended that the following actions and initiatives be taken by the current NNIJISP leadership, including the Technical Oversight Committee and the Project Management Subcommittee. These are required to initiate and achieve an effective operational integration solution regardless of the structure and content of the technology solution.

Tier 1B actions and initiatives include:

♦ Focus on Project Strategy - Develop IJIS/CJIS Strategic Plan

♦ Improve and Formalize an Enduring NNIJISP Governance

♦ Improve CJIS Information Sharing Business Environment

♦ Implement IJIS/CJIS Enterprise Integration Policy

♦ Develop IT Operations Sustainability Requirements

♦ Increase Project Outreach

1.1.3 Tier 2 Actions & Initiatives – Stabilization & Deployment

The actions and initiatives included in this tier will be executed based upon the satisfactory implementation of the Phase 1 CMS effort - Tier 1A. This tier addresses the full deployment of the CMS in all remaining districts. The actions and initiatives listed below are targeted at further developing the essential underpinnings of a shared IJIS/CJIS integration environment as well as expanding the functional business capabilities and features.

Tier 2 actions and initiatives include:

♦ Ensure Funding Availability for CMS Phase 2 Deployment

♦ Upgrade District Infrastructures

♦ Conduct Phase 2 Post Implementation Review and Evaluation

♦ Develop Phase 3 Deployment Plan (based upon Phase 2 Experience)

♦ Implement NNIJISP System Administration Function

♦ Design and Implement High Priority IJIS/CJIS Exchanges in the Phase 1 CMS Environment

♦ Manage Replicated Deployment of the CMS (Districts 2 – 11)

1.1.4 Tier 3 Actions and Initiatives – Long-Term Enhancements

The actions and initiatives included in this tier are primarily long-term and address needs that are not immediate. However, these recommendations should be considered and included in the long-term strategic and project planning, such that provisions are made for eventual action. Ideally, a number of these should have been elevated to Tier 1A, and Tier 1B, if certain local constraints were not part of the factors considered.

Tier 3 actions and initiatives include:

♦ Design and Implement Lower Priority IJIS/CJIS Exchanges

♦ Implement Data Quality Initiative

♦ Implement an Enterprise Project Management Office to Coordinate the Design, Development and Implementation of New Systems

♦ Define the Portfolio of Technology Projects

♦ Document Network Design

♦ Define Long Term Enterprise Information Sharing Business Architecture

♦ Design an Enterprise Integration Architecture

♦ Adopt and Use National Information Sharing Standards

In summary, as the NNIJISP prepares to meet the challenges of multi-agency IJIS/CJIS integration, a series of well-planned actions and initiatives will need to be taken. The TA Team has defined those included above for this purpose. Further, as the NNIJISP considers execution of these recommended actions and initiatives, it is important to understand that each "next step" is heavily dependent upon previously achieved steps. Effectively, the above delineated bullet items constitute a high-level implementation plan or "road map" to achieving a successful IJIS/CJIS operational environment for the Navajo Nation.

In light of the unique challenges facing the NNIJISP with regard to access to IT resources and expertise, it is further recommended that future Technology Assistance (TA) services be considered for the Judicial Branch and, in particular, the Division of Public Safety, the Prosecutor, and the Public Defender.

The following is a <u>preliminary, high-level</u> project timeline projection for the NNIJISP initiative. The timeline depicts the major tasks in relations to each other in an overall schedule perspective. The time <u>estimates</u> are based upon the best judgment that can be derived using information learned in the on-site visit, and as estimated in conjunction with prior experiences with similar project activities and dependencies.

"Preliminary High Level" Navajo Nation NNIJISP Timeline Projection

ID	Task Name	Duration
1	TIER 1A Actions & Initiatives - Phase 1 CMS Implementation	223 days
2	Develop & Issue Court Case Management System Request for Proposal (RFP)	40 days
7	Identify the District for the "Initial" CMS Implementation Phase	5 days
8	Acquire CMS Software Product	48 days
15	Upgrade Supporting Infrastructures for the Initial District	40 days
19	Configure & Implement Phase 1 CMS Selected District as a Parallel Operation	85 days
25	Conduct Phase 1 Post Implementation Review and Evaluation	30 days
28	Develop a Phase 2 Deployment Plan (based on Phase 1 experience)	20 days
29		
30	TIER 1B Actions & Initiatives - Program Management	63 days
31	Focus on Project Strategy - Develop IJIS/CJIS Strategic Plan	60 days
32	Improve and Formalize the NNIJISP Governance	40 days
37	Improve CJIS Information Sharing Business Environment	30 days
38	Implement IJIS/CJIS Enterprise Integration Policy	15 days
39	Develop IT Operations Sustainability Requirements	20 days
40	Increase Project Outreach	15 days
41		
42	TIER 2 Actions & Initiatives - Stabilization & Phased Deployment	708 days
43	Ensure Funding Availability for CMS Phase 2 Deployment	15 days
44	Upgrade District Infrastructures	40 days
48	Conduct Phase 2 Post Implementation Review and Evaluation	5 days
50	Develop Phase 3 Deployment Plan (based upon Phase 2 experience)	10 days
51	Implement NNIJISP System Administration Function	15 days
52	Design & Implement High Priority IJIS/CJIS Exchanges in the Phase 1 CMS Environment	59 days
53	Manage Replicated Deployment of the CMS (Districts 2 – 11)	525 days
61		
62	TIER 3 Actions & Initiatives - Long-Term Enhancements	220 days
63	Design and Implement Lower Priority IJIS/CJIS Exchanges	60 days
64	Implement Data Quality Initiative	15 days

1.2.   The Need for Technology Assistance

The Bureau of Justice Assistance (BJA) received the request for Technology Assistance (TA) from the Navajo Nation Judicial Branch. The request was for the IJIS Institute to provide TA services to their Navajo Nation Integrated Justice Information Sharing Project (NNIJISP) to help advance the Navajo Nation's justice and public safety modernization efforts.

The primary goal of this TA engagement is to assist the NNIJISP initiative in the development of an overall justice integration framework (conceptual architecture) and implementation strategy and to provide review advice regarding the development and issuance of a RFP for new Case Management System (CMS). As these new systems are implemented across the primary justice and public safety organizations, it is imperative that they do not develop as silos. The desire is for an architecture that will ensure a comprehensive information management environment, enabled to effectively share information of interest to all justice and public safety organizations.

The TA services are necessary to provide the NNIJISP initiative with expertise and best practices from other information sharing accomplishments by jurisdictions throughout the U.S. This includes raising awareness of programs like the National Information Exchange Model (NIEM), the Justice Reference Architecture (JRA), and the Global Federated Identification and Privilege Management (GFIPM).

1.3.   Technology Assistance Team

The team selected for this engagement included two representatives from IJIS Institute industry partners, and a representative from an IJIS Institute alliance partner. The team was selected from a group of candidates based upon the requirements of this engagement and the applicability of skill sets and experience offered, both individually and as a team.

The team was coordinated by the onsite IJIS Institute project managers in accordance with the IJIS Institute's technology assistance delivery methodology.

1.3.1 Consultants

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1.3.2 Navajo Nation Staff (Client)

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1.4.　Technology Assistance Scope and Constraints

The TA Team performed a site visit in Window Rock, Arizona, Shiprock, New Mexico, and Farmington, New Mexico, on May 12-15, 2009, and conducted a series of meetings with the Project Management Subcommittee, the Technical Oversight Committee, and more than 100 staff members from various justice and public safety agencies. These activities were necessary to complete the scope of work as outlined in the IJIS Institute Letter of Agreement (LOA) and Statement of Work (SOW), included in Appendix A.

The IJIS Institute provided a team of experts in justice and public safety system integration. These consultants represented a consortium of IJIS Institute member companies and alliance partners that possess the required experience and expertise in justice and public safety domains, relevant technologies and product sets, and applicable information sharing standards and capabilities.

The TA Team worked with the designated NNIJISP representatives to develop an overall justice integration framework (conceptual architecture) and implementation strategy and to provide review advice regarding the development and issuance of a RFP for a new CMS. This framework will address all of the major application components comprising the NNIJISP integrated justice environment. A conceptual architecture, depicting the required capabilities to support a central exchange of information, was developed, including recommended use of relevant standards and technologies (such as NIEM) and services (Master Name Index- MNI).

Additional issues explored included the life cycle development methodology, external connectivity, and policy and governance.

Specific onsite activities that were performed by the TA Team included:

♦ Define current organizational structure and approach to governance under the CJIS Program.

♦ Define existing applications, user communities, and stakeholders (summarized above) who must buy in to the integration architecture strategy.

♦ Assess current technology environment and any plans for future upgrades to strengthen the IT infrastructure.

♦ Confirm existing technology standards that have been, or are intended to be, adopted.

♦ Define the risks and benefits of different alternatives available for inclusion in the integration architecture strategy, including issues of data ownership and quality.

The key scheduled events and respective dates that were agreed to are as follows:

♦ Consultant Selection by the IJIS Institute: **April 15, 2009**

♦ Preparatory Materials Provided by Client to the IJIS Institute: **March 31, 2009**

♦ Pre-Site Visit Conference Call with Client: **week of April 28, 2009**

♦ Site Visit: **May 12 through May 15, 2009**

♦ Agency and Departmental Survey Reviews (conducted at in two districts, Window Rock, AZ and Shiprock, NM, involved in excess of 100 Navajo Nation staff member participation): **May 12 through May 14, 2009**

♦ Overview Presentation and Discussion to the Technical Oversight Committee, the Project Management Subcommittee and to the Stakeholder Community (numbering about 75): **May 15, 2009**

♦ Report Development and Submission:

  – Draft Report for Review/Comment: **June 23, 2009**

  – Draft Report: **July 1, 2009**

  – Final Report: **August 27, 2009**

The TA Team conducted this engagement as a four-day, onsite engagement, followed by analysis by the consultant team and the generation this document that will provide the NNIJISP with a conceptual technical architecture and approach for integration and information sharing.

2. Engagement Methodology

The IJIS Institute uses a comprehensive methodology and approach in the execution of technology assistance (TA) engagements. Figure 1 illustrates the components of this methodology by life cycle activity and major issue area. While all of these components are not equally applicable to a single TA engagement, all were considered when preparing for the NNIJISP engagement. For NNIJISP, the focus of this report was in the following stages of the life cycle – *Current Situation Assessment, Needs Analysis, Recommendations, and Actions and Initiatives*.
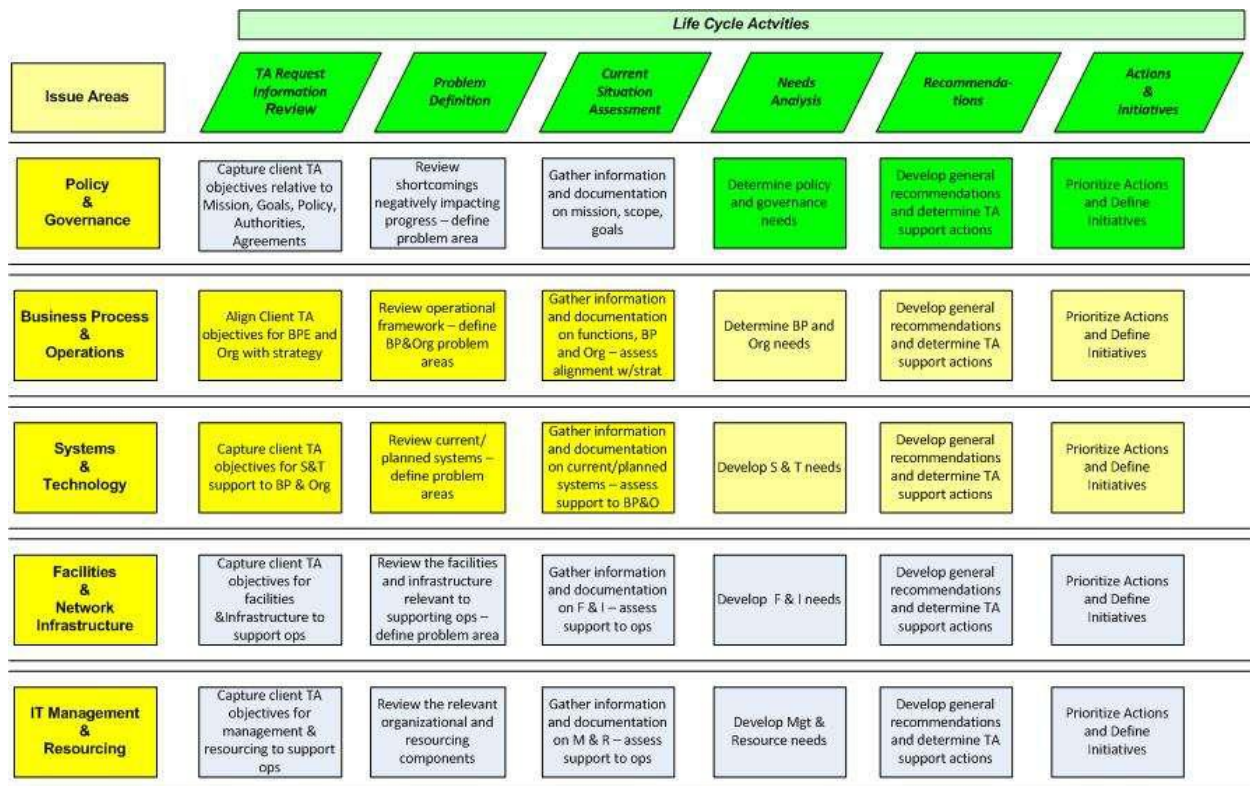
Figure 1: IJIS Institute Engagement Methodology

2.1.   Purpose and Objectives

The purpose of this engagement is two-fold:

1. To gain a clear of understanding of the NNIJISP's situation, including goals, critical needs and priorities for information sharing; and,

2. To assist the NNIJISP project in the development of an information sharing system conceptual architecture, implementation plan, and RFP development advice.

The objectives for this engagement are:

♦ To provide an assessment of the IJIS/CJIS solution and technology environment;

♦ To capture and analyze key findings relevant to the development of an information sharing capability for NNIJISP IJIS/CJIS; and,

♦ To provide comprehensive recommendations for achievement of the NNIJISP's information sharing goals.

2.2. Major Activities

This engagement was executed via a progressive set of TA review and assessment activities, integrating multiple issue areas affecting the NNIJISP's IJIS/CJIS environment, and leading to the development of a set of recommended actions and initiatives. Each of these activities is represented in later sections of this report. Further, each major activity addresses a series of issue areas, including:

♦ Policy and Governance

♦ Business Process and Operations

♦ Systems and Technology

♦ Facilities and Network Infrastructure

♦ IT Management and Resourcing

2.2.1 Current Situation Assessment

The current situation assessment was performed to capture the observations of the consultant team. This assessment was conducted via preliminary conference calls, documentation reviews, as well observations made during the on-site engagement. The results of these observations are contained in Section 3 of this report.

2.2.2 Needs Analysis

The needs analysis primarily consisted of the onsite surveys conducted by the consultant team with each of the NNIJISP justice agencies and departments. In this step, the team developed preliminary understandings of the overall business drivers of the NNIJISP's IJIS/CJIS integration program, including perspectives from each of the participating organizations. Supporting requirements for future integration were captured from multiple perspectives – from policy and governance needs to facilities and infrastructure. The results of this needs analysis is contained in Section 4 of this report.

2.2.3 Recommendations

Following the onsite engagement, the consultant team defined a set of recommendations to help support the NNIJISP's mission and goals for IJISP/CJIS integration. These recommendations address the needs identified in the *Needs Analysis* step, and include various relevant issues such as: policies, standards, high-priority information sharing objectives, and, where applicable, specific issues discovered during this engagement. Recommendations, based upon the needs analysis, are contained in Section 5 of this report.

2.2.4 Actions and Initiatives

The final activity is to summarize the recommendations into a series of actions and, where appropriate, new initiatives for the NNIJISP IJIS/CJIS to manage and execute. They will be organized into a set of prioritized action tiers, focused on achieving the most critical objectives in a logically sequenced approach. Actions and initiatives, based upon the needs analysis, are contained in Section 6 of this report.

2.3.   Key Deliverables

This engagement includes four major deliverables:

1. Onsite survey interviews, including summary observations.

2. Onsite presentations, including summary observations.

3. A draft report for presentation to the NNIJISP for review and comment.

4. A final report representing the assimilated viewpoints of the NNIJISP justice organizations, the TA consultant team, and the Bureau of Justice Assistance.

3. Current Situation Assessment

In general, it was found that the Navajo Nation has many system and technology challenges to overcome in its effort to implement the NNIJIS program and implementation of a new case management system (CMS). These challenges, described in the paragraphs that follow, are based on findings that resulted from site visit interviews and offsite document reviews. The observations described below are primarily intended to call attention to areas in which the Navajo Nation leadership must take action if the NNIJIS initiative is to be successful.

3.1. Policy and Governance

3.1.1 A Brief History of Integrated Justice in the Navajo Nation

In order to understand the current integrated justice governance situation prevailing in the Navajo Nation, a brief glance at the events that serve as a backdrop to this technology assistance engagement will be instructive. These milestones will serve as reference points throughout the governance discussion.[1]

3.1.1.1   1982 Administrative Order on Court Dispositions

The Chief Justice of the Navajo Nation issued an administrative order[2] requiring that clerks of court report dispositions in criminal and traffic cases to the Records and Identification Section of the Department of Public Safety.

♦ Significance for integrated justice:
  – Courts recognized the importance of the exchange of criminal justice data.
♦ Lessons learned:
  – Timely and accurate criminal history information is vital to the criminal justice system.
  – The privacy rights of Navajo individuals must be respected in the collection and dissemination of criminal history data.

3.1.1.2   1983 Prosecutor Central Records Keeping System

The Council of the Navajo Nation adopted 2 N.N.C.§1986[3] requiring the Office of the Prosecutor to establish a Central Records Keeping System to include the date and agency to whom the referral is made, the prosecutor to whom the case is assigned, case status, presiding judge, previous criminal history, title of investigation, and case disposition. The TA Team did not observe any system that fulfilled these record keeping requirements.

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[1] *Although every effort has been made to ensure that this timeline is accurate, it is not intended to represent a complete history, but rather reflects information that was available to the TA Team during this Technology Assistance engagement.*

[2] *http://www.navajocourts.org/Resolutions/CJ%20admin%20order.pdf*

[3] *http://www.navajocourts.org/Resolutions/2NNC1986.pdf*

♦ Significance for integrated justice:

    – The Navajo Nation Council recognized the importance of record keeping across agency boundaries for criminal justice data.

♦ Lessons learned:

    – Legislative mandates do not always translate into effective agency action.

    – This legislation apparently has led to a lack of clarity of responsibility for record keeping among criminal justice agencies.

3.1.1.3   1992 Open Information Environment

Acknowledging the benefit of information sharing, a resolution of the Navajo Council, CJA-34-924 mandated an "Open Information Environment" among the agencies of the Navajo Nation government. It recognized the importance of careful analysis and planning prior to implementation. Significantly, the legislation assigned responsible parties to coordinate the use and development of computer technology to accomplish the open information sharing environment. Those assignments included:

♦ A Standards Group to "coordinate and facilitate strategic planning, coordinate technology acquisitions and directions by establishing and maintaining technology standards," and to, "resolve information/technology issues."

♦ An Operations Work Group to, "evaluate procedural issues and concerns" in carrying out the Open Information Environment and assess the type of data to be shared with Chapter-level government.

♦ A Policy Work Group to, "review and evaluate policy issues to be addressed" in connection with the Open Information Environment.

♦ A Technology Work Group to, "review and evaluate technology issues and concerns to be addressed" in carrying out the Open Information Environment.

♦ An Information Management Centers Steering Committee composed of agency information technology practitioners to, "provide an ongoing forum to coordinate government wide automation activities to insure current standards adherence and the productive and cost effective use of technology in meeting day to day governmental information needs."

It appears to the TA Team that the groups to be established by this resolution are not functioning at this time.

♦ Significance for integrated justice:

    – The Council embraced the concept of an Open Information Environment encouraging the sharing of information among agencies of the Navajo Nation.

♦ Lessons learned:

    – The proposed work group assignments correlate well to currently recognize "best practices" for integrated justice information sharing.

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4 *http://www.navajocourts.org/Resolutions/CJA-34-92.pdf*

– The Council's requirements for careful analysis and planning prior to execution are universally accepted cautions in information sharing projects.

– Legislative mandates do not always translate into effective agency action.

3.1.1.4   2000 Inter-tribal Integrated Justice Pilot Project

 In June of 2000, the National Center for Rural Law Enforcement (NCRLE) began an Inter-tribal Integrated Justice Pilot Project funded by the U.S. Department of Justice (DOJ), Office of Justice Programs (OJP), Bureau of Justice Assistance (BJA), involving the Navajo Nation, the Pueblo of Zuni, and the Hopi Tribe of Arizona and New Mexico. This three-phase project was intended to provide criminal justice information sharing among the tribes. NCRLE began implementing the Inter-tribal Integrated Justice Pilot Project on September 30, 2001.[5] At some point thereafter, the Navajo Nation apparently withdrew from the project.

♦ Significance for integrated justice:
  – Although ultimately unsuccessful, this project provided the Navajo Nation with insight into the complexity and potential benefits of justice information sharing.

♦ Lessons learned:
  – The project was able to identify needs of the Navajo Nation with regard to its readiness for information sharing.

  – Phase 1 of this project, Intra-Tribal Integration included three initiatives that focused on improving the governance, policies, and standards. Those phases, though never completed, would have strengthened the ability of the nation to share justice information.

3.1.1.5   2001 Navajo Nation Criminal Justice Summit

In March 2001, in conjunction with the NCRLE pilot project, the Navajo Nation held a criminal justice summit. According to an article in Police Chief Magazine[6], "the objective of the summit was to develop a comprehensive strategy to foster coordination, collaboration, and communication among the various criminal justice service providers necessary to enhance safety in the Navajo Nation."

♦ Significance for integrated justice:
  – Criminal justice leaders from across the Navajo Nation made commitments to pursue the goals of improved communication and information exchange throughout the criminal justice system.

♦ Lessons learned:
  – Many of the barriers to information sharing identified by participants as a part of the summit remain in place to this day.

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[5] *http://policechiefmagazine.org/magazine/index.cfm?fuseaction=display_arch&article_id=1089&issue_id=12007*
[6] *Ibid.*

- Many of the solutions suggested to overcome the barriers identified by participants have not been implemented within the Navajo Nation to this day.

3.1.1.6 2002 Legislative Support for Integrated Justice

The Council of the Navajo Nation adopted Resolution CAP-30-027 supporting the development of an integrated criminal justice information system, recognizing that it is a part of the Open Information Environment and mandating cooperation and coordination in its development. The resolution requested that a proposal for the integrated justice system be submitted to the Council within six months. That apparently did not occur.

- ♦ Significance for integrated justice:
  - The Navajo Council established a justice information sharing goal: The goal of the Integrated Criminal Justice Information System is to improve the coordination, collaboration, and communication among all programs and service providers within the criminal justice system of the Navajo Nation and to develop the sharing of criminal justice information.
  - All agencies and technology groups were directed to cooperate in the effort to accomplish this goal.
- ♦ Lessons learned:
  - Legislative mandates do not always translate into effective agency action.
  - Dedicated effort, careful analysis and effective planning and analysis are essential to translating a magnificent vision into a tangible reality.

3.1.1.7 2007 NCSC Court Automation Review

Pursuant to an agreement with the Judiciary of the Navajo Nation the National Center for State Courts (NCSC) performed an extensive review of the court automation environment of the judicial branch. The NCSC report recommended a new case management system for the courts that could be expanded to include probation, prosecutors, and public defenders.

- ♦ Significance for integrated justice:
  - This report appears to have galvanized the support for an integrated justice information sharing solution.
  - It suggested the formation of a Memorandum of Understanding (MOU) between justice agencies to provide the basis for governance and a Technology Oversight Committee (TOC) to shepherd the project.
- ♦ Lessons learned:
  - The report suggested a court case management system that might serve as a portion of an integrated criminal justice information system, with possible expansion for probation, prosecution, and criminal defense. The integrated justice system that is the apparent goal of NNJISP is more ambitious than the scope of the NCSC report.

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7 http://www.navajocourts.org/Resolutions/CAP-30-02.pdf

- The TOC as described in the report was proposed as a support group for judicial automation and improvement activities and its primary duty was to be "to help develop and maintain a 'rolling' five-year plan for court automation." The TOC put in place to guide the development of NNJISP has assumed a far larger role.

3.1.1.8   2007 Memorandum of Understanding (MOU)

Following the report from the NCSC, the Navajo Nation established a Memorandum of Understanding of Goal and Guidelines among the component agencies of criminal justice and the strategic information technology support staff.

- ♦ Significance for integrated justice:
  - The Memorandum of Understanding begins the fulfillment of the promise of Resolution CAP-30-02 and is the seminal act of information sharing cooperation among the agencies of the criminal justice system of the Navajo Nation.
  - The MOU established a Technology Oversight Committee (TOC), enumerated a number of functions envisioned for an integrated case/records management system, established duties for the TOC, and stated principles for the conduct of the committee.
- ♦ Lessons learned:
  - Persistence, sincere support, and concentrated effort can bring positive accomplishments to an information sharing project.

3.1.1.9   2009 Charter of NNIJISP

- ♦ The Charter provides for the organization and administration of the NNIJISP and includes a set of rules and procedures for the governance of the NNIJISP effort.
- ♦ Significance for integrated justice:
  - The Charter implements a provision of the MOU calling for the establishment of a formal governance structure for the committee and defining its rules.
- ♦ Lessons learned:
  - The Charter represents a good initial governance document for the NNIJISP, but it must be a living document that is grows as necessary to meet the coming challenges of a, "complex network of programs, departments and divisions representing sometimes competing interests."

3.1.2 Environment for Justice Information Sharing

The chronology above has been marked by years of inactivity followed by a flurry of activity, only to lapse into another slack period. One criminal justice leader described the integrated justice efforts as having, "languished for many years." Another leader sadly described the information sharing efforts as "floundering." For many years, there seems to have been a lack of strong advocates for the information sharing initiatives. Several projects seem to have failed or died in the early stages of development. Recently new leaders, new approaches and technologies have emerged that may bring hope to justice integration. Still there remain serious challenges to overcome.

3.1.2.1 Doubts from the Past

The failure of past projects seems to have caused skepticism among the practitioners within all of the agencies of the Navajo criminal justice system. Some have been around long enough to remember past failures in judicial and law enforcement integration efforts and have expressed concerns that this is just another such project. Others, aware of those past setbacks, are hopeful that the factors that doomed them (politics, vendor issues, system design, etc.) will not prevail in this effort.

3.1.2.2 Lack of Commitment

The TA Team heard about or witnessed some evidence of lack of commitment to the NNIJISP effort by individuals from all components of the criminal justice system. While the evidence may be anecdotal, the perception is widespread that agencies outside the judicial branch have not fully embraced the concept of integrated justice.

The reasons for this perceived lack of commitment are unclear. One observation heard often is that there is a concern about the political will to achieve the aims of the NNIJISP. The claim is that a change of administration will enhance or diminish the administration's enthusiasm for the project. Because of our knowledge of the political situation and the short duration of our visit, it is difficult for the TA Team to assess the validity of these opinions and impossible to judge the cause. The realities as well as the perception remain impediments to project progress.

3.1.2.3 Mistrust and Miscommunications among Justice Agencies

One observation permeated our agency visits—there was palpable mistrust across all agency boundaries within the criminal justice system; it was evident in the relationships among all components. Law enforcement, prosecutors, courts, defenders, probation, and corrections all had reservations about the performance of other justice agencies. Police were unwilling or unable to deliver required complaints to prosecutors. Courts and public defenders could not count on timely filings from prosecutors. There were examples cited from almost every combination of agencies. These dysfunctional relationships often caused a breakdown in the performance of required activities. Agencies who must discuss cases in order to accomplish the business of criminal justice have, in some cases, simply stopped doing so.

There were other examples of a lack of confidence in the ability of an agency to perform their duties:

♦ Police officers frequently fail to appear for court testimony.
♦ Corrections sometimes neglects to enter booking records of arrestees into the jail management systems.
♦ Court records are not trusted because of a catastrophic system failure in 2003.
♦ Police are denied access to the benefits of Internet resources because of a fear that they will abuse the privilege.
♦ There seems to be widespread concern about the security of communications using the navajo.org Internet domain.

The result is that practitioners do not always have access to the right information at the right time. Sometimes this will result in justice being delayed. On other occasions the result is often the dismissal of cases and release of defendants who may present a danger to the community.

In some ways it appears that a *culture of not sharing information* has developed within the Navajo Nation. Court calendars are routinely not shared with prosecutors and public defenders. Incompatible email systems hamper communications between components. Police are often reluctant to share police and arrest reports with prosecutors who need them to make simple charging decisions. Even the CODY system used by the police uses proprietary data formats that they are reluctant to integrate with other systems.

3.1.3 Governance

3.1.3.1 Structure

The NNIJISP executive function consists of a Technical Oversight Committee (TOC) established by the MOU and the Charter. Its membership includes an executive-level representative from each of the NNIJISP stakeholder components and a departmental IT Manager to speak on behalf of their branch/department/division concerning their business and technical requirements in terms of sharing justice related information. The term "stakeholder components" is undefined. The Chief Justice presides over meetings of the TOC.

At the present time there are 10 members:

♦ The Chief Justice of the Judicial Branch

♦ The Executive Director of the Division of Public Safety

♦ The Director of the Department of Corrections

♦ The Chief Prosecutor of the Office of the Chief Prosecutor

♦ The Executive Director of Public Defender Services

♦ The Chief Probation Officer of Probation and Parole Services

♦ The Director of the Department of Information Technology

♦ Three Information Technology representatives from the Judicial Branch, Office of Chief Prosecutor and Department of Public Safety.

The TOC may appoint a Project Management Subcommittee and such other subcommittees as may from time to time be required for specific duties.

The powers and duties of the TOC are not delineated in the Charter, but the following statements seem refer to those functions:

> *By working together, NNIJISP has the potential to implement an integrated information sharing system once and for all and, thereby, improve the quality and timeliness of justice in the Navajo Nation.*

> *A successful, committed, energetic NNIJISP will provide a forum for, and be the primary force behind the exchange of data, information, expertise, and ideas on current and future problems and projects that impact justice information sharing.*

While there is generally a cultural preference within the Nation for decision making by consensus, the committee often acts by vote of the membership. A quorum consists of four members unless integration is discussed in the meeting, and, in such cases, five members are required for the quorum.

3.1.3.2   Project Management

The Charter provides for a position of project manager reporting to the TOC. The most recent project manager left in February for health reasons and the position has been vacant since. The Charter specifies that in the event of a vacancy in the position of project manager, the project management subcommittee may assume the project manager's functions.

3.1.3.3   TOC Transparency

The NNIJISP maintains a web site that contains current news of the project, TOC Committee membership, the Charter and other governance documents, an activity log, and meeting minutes. The TA Team did not find any indication of meeting notices and agendas posted in advance of TOC meetings announcing the topics for discussion and vote at the meetings.

3.1.3.4   Political Uncertainty

While we are unaware of the political situation in the Navajo Nation, we are unable to accurately judge the potential for political volatility of the membership in the TOC. It does appear that the membership consists of members of the executive branch for whom there could be replacements following an election. If that were to happen, it could result in a dramatic change in the positions of the TOC on major issues.

An unusual provision in the Charter provides that an agency could lose its vote on the TOC for the remainder of the fiscal year in the event of a change in membership. While the purpose of such a provision is unclear, it has the potential for disenfranchising vital stakeholders for a substantial period of time, thus potentially challenging their participation and commitment to the project.

3.1.4 Project Outreach

During our visit to the Navajo Nation, the TA Team met with more than 100 people in individual and small group interview sessions. Many of those interview participants were unaware of a potential interview in advance, were not informed of the purpose of the interview, and were not aware of the NNIJISP project in general.

As a result, the TA Team was required to spend much of their time explaining that they were not vendors, that they had nothing to sell, and that they were there to assist the Nation in the development of an integrated justice network.

It was apparent to the TA Team that rank and file criminal justice practitioners were not aware of this project that will have a real and, hopefully, positive effect on their job responsibilities. Their support and acceptance will be needed in order to successfully implement a new integrated justice system.

3.1.5 Project Strategy

Throughout the history of integrated justice in the Navajo Nation, the development of a strategy and plan has been viewed as central to integrated justice:

♦ The 1992 Council resolution creating the Open Information Environment emphasized the importance of careful planning and analysis prior to the implementation of an information sharing environment.

♦ The objective of the 2001 Criminal Justice Summit was to develop, "a comprehensive strategy" to foster coordination, collaboration, and communication to enhance safety in the Navajo Nation.

♦ The 2007 NCSC report suggested that the primary duty of the proposed Technology Oversight Committee was, "to help develop and maintain a 'rolling' five-year plan for court automation."

♦ The MOU charged the TOC with establishing, "current and future success - by securing coalitions, planning near and long term, and aligning scope with planning and implementation."

♦ The Charter places the responsibility for the development of a project strategic plan with the project manager.

Given this emphasis on planning, the TA Team expected to see a written common understanding of the goals to be accomplished by the NNIJISP and the steps necessary to achieve them. While the MOU contains a generalized set of goals it appears that the project has not yet articulated a specific set of expected outcomes to be achieved as a result of the integration effort. Without that expressed and documented consensus vision, it will be difficult to manage system scope, expectations, projects, priorities and ultimately to measure success.

The NNIJISP apparently has no written strategic plan that will serve as the roadmap for the creation of their system for sharing information. A number of key individuals have developed concepts that will be useful in system development, but there is no document that represents the consensus thinking of stakeholders for the development of the new information sharing environment.

3.1.6 Policy Considerations

Because electronic sharing of criminal justice data is in its infancy in the Navajo Nation, there has been little need for the development of comprehensive, system-wide standards, procedures, policies, and regulations. That lack of regulation has not limited the nation's preparation for integration of their information systems. It should become apparent to the TOC and to agencies sharing data and managing systems that such control is necessary to the development and operation of an efficient integrated system.

System policies need to be set, and organization for the operations of existing and future systems needs to be made more formal in order to provide necessary direction and guidance for the development of a new environment. It appears that there are no policies relating to:

♦ The acceptable uses of national network hardware and software;

♦ Regulations dealing with access (both criminal justice agency and public), security, privacy, and dissemination of information;

♦ Data ownership and stewardship;

♦ Sharing of Navajo data other jurisdictions; and

♦ Operational policies designed to facilitate the electronic transfer of data between agencies.

In the more complex operating environment of the future, the absence of such policies will likely represent an obstacle to progress.

3.1.7 Lessons of History

At the 2001 Navajo Nation Criminal Justice Summit the participants identified barriers to effective communication and information sharing within the criminal justice system. The categories of barriers identified eight years ago were as follows:

♦ Resistance to change

♦ Lack of communication and coordination among agencies

♦ Lack of clear laws, policies and procedures

♦ Lack of commitment

♦ Limited knowledge of agency roles and responsibilities

♦ Limited resources

♦ Minimal training and education

♦ Inadequate facilities and environment

♦ Undeveloped technology

Many of those same participants participated in the interviews the TA Team conducted during their visit and reported the same challenges to information sharing. These are areas that must be addressed and improved in order to deliver the promise of integrated justice to the Navajo Nation.

3.2. Business Processes and Operations

This section presents the TA Team's findings and situational assessment of the business processes and operations structure of the justice system components responsible for criminal and civil justice processing within the Navajo Nation. These findings result primarily from the Window Rock and Shiprock districts visited, but are believed to be substantially representative of the all districts as a whole. Given that most of this section's detailed information is familiar to the Client, and as a convenience to the reader, this section presents relevant findings briefly in key areas in a summary format. Comprehensive and explicit details regarding the business process and operations can be found in Appendix B of this report.

3.2.1 General Court Organizational Structure

The Navajo Nation Judicial System is composed of several units. The judicial system includes both the formal two-tiered court system based upon the United States Federal Judicial adversarial system (established in the Navajo Nation within the past 50 years), and traditional Navajo processes which existed prior to the Tribe's relocation in the 1860's. The two process flows are not integrated and the traditional values for non-adversarial restorative resolution of disputes are often in conflict with the punitive U.S. judicial structure. If they are to improve their business process and operations, the Navajo Nation needs to make revisions in operations and technology to include the integration across branches, districts and departments of the limited amount of automation that does exist.

The Judicial Branch is composed of a multi-level court and administrative structure. As depicted below, the judicial branch reports to the Tribal Council and includes a Chief Justice, Administrative Office, single-level appellate court (Supreme Court), the Peacemaking Program, and Judicial District Courts.

**Judicial Branch of the Navajo Nation
Organizational Structure - Fiscal Year 2009**

Navajo Nation Council

Judiciary Committee of the Navajo Nation Council

Chief Justice of the Navajo Nation

Supreme Court

Peacemaking Program

Administrative Office of the Courts

Judicial Districts
Tuba City   Kayenta
Chinle   Dilkon
Window Rock   Shiprock
Crownpoint   Ramah
Alamo/To'hajiilee Aneth

Figure 2: Judicial Branch Structure

The Supreme Court is the single-level appellate court which includes a clerk's office, court administrator, and two Appellate Justices. At the trial level, there are 11 locations for the 10 Judicial Districts. Each District Court includes a clerk's office, probation department, court administrator and judicial personnel to handle general civil, criminal and family matters. As a sovereign Native American nation, the Navajo system also includes a Tribal Court component – the Peacemaking Program, a traditional non-adversarial dispute resolution process for handling complaints, family- and community-related matters, substance abuse, domestic violence, and other infractions outside of the U.S adversarial-based criminal justice infrastructure common in the U.S. states.

3.2.2 Courts Administration

The Navajo Nation Criminal Justice System is composed of several agencies and each unit has its own way of doing business across different districts. Each agency clearly understands the process they need to follow within their organization to complete their task and the agencies they interact with. However that process varies within the same agency in different districts.

Currently, the Districts are not connected to a central system, and maintain individual stand-alone instances of all manual and automated records, RMS, JMS, and CMS database at each district office. While all are using the same application from the Office of Court Administration (CMS) and have email access, there are differences in how the data is captured, with much free-form data entry and use of notes and comment fields in data entry.

The limited automation available for search and identification results in constant telephone calls and manual records checks which significantly slows down the processes. With no connectivity for automated data exchange, investigation, reporting, noticing, or communication to the other agencies in the justice system, the agencies are swimming in paper and have encountered

significant delays in process service, notification, tracking defendants in custody, creating and updating the individual defendant record, providing notification of decision, arrest and court events schedule notification, and case-related automated data exchange with prosecution, defense, and service agencies.

It is important for the Navajo Nation to consider documentation of the business process details within agency and across agencies to have common business process across different districts. If possible, it will be helpful to leverage the business process and workflow of Shiprock district to be replicated across all districts. These business processes will help drive some of the requirements for the new case management system and moving toward integrated justice concept. The detailed description of workflow based on the TA Team's findings is attached in Appendix B.

While the ability to automate, integrate, and share justice and judicial date has been a priority goal of the Navajo Nation's Council, and, specifically, the Technical Oversight Committee and the Project Planning Subcommittee of the NNIJISP, the automated CMS/RMS applications are in different stages of development both technologically and as concerns the business flow and standardized data entry codes and data entry processing procedures. Various rulings and statutes codify the need to share data among and between the various components of the justice system. However, the majority remains underfunded and grant funding has been sought to accomplish the objectives. They include the following:

♦ Central Records Management System: Navajo Nation Council Resolution ACS-157-83, codified at 2 N.N.C. §1986, requires the Office of the Chief Prosecutor to establish a central records keeping system (September 22, 1983).

♦ Open Data Sharing and Coordinated use of Technology to Accomplish Open Data Sharing: CJY-34-92 mandates the creation of an open information environment among the governmental entities of the Navajo Nation government; and for responsible parties to coordinate the use and development of computer technology to accomplish the open information sharing environment (July 28, 1992).

♦ Development of an Integrated Justice System: CAP-30-02 supports the development of an integrated criminal justice information system and mandates cooperation and coordination in its development (April 19, 2002). CAP-20-06 contains a directive to all branches to cooperate in developing an integrated justice information system (April 26, 2006).

♦ Sex Offender Registration: CAP-20-06 further enacted the Navajo Nation Sex Offender Registry Act, requiring that a sex offender registry be maintained by the Chief of Police. At the same time, the U.S. Federal Adam Walsh Child Protection and Safety Act of 2006 requires Indian tribes to post updated offender data on the Internet for public view.

♦ A Memorandum of Understanding was signed by the leaders of judicial and justice components covered by the project. Signatories agree to be members of the NNIJISP Technology Oversight Committee (TOC) responsible for development of NNIJISP (October 31, 2007). The charter and governance structure for the project were adopted on March 4, 2008. A four-member project management subcommittee made up of the Judicial Branch projects On February 20, 2009.[8]

3.2.3 Peacemaking Program

Currently, there are conflicts between traditional peacemaking and the adversarial criminal enforcement training provided at the police academy. If training in peacemaking processes and traditional community justice were included in the police academy courses, officers may be more willing to work with the peacemaking processes. This is similar to the concept employed in many urban area training programs in recent years where the concepts of restorative justice, community enforcement, or neighborhood watch programs were initiated through programs designed to get the police involved in the community in a non-punitive manner. Police officers were trained in non-confrontational approaches to dispute resolution, community safety, and profiles of community values were instilled. Many programs included a special training program for officers who were dealing with children and families, depressed inner city areas, and immigration influxes in certain states. By disseminating the results of this awareness training, stronger bonds between the patrol officer and the community can result in sensitivity to local matters as well as more referrals to peacemaking.

Given the rising cost of providing enforcement and court adjudicatory services, Peacemaking provides an alternative that is not only traditional and non-punitive, but also reduces the cost to government systems which are understaffed. One District Court Judge provided a good example of a peacemaking case that was referred to the Peacemaker by a District Court Judge. The defendant has a number of personal and family matters that required treatment and counseling to resolve. Through the peacemaking agreement, the defendant was able to receive counseling and rehabilitation treatment and return to being a member of the community. The estimate of the costs the judicial branch would have expended if the various cases had gone forward in the formal justice system was more than $350,000 in staff time and incident/case processing. Through the peacemaking referral process, the cost was less than one tenth, services were provided, and there was no recidivism or long-term competing case punitive measures.

3.2.4 Document and Records Management

While the AOC, Department of Public Safety, and IT staff in the courts are attempting to implement document management processes, with limited technology available and no ability in the current Court CMS, RMS and JMS to track documents, the only processes available are document tracking that is set up in a desktop word processing document or Microsoft Excel spreadsheet.

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[8] *Report on the Navajo Nation Integrated Justice Information Sharing Project (NNIJISP). Josephine Foo, Associate Attorney, March 17, 2009*

The AOC IT staff are attempting to implement scanning and imaging technology on a pilot basis, and hope to be able to implement a new court CMS that will interface with the scanner technology. Imaging is used for maintaining historical records and for offsite storage and some retrieval, but the scanner technology does not interface with the existing court CMS and is limited in the ability to create imaged records of case file documents.

One of the biggest interfaces needed to improve the process flow for the courts is an automated search by the Department of Public Safety for background checks through the RMS for the criminal records. In most instances, the records management section is involved in Background Checks requested by the Judiciary and other agencies. Further, the judicial records updates from disposition and sentencing need to be recorded on the criminal records. A sample process flow for background checks is shown below.

BACKGROUND CHECK DATABASE FLOW CHART
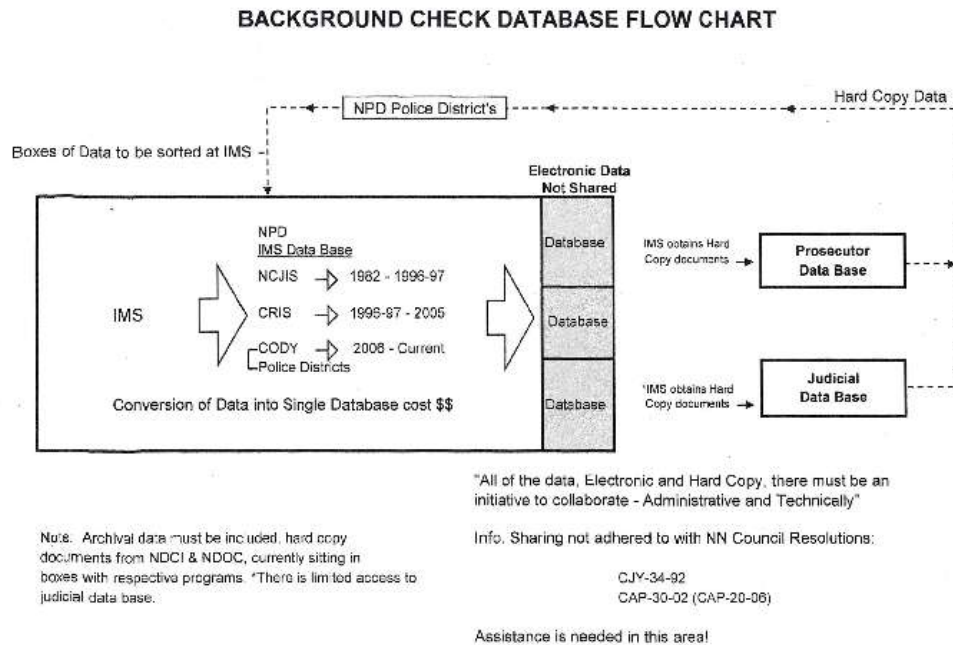
Figure 3: Criminal Record Background Check

3.2.4.1 Storage and Data Retrieval Processes

For data storage and retrieval, the Judicial Department backs up all documents to microfilm and are currently implementing a document scanning plan. The Department of Public Safety has local storage disk backup, a backup server, but the last 10 years of criminal records are all in hard copy format. The Office of the Chief Prosecutor is also looking at scanning methods and hopes to move to digital imaging of all paper.

3.2.4.2 *Caseload Statistics and Performance Reporting*

The Judicial Department and others are limited in their ability to produce statistical reports and performance reports out of the automated CMS, RMS, and JMS applications because of the reporting limitations of the existing systems. The District Court does provide some numbers to the court administration from standard financial and case reports that are produced by the court CMS, but most reporting results from manual compilations and spreadsheets maintained by the offices. The same is true for probation, which uses spreadsheets to create counts and totals for standard reporting. The Supreme Court relies upon the Clerk's Office statistical reports produced manually from collated data in Microsoft Excel.

The standard reports on performance case load and workload are compiled by the AOC annually and presented with budget requests and in annual reports. A sample of the fiscal year Case Management Caseload report for the AOC appears below. These reports along with budget justification documents, grants requests and performance measures cannot be generated from the CMS for the Judicial Branch due to the limited capabilities of the CMS application.

Judicial Branch of the Navajo Nation
Average Caseload Information
OCTOBER 01, 2007 to SEPTEMBER 30, 2008

DISTRICT	B/F	Filed	Caseload	Judges		Clerks		Closed	Pending
Tuba City	2,339	5,452	7,791	2	3,896	10	779	6,484	1,507
Kayenta	829	3,703	4,532	2	2,266	7	647	3,786	746
Aneth	177	1,269	1,446	1	1,446	2	723	1,222	224
Chinle	5,611	8,464	14,075	2	7,038	12	1,173	9,097	4,978
Dilkon	1,012	5,964	6,976	1	6,976	4	1,744	5,890	1,086
Window Rock	2,508	7,596	10,104	3	3,368	11	919	7,470	2,634
Shiprock	3,203	7,053	10,256	2	5,128	10	1,026	6,556	3,700
Crownpoint	4,439	6,344	10,783	2	5,392	12	899	7,311	3,472
Ramah	482	1,461	1,943	1	1,943	2	972	1,184	759
Alamo / Tohajiliee	524	838	1,362	1	1,362	4	341	705	657
District TOTAL	21,124	48,144	69,268	17	4,075	74	936	49,705	19,563
PROBATION	**B/F**	**Filed**	**Caseload**	**PO**				**Closed**	**Pending**
Tuba City	75	496	571	3	190			485	86
Kayenta	140	305	445	4	111			341	104
Aneth	8	23	31	1	31			25	6
Chinle	290	1,812	2,102	4	526			1,973	129
Dilkon	216	288	504	2	252			456	48
Window Rock	63	580	443	5	89			329	114
Shiprock	516	1,386	1,902	4	476			1,651	251
Crownpoint	630	1,598	2,228	4	557			1,867	361
Ramah	99	311	410	1	410			213	197
Alamo	33	192	225	1	225			204	21
Tohajilee	33	135	168	1	168			98	70
Probation TOTAL	2,103	6,926	9,029	30	301			7,642	1,387
PEACEMAKING	**B/F**	**Filed**	**Caseload**	**PL**				**Closed**	**Pending**
Tuba City	26	180	206	1	206			171	35
Kayenta	11	60	71	1	71			62	9
Aneth	3	33	36	1	36			23	13
Chinle	12	47	59	1	59			39	20
Dilkon	46	81	127	1	127			58	69
Window Rock	28	68	96	1	96			66	30
Shiprock	52	81	133	1	133			115	18
Crownpoint	17	110	127	1	127			110	17
Ramah	6	37	43	1	43			35	8
Alamo / Tohajiliee	5	44	49	1	49			47	2
Peacemaking TOTAL	206	741	947	10	95			726	221
				Justices		S C Clks			
Supreme Court	67	140	207	2	104	2	104	115	92
GRAND TOTAL	23,500	55,951	79,451	59	1,347	76	1,045	58,188	21,263

Note: PO – Probation Officers, PL – Peacemaker Liaison and S C Clks = Supreme Court Clerks.

Figure 4: Caseload Statistics

3.3. Systems and Technology

Currently the Navajo Nation has a very limited capability in terms of systems and technology to immediately move into integrated justice environment. Major issues that the TA Team discovered during the onsite visit are as follows.

3.3.1 Many Islands of IT Support

Even though the Navajo Nation has a Department of Information Technology (DIT), they only provide application development, network and desktop support to certain Justice and Public Safety (J&PS) organizations as displayed in Figure 5. All other IT support functions are provided by the IT staff assigned within each J&PS organization. As a result, multiple "Islands of IT" have surfaced. This has led to some duplication of effort, non-standardized processes, staff frustration and distrust among the J&PS IT staff and DIT staff.
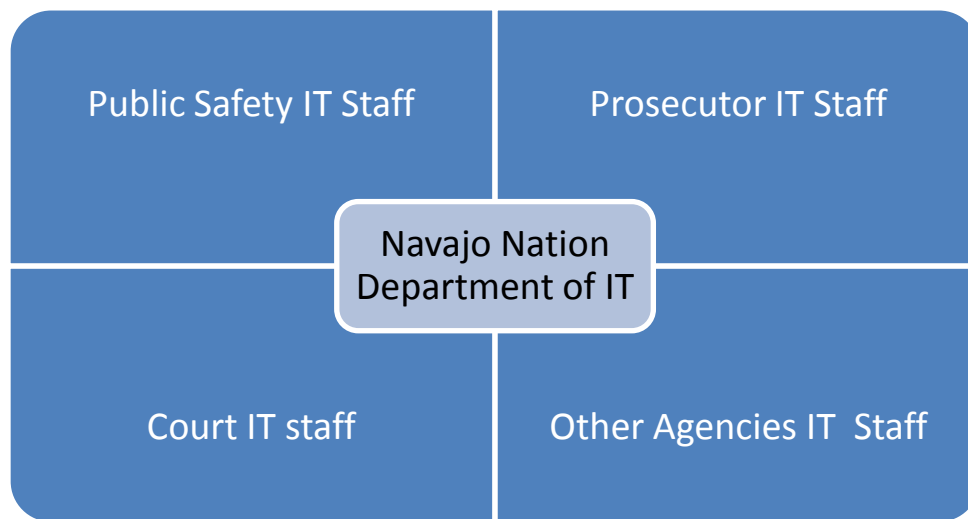
Figure 5: Islands of IT Support

3.3.2 Aging Desktop Computers

Currently some of the offices within the judicial branch are not able to use the existing desktops and laptops as they are not robust enough to be scalable to meet the growing needs of the organizations. In one case, it was also discovered that the IT staff was purchasing the parts on eBay to fix the non-functional hardware and to keep then operational for the time being. In other cases, several PCs were "cannibalized" to return a single PC to an operational state.

3.3.3 Minimal Desktop/Application Security

Most of the desktop computers don't have antivirus or spam filter applications installed on their desktops. These machines often have a significant amount of sensitive data on them which remains highly vulnerable to external and internal security breaches.

3.3.4 No Backup of Mission Critical Applications

None of the servers in the data center managed by the DIT are being backed up on local tape drives or remotely-located servers and storage devices. None of the desktops and laptops are being backed up anywhere in the Navajo Nation as a standard operational practice (hopefully some individuals take it upon themselves to produce backup copies of data for their respective job interest). This has led to occasions in the past where hardware has crashed and all the data has been lost. Currently, the seven servers hosting the CODY Records Management System (RMS) and Jail Management Systems (JMS) are being backed up locally by the local IT staff taking the initiative in these seven districts. The data on these servers is backed up remotely but none of the staff members knew about where it was backed up and what the frequency of backup. However, a number of these servers are located in office closets and/or in someone's office which makes them more vulnerable to outside threats as compared to if they were in a secured facility.

3.3.5 Manual Processing

Most of the organizational elements don't have access to a case management system. The only system or business applications that are currently in use are the legacy Courts Case Management System "Userbase" by the Courts, the CODY Records Management System (RMS) by the Law Enforcement and Jail Management Systems (JMS) by of the Detention/Corrections facility (within the public safety organization). All other agencies uses Microsoft Word and Microsoft Excel to manage their cases and work as displayed in Figure 6.
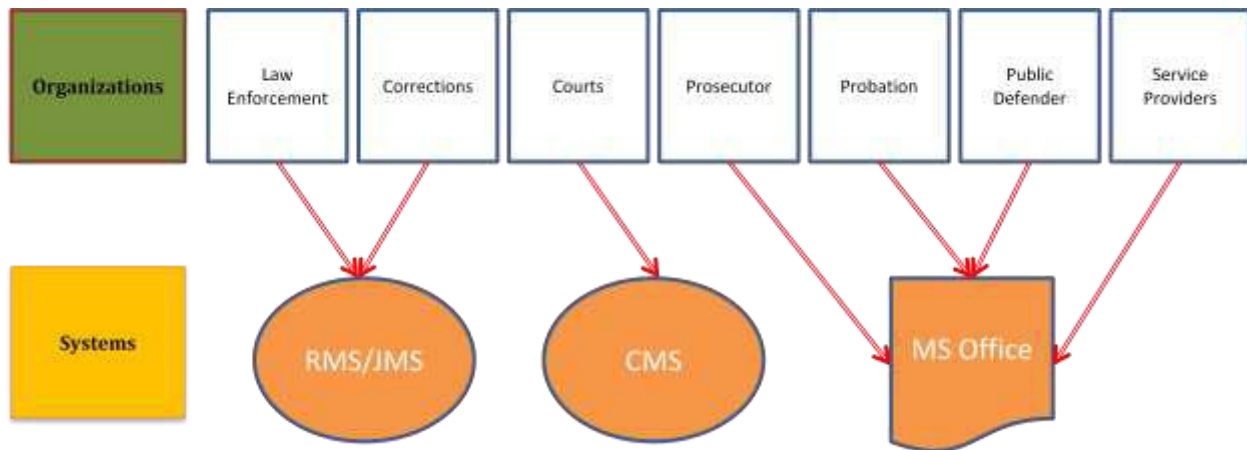
Figure 6: Current Manual Processing

Even though Userbase CMS is being used by the court staff, all court cases are maintained in hardcopy, and are stored in boxes for archiving within each court district. An effort has begun to scan these documents into a searchable database; however, each court district has its own scanning system – they are not interconnected, and only minimal metadata is being captured. There is no case management system for criminal investigation, prosecutors, public defenders, peacemakers, and probation staff. All case-related information is managed in Microsoft Word and Microsoft Excel. Case folders in some organizations are managed on each individual desktop via "file pro" software.

3.3.6 No Information Sharing Capabilities

There is no integration between the Courts Case Management system, the Public Safety RMS, and Corrections JMS. Information entered in these systems has to be printed and moved manually among and between different organizations. Each organization prints a hard copy, which is put into the case folder, and saves a local copy on their desktops. The complexity is increased as each district has its own system and has limited integration among all the systems (often the data is re-entered in the system of the receiving agency). Even though CODY has installed their Center-point Based Regional Access (C.O.B.R.A.) system software product to link RMS and JMS system among the seven districts, very few users know how to use its functionality and, as addressed later, it doesn't provide complete sharing capabilities. This has led to increased time in gaining access to the right information and providing timely up to date background checks.

3.3.7 Systems Have Been Purchased but Are Not Being Used As Intended

3.3.7.1   Navajo Law Enforcement Agency's RMS and JMS

♦ Currently law enforcement in seven out of eleven districts uses the CODY Records Management System (CODY RMS) and Jail Management System (CODY JMS). Each district uses a totally separate installation of the CODY RMS and JMS, which is an Oracle-based system implemented in January 2006. Most police patrol vehicles have laptops installed with only the standard Microsoft products for word processing and spreadsheets and a field reporting application module. The field reporting module requires officers to manually upload the information in the system at their district offices.

♦ If they have taken any arrest or case-related photographs, they can't upload these into the CODY system to be included in the database or subsequent printed reports. Information sharing between the CODY systems was to be provided by CODY's C.O.B.R.A software. However, interviews with law enforcement staff indicated differently:

– This is not working as expected and,

– C.O.B.R.A is only a pointer system (it does not provide immediate and direct access to full RMS documents/data).

   • Above all, there are very few users who have any knowledge of the operational use of C.O.B.R.A's capabilities. During the implementation of CODY the information from their prior RMS (CRIS) was not ingested into CODY; this requires an extra effort on the part of the Information Management Services to keep CRIS as an operational system to support criminal history checks prior to December 2005.

3.3.7.2   Automated Fingerprint Identification System (AFIS)

♦ Navajo Nation Information Management System has invested in AFIS but that system is not being used. All fingerprints are captured through the rolling process using ink on the cards as opposed to using the LiveScan device. The Navajo Nation needs to invest more to upgrade the system to a newer version in order to be functional.

3.3.7.3   LiveScan Fingerprinting

♦ Window Rock's Detention Center has a Sagem Morpho LiveScan electronic fingerprinting terminal. However, it is not being used at this time. It was shared with the TA Team that when this system was in use, it saved lot of time in taking fingerprints and data was more complete and accurate.

3.3.8 Outdated Applications with Limited Automated Functionality

3.3.8.1   Courts Case Management System (CMS) "Userbase"

♦ In the late 1980's the court's initial CMS was acquired at no cost to the Navajo Nation courts from the Pima County Justice Court. The system was a character-based application using a fourth generation computer application and report language that ran on Digital VAX minicomputers. In the mid-1990s it was converted by Ben Mariano, the court's IT Manager, to a new software platform named UserBase from Ross Systems (http://www.rossinc.com). The Court's IT staff has maintained the system since it was implemented. The Court IT staff must constantly make improvements to assist users in searching and to speed data entry. Locally, staffs have little time to train, and the system data entry tasks are constrained by the system's features which are not relational-based. The current database does not include an integrated financial management, court calendar program, or word processing features. Desktop applications such as Microsoft Word and Microsoft Excel are used for these tasks.

3.3.8.2   Weak Infrastructure and Lack of Resources

♦ Some jurisdictional issues—the lack of network connectivity to the vehicle and between the districts , the lack of training, the lack of resources and constrained funding for bringing the CODY software up to the latest version—all preclude even the most basic electronic exchange of information between the police RMS and the court case management system. The maintenance and support of this system is a challenge as there are seven different servers in seven districts that store data for each district. These seven systems are not being used consistently by the different districts and some have different business processes as to what data to capture.

3.4.   Facilities and Network Infrastructure

The Navajo Nation justice and law enforcement community is served by a two-tier networking infrastructure: wide area networks and local area networks. At the local area networking level, Window Rock judicial agencies have a very robust fiber optic network installed. However, other judicial districts (Shiprock, Kayenta, Tuba City, Dilcon, Chinle, and Crown Point) have a mix of T1, wireless, and microwave network connections. These networks interconnect most (not all) district justice and law enforcement components. IEEE 802.11G (2.4 GHz/54MBit) wireless is used in some of these areas to provide the last-mile access to the fiber backbone. It was noted there are issues with some of the 802.11G installations and they may not be providing reliable connectivity to the fiber backbone.

A diagram of the existing facilities and network infrastructure follows:
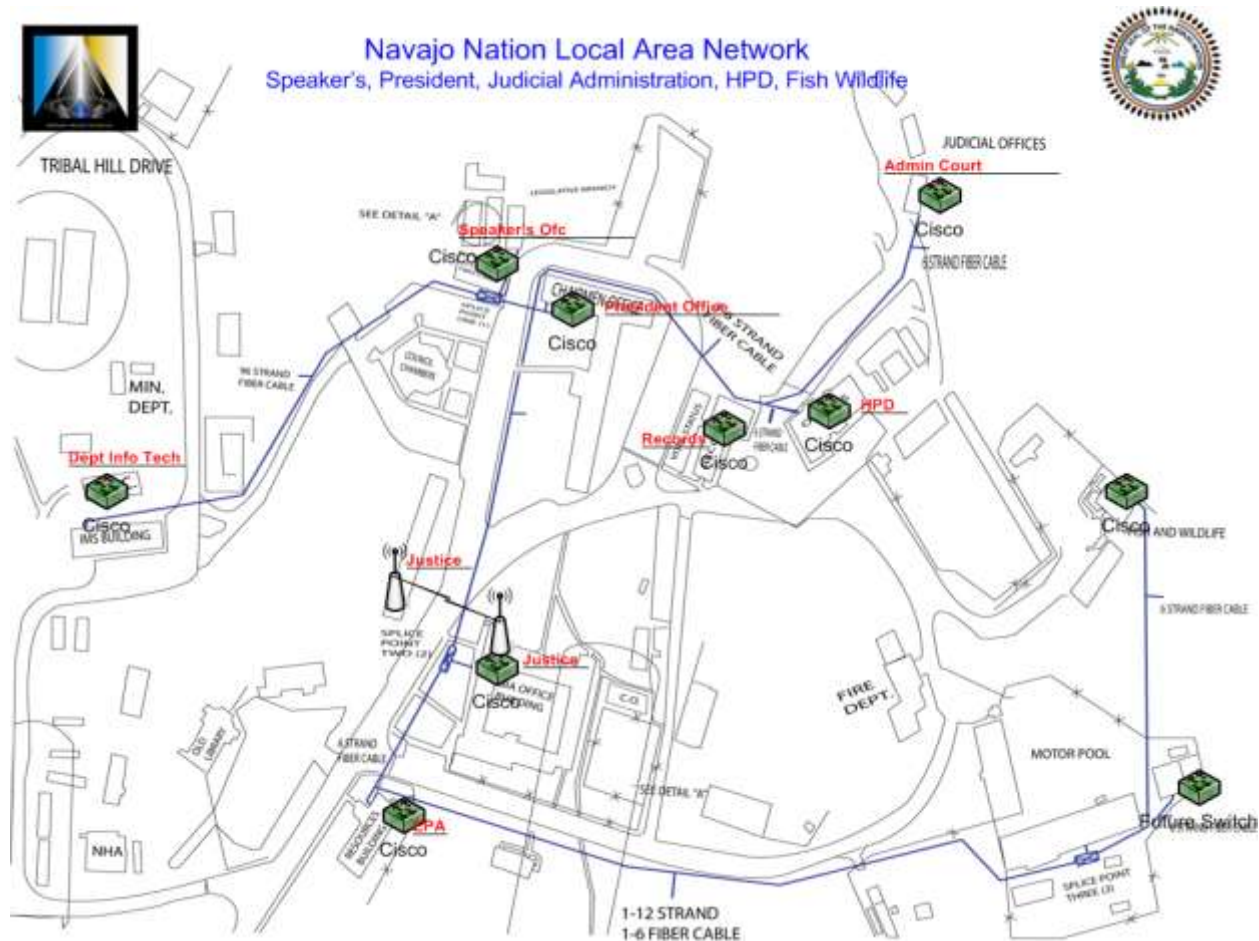
Figure 7: Navajo Nation Local Area Network

At the wide area network tier, interconnectivity between these seven districts is very limited. The Navajo Nation Department of Information Technology (DIT) contracts with AT&T to provide a Multiprotocol Label Switching (MPLS) wide area network cloud that provides T1 connectivity between each of the seven districts. Additional T1s are provided to the Tsaile Dine College, Fort Defiance Facilities Maintenance, Coconino Community College, and the Window Rock Chapter house. Unfortunately, because of unenforced (non-official) Internet usage by staff within the districts, bandwidth for operational systems has been very constrained (to the point of causing numerous crashes of the Court CMS).

A diagram of the existing facilities and network infrastructure follows:
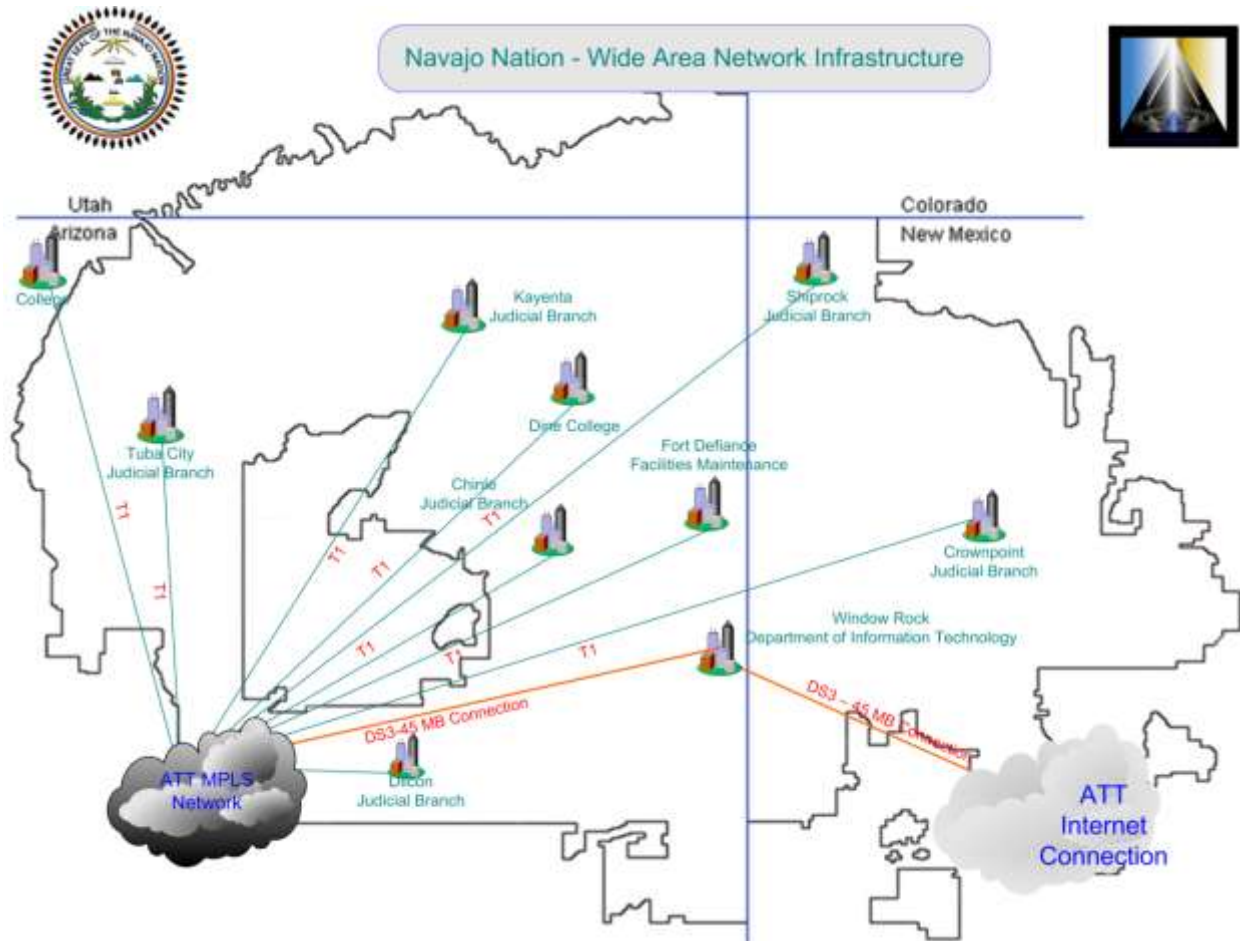
Figure 8: Navajo Nation Wide Area Network Infrastructure

The wide area network has one point-of-presence to the Internet, via Window Rock. It is protected by a firewall, VPN, and a web filtering device. However, full capabilities of the device have not yet been implemented.

Navajo Nation justice and law enforcement office facilities are also very aged. Many that were visited were in significant disrepair; a couple buildings have even been condemned. None of the facilities we visited had a dedicated server room. In fact, many of the operational servers are stored either on shelving in the rooms occupied by users or in unsecured storage closets not designed for information technology equipment

The DIT, on the other hand, had rather nice, information technology facilities complete with a dedicated, environmentally-controlled, and physically-secure server room. The servers hosted in this facility provided common email and file storage capabilities for the nearly 2,000 users supported by DIT. It was found that the DIT does not provide support for all desktops within the Navajo Nation's justice and law enforcement organizations—many procure, install, and maintain their own desktops.

3.5.   IT Management and Resourcing

As the goals for the NNIJISP IJIS/CJIS advance to the development of enterprise information sharing and integration capabilities, it will require the development and/or acquisition of new technical expertise and experience required to take full advantage of the technologies to be implemented.

The NNIJISP, because of the location and demographics of the Navajo Nation's jurisdictions, will continue to face extraordinary challenges in acquiring and retaining certain types of needed expertise. Additionally, today's expertise is departmentally aligned. While this does not appear to have caused a problem to date, as resources seem to be assigned as needed to each agency to handle technical issues and routine operational request. Discussions as to the most effective IT organizational structure (central vs. departmental) were broached. However, this issue was not explored in depth, but would merit review as part of the NNIJISP's long-term strategy.

The Department of Information Technology (DIT) currently handles the more global IT initiatives and the agency assigned staff focuses more upon the specific business interests of the respective agency.

4. Needs Analysis

In considering the integration challenges that lie ahead for NNIJISP CJIS, various needs were identified as the team performed an analysis between the current situation and the integration and information sharing goals sought. In this section, the most critical needs are described by issue area.

4.1. Policy and Governance

4.1.1 Need for Communication Improvement in the Justice Environment

An effective and efficient criminal justice information system in the Navajo Nation will not come from the implementation of a new case management system or integration technology with the court and public safety information system alone. Positive change will be required to improve the way the business of criminal justice is conducted.

The problems of insufficient communication and lack of cooperation are systemic and not easily solved by purchasing systems. A focus on improved communication between agencies within the Nation would increase the probability of success in system and integration efforts.

The real goals of the justice system are to reduce crime, restore harmony, make the Nation safer, and rehabilitate offenders and make victims whole. These goals can be achieved when justice practitioners agree to provide necessary information in a timely fashion, cooperate in the reduction of dismissals, and, together, find ways to productively deal with criminal defendants.

The goal of a working justice system is to restore traditional tribal values; some of which will occur when offenders are processed in accordance with the law.

4.1.2 Needs for Improvement in NNIJISP Governance

4.1.2.1 More Permanence in the Structure

The current governance structure of the NNIJISP is based on the Charter, which, in turn, relies on the MOU between justice agencies for its foundation. These documents provided an excellent beginning for this system. The project is about to enter a new era. It will be managing a complex project and the flow of information for a large justice enterprise. The organization has come to the point where they will need to rely on a governance structure that is not subject to potential political uncertainty.

4.1.2.2 Technology Oversight Committee (TOC)

The Technology Oversight Committee (TOC) includes the correct mix of stakeholders for the governance of a justice information sharing project. Heads of all of the major criminal justice agency components are represented. The enthusiastic participation of each member agency is essential to the project's success.

The Charter defines the type of agency that qualifies for membership, but fails to describe the manner in which new agencies may become members. Certainly, in the future, there may be good reason for such admissions and a procedure for that process is needed.

During the visit, the TA Team heard comments indicating that, on occasion, the TOC lacked "clout" and that there were difficulties "getting the committee together and trying to keep it going." The fact that only a minority of the TOC is required for a quorum seems to indicate problems in maintaining commitment to the project. Agendas distributed before each meeting, that inform members of the business to be conducted, contribute a sense of importance of the work of the TOC and allow members to prepare for their participation in the decision making process. Buy-in, demonstrated by participation and encouragement of others to participate and contribute, is absolutely necessary to the success of the project.

This Charter does not clearly delineate the powers and duties of the TOC. The justice enterprise is a complex organization, involving multiple agencies that often have competing interests, as well as involving multiple disciplines and crossing jurisdictional and constitutional branch boundaries. Governance of a cooperative effort within that organization can be challenging. A formalized structure that clearly assigns authority and responsibility, and defines relationships, is more likely to be successful in delivering integrated criminal justice information. It also provides clarity on when a decision maker might be about to deviate from the defined approach so that extra precautions can be taken to ensure that the deviation is a real necessity.

4.1.2.3 Project Management

The lack of full-time project management for a project of this magnitude can lead to serious complications. When managing the effort is not the full-time responsibility of a single authority, timetables can slip, decisions are postponed and made at deadline with insufficient information or input, and the quality of the project can suffer.

There may be good reasons why the project manager position has not been filled by the NNIJISP, but there is a need for that position *or* function to be staffed on a full-time basis to ensure the project success. While the Project Management Subcommittee may be doing its best to move the project forward, the best efforts of four individuals with a multitude of other pressing responsibilities cannot substitute for a resource dedicated to the single task of management.

4.1.3 Increased Outreach

A successful integrated justice information project requires the commitment of hundreds of individuals to the project's goals and objectives. Commitment comes from knowledge of the project and a feeling within an individual participant that the project includes and needs that individual.

During the visit, the TA Team observed that people whose help and support were needed for the success of the project had no knowledge of it prior to our meeting with them. The project must reach out to those people for their interest, encouragement, and expertise. Buy-in is needed not only from agency executives and leaders, but from all levels of management and the potential users of the systems. They will ultimately prove the success or failure of the project.

The NNIJISP web site records activities of the project. It reflects only one meeting that was held for the examination of needs for the development of requirements for the ultimate case management system, that being for Public Defender services; only the executive director was included in that examination. Similar assessments throughout the nation, including practitioners of criminal justice from judges in district courts through secretaries in the prosecutors' offices and field probation officers would promote the concept that the users are the owners of the criminal justice information system.

4.1.4 Project Strategy

An immediate goal of the NNIJISP is apparently the purchase of a case management system to serve the needs of the court operational environment, to potentially provide some case management assistance to prosecutors and public defenders and to serve as a component of a criminal justice information system.

The implementation of that case management system alone will not achieve integrated justice information sharing. During the course of such an implementation, many questions will need to be answered:

♦ Who will own and operate the case management system?

♦ Will the national information technology infrastructure be able to fully support the case management communications requirements?

♦ What will be the IT requirements at each agency installation and will additional computers and supporting equipment be needed?

♦ What will be the annual cost for software, hardware, and maintenance associated with the case management implementation and how will those costs be shared?

♦ In addition to accessing court data, will prosecutors and defenders be able to implement additional case management system functions for their offices?

♦ Where will data be housed, how it will be accessed and who will have access to it?

♦ What impact will improved case management have upon other initiatives, business processes, and resources?

Implementation of case management will not achieve integration of criminal justice systems. That will require interfaces and the inevitable questions that accompany such an effort:

♦ Who will operate and manage the flow of data between systems and the networks that facilitate it?

♦ Will the current business processes be supported by the new integration or will those processes require re-engineering in order to satisfy new information sharing requirements?

♦ What statutes, rules or policies will require modifications in order to accommodate the new processes?

♦ What changes will be required to existing systems and software to enable integration and who will bear the cost of those modifications?

♦ How will integrated justice affect, both positively and negatively other priorities of the Navajo Nation?

These questions and more need to be addressed–some before contracts are awarded and commitments are made. An overall strategy is needed to achieve an integrated justice information sharing environment. That strategy should be both documented and agreed upon by all of the stakeholders; a strategic plan is needed before the inevitable issues arise and require immediate resolution.

4.1.5 Policy Development

An information sharing environment brings new dimensions to inter-agency relationships. In participating in a joint enterprise, procedures for internal operations may need to be altered to accommodate the needs of others. Forms need to be developed, standards must be imposed, processes altered, and data managed. A central authority must be established and empowered to accomplish these functions. The TOC or some other executive governance board needs to be empowered to fulfill that role.

Collective decision making is imperative in order to facilitate information sharing requirements and there must be a single arbiter to set the policy and implement the decision.

4.2.   Business Process and Operations

Moving forward in the next phases of an integrated justice system, the Navajo Nation justice agencies will need both improved business process flows and upgrades to existing and new case management applications for all of the Judicial Branch agencies (including the District and Supreme Court, Probation and the Peacemaking Program), the Office of the Chief Prosecutor, and the Public Defender.

The Department of Public Safety Records Management Systems (CODY RMS and C.O.B.R.A) and Corrections (C.O.B.R.A and CODY JMS) applications need upgrades and some modifications before they can be integrated into the planned NNIJISP. The infrastructure and system technology needs, as well as assessment of the training requirements and better network/telecommunication interoperability and connectivity are discussed elsewhere in this report.

While efforts to procure case management applications are underway, improvements in the business process flows, workflow standardization and case process flow procedure improvements can begin. Moving closer to standard processes and operational procedures is a good first step to advance the Navajo Nation towards a more integrated system.

The judicial branch has begun to implement some business flow improvements, case management procedures and processes for District Case processing, Appellate Procedures, and Peacemaking. In addition, it appears that the Court Administrators in the District Courts are meeting regularly to improve process flow. The operational staffs need initial and recurring training regimens on these business processes.

4.2.1 Judicial Branch

4.2.1.1   Case Management – General

Improvement in case flow management is one of the greatest enhancements to judicial performance and case resolution that can result from integrated justice system processing. The improvement in the business processes is something that must be fundamental to court managers, judges, and administration, and must also be instilled in new staff and reviewed through periodic refresher training and assessment in all case management participants. Systemic analysis of the case processing operations will identify problems that need to be addressed to improve the overall justice process.

Court case flow management is defined as, "The coordinated management by the court of the processes and resources necessary to move each case from filing to disposition, whether that disposition ultimately is by settlement, guilty plea, dismissal, trial, or other method."[9] It is one of the core competencies of professional court management, and a subject of research and improvement in developing automated case management systems and operational business task definition. Defining a standard case flow and management process for court operational business (i.e. "cases") flowing through the judicial system is a key element in implementing successful technology. The process must be defined and understood before the technology can be used as a tool to improve performance. Each judicial system has unique characteristics and staffing patterns. The needs for an automated case management system to improve information flow must examine the staffing , bottlenecks in processing, delays inherent by lack of validated information and the method (data sharing, integrated exchange, request only, bulk data transfer) and transit modes (publication/subscribe an automatic transfer of pre-defined exchange, portal and records publication, data warehousing, surface mail, facsimile, hand carry) by which data and records are transferred (electronic, manual, ad hoc, periodic, request only.) As case data reporting, updating, and production consumes the major resources of a court, and is needed not only for operation case processing tasks but also for statistics and performance measurement, a standardized case flow management definition is a key first step in the process.

The Navajo Nation has begun to define many of the business flows – how a case is processed, how a citation is issued, etc., and these processes were defined in Appendix B of this report. Based upon these initial flows, it is now possible to define many of the overall needs for the new Case Management system, and suggest some business process flow improvements and modifications to assist in the administration of justice. Justice agency management are cautioned to look at these flows as process flows that must include some adaptations and tailoring in individual districts, as workload, staffing, and district priorities may differ.

 But, the overall process including the definition of the basic data elements, transfer points for data, and agency responsibilities by process step should not vary. For example – if the uniform case management policy of the Navajo Nation defines specific time frames for date of arrest to data of arraignment, any tickler or reminder system that is put in place should include these

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[9] *Solomon, M., Cooper, C.S. and H. Bakke, 2002, Building Public Trust and confidence through effective caseflow management. in The Improvement of the Administration of Justice, 7th ed., ABA, as referenced in Caseflow Management, <u>The Court Manager</u>, Vol 24, Spring, 2009, NACM.*

parameters and be tailored within each district to address specific district factors such as calendars, resource limitations, calendar/court schedule restrictions, detention space, and available agency personnel for actions. Within the application, the intermediate processes for who is notified of an approaching deadline and how often may vary by district due to court schedules, but the time limits should be adhered to ensure uniform justice processing for all defendants. This will ensure that regardless of where a defendant's case is heard, the adherence to standards will not be impacted negatively by a district's lack of available personnel, size, and distance from court operations or remoteness.

Specific defined needs to improve the business/case flow in the Judicial Branch identified in the TA Team's assessment include the following:

♦ **More complete data element lists and ability to scale the CMS to address new case types and processes:** This includes data element definitions and codes which can be expanded easily as case types and processes are modified.

♦ **Ability to search on more than name and docket number:** The search capability must be available across databases, and on multiple variables. A soundex search or "fuzzy" search technique for names would be very effective.

♦ **Access to a consolidated case summary for each person:** Most Commercial-Off-The-Shelf (COTS) CMS applications include a summary or automated "case face sheet" which provides the basic data on a case on a single screen. The Summary Screen is useful initiating new cases, updating records and most especially in searching case data. Judges and court case workers (including probation) also appreciate the one stop case summary data screen.

♦ **Faster and more complete receipt of citations, arrest and criminal complaints from the prosecutor and law enforcement:** The administration of justice in a timely and uniform manner absolutely requires a timely transfer of case initiation and arrest documents, including case citations and complaints from law enforcement and prosecution to the court. While automated transfer is most effective, the use of facsimile or email transmittals could speed the process in the interim. Navajo Nation staff repeatedly stressed distance and lack of communication interoperability as reasons for delays.

♦ **Online criminal records check capability:** While the team was unable to visit the criminal records repository, everyone included the need for a more automated process in their list of needs.

♦ **Cross-district records search and database access:** Currently there is no connectivity even between the individual district offices of the non-law enforcement agencies and courts. Some connectivity or the ability to search across districts is necessary to validate case and defendant matters throughout the nation.

♦ **Flexible system that can handle juvenile, family, Peacemaking and other "case types":** There is a need to procure a scalable COTS CMS application that can grow and accommodate future case management needs. The existing system while a good first step is old technology that will require more conversion and maintenance each year.

♦ **Access to legal research for all participants:** The Chief Justice indicated that automated legal research is available to some staff. Before additional staff access is provided, it would be worthwhile to include an analysis of the research needs in the requirements definition phase of this project.

♦ **Integrated document management and document generation capability within system:** The current CMS does not include a documents management or word processing component. Any system selected to replace Userbase should be required to include this functionality. In the interim, the AOC IT staff is looking to create additional templates, scan documents and consider electronic document transfer through email where the infrastructure and rules will support it.

♦ **Check writing and expanded financial management:** These capabilities should be included in the requirements of any new CMS purchase.

♦ **Automated calendaring and docketing:** These capabilities should be included in the requirements of any new CMS purchase. Most current COTS CMS applications include a calendaring component that includes some conflict checking, automated notice generation, tickler and reminder capabilities. The ability to download the calendar and event details into an external personal calendar such as Microsoft Outlook is also becoming more prevalent.

♦ **Conflict checking for defendants with multiple cases, other trial and case participants (including Prosecutor, Public Defender, and law enforcement):** This is an extensive requirement that can be met through phased integration of electronic data exchange principles, integrated case management applications (central database) across the court districts, and access (view only) to other districts calendars and case event dockets. Multiple cases for the same defendant should be linked in the system by a system-generated ID that by searching on a variety of fields and defendant attributes determines which case are properly associated with a specific defendant. Uniform data entry processes for case data formatting and the use of more "drop down" data field which limit free form data entry are also necessary.

♦ **Access to automated detention records:** The Navajo Nation does not have a vast detention population. With less than 80 beds nationwide, a simple updated listing or detention log should be made available to all agencies that need it (courts, probation, prosecution, juvenile, and family service providers) daily. If not available in automated fashion, the use of email or a facsimile list should be considered until the necessary infrastructure for online look up is available.

♦ **Electronic submission of citations from law enforcement:** On a pilot basis the one-way transfer of citation data to the courts for entry into the CMS would be a big first step to improve the current gap between enforcement and court actions. Over time, the phasing in of an electronic process should be considered.

♦ **Better service of process:** In addition to improving the ability to transfer citations and complaints from law enforcement to the courts, all clerks interviewed identified the need for better transmission of service of process needs for temporary protection orders, family case petitions, and juvenile summons. The process service in these cases was identified as high priority by the courts and probation officers, but they were not convinced that law enforcement recognized or shared that urgency. While emergency orders were high priority with everyone, the need to execute domestic and family matters did not always gain the notoriety of criminal case documents.

♦ **Ability to pay fines and fees in any location (will need access to data files for all defendants throughout Navajo Nation):** Once a central database or master index is established, any defendant should be able to pay fines and fees by walking in to the local

district office. Many systems take this a step further and provide kiosks and or Internet access in public locations for payment online. A non-automated capability is a lock box which allows defendants to drop a copy of the citation or notice of payment due with a money order into a depository slot at the local court or public locations. Once collected, the data is recorded and checks deposited by account number into a central account and allocations transmitted (initially by paper) back to the financial accounts sections of the individual districts for records update and reconciliation.

♦ **Automated generation and transmission of summons and notices to police and outside agencies:** Until the infrastructure is in place, notices could be sent by email or communicated by facsimile. If the process is to remain manual, then specific procedures for daily messenger service with verified receipt must be adhered to. Within the receiving agencies, better processes for distributing notices of events and summons may be needed to accurately track the currency and service status of the same. The problematic number of court dismissals and defendant releases that result from untimely service and data exchange cannot be blamed solely on workload, distance, or lack of automation. Business processes to ensure delivery and track actions are definitely needed and should be instituted at the agencies involved to reduce or eliminate this problem.

♦ **Consolidated probation notes being automated for transfer into a court record:** There are several schools of thought on how much data on a case should be automated and available on line. Probation events, major case monitoring activities and program completion status are currently kept in MS Word or manual notes form and are items that can be somewhat codified and maintained at the probation module of a relational CMS data base. This provides additional data for secured searching and defendant identification. In the case of repeat offenders and persons with multiple cases, this module also informs the judge and probation staff of what courses of action have not worked in the past allowing the next plan to better meet the needs of the client.

4.2.2 Supreme Court (Appellate and Court Administration)

The Supreme Court and Administrative staff of the AOC shared with the team their current and future automation needs and requirements. They also provided insight into the current processes, and budget restrictions impacting the NNIJISP. Among the specific needs defined, not all of them included automated CMS and not all were seen as first steps. Some long-range planning goals and possible future automation aspects were also shared.

♦ **Automated and Uniform Case Management Data Elements Dictionary:** The Supreme Court has compiled a set of case management data element/variables that they currently collect as part of their manual and MS Word based systems (see Appendix C). The list is comprehensive enough to include in an RFP for a Case Management System, and accompanied by the data flow charts and the timeline data will provide ample information to describe the systems data needs for the Supreme Court.

♦ Automation features needed in a new CMS for the Supreme Court include:
  – Transmittal of scanned and imaged records and exhibits – The AOC is looking to scan exhibits and records for online access.
  – E-filing for automated filing and motions.
  – Expanded public access to all public records (currently via web site/Internet).

- Public web site publication of all case results including all District Court decisions and opinions as well as Supreme Court rulings.

- Automated party cross-reference system, which could be expanded to include automated party cross-reference and search capabilities for the District Court Central CMS Database.

♦ **Automated Attorney Tracking and Registration System (Bar Board registration):** As the management for oversight and Navajo Nation Bar Registrations, an automated capability to track and disseminate to the Court Administrators and clerks the current status of an attorney, their contact information and other details about their practice would be ideal.

♦ **Automated Performance Measurement:** Like most management offices, the Supreme Court needs the ability to measure performance and track caseload statistics on line. While not a pure statistical exercise, measures of caseload against time parameters, backlogs and processing times, numbers and reasons for dismissals, and outstanding cases versus case closed and disposed, provide meaningful insight to court management. The National Center for State Courts (NCSC) developed a toolkit known as CourTools, which provides performance based management analysis tracking tools and processes for Courts. CourTools is a set of ten trial court performance measures that offer court managers a balanced perspective on court operations. In designing the CourTools, the NCSC integrated the major performance areas defined by the Trial Court Performance Standards with relevant concepts from successful performance measurement systems used in the public and private sectors. Published in a visual and accessible how-to format, the ten CourTools measures reflect the fundamental mission and vision of the courts, focus on outcomes, and offer feasible and practical measures to improve performance and identify backlog and process improvement checkpoints.[10]

♦ **Standardized statistical reports:** The new relational management applications have the ability to produce standardized statistical reports. But courts have traditionally found it hard to complete comparative statistical measurement of processes and caseload due to a broad range of non-empirical factors, including definition of court terms–such as case closed–which may have multiple meanings resulting in statistical comparison being in accurate and not comparable across jurisdictions. The NCSC also operates the Court Statistical Project which, for many years, has provided standardized definitions, formats, and interactive reporting formats for trial and appellate courts.[11]

♦ **Efiling for automated filing and motions:** Once an eFiling statute is approved all courts would like to encourage electronic filing processes. This will require additional infrastructure to support the technology, training for public and agency users, the capability to receipt eFiling documents in the court clerk's offices, and the procedures for recording and time stamping these documents. A pilot project may be possible using the Internet access provided in the chapter houses for public civil matters and attorney volunteers.

[10] http://www.ncsconline.org/D_Research/CourTools/tcmp_courttools.htm

[11] *The Court Statistics Project:* http://www.ncsconline.org/D_Research/csp/CSP_Main_Page.html
Statistical Reporting for Appellate Courts http://www.ncsconline.org/D_Research/csp/CSPStatisticsGuidev1.3.pdf

♦ **Work flow management w/ ticklers and assignment capability:** Any purchased CMS should have these features included. In the interim, while acquiring the system, small work flow management programs using SharePoint or desktop technology can be implemented in place of the manual ticklers now used.

♦ **Searchable legal research and opinions library:** Currently the Supreme Court Justices and Clerks are compiling an opinions database that includes word processing produced citations and sample opinion language. While multiple programs exist in the private sector to expand this capability, including LawCite, WestLaw, Lexis, etc., most appellate courts find a desk top word processing format to be user friendly, and it should be considered until a Navajo Nation Federal Digest can be produced and accessed online.

♦ **Digitized records:** The AOC IT management is looking into the possibility of using existing scanners and overhead project capabilities to scan exhibits including evidentiary material, photos, and documents for use in appellate records review. These technologies will also accomplish the creation of a digitized record that can be used for archiving. One of the features requested in the procurement of a new CMS should include the ability to link digitized and scanned documents and images (including photos, driver license, etc.) to docket entries in the system.

4.2.3 Future Phase Judicial Branch Needs

Once the initial integration and CMS is developed, in future phases, the Judicial Branch needs to consider scalable interfaces and expanded application functionality to handle other quasi judicial and community administrative hearing processes including:

♦ **Administrative Law and Regulatory Commissions Case Management and Tracking:** There are several community- and national-level administrative and regulatory agencies whose rulings impact the public and, while not Court of Law based, their judicial decisions carry as much power as if they were regulatory findings and rulings. These agencies need regulation tracking, administrative hearing, and notice processing case management systems. Currently there is no public access to diversions or regulatory decisions made by administrative law type agencies and hearing boards. As these decisions have a major impact upon the community, the ability to track and record rulings and ordinance decisions from these bodies is important. The agencies involved include the Elections Board and Executive Branch regulatory agencies, public utilities regulatory boards, and others. Many U.S. state models exist for administrative hearing commissions and regulatory tracking which may be considered by the Navajo Nation. [12]

♦ **U.S. State and Federal Departments of Transportation and Licensing (DOT UT, New Mexico DOT, US DOT):** A future goal of the NNIJISP includes accessing and integration with DOT motor vehicle/license registration information in neighboring states, including Utah, New Mexico, and the US DOT. Some data sharing already occurs with federal US law enforcement applications (such as the National Criminal Information Center, NCIC, and

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[12] *Several Case Management Vendors provide CMS applications for Administrative Hearing Boards. Often these systems are included in the Executive Branch IT planning or as standalone systems. If requested, a list of administrative law and regulatory organizations will be provided for the specific areas of concern to the Navajo Nation.*

Nlets, the International Justice and Public Safety Network), and, as a sovereign nation, the ability to accomplish data exchange and records query with these agencies would be beneficial. As many US-based government data exchanges are considering or implementing NIEM- and XML-based data exchange processes, the new applications and upgrades implemented to the existing RMS for the Navajo Nation should consider inclusion of these standards.

♦ **Future inclusion of a CMS for the Judicial Hearing Officers (JHO):** While the role of the JHO is still evolving, an application need does exist for the long-term plan as opposed to short-term automation. If the agency remains a part of the judicial branch, the new CMS procurement should include a traffic citations module that can be managed by the JHOs as part of the District Court operations. If instead, the JHO develops into a quasi judicial, executive branch agency with a regulatory rather than judicial focus and reporting needs, the processing and reporting capabilities may be different.

♦ **Reporting on U.S. Federal Statutes:** Though a sovereign state, the Navajo Nation participates in some U.S. government-based reporting practices including the Adam Walsh Act (Child Protection and Safety). With jurisdiction over persons of Navajo blood both on and off Navajo land, integration to other indices and registries that impact Nation members should be encouraged if they will promote better services to the community.

♦ **Juvenile Court Performance Measures:** The Office of Juvenile Justice and Delinquency Prevention U.S. (OJJDP) has produced a toolkit that offers guidance for developing and implementing Court Performance Measures in Child Abuse and Neglect Cases. The *Toolkit for Court Performance Measures in Child Abuse and Neglect Cases* provides detailed guidance about court performance measures for child abuse and neglect cases and offers a general approach that can help dependency courts successfully implement a performance measurement process. [13]

♦ **Standards-based Data Exchange:** During our review, it was apparent that, in many cases, there were no standard processes or time standards in place, even within a district, for data exchanges or transfer of hard copy documents between one agency and another, creating a series of standalone processes that did not encourage uniform execution of justice processes across the Nation. While standards alone will not reduce caseload or improve data communication, it is a big first step towards developing data exchange processes that will work across the justice system.

4.2.4 Peacemaking Program

The Peacemaking program may be a traditional Navajo process, but there is still a need to record and track the results of peacemaking. Understanding the successes so the program can be expanded and improved to provide better service to the Navajo community and resolve issues through a traditional process within a non-adversarial and informal (non-court) process is of significance.

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[13] *http://ojjdp.ncjrs.gov/publications/courttoolkit.html*

Some of the data needs expressed by peacemaking staff and others included:

♦ Need for an understanding of the percentage of cases that are initiated in Peacemaking by source (self referral or referral from courts, family, social services organizations).

♦ Need for developing a cultural competency and training process to expand and strengthen the program.

♦ Need for computer training for Peacemaking Liaisons.

♦ Need for inclusion of more and better use of computer services.

Given the rising cost of providing enforcement and court adjudicatory services, Peacemaking provides an alternative that is not only traditional and non-punitive, but also reduces the cost to government systems which are understaffed. Examples of such savings and results need to be captured for comparative purposes including statistics to show:

♦ Reduction in Recidivism through Restorative vs. Punitive Justice

♦ Peacemaking Program Performance Statistics (caseload, process times, case length, incidents per case, case type, resolution methodology)

♦ Program Completion Data

♦ Staff and Capital Costs of Peacemaking vs. Court programs

4.2.5 Public Safety

Although the Department of Public Safety has the CODY RMS database, each of the individual seven installed districts have separate and independent databases which are siloed under the CODY system. The CODY application is proprietary and only allows single query searched. Law enforcement patrol units have access to CODY, but the records offices and criminal investigative divisions do not. These units use Microsoft Excel for police case management and investigative functions. Criminal investigations units that the TA Team spoke with in Shiprock do not have Internet access or connectivity to the other offices. While CODY searches the databases, the data integrity is thought to be week, so it is "garbage in/garbage out" in many cases. Officers and analysts comment upon the limited number of searches available. Warrants received in hard copy format from the court must be data entered into the records system and also are retyped by the prosecutor increasing the number of opportunities for data entry errors. While there are email and Internet mail options available, the courts require original signatures on complaints, so they cannot be mailed. Adult reports are only sent with attached complaints, but juvenile documents can be emailed.

Most service of process requires four copies (one to defendant, one to police, one to prosecutor and one to be returned to the court). These multi-part forms are hard copy, again requiring data entry at all points. And, tracking of service of process using CODY is difficult due to the application features and flow. Of the summons received from the sergeant for service, up to 80% are returned un-served.

While the police would like to have an interface to transfer police report, citation, and warrant data, the statutory requirements for original signatures prevents this from happening.

When data is moved from the police to corrections, there are still issues related to training and system use, as all corrections data except Window Rock district is in hard copy paper format.

The law enforcement officers and staff interviewed reiterated a need for better incident reporting software and were not happy with the CODY system finding it difficult to use and inflexible. The needs expressed included:

♦ Better incident and officer report process to transmit to prosecutors.

  – Complaint preparation and citation templates.

  – More training for officers on tracking and reporting on process service.

  – Warrant order/show cause validation processes that were timely.

  – Court filing link for faster receipt of documents.

    • Currently have mobile laptops for police in field, but not connectivity to transmit from cars.

♦ A better training program that includes "sustained' training and periodic refresher courses.

Issues raised by law enforcement concerning the next steps in the NNIJISP included:

♦ Existing, multiple IT standards that were agency specific and not coordinated or uniform across the agencies.

♦ Political and traditional Navajo Law conciliatory processes that conflict with the punitive criminal justice process which the police were trained to employ.

♦ A lack of a coordinated IT budget/strategic plan budget and process that met the needs of all.

♦ Lack of interfaces with law enforcement and government agencies outside of the Nation, which contained valuable data for investigations and enforcement.

♦ Poor communication, bandwidth, and interoperability within the infrastructure.

4.2.6 Office of the Chief Prosecutor

The Prosecutors Office, like the Public Defender, does not have an in house case management system. They currently manage their caseload using Microsoft Word and desktop applications. There are no commercial vendors identified to date which have prosecutor management systems and reports and documents that should be flowing between the police and prosecution is often stalled or incomplete.

Currently there are no standard protocols for the transfer of citations and complaints between the arresting officer and the Prosecution. The citations are sent in hard copy form to the Prosecutor where the secretary logs the data into the Microsoft Word or Excel system. The Prosecutor has no access to the court records or detention and must handle all data transfers and searches through manual requests. A large percentage of the persons detained are not fingerprinted, and there is a piecemeal approach to get the detention lists to court. System failures in the court records in Shiprock resulted in a loss of all data prior to 2003. Calendaring is done in Microsoft Word, and only some staff members have access to the electronic Lexis and Westlaw legal research database. In general, Prosecutors expressed a need for:

♦ Better incident and police reports that are sent automatically to the offices.

♦ An internal prosecutor case management application that includes:
  – Complaint Preparation and citation templates
  – Calendaring
  – Search and index capabilities
♦ Interfaces to Navajo Nation justice agency systems.
♦ Interface to US Attorney and US state systems.
♦ Email for all offices.
♦ Training on all case management and office programs.
♦ Written procedures for case flow management.
♦ Automated tracking on law process service.
♦ Warrant order/show cause validation processes that were timely.
♦ Court filing link for faster receipt of documents.

Issues raised by law enforcement concerning the next steps in the NNIJISP included:

♦ Existing multiple IT standards that were agency specific and not coordinated or uniform across the agencies.
♦ No staff with training to document the business flows or to evaluate and use a system.
♦ Lack of interfaces with law enforcement and government agencies outside of the Nation, which contained valuable data for investigation and prosecution actions.

4.2.7 Public Defender

Minimal time was spent with the Public Defender. Discussions led the TA Team to believe any information that could be derived from the implementation of a CMS would be of use to the Public Defender's office operations. Specific details were not clearly defined and further time should be spent determining exactly what requirements should appear in the CMS RFP to represent this office's needs.

4.2.8 General Business Objectives

In the 2007 Byrne Grant application, the Navajo Nation identified a series of objectives and needs for the new NNIJISP.

♦ Establish standards to ensure the unified CMS for the Courts and IJIS fits business processes of each justice entity.
♦ Utilize standards to ensure a solid reliable network connects all justice entities through a reliable, fully redundant system with dual sets of servers established in dual locations within to enable.
♦ Implement a Unified Automated CMS in courts, probation, corrections, prosecutor, public defender.
♦ Train users in the new CMS to ensure accurate and efficient operation of the CMS in conformity with standards.
♦ Consolidate CMS with Public Safety using NIEM (GJDXM standards).

♦ Transfer all data from silos to CMS.

♦ End redundant data entry; increase accuracy; provide seamless real time information linkage between justice entities.

♦ Improve tribal justice record systems (corrections, courts, probation, prosecutor, public defender).

♦ Improve quality of justice through:

– a reduction of continuances due to scheduling conflicts.

– a reduction in dismissals due to untimely complaints.

– a reduction in average days from arrest to arraignment .

♦ Improve public safety through:

– improvement in arrest-to-disposition matching.

– increase in positive identification rates.

– improved response time in receiving positive identification.

♦ Improve operational efficiency through:

– a reduction in staff time associated with entering data in multiple systems.

– a reduction in phone calls required to obtain case information.

♦ Enable inter-tribal, state, and federal justice information exchange.

♦ Assist NCRLE in interfacing with Hopi and Zuni and Implement inter-tribal information sharing.

While a number of these objectives still exist, the availability of the standards, statistics, applications, training, and funds to implement the new systems and processes are still under review. And short term projects are rapidly coming up against funding deadlines.

The Navajo Nation IJISP is in the stage we call requirements analysis and a number of next steps are necessary before the objectives can be realized. These projects include the following:[14]

4.2.8.1 Short-term Projects

♦ Design and completion of an RFP with a goal toward commitment of CMS (for the District Court) purchase funds no later than September 30, 2009.

♦ Establish a unified automated web-based case management system for judicial and justice components who do not now have a supported Courts Management System (CMS) [Prosecutors in 10 district offices; Public Defender in 4 district offices; a central Peacemaking Program Office; Peacemaking Liaisons in 10 districts; Probation Offices in 10 districts; and a central Supreme Court]; or have an obsolete, non-web-based CMS [Trial Courts in 11 districts].

♦ Put in place project management tracking and timelines accessible by all NNIJISP stakeholders in their respective districts.

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[14] *As described in the Technical Assistance Program – IJIS Institute SOW dated March 17, 2009.*

♦ Establish commitment and buy-in of all NNIJISP district stakeholders and components, including a full and comprehensive understanding of the specifics of what is required of each district component in order to achieve NNIJISP goals, and what the consequences are for a failure of commitment by all stakeholders as a unified team.

♦ Obtain IJIS Institute advice and assistance in evaluating and sorting through responses to RFPs.

♦ Standardize processes and documents and establish member policies, practices and procedures.

4.2.8.2   Longer-term Projects

♦ Interface and integrate information sharing in real time with existing Public Safety RMS by establishing a NIEM framework for information exchange using SOA. Public safety presently uses CODY, while its archive databases are NCJIS and CRIS which are still relied on for criminal background checks. The division comprises criminal background checks, sex offender registry, law enforcement, corrections, etc.

♦ Enable seamless real-time information linkage and warrant and protective order notification.

♦ Improve identification and apprehension of wanted individuals by providing more accurate and complete information to justice users.

♦ Decrease operational costs.

♦ Enable expansion of CMS as unique Navajo laws develop, including possibility of orders "published" as sound recordings in the Navajo language.

♦ Put in place a training scheme so that operators are skilled in CMS use and internal staff have the long-term capability to train other staff.

♦ Establish an Automated Fingerprint System (AFIS).

♦ Implement NIEM- and SOA-based information exchanges between criminal justice entities.

4.2.9 Change Management

At any time during the life of the project, the NN IJIS Project Management or solution providers and third party contractors may need to request changes to the products or services associated with the work performed by the Vendors and third party contractors. Examples of changes include, but are not limited to, the following:

♦ Timing of deliverables

♦ Changes to the project schedule

♦ Availability of and access to NN IJIS and other stakeholder resources

♦ Changes in requirements

♦ Changes in project scope

♦ Requests for additional equipment, commercial software or other products or services.

The Change management process will provide a formal means to:

♦ Request a change;

♦ Identify the impact of a change;

♦ Confirm that the appropriate parties review and approve the change;

♦ Manage the change; and

♦ Maintain a record of the change.

The abbreviated description of a formal procedure that should be implemented in for the short-term projects is listed in Appendix D.

4.2.10 Process Improvement

In addition to the implementation of new technology, the go forward plan for the NNIJISP should include process improvement planning for business process re-engineering, standardized procedures and performance measurement, and statistical analysis.

Rather than a personnel measure, judicial and court performance measurement is a process for improving and measuring the success of the court organization. Performance measurement is also a way of identifying processes which are slowing down or impeding the quality and performance of justice. While an effective CMS can capture statistics, performance management looks at more than clearance rates and case closures. The overall statistical reporting and performance tracking can provide:

♦ Needed statistics to support annual budget process.

♦ Data standards and levels of adherence to standard processes.

♦ A reporting process – report card for data quality.

♦ Non-empirical measures of community satisfaction and access to the justice process.

It is suggested that the Navajo Nation consider employing the NSCS CourTools for measuring performance in the Judicial Branch. The TA Team believes that the CourTools will assist the Navajo Nation AOC in producing later performance reports which will enhance the criteria contained in the Latest Program Performance Criteria as shown in the Budget Extract for Fiscal year 2008 Below.

THE NAVAJO NATION - FISCAL YEAR 2008
PROGRAM PERFORMANCE CRITERIA

BUDGET FORM 2

PART I. PROGRAM INFORMATION
Business Unit No. 102004

BU Description: Window Rock Judicial District

Caseload data is provided for information purposes only.	FY 2008 CASELOAD DATA											
	1st Quarter			2nd Quarter			3rd Quarter			4th Quarter		
	Caseload	Closed	Pending	Caseload	Closed	Pending	Caseload	Closed	Pending	Caseload	Closed	Pending
a. District Civil Caseload	3125	128	2997	1184	248	936	1091	559	532	668	218	440
b. Criminal Caseload	1620	140	1460	593	143	450	567	225	342	466	168	298
c. Civil Traffic Caseload	1556	1032	524	1317	1224	93	1068	721	347	2251	1205	1046
d. Criminal Traffic Caseload	751	70	681	268	103	165	251	103	148	198	71	127
e. Family Civil Caseload	1138	54	1084	442	54	388	490	50	440	556	69	487
f. Domestic Violence Caseload	679	217	462	306	145	161	303	171	132	367	194	173
g. Dependency Caseload	55	2	53	23	3	20	23	5	18	21	3	18
h. Delinquency Caseload	72	19	53	28	21	7	33	21	12	31	12	19
i. CHINS Caseload	90	13	77	31	23	8	31	16	15	55	28	27
j. Probation Caseload	140	60	80	192	113	79	198	93	105	182	68	114
k. Peacemaking Caseload	47	27	20	37	14	21	26	8	18	45	15	30
Total	9273	1762	7511	4411	2091	2318	4081	1972	2109	4820	2041	2779

PART II. PROGRAM PERFORMANCE CRITERIA
1. Performance Measure:
To hear and decide cases justly, promptly, and economically.

Goal Statement:	FY 2008 RESULTS							
	1st Quarter		2nd Quarter		3rd Quarter		4th Quarter	
	Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual
a. Number of district civil cases adjudicated or closed	100	128	100	248	100	559	100	218
b. Number of criminal cases adjudicated or closed	150	140	150	143	150	225	150	168
c. Number of civil traffic cases adjudicated or closed	450	1,032	450	1,224	450	721	450	1,205
d. Number of criminal traffic cases adjudicated or closed	50	70	50	103	50	103	50	71
e. Number of family civil cases adjudicated or closed	70	54	70	54	70	50	70	70
f. Number of domestic violence cases adjudicated or closed	150	217	150	145	150	171	150	194
g. Number of dependency cases adjudicated or closed	2	2	2	3	2	5	2	3
h. Number of delinquency cases adjudicated or closed	10	19	10	21	10	21	10	12
i. Number of CHINS cases adjudicated or closed	5	13	5	23	5	16	5	28
j. Number of probation cases closed	20	60	20	113	20	93	20	68
k. Number of peacemaking cases closed	10	27	10	14	10	8	10	15
Total	1,017	1,762	1,017	2,091	1,017	1,972	1,017	2,042

PART III. PROJECTS (Indicate Date)
1. Justice Day - April 2008
2. _____
3. _____

			Completed		

Figure 9: Program Performance Report - FY2009

Additional references for statistical reporting templates were provided in earlier sections of this report. If included in the statistical requirements features for the CMS, it could be automatically produce reports such as the one below:

Judicial Branch of the Navajo Nation
Average Caseload Information
OCTOBER 01, 2007 to SEPTEMBER 30, 2008

DISTRICT	B/F	Filed	Caseload		Judges		Clerks	Closed	Pending
Tuba City	2,339	5,452	7,791	2	3,896	10	779	6,484	1,507
Kayenta	829	3,703	4,532	2	2,266	7	647	3,786	746
Aneth	177	1,269	1,446	1	1,446	2	723	1,222	224
Chinle	5,611	8,464	14,075	2	7,038	12	1,173	9,097	4,978
Dilkon	1,012	5,964	6,976	1	6,976	4	1,744	5,890	1,086
Window Rock	2,508	7,596	10,104	3	3,368	11	919	7,470	2,634
Shiprock	3,203	7,053	10,256	2	5,128	10	1,026	6,556	3,700
Crownpoint	4,439	6,344	10,783	2	5,392	12	899	7,311	3,472
Ramah	482	1,461	1,943	1	1,943	2	972	1,184	759
Alamo / Tohajiilee	524	838	1,362	1	1,362	4	341	705	657
District TOTAL	**21,124**	**48,144**	**69,268**	**17**	**4,075**	**74**	**936**	**49,705**	**19,563**

PROBATION	B/F	Filed	Caseload		PO			Closed	Pending
Tuba City	75	496	571	3	190			485	86
Kayenta	140	305	445	4	111			341	104
Aneth	8	23	31	1	31			25	6
Chinle	290	1,812	2,102	4	526			1,973	129
Dilkon	216	288	504	2	252			456	48
Window Rock	63	580	443	5	89			329	114
Shiprock	516	1,386	1,902	4	476			1,651	251
Crownpoint	630	1,598	2,228	4	557			1,867	361
Ramah	99	311	410	1	410			213	197
Alamo	33	192	225	1	225			204	21
Tohajiilee	33	135	168	1	168			98	70
Probation TOTAL	**2,103**	**6,926**	**9,029**	**30**	**301**			**7,642**	**1,387**

PEACEMAKING	B/F	Filed	Caseload		PL			Closed	Pending
Tuba City	26	180	206	1	206			171	35
Kayenta	11	60	71	1	71			62	9
Aneth	3	33	36	1	36			23	13
Chinle	12	47	59	1	59			39	20
Dilkon	46	81	127	1	127			58	69
Window Rock	28	68	96	1	96			66	30
Shiprock	52	81	133	1	133			115	18
Crownpoint	17	110	127	1	127			110	17
Ramah	6	37	43	1	43			35	8
Alamo / Tohajiilee	5	44	49	1	49			47	2
Peacemaking TOTAL	**206**	**741**	**947**	**10**	**95**			**726**	**221**

					Justices		S C Clks		
Supreme Court	67	140	207	2	104	2	104	115	92
GRAND TOTAL	**23,500**	**55,951**	**79,451**	**59**	**1,347**	**76**	**1,045**	**58,188**	**21,263**

Note: PO – Probation Officers, PL – Peacemaker Liaison and S C Clks = Supreme Court Clerks.

Figure 10: Current Caseload Statistics

4.2.11   System/Case Numbering

Each agency in the NNIJISP will likely have multiple numbering systems for their cases and parties. The use of a NIEM standard data exchange protocol in conjunction with the new CMS can ensure that these numbers are preserved for internal agency use, but when data is transferred, they become a source of data matching for records validation.

4.2.12   Positive Identification

The current business processes of the District Court are accomplished using manual record keeping, the UserBase Case Management System and Microsoft Word and Excel. Within the CMS, searches and case records matching is difficult, as each charge is docketed as a case (one case /one charge numbering system) and the search criteria is generally based on a name search. When a person has a single case with multiple charges, the name will appear in the files as one for each charge. Since the name data consists of free form fields, (with little or no computer editing), there are many errors in spelling and the format of the name is inconsistent (including middle initial, name or neither). Currently, the representation of a name is based upon the complaint versus a verified Master Name Index (MNI) entry. Searching to perform case matching must be done by checking each instance of the name in the files and then opening and reviewing the respective case record details in an effort to link all relevant records for a case. Because each district court operates independently, this action occurs widely.

Since there is no consolidation of Master Name Index data (or other data), within a district or across the districts, any universal search requires both manual and automated steps to try to validate the findings. There is also no access from the CMS to records maintained by other departments, such as probation, resulting in duplicate records and unverified defendant demographic and location data. To request a record search from the Department of Public Safety of a criminal record/ background check, a manual request form is completed and sent forward.

The concept of a MNI can be applied within a single CMS, across an IJIS environment involving multiple or all CMS installations or, across the CJIS environment inclusive of other agencies beyond the judicial components (police, corrections etc.). While the MNI will provide positive gains in each stated configuration, the effectiveness of the MNI concept improves progressively in the order as listed above.

For the most effective results, the MNI concept should be applied to each individual every time they have any interactions with the public safety and justice process. This would begin with establishing positive identification based upon the fingerprinting process (currently the most widely accepted practice for establishing an absolute method for identifying an individual). Once this base is established, other accepted identifiers may be related to positive identification by fingerprints.

There exist numerous computerized techniques that can be used to facilitate relating automated file records based upon an individual's name. These vary in terms of accuracy and most require a final determination by human judgment. These methods may employ formal name structuring, soundex keys based upon the name, accepted validated identification numbers, date of birth, place of birth, certain physical descriptions, and even recent address comparison. Accepted validated identification numbers are based upon previous positive identification

processes (FBI number, state identification number, Navajo enrollment number, etc). Searching on these data elements is often supplemented with other techniques such as weighting factors on certain data elements, range variations around specified search parameters, and priority listing of candidate records resulting from the MNI search requested. Application of these techniques has resulted in improved accuracy, a very significant matching rate and a high degree of probability that the sought after records will appear near the top of the candidate record list.

The value of the computerized MNI must be viewed as a definite asset, a positive process and as an efficient tool as compared to the manual process in place today. However, even with all of these factors being considered, one must recognize that there is no absolute, indisputable 100% accurate method for matching by a person's name by computer.

4.2.13 Data Conversion and Data Quality

Section 4.2.12 above details one example of the significance of entering and data of a high quality. Whatever software products are acquired, all should have extensive and rigid data editing of all data elements. Obviously, the degree of editing possible and the effectiveness thereof is relative to the nature and structure of the respective elements. Editing should be consistent within modules of all systems and across systems regardless of the organization involved (note, this is one of the salient merits of using NIEM in development of systems and associated interfaces).

Data conversion from legacy systems or paper files for use in newly acquired computer systems is often considered a mundane and boring work effort. However the value to the new system database cannot be over stated. Conversion of existing records is extremely important to the operational effectiveness of the system that will be using this data. Data going through the conversion process should be subjected to the same degree of editing as new data would be when entered online. It must be remembered that computers can only consider and work with the data that is made available and the old adage, "garbage in/garbage out" does apply.

4.2.14 Central Data Repository (Shared IJIS or CJIS Data)

The Navajo Nation judicial and criminal justice system is a complex network of programs, departments and divisions representing sometimes competing interests. However, the establishment and implementation of an integrated data input and sharing system would serve the combined interest of all. No one component acting alone can have much impact on implementation of a shareable data management system. By working together, NNIJISP has the potential to successfully implement an integrated IJIS/CJIS information sharing system for the Navajo Nation as a whole.

With an environment of distributed CMS and RMS servers, it becomes difficult for judges and staffs to link people with multiple cases and effectively manage judge and attorney schedules. Distributed servers were needed when wide area computer networking was difficult, unreliable and expensive, but that is not the case today. A centralized database providing service for the

entire court system is now possible and is likely the future for the CMS.[15] Further, this same principle could be applied to the police RMS and corrections JMS. Establishment of a central data repository is predicated upon the availability of high capacity and high availability network capability.

4.3.   Systems and Technology

4.3.1 Enterprise Architecture – A Design for the Future

The systems and technology required to support Navajo Nation justice and law enforcement operations are not unlike the needs of any rural region within the United States. To effectively and efficiently administer justice and protect their community from harm, the Navajo Nation needs modern, easy to use and reliable court case and records management systems, ones that can be accessed throughout the Navajo Nation and can adapt to and support Navajo culture, principles, and business processes.

The paragraphs that follow describe some methodologies for helping the Navajo to define the information technology architecture and components needed to support its justice and law enforcement needs.

4.3.2 Enterprise Integrated Justice Architecture

To accomplish its justice integration and information sharing goals, the Navajo Nation must adopt an enterprise-oriented approach to defining requirements for, and implementing its NNIJISP initiative. It should no longer be acceptable for individual divisions or offices to define, develop, procure, and implement any component of the NNIJISP system without some consideration as to the "fit" of the effort and an understanding for how it will move the Navajo Nation as a whole towards enterprise level capabilities. To do this requires Navajo Nation leadership to have a picture of what that 'end-state' should look like. They should invest in the development of Nationwide Enterprise Architecture (EA). Much like constructing a building, the only way to ensure that all components connect and function properly is to adopt this type of comprehensive design approach.

On the surface, an EA may appear to be an artifact that should wait until after the Needs Analysis life cycle activity has been completed in full. However, the ubiquitous presence of business processes and technology across the many Navajo Nation divisions and offices within the integrated justice enterprise actually places development of the EA in the center of the Needs Analysis process itself. In other words, developing the components of an EA will help to answer the questions normally raised during a Needs Analysis activity, questions such as:

♦ What are the Navajo Nation's core justice activities?

♦ What are the business processes and workflows within those activities?

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[15] *As referenced in the 2007 NCSC Report to the Navajo Nation "Court Automation Review for the Navajo Nation Judicial Branch", James E. McMillan, Project Manager, National Center for State Courts, Court Consulting Services, Denver, Co, May 2007.*

♦ What information needed to be exchanged (shared) between these processes, and with external partners and service providers?

♦ What information technology capabilities (or applications) will the modernized integrated justice system need to deliver?

♦ What infrastructure (networks, devices, physical plant, etc.) are necessary to support the envisioned application and information exchange portfolio?

♦ What industry and government technology and data standards should the modernized integrated justice system conform to in order to best ensure interoperability with other local partners, state partners, and federal partners?

At its core, an EA is a framework and methodology that can help improve the effectiveness and efficiency of an organization's business. In the Navajo Nation's situation, this framework will provide Division IT managers with an effective decision-making capability that will help to ensure a more efficient, more consistent, and better aligned business and technology solutions.

EA frameworks generally address these concerns by organizing the description of the technology portfolio and standards into a set of separate sub-architectures, or layers as shown below.
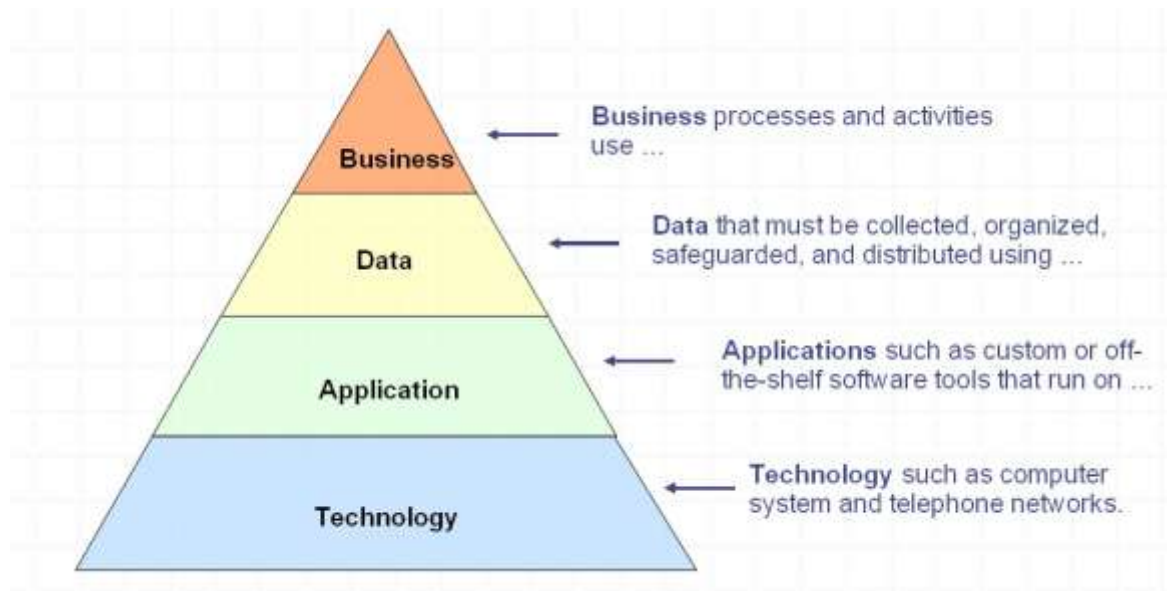
Figure 11: Enterprise Architecture Framework

4.3.2.1   Business Architecture (Internal)

This component identifies the business processes, roles/responsibilities, information sharing agreements, and policies necessary to support the Navajo Nation integration strategy. For the Navajo Nation, this layer should focus in two discrete areas: 1) Defining initial and continuing sets of information exchanges that will support the sharing of information among the Navajo Nation justice components; and, 2) Defining the central services and information requirements, including the data administration policies and practices, required to support all of the justice and public safety agencies.

4.3.2.2 Business Architecture (External)

Identifies the capabilities, products, services, and value the Navajo Nation justice components will supply to external "consumers" of the Navajo Nation justice information (to external stakeholders). For the Navajo Nation, this step will focus on supporting a "Navajo Nation Information Sharing" strategy focused on establishing the Navajo Nation as a trusted supplier and consumer of information to outside agencies.

4.3.2.3 Data/Information Architecture

Establishes the meaning, location, and ownership of data stored and managed within the Navajo Nation integrated justice components in support of its strategy. From an information engineering perspective, it will identify the semantics and structure of information exchanges that the organization performs with internal and external partners. This is probably the most significant layer for the IT teams to focus. It is in this layer that the definitions of central shared data and cross-agency exchanges will need to be defined with the business experts from each agency, and then subsequently engineered for implementation. General Information Requirements will be captured in the business architecture segments to be used to guide this activity.

4.3.2.4 Application/Services Architecture

This component identifies the application solutions, service-oriented capabilities, and automated workflows that support the Navajo Nation integrated justice strategy, business, and information requirements, and the technology integration design. Today, the Navajo Nation is a patchwork of antiquated and non-interoperable application solutions for integrated justice components. Elements of the Application/Services architecture will define the information services (applications) that are needed in the modernized Navajo Nation integrated justice system.

4.3.2.5 Technology Architecture

The technology architecture identifies the infrastructure necessary to support the "to-be" Navajo Nation integrated justice system. The technology architecture include: networks, devices (server computers, workstation computers, mobile devices, etc.), storage, physical plant (floor space, climate control, power, etc.), provision for business continuity (backup power, disaster recovery, fire suppression, etc.), provision for physical security (access control, intrusion detection, etc.). Particular attention should be given to this segment of the EA so as to fully address the rural and rugged nature of the Navajo Nation, and the less than optimal conditions of its physical facilities; without a good, strong, and reliable technology infrastructure, successful implementation of the other segments of the EA will be more difficult.

The Navajo Nation should consider use of a lightweight EA tool such as Microsoft Visio to assist in documenting the EA and for modeling the interrelationships between the segments.

4.3.3 Facilities and Network Infrastructure

The communications infrastructure within the Navajo Nation is NOT capable of supporting the current vision of integrated justice and information sharing. Much needs to be done to bring the intranet and Internet capabilities up to a sufficient level to support a fully-integrated CJIS environment.

The Navajo Nation must implement a telecommunications and networking infrastructure that can provide:

♦ Connectivity between justice components within each judicial district;

♦ Connectivity between the servers across each judicial district; and

♦ Connectivity with partners and service providers; inside and outside the Navajo Nation.

The TA Team was made aware of a separate effort to greatly expand Internet access across the Navajo Nation. Its "Internet to the Hogan" project is exactly what the nation needs to fully implement a modern integrated justice system. This implementation will help Navajo Nation prepare to move towards the integrated justice concept.

Connectivity and interoperability can be further facilitated though use of information sharing standards such as NIEM and JRA. The Navajo Nation will need to make a series of decisions as to when to apply and how to apply these capabilities and standards within their justice application and technology environment. Decisions should focus on developing common standards, shared across agencies and systems, for sharing information, and connecting these departmental applications.

All of the decisions to develop these capabilities should be made in concert with the enterprise architecture approach to ensure that policy and critical business needs are the decision drivers.

4.3.4 IT Management and Resourcing

In the short term, the Navajo Nation cannot successfully implement its NNIJISP initiative with its current Project Management (PM) Subcommittee structure and level of staffing. The members of this committee have full-time day jobs and cannot provide the level of attention the NNJISP will need as a secondary duty.

During the onsite visit, the TA Team discovered that the success of the NNJISP program is dependent upon the collaboration and willingness of *four* different information technology jurisdictions, each with its own priorities, operating practices, and span-of-control over operational processes, policies, and technology—DIT, Public Safety (Law Enforcement and Corrections), Judicial, and Prosecutor.

It will take a significant effort to align these organizations towards the goals and objectives of the NNIJISP initiative, especially considering that these organizations are already understaffed. In order to have successful NNIJISP initiative the technical oversight committee should consider hiring a dedicated Project Management Office (PMO) with information technology, contract management, and project management staff, as depicted in the organization diagram below.
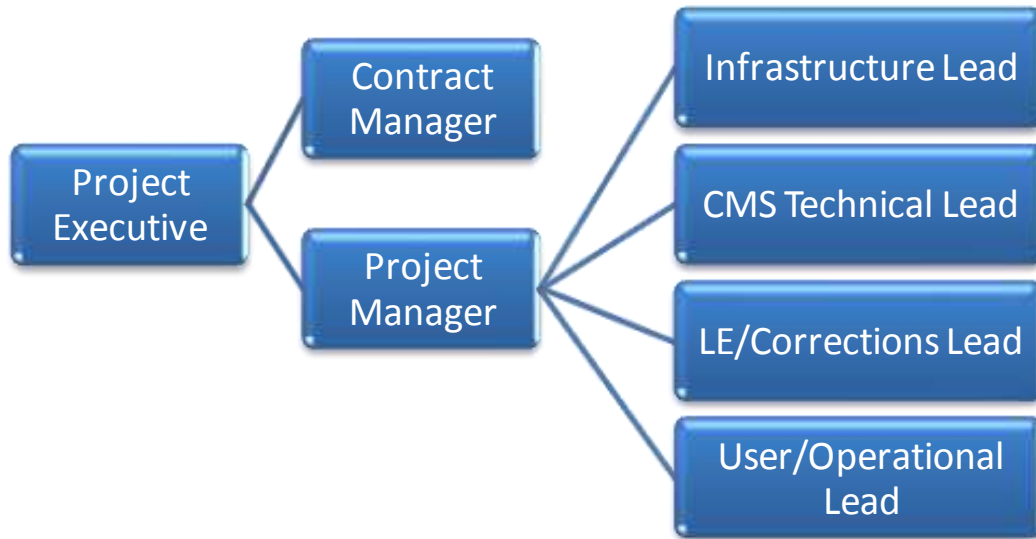
Figure 12: Typical PMO Organization Structure

Implementing a PMO will require the Navajo Nation to explore other (and creative) means of acquiring the skill sets needed to staff it. Some ideas include:

♦ Partnering with universities and corporations in nearby cities for expertise;

♦ Contracting out for short-term project and contract management skills (other than and totally independent of the selected CMS software provider);

♦ Pursuing additional technical assistance with IJIS Institute and other nonprofit organizations.

Long-term needs will necessitate the Navajo Nation develop the requirements for human and financial resources to maintain and grow their NNIJISP initiative system capabilities. Decisions in this area must consider the decided approach to resolving short-term needs – for example, an investment in developing and/or acquiring permanent staff expertise should be made in concert with the long-term view of how the Navajo Nation intends to keep pace and take advantage of future technology opportunities.

4.4. Facilities and Network Infrastructure

The Navajo Nation's current network infrastructure is not capable of supporting information sharing across different agencies within different districts. Based on current capabilities some of the districts can move towards integrated justice concept, but not all. In order to accomplish information sharing through the integrated justice concept, the Navajo nation will need to invest in improving the connectivity among all the districts and offices within each of these districts. Even though T1 connection exists among seven districts, individual offices are still facing bandwidth issues which need to be increased to overcome the connectivity issue and to be more scalable. As part of NNIJISP it will also require that each agency IT staff and the DIT staff communicate closely with each other and bring all the servers to the centralized location, possibly within their data center. This infrastructure will provide a network communication

capability and facility required to support connectivity among the servers supporting each department application environment in NNIJISP. Currently none of the facilities have a disaster recovery plan (often referred to as "continuity of operations") in case of disaster. There is a stronger need to develop the disaster recovery plan for the data center and all the facilities which house the systems.

There is also need to invest in technologies supporting the J&PS applications and which are compatible with open standard approaches to integration, such as: Universal Modeling Language (UML) for modeling and defining high-value exchanges; eXtensible Markup Language (XML) for packaging data to be exchanged; application protocol layers (SMTP, ISS, FTP, SSH, HTTP); and, connectivity, transport and Internet protocol layers such as TCP/IP.

These concepts and capabilities are all facilitated by the Navajo Nation's justice application and technology environment, as well as being supported by standards like the National Information Exchange Model (NIEM) and the Justice Reference Architecture (JRA). Most substantially, the Navajo Nation will need to make a series of decisions as to how to apply these capabilities and standards within their justice application and technology environment. Decisions should focus on developing common standards, shared across agencies and systems, for sharing information, and connecting these departmental applications.

Additionally, the enhanced capability to connect and share information with systems outside of the Navajo Nation's jurisdiction, including the FBI's NCIC, is an important need that should be taken into account as part of the development of this enterprise architecture.

All of the decisions to develop these capabilities should be made in concert with the enterprise architecture approach to ensure that policy and critical business needs are the decision drivers.

4.5.   IT Management and Resourcing

Short-term needs will require the NNIJISP to acquire the expertise, via recruitment or contract, in the areas of integrated information sharing solutions development using web services capabilities and technologies, as well as in the areas of SOA and enterprise architecture as discussed in Section 4.3.

Long-term needs will necessitate the NNIJISP develop the requirements for human and financial resources to maintain and grow their CJIS system capabilities. Decisions in this area must consider a decided approach to resolving short-term needs—for example, an investment in developing and/or acquiring permanent staff expertise should be made in concert with the long-term view of how the NNIJISP intends to keep pace and take advantage of future technology opportunities.

As short-term and long-term resource and support decisions are being contemplated, the NNIJISP will need to explore the optimal IT organizational structure for supporting the enterprise (including departmental needs) – central versus departmental. There are clearly advantages and disadvantages to each of these scenarios. NNIJISP leadership will need to take these into account in making decisions about their future IT support structure.

5. Recommendations

In this section, a set of recommendations is included addressing each issue area. In summary, it is clear that the NNIJISP is committed to move to the next step in integrating their CJIS application and technology environment. It is important to note that this will be one of the most challenging types of IT projects the NNIJISP will undertake. Integrated CJIS has challenged many jurisdictions for decades. This is primarily because it requires that independent justice agencies periodically balance departmental needs, with the broader needs of the justice enterprise. It is important to note that those organizations that have been successful in their respective CJIS programs have understood this concept well. Mostly, they understood and defined the value of this type of investment to both the missions of the justice enterprise and to the missions of their individual departments.

As stated in the previous sections of this report, the NNIJISP is in a better position than most jurisdictions to take on this CJIS integration challenge:

♦ There is a collective positive attitude among justice organizations recognizing the value and importance of CJIS integration and information sharing prevails.

♦ The NNIJISP effectively represents a "state" government as a single jurisdiction.

♦ Recent acquisitions and implementations of new "open standard" capable application and technology solutions are state of the industry and supportive of modern integration standards.

♦ Legacy systems and information histories are of minimal disruption.

♦ Incident and case volumes are relatively low and manageable.

♦ Justice administration services are provided to a population residing within a small and contained geography.

While all of this bodes well for the NNIJISP in their integration effort, it does not mean that challenges do not abound – for example, the current inability to connect electronically to external state and federal justice organizations remains unfulfilled.

In the following subsections, the IJIS TA team has developed recommendations crossing an expanse of issue areas, from policy and governance to systems and technology. Key recommendations are summarized in the following table. Note that some of the recommendations may have multiple actions associated with them, as described in Section 6.

Tier	Category	Recommendation
Tier 1 A	5.2 Business Process and operations	5.2.1 Define NNIJISP Information sharing Business Architecture
	5.3 Systems and Technology	5.3.1 Invest in the Case Management System and Enhanced RMS/JMS Capabilities
	5.4 Facilities and Network Infrastructure	5.4.5 Upgrade network infrastructure
Tier 1B	5.1 Policy and Governance	5.1.1 Improve the Justice Information Sharing Environment
	5.1 Policy and Governance	5.1.2 Improve NNIJISP Governance
	5.1 Policy and Governance	5.1.3 Increase Project Outreach
	5.1 Policy and Governance	5.1.4 Focus on Project Strategy
	5.2 Business Process and operations	5.2.4 Implement an Enterprise NNIJISP Administration Function
	5.3 Systems and Technology	5.3.2 Develop System Security Policies
	5.3 Systems and Technology	5.3.3 Develop Privacy policies
	5.3 Systems and Technology	5.3.4 Adopt a Service Oriented Architecture approach
	5.4 Facilities and Network Infrastructure	5.4.1 Communications
	5.4 Facilities and Network Infrastructure	5.4.4 Collation of Application and Data Servers in the Data Center
	5.5 IT Management and Resourcing	5.5.1 Develop Sustainability of IT Operations Requirements
	5.5 IT Management and Resourcing	5.5.2 Design an Enterprise Integration Architecture
Tier 2	5.2 Business Process and operations	5.2.2 Define Interagency Integration Process and Data Exchange
	5.3 Systems and Technology	5.3.5 Adopt and Use National Information Sharing standards
	5.3 Systems and Technology	5.3.6 Design and Implement high priority CJIS Exchanges
	5.4 Facilities and Network Infrastructure	5.4.3 Create Disaster Recovery Plan

Tier 3	5.2 Business Process and operations	5.2.3 Implement Data Quality Management
	5.3 Systems and Technology	5.3.6 Design and Implement high priority CJIS Exchanges
	5.4 Facilities and Network Infrastructure	5.4.2 Document Network Design

Table 1 – Key recommendations reference table.

5.1. Policy and Governance

5.1.1 Recommendation 1 - Improve the Justice Information Sharing Environment

5.1.1.1 Commitment

Criminal justice information sharing projects need champions, not only for the effort overall, but within each justice agency. Demonstrated commitment to the integration effort by agency leadership will set the overall tone of the project. The NNIJISP should find within each agency a project champion, someone who will enthusiastically support the project and encourage others within the agency to do so as well. Ideally this would be a director or agency executive. The NNIJISP should encourage that champion to foster commitment and excitement for the project from within that agency.

5.1.1.2 Directed Problem Solving

A subcommittee of the TOC dedicated to the resolution of operational issues may be necessary. However, a subcommittee may not be the appropriate group to resolve these issues but they can identify a mini-task force to tackle the problem. The process might work like this:

♦ The TOC subcommittee might identify a list of operational issues that present challenges to the delivery of justice.

♦ One of the issues might be identified because it is a high priority or because it might be the easiest to resolve or have the greatest benefit from a solution, for example, reducing the failure to properly document the booking of an arrestee.

♦ The TOC subcommittee might request that a police records clerk, a corrections officer, and a representative of the public safety fingerprint unit meet to attempt to work out the problem.

♦ Hopefully this mini-task force can create a solution to the problem, supported by each of the involved parties and implement it.

♦ The solution found in one district can then be duplicated in other districts to eventually resolve the problem throughout the nation.

The benefits of this kind of directed problem solving are many. The obvious initial benefit is the solution to the original problem. The process of solution becomes a benefit in itself. Agencies that may not be talking to each other on a regular basis will be communicating to build a cooperative solution and building trust across organizational boundaries. The next time a cross-boundary issue arises, it becomes easier to resolve.

5.1.1.3   Training and Feedback

The TA Team heard often that there is a lack of training among operational personnel. Many of these practitioners could benefit from cross-agency training. Police officers, the TA Team was told, almost never know the outcomes of citations that they write and often the complaints they originate. Court officers and prosecutors could collaborate in identifying issues that arise in connection with those citations and complaints. Prosecutors could provide police officers with training in writing complaints and citations that would improve the quality of justice. There are other potential topics that could be sources of inter-agency training opportunities that could foster cooperation, collaboration, and trust.

The TOC and its subcommittees should be alert to the creation of these opportunities and develop a means for implementing them on a regular basis. When a problem is successfully resolved or training is well received in one locale, the concept should be "taken on the road" and duplicated or adapted across the nation. Publicizing successes will only encourage more enthusiasm for the desired outcomes and for the project in general.

5.1.2 Recommendation 2 - Improve NNIJISP Governance

5.1.2.1   More Permanence in the Structure

The Navajo Nation should consider a more formalized and more permanent structure for the governance of the NNIJISP. The legal action to accomplish that goal could take the form of:

♦ Enabling legislation, requiring action of the legislature, but creating increased legislative awareness of the need for justice integration.

♦ An executive order of the President, which would establish the President as the titular authority and executive champion of the effort, which can prove to be pivotal to successful program management.

♦ If authorized by statute, administrative rules and regulations which might be the easiest means of accomplishing the goal, while creating the necessary framework.

The TA Team is not in a position to suggest the most appropriate form of that directive, which will depend upon many factors, including the current legislative and executive powers, political factors, and the precedents and customs for the establishment of administrative agencies in the Navajo Nation. Regardless of the format chosen, these official actions are typically more powerful and enduring than MOUs and are, therefore, more desirable for the establishment of an executive authority for the justice information system.

This legal authorization should list the specific powers and duties to be vested in the TOC, thereby ensuring that the organization is able to carry out its proper functions in the establishment of an integrated justice information sharing agency.

The legal authorization chosen should either list the agencies that are to be members of the TOC or define the type of agency that qualifies for membership and describe the manner in which new agencies may become members.

5.1.2.2   Technology Oversight Committee

It is the opinion of the TA Team that the TOC constitutes an effective executive-level decision making body for the governance of the NNIJISP. It is important that appropriate senior-level executives from both the courts and the DPS take active leadership roles in the governing

organization. The TOC should develop a more formal set of bylaws, or other procedural documents, detailing its own internal decision-making procedures so that decisions can be reached by an agreed upon method.

5.1.2.3 Project Management

Initially, it is the strong recommendation of the TA Team that the NNIJISP should establish a dedicated project management resource. Ideally this should be either a full-time employee or one or more contractors who provide expertise appropriate to the phase of the project in which they are employed. We understand the difficulties that the Nation has experienced in the past in this regard, but there is no real substitute for assigning responsibility and accountability for the accomplishment of the complex tasks that are involved in the planning and implementation of an enterprise justice information system.

As the NNIJISP effort progresses, the integration effort will benefit from the creation of a Program Management Office (PMO). The PMO may take a number of forms, depending upon the complexity, needs and resources of the integration effort. In the early stages of the NNIJISP integration program it can consist of a committee, such as the currently constituted Project Management Subcommittee, composed of knowledgeable managers from justice agencies to provide project oversight. As the system begins to take shape, the PMO can evolve to include a full-time project manager and staff to direct development.

Typically the responsibilities of the PMO would include:

♦ Project portfolio planning and monitoring

♦ Performance and risk monitoring – projects achieving their goals

♦ Financial monitoring – tracking projects conformance to approved budgets and financial guidelines

♦ Technology guidance – ensuring appropriate standards are enacted and followed

♦ Communication – reporting as necessary to stakeholders

The NNIJISP program is complex and may require the planning and execution of multiple projects simultaneously. A PMO that coordinates these multiple projects will enable the NNIJISP to manage these projects efficiently and use and reuse assets wherever possible to gain efficiencies and be more cost effective.

Best practices have shown the establishment of the following committees to be effective in system management, and their formal creation is recommended. Note that these committees closely resemble committees suggested in the Navajo Council's 1992 resolution creating the Open Information Environment.

5.1.2.4 Business Operations Committee

The NNIJISP criminal justice information system has been primarily focused on technology issues, but the purpose of integration of information systems is to improve the quality of the administration of justice. A Business Operations Committee would be charged with making recommendations and setting business process priorities to the TOC and to drive the planning and implementation of any approved future initiatives. This committee would be responsible for identifying the actions required to fulfill business goals and objectives set forth by the strategic plan. Governance Body best practices suggest the Business Operations Committee consist of mid-level managers from each of the member agencies. The committee's

responsibilities and roles should be clearly defined with written guidelines, and they should meet on a regular basis to discuss issues, mitigate risks, and work through operational problems.

5.1.2.5   Technology Management Committee

A Technology Subcommittee has recently been established consisting of agency staff members whose jobs include IT responsibilities. The group should charged with making recommendations to the TOC regarding issues such as information technology (IT) architecture, use of information sharing standards, software systems security, network infrastructure, data, and management issues.

5.1.3 Recommendation 3 - Increase Project Outreach

The NNIJISP should increase its communications with all interested parties in order to make its vision a reality. Those parties must include:

♦   The Office of the President of the Navajo Nation.

♦   The members of the Navajo Council.

♦   Directors and department executive in all executive departments, whether they are criminal justice stakeholders or not.

♦   Criminal justice executives, managers, and practitioners at all levels of government within the Navajo Nation.

♦   External criminal justice practitioners who may be interested or have a stake in the criminal justice system on the Navajo Nation.

The project should employ whatever means that will get the message out to the target audience.

♦   The NNIJISP web site should include the project plan, the notice, agenda, and minutes of meetings of project committees, and pictures of project events and people.

♦   An email address that will reach project management to allow users to send in ideas and concerns.

♦   Email to users providing them with frequent project status updates, descriptions of system capabilities and new features.

♦   Nation and project executives should talk about the project in other forums.

♦   A blog for project executives and project managers to discuss progress and respond to questions and concerns.

♦   Newsletters, both online and using regular postal mail.

5.1.4 Recommendation 4 - Focus on Project Strategy

The TA Team heard frequent requests for clarity regarding the future of integrated justice. It is the opinion of the TA Team that one of the reasons for a lack of clarity is the fact that the NNIJISP has never articulated a strategic plan or agreed upon a written project strategy. One of the purposes of undertaking strategic planning is to ensure that all stakeholders agree on the expected outcomes as well as the steps required to achieve it.

For the CMS product, the NNIJISP needs to clarify the following issues:

♦ Will the case management proposed case management system be exclusively for the management of cases by the court or will it be used by probation, prosecutors, and the public defenders to manage their cases as well?

♦ There was discussion about the potential for prosecutors purchasing a nationwide case management system to be implemented prior to the court case management system. What is the status of that purchase? If such a purchase occurs will it be from the same vendor and how will the two systems interface?

♦ What agencies will have direct access inquiry access to the court case management system? Will any non-court agencies have the ability to enter data into the court system?

♦ What data and document exchanges will occur electronically and what exchanges, if any, will continue to occur manually?

If the answers to these questions are unclear to the TA Team, they may also be unclear to many stakeholders in the Navajo Nation criminal justice community as well. A strategic plan could serve to clarify the expectations of many agencies as to their role in the NNIJISP.

For the short term, the TOC should lead an effort to determine the information sharing expectations of individual stakeholder agencies to create a list of expected outcomes as a vision statement for the criminal justice information sharing enterprise. Such a list should be used to create goals and set priorities for system development and implementation.

We believe that this short-term planning effort should include at a minimum:

♦ The creation of a mission statement for the project that reflects the hopes and aspirations of all participating stakeholders with regard to the benefits of the project. It may simply be the goals statement included in the 2002 Resolution CAP-30-02 which reads as follows:

  – "The goal of the Integrated Criminal Justice Information system is to improve the coordination, collaboration and communication among all programs and service providers within the criminal justice system of the Navajo Nation and to develop the sharing of criminal justice information."

♦ Because of the impending purchase of a court case management system, stakeholder agreement on their expectations with regard to the relationship that each agency would have with the case management system (i.e. use for case management, inquiry only, direct system interface, etc.)

♦ Agreement on a list of data and document exchanges among agencies that currently exist or will be required and whether the exchange will be accomplished by:

  – Direct data entry by user agencies into the case management system.
  – Electronic interface with the CODY RMS and JMS, Case Management, or potential prosecutor system.
  – Manual transfer done as it is currently done.

For the long term, the Steering Committee should engage in a process that will result in the creation of a strategic plan for the NNIJISP. The TA Team recommends the use of the SEARCH

document *Roadmap for Integrated Justice: A Guide for Planning and Management[16]* for use in the development of such a plan.

The strategic plan should be comprehensive and detailed. It should delineate the steps required to implement these recommendations as well as to address the different areas and objectives of integration in the Navajo Nation. Although the development of the strategic plan will be based on the specific needs and objectives of the NNIJISP, the TA Team recommends that special emphasis be given to the funding and resource requirement component. That portion of the plan should address the need and potential sources of funding for the information sharing enterprise. These projects are long-term development projects and depend for their support on multi-year budget commitments. Consideration should be given to obtaining assistance at both within the nation and from the federal government.

All development, both short- and long-term, should be well documented including with detailed project plans, budgets, and metrics for measuring both progress and results. In fact, multiple project plans can be used to address different areas and objectives.

5.2. Business Process and Operations

5.2.1 Recommendation 5 - Define NNIJISP Information Sharing Business Architecture

In order to realize the benefits of an integrated CJIS system, NNIJISP needs to address some basic business operations issues. These recommendations focus on the creation of a business environment that will support the sharing of data between agencies within the criminal justice agencies in NNIJISP.

The chart in Section 3 describes the overall current data flow within the justice system for the Navajo nation. Specific agency recommendations for business process improvement are included in Section 4. In this section, we present recommendations for new Court CMS, case processing automation for the Prosecutor and Public defender and integration data point for the IJIS Agencies.

5.2.1.1 Court CMS

The new court CMS procurement effort should take advantage of the existing COTS products which offer integrated case management functionality for district court case processing, appellate court processing and document management and include integrated financials and report writing/statistical features. The basic features needed by the judicial branch include the following:

♦ Case Initiation and Indexing

♦ Docketing

♦ Scheduling

♦ Document Creation and Tracking

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[16] *http://www.search.org/files/pdf/StrategicRoadmap.pdf*

♦ Calendaring

♦ Hearings

♦ Disposition

♦ Post Disposition Compliance and execution

♦ Case Closing

♦ Collection system that meets the Navajo Nation requirements

♦ Provide and receive past due collection data from 3rd party collection agencies

♦ Receipt Accounting

♦ Bookkeeping Accounting

♦ Records Management

♦ Configuration Maintenance, Security and Integrity, and

♦ Management and Accounting Reporting

The RFP for the new system should also require that the vendor selected provides:

♦ Highly-functional case and document management software

♦ Open systems compliant architecture system platform base

♦ Project management and integration services

♦ Training program and on line help features

♦ Documentation for system and business processes

♦ A scalable reporting and statistics module for both standard and ad hoc reports

♦ Case consolidation and searching features

♦ Back up and disaster recovery components

A discussion of each of these components is contained in relevant sections of this proposal.

The next section includes Case Management recommendations for other units not included in the judicial branch organizations.

5.2.1.2 Peacemaking Program

Peacemakers need the ability to access automated case management software and provide data on cases/matters handled to the District or a regional Clerk's office including:

♦ Referral source: Justice System, treatment agency, judicial, family, community, self application, other)

♦ Type of matter handled (family, domestic violence, abuse, alcohol or drug related matter, civil/community matter, other)

♦ Length of session and participants (can be identified by name, or by type – family type, spouse, relative, child, dependent)

♦ Resolution type(referral to counseling or service provider program, self/family counseling or support, restitution, treatment, self help)

♦ Related matters (family, domestic violence, abuse, alcohol or drug related matter, civil/community matter, other)

♦ Resolution result (successful reintegration to community, restitution completed, treatment, or counseling completed)

The data can be recorded as a special case type – Peacemaker, and the identifier data of the individual may or may not be revealed, based upon the privacy and traditional values of the case. The recommendations and results of the peacemaker process however, should be recorded, to being to show successes and to instill the value of the model. The Peacemaker should also be able to search existing databases. Produce documents and reports and provide email or automated messaging to other components of the justice system. Future interfaces with service providers to measure program success and schedule clients would also be helpful.

Maintaining the data and recording the information in an automated system may be time consuming. With the remote location and the clerk's office could also enter data into the CMS from paper documents received from the Peacemakers. The CMS would in turn clear cases from the general court and law enforcement databases so that matters are tracked to conclusion. Finally, the CMS should capture documents generated by the Peacemakers and the court in order to track case matters, conclusions, and research.

5.2.2 Recommendation 6 - Define Interagency Integration Process and Data Exchange

Integrated systems have been a goal of criminal justice since the early 1970's. Despite the billions of dollars being expended, very few systems have ever been created, let alone been successful. A few integrated justice systems have been successful to a degree, but not without organizational and funding challenges.

The data exchanges should be defined at a very simple level and mapped to see where there are similar data needs. The chart below describes a standard data exchange schema.
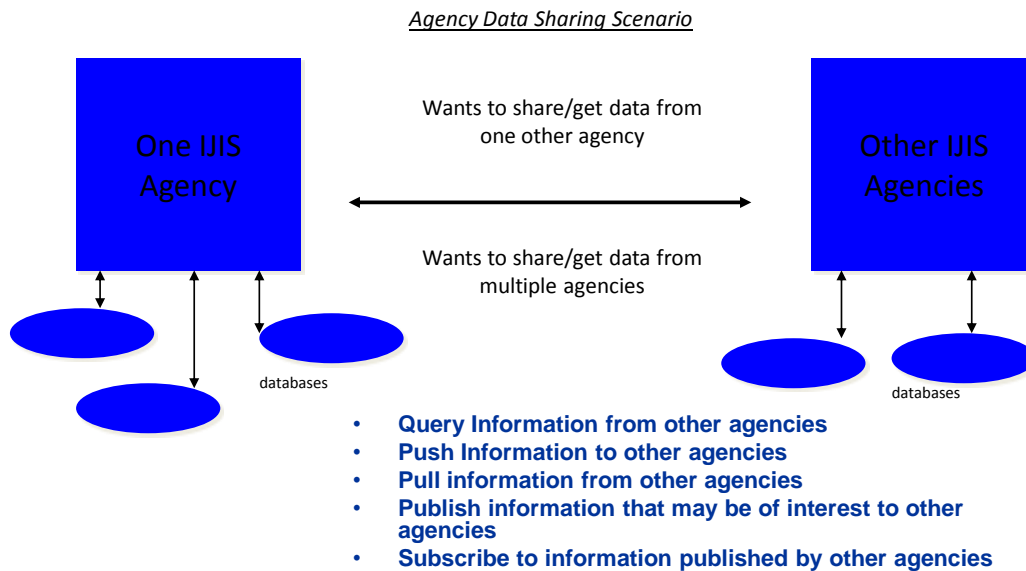
Figure 13: IJIS Data Sharing

As the Navajo Nation moves toward the goals of an IJIS, several concepts must be kept in place.

The proposed business processes included in the solution should be scalable in nature allowing the Navajo Nation to use the components needed now, and add and modify in the future as the need arises and the system matures. The system must interface with relevant proposed and established support systems, departments and divisions to:

♦ Issue traffic and other citations both criminal and civil

♦ Prosecute cases

♦ Provide Public Defender CMS support

♦ Oversee the summonsing and processing of witnesses

♦ Administer the flow of documents to and between courts and to/from attorneys, law enforcement, prosecution, DPS and other agencies

♦ Enable prompt scheduling and management of cases brought before the court

♦ Keep documentation of court proceedings

♦ Account for all fines, fees, court costs, and restitutions assessed, collected, dismissed, outstanding, or reduced by the court

♦ Issue and process warrants

♦ Maintain all court documents prior to their destruction, and

♦ Oversee the fiscal affairs of the courts and other agencies in the IJIS

Once these high-level processes are agreed to, the Navajo Nation should develop a draft exchange model and prioritize exchanges. The figure below offers an example of the types of data exchanges which may be necessary between agencies.
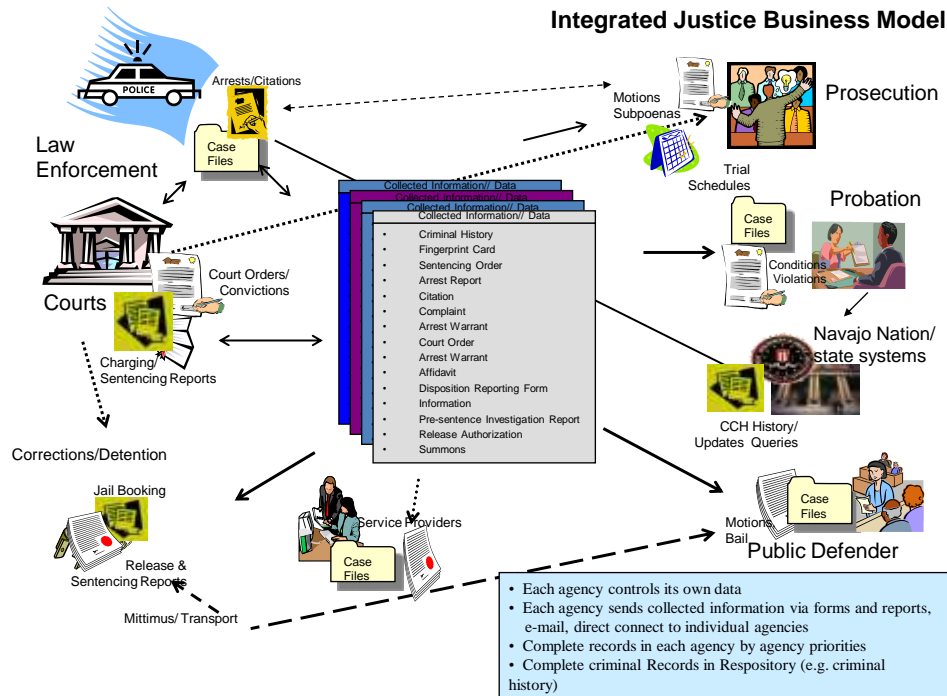
Figure 14: Data Exchange Business Flow

While individual data sharing needs within agencies are understood, there is a need to discuss and understand external process interactions and information exchanges that are of a highest priority between the justice agencies. We found that the agencies understood their needs and had a good general understanding of what data they needed to receive and transmit to other agencies, but they were not always aware of the business processes used by other agencies to create the data. The detailed flow charts and business process diagrams produced by the Department of Public Safety, law enforcement, and the courts, which were included in Section 3 and 4 of this report should be examined by all agencies participating in the process.

 The overall Navajo Nation Criminal justice Data flow chart (included in Section 3) is a good example of a high-level single data flow diagram for data across the entire enterprise. If this diagram can be drilled down by each agency, the resulting details would define the IJIS enterprise business flow.

5.2.3 Recommendation 7 - Implement Data Quality Management

There is a need for courts to prepare and support justice interconnectivity. The acquisition of a new court CM, web services for the Prosecutor and Public Defender and Supreme Court, and upgrading the Public Safety CODY System are big steps toward integrating the criminal justice community. It applies the new concept of building "communicating systems" as supported by the US Department of Justice Global Information Sharing Initiative.[17] Such a sharing system would allow, for example, capturing civil traffic citation data, which is created by law enforcement, could be sent from CODY to the prosecutors and in turn electronically filed with the court's computer system. Ideally, no additional court staff data entry would be needed. In addition, warrants, protection orders, release orders, and many other official daily communications between justice agencies could be transmitted via computer rather than slow and costly paper processes.[18]

Agencies in an integrated criminal justice system must be able to rely upon available data for operations, decision making, and planning. This can be well served by adopting enterprise standards for data quality. In order for data quality standards to be effective, the standard must raise agency confidence that the data is complete, accurate, timely, and consistent. As recommended elsewhere in this report, the Navajo Nation needs to ensure that all agencies are involved in adopting a standard of data quality goals:

♦ Business processes should be designed so that data is captured at or close to the time of its creation and, if possible, captured as a part of the process of creation.

♦ Application programs should contain edit checks to ensure all of the necessary data is captured and that the data entered is accurate.

♦ When data is transferred from one database or agency to another, it is important to data consistency that appropriate links are maintained between identifying numbers for persons, cases, and other entities within the system.

♦ Once data is captured and recorded it should be modified only in a manner and by such agencies and personnel so as to insure its accuracy and consistency. When data is modified, an audit trail of data modifications should be maintained.

Typically, data quality standards are embodied in a data quality policy that is considered a "living document" addressing enterprise data quality standards for the Navajo Nation IJIS Project. The data quality policy should include a process for regular reviews of data quality. On an operational level, such reviews should be built into the business processes of each agency and particularly included in the new CMS applications that are being developer and acquired for the Prosecutor, Public Defender, Probation, Peacemaking, and Judicial Branch. A regular data auditing process can ensure that a high level of data quality can be maintained. Audits can be used to identify data that needs to be corrected, but they can also detect patterns of data error that can be corrected by programming changes or improvements in user training.

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[17] *For more on US DOJ Global see: http://www.it.ojp.gov/topic.jsp?topic_id=8*

[18] *NCSC Report to the Navajo Nation "Court Automation Review for the Navajo Nation Judicial Branch", James E. McMillan, Project Manager, National Center for State Courts, Court Consulting Services, Denver, Co, May 2007.*

The data quality policy should include policy references for data retention and for data archiving.

One of the recommendations for integrated justice includes the installation of a middleware component that serves as the traffic cop – routing data between agencies, while not invading the specific agency data bases. To accomplish this solution, data that is exchanged is placed into a standard format – such as GJXDM and then sent via the middleware, which routes the data to the recipient using the standardized address and routing info that is attached to the data exchange packet.

The advantage of this type of an exchange is that the data is sent from the various systems, and only the data that is exchanged needs to be put into a standard format. SO if a conversion effort for the entire system is not possible at this time, or updates are in process within the agency, this functionality can move forward without waiting for the entire agency system to be revamped. Additional agencies can be added over time, and the security to manage the data resides in the middle ware –which limits unauthorized invasion of agency systems. The Middleware technology is being proven in many integrated justice programs at the state and regional level.[19]

The example bellows depicts a middleware model for the Navajo Nation.
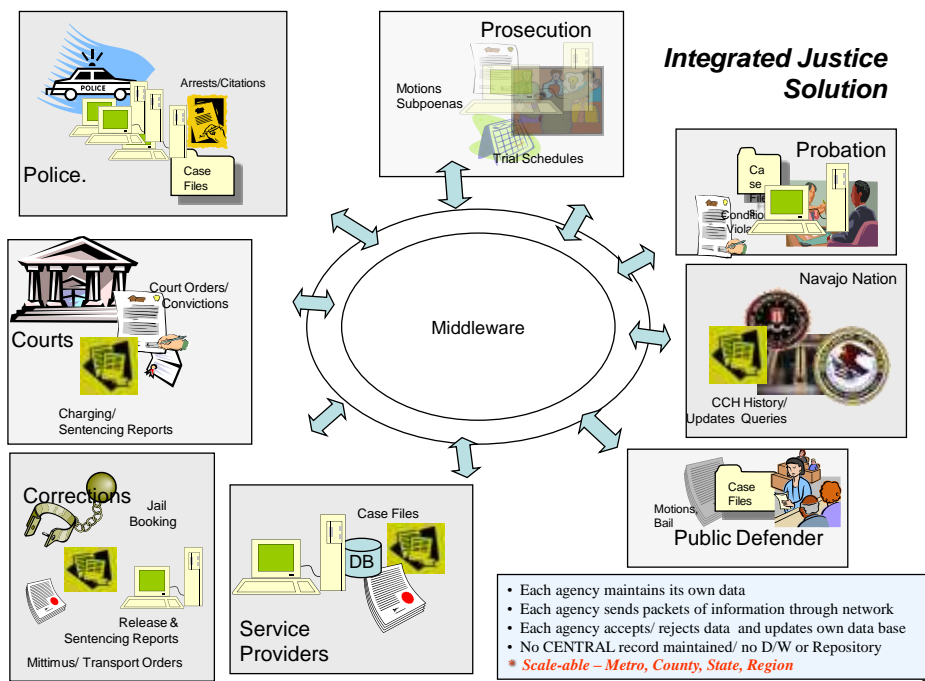
Figure 15: Middleware Data Exchange Model

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[19] *Integrated justice systems including ARJIS in an Diego, Ashville CJIS – Metro Davidson County, Gwinnett County, GA IJIS and Pennsylvania J-Net all employ middleware vendors for data exchange.*

Although all agencies want to move forward as quickly as possible, the TA Team recommends a staged roadmap that includes a pilot site implementation process. To accomplish this, selection of a pilot site is important.

The pilot site should be selected based upon the following:

♦ District Site with multiple departments represented: this ensures that all participants are involved in developing the system and identifying needs, even if they are not met in phase 1.

♦ The justice process is a horizontal flow, that in a district pilot site can be validated against the hierarchical flow of cases through Departments used to working together, handling the same clients as they walk through the process.

♦ Assists case coordination of parties with multiple matters and case types.

♦ Provides common forum for training and testing.

♦ Helps validate scalability and networking between departments.

♦ Coordinated data conversion and migration.

Once the pilot site is up and running, other districts personnel can review the processes and the next implementation will require less tailoring. The nationwide implementation will roll out on the scheduled set, so all Districts know when their automation is coming and can plan for implementation. A District-by-District implementation also:

♦ Permits scheduling by resources and geography limitations.

♦ Provide some individuality at local division level.

♦ Provides for better coordination of hardware/software deployment.

♦ Results in coordinated training.

♦ Identifies state of the art similarities in the Districts.

♦ Allows for improvements to be deployed to all departments.

♦ All departments will have "cross-training" opportunity.

5.2.3.1   Statistics and Performance Analysis

As there is a defined need to improve both statistical and operational reporting for case and participant management. A unified CMS database would allow court managers to run standard statistical report on a set schedule, allow for comparative reports, and in the future potentially provide a management web access or a portal or "dashboard" to management.[20]

In the NCSC 2007 Report, an example dashboard system developed in the Yuma Court environment provided current and recommended future performance measurement reports. This group included case timeliness, age and status of pending caseloads, time from final hearing to decision, decision authorship and public feedback, as well as fine and fee collection

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[20] *Used with permission by Dr. Ingo Keilitz from his online blog, Made2Measure (http://made2measure.blogspot.com) As referenced in the 2007 NCSC Report to the Navajo Nation "Court Automation Review for the Navajo Nation Judicial Branch", James E. McMillan, Project Manager, National Center for State Courts, Court Consulting Services, Denver, Co, May 2007.*

effectiveness.[21] Similar technology should be available to the Navajo Nation through a web application, and could be expanded over time to show IJIS statistics.[22]

5.2.4 Recommendation 8 - Implement an Enterprise NNIJISP Administration Function

Any project of this size and scope will require full-time project management, some degree of central IT management and some elements of decentralized IT. While all agencies can participate in the data exchange definitions and data sharing, committees tend to not make timely and the best decisions, managers do. Shown below is the project structure for the project. It is essential that all components work together to make the project a reality.

It is essential to address the need of a central organization and technical management. There needs to be a structure for administering decisions and policies throughout the entire CJIS organization. This structure is important not only in the administration of the initial policy decisions that are made for the system, but also in need to make changes as issues arise during the actual operation of the system.

A role of this new function should include NNIJISP adopting the role of the equivalent of a state-level CJIS Repository. As a data repository, this organization could provide the following central functions for the NNIJISP:

♦ Criminal History Repository

♦ Involvement Indexes

♦ Uniform Crime Reporting (UCR)

♦ Law Enforcement National Data Exchange (N-DEx)

♦ External Messaging and Communications

In addition to the functions above, other potential central management functions should be considered, including fingerprints (AFIS) and general public awareness services.

5.3. Systems and Technology

The recommendations included in this section are intended to provide high-level technical guidance to the Navajo Nation technology managers and executive sponsors who have vested interest in the NNIJISP. These recommendations are provided in support of the policy and business process recommendations discussed in the previous sections. Substantially, these recommendations are based upon the need for the NNIJISP to take an enterprise design approach for integrated Navajo Nation. This approach should be divided into short term and long term. In the short term Navajo Nation should do the following:

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[21] *As referenced in the 2007 NCSC Report to the Navajo Nation "Court Automation Review for the Navajo Nation Judicial Branch", James E. McMillan, Project Manager, National Center for State Courts, Court Consulting Services, Denver, Co, May 2007.*

[22] *See Nashville Metro Davidson CJIS project web site, http://jis.nashville.gov/portal/page/portal/jis/projects/projectsCJISSuite/*

5.3.1 Recommendation 9 - Invest in the Case Management System and Enhanced RMS/JMS Capabilities

5.3.1.1   Configuration

It is recommended that in short term, Navajo Nation's judicial branch invest in a case management system with capabilities to support integration with the case management systems used by the prosecutor, public defender, peacemakers and the public safety RMS and JMS systems. Integration capabilities will help automate manual process on data entry and data management. The Navajo Nation's public safety division should also try to improve the capabilities of their CODY RMS and JMS system as they are not being utilized to its full capacity due to limited functionality. The following chart depicts a system structure that is representative of the organizational and functional components that need to be included in the selected CMS.
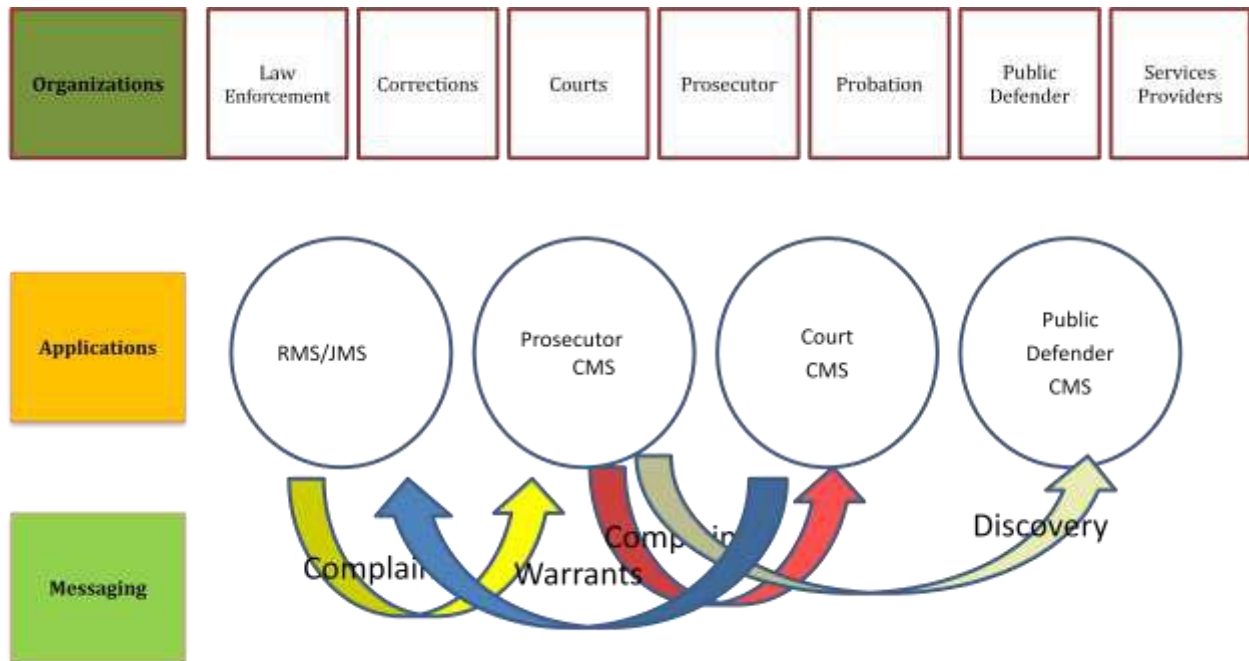
Figure 16: Projected System Structure

5.3.1.2   Timeline Example

It is also critical to create an implementation timeline on how the new case management system might be implemented in each district. These timeline might follow the sample timeline as showed in the following figure.
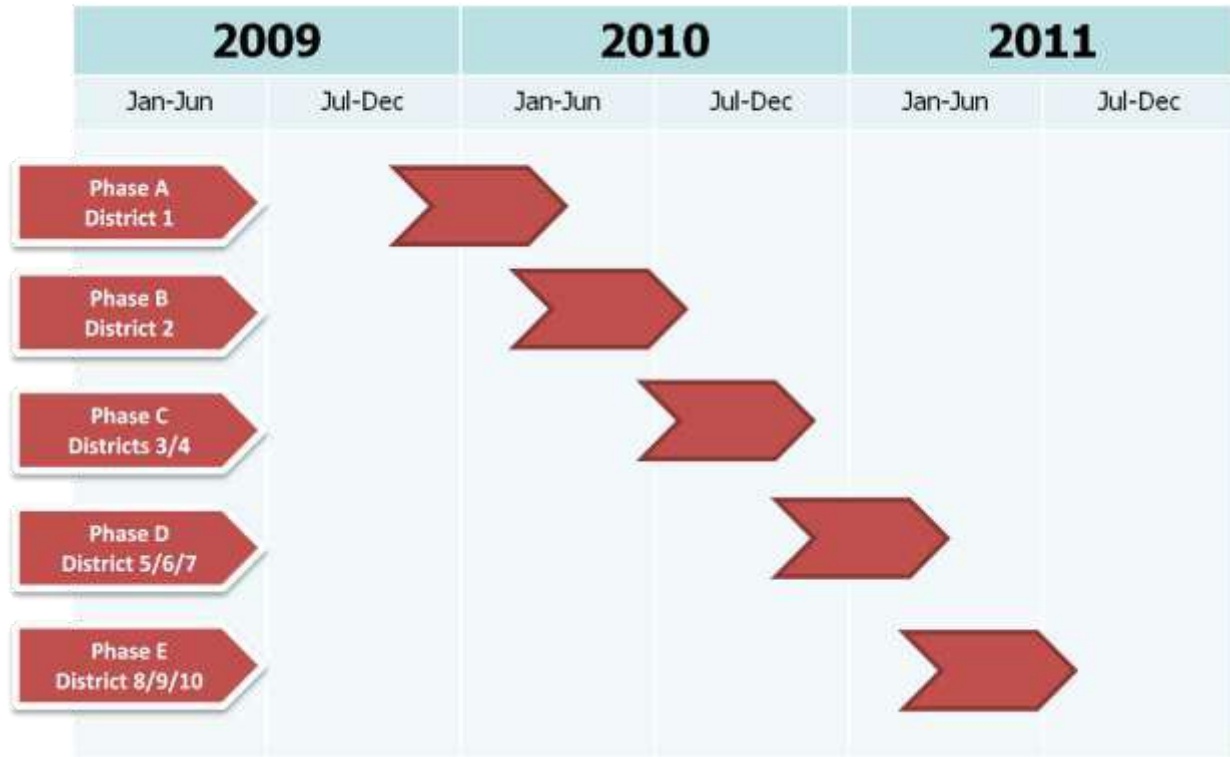
Figure 17: Project Timeline Example

5.3.1.3   Proof of Concept Pilot

The acquisition of the Case Management system should be done in a phased approach as proof of concept in one of the districts that has:

♦ User cooperation
♦ Stakeholder buy in
♦ Enough agencies involved
♦ Infrastructure in place
♦ A large enough transaction volume to support stress testing
♦ Characteristics that would be desired and replicable in other districts.

5.3.1.4   Acquisition Strategy

After the proposal submission date, the NNIJISP staff must accurately and meticulously evaluate the offerings. Ideally these should be reduced to no more than three viable candidate systems. Each should then be advised that they are in the final running for selection. Each should also be requested to demonstrate any questionable system functions and to submit their "Best and Final Offer" (BAFO) for further consideration.

Negotiations of the contract between the Navajo Nation and the product supplier (vendor) need to be approached from a vested interest perspective. That is, to obtain the most capability for

the lease cost to the Navajo Nation. One recommended approach would be workout an arrangement with the following provisions:

♦ Work from the perspective that only part of the $500,000 will be available at the outset of the acquisition process.

♦ Determine the estimated cost for bringing the infrastructure up to an acceptable level for the initial district (having cost estimates for as many of the other districts would be valuable as well). Also attempt to determine the approximate cost associated with acquiring a single installation of a CMS product.

♦ Evaluate these findings in relationship to each other to determine if it is reasonably feasible to acquire a new CMS product for the pilot site and divert sufficient funds to complete required infrastructure upgrades (both within the constraints of the existing $500,000).

♦ Negotiate an arrangement with the selected CMS product supplier that would support the above approach. Follow this arrangement with terms and conditions that would obligate the Navajo Nation to expand the CMS configuration contingent upon satisfactory and acceptable operation of the pilot site and most importantly, the availability of additional funding.

5.3.2 Recommendation 10 - Develop System Security Policies

Clearly defined security policies will help describe a protection strategy by diffusing the various areas of vulnerability within the computer systems environment. Security policies should define proper actions and controls that are required to prevent network and system penetration. Working in conjunction with authentication policy, security mechanisms create a shield against unauthorized access at multiple levels in accordance with policy guidelines for:

♦ Personnel Security (access and privilege definitions)

♦ Network/Communications Security (privileges to enter the network)

♦ System Access Security (privileges to access an application)

♦ Data Security (privileges to access data)

5.3.3 Recommendation 11 - Develop Privacy Policies

Privacy policies are aimed at ensuring that computer and database management systems address statutory and administrative privacy policies. These policies define the rules protecting against the unauthorized sharing of personal information of those who are subjects of the criminal justice system. Privacy policies should be set by high level statutory rules and regulations, and policies should be inherent in the integration architecture and enforced via the authentication and security facilities. These policies must work in conjunction with the authentication and security components to ensure proper controls required to prevent unauthorized access to personal information are inherent.

In the long term, Navajo Nation should do the following to accomplish integrated justice initiative:

5.3.4 Recommendation 12 - Adopt a Service Oriented Architecture (SOA) Approach

An SOA approach will provide the NNIJISP with the capability to leverage existing technologies and systems, by providing an extendible model for building the data exchanges required to support multi-agency information sharing.

SOA supports loosely-coupled integration that will allow any of the participants to upgrade or implement new systems without affecting the overall functionality of the enterprise, or that will require negotiating new data sharing agreements with information sharing partners. This can be particularly beneficial when a partner in an information exchange wants to modify their system capability, but their information sharing partners are not prepared, or do not have the resources to upgrade their own capability. Additionally, the SOA can incorporate and make use of the push, pull, publish, query, subscribe, and notification functions approach to information sharing at very rudimentary levels of integration.

The Justice Reference Architecture (JRA), described more fully below in the section on national information sharing standards, is a manifestation of an SOA. Once completed, it will provide a helpful foundation on which NNIJISP can base its data exchange architecture in the future.

5.3.5 Recommendation 13 - Adopt and Use National Information Sharing Standards

To assist the NNIJISP team in the development of the integration architecture, it is recommended that the following national standards be used to save time and cost.

5.3.5.1 National Information Exchange Model (NIEM)

NIEM provides a common vocabulary of terms that can provide an information exchange platform allowing different systems to communicate without the development of custom or "stovepipe" solutions for this purpose. NIEM exchanges exist for many of the highly-used law enforcement and justice information sharing transactions, and can be leveraged by other information sharing partners like homeland security and intelligence fusion centers. NIEM effectively enables information sharing across internal systems, as well as with other partners and outside jurisdictions. NIEM also forms part of the national Information Sharing Environment (ISE) Baseline Data View for the ISE Architecture, and is the basis for developing ISE functional standards under the Common Terrorism Information Sharing Standards (CTISS) program.

5.3.5.2 Federated Identity and Privilege Management

Federated identity solutions such as the Global Federated Identity and Privilege Management (GFIPM) provide a framework for identification/authentication, privilege management, and audit access to applications. GFIPM can be used to ensure that security and authentication policies are enforced throughout the organization, since it provides the definition and management of access privileges to the applications and data contained in the applications and databases. Additionally, it provides the efficiencies of a single sign-on protocol for all authorized NNIJISP system users, avoiding redundancy and providing cost-reduction. Additionally, eXtensible Access Control Markup Language (XACML) provides a standards-based infrastructure for exchanging information about the access control and privacy policies of protected resources in terms of the elements in the metadata model. User organizations can

leverage Security Assertion Markup Language (SAML), which is an XML-based framework for specifying authentication information about a user. It allows for assertions to be made regarding the identity, attributes, and entitlements of a user. These assertions are passed from one business entity, partner, company, or application to another. The audit aspect of GFIPM helps determine what information is needed or required for the purposes of auditing systems, systems access and use, and legal compliance of data access and management practices.

More information on GFIPM and security and privacy best practices from Global can be found at http://it.ojp.gov/default.aspx?area=globalJustice&page=1020.

5.3.5.3   *Justice Reference Architecture (JRA)*

The JRA is an abstract framework for understanding significant components and the relationships between them using a Service Oriented Architecture (SOA) approach. It lays out common concepts and definitions as the foundation for the development of consistent SOA implementations within the justice and public safety communities. It is a reference architecture that provides a proven template solution and a common design approach to discuss implementations, often with the aim to stress commonality. It leverages the best practices of industry and specifically the OASIS Reference Model for Service Oriented Architecture (SOA). The JRA is based on longtime industry standards and best practices, to link the various standards available (such as NIEM and GFIPM), and to provide a consistent, uniform approach to managing technology resources to support information sharing. Deliverables from the JRA project can assist with developing business architecture (e.g., Service Identification and Design Guidelines), information architecture (service modeling guidelines), and technology and solutions architecture (execution context guidelines, service interaction profiles) components. The JRA approach uses a cohesive or natural grouping of technologies, standards, or techniques in meeting those service development requirements. The JRA is the recommended architecture of the Global Information Sharing Working Group (GISWG) and has been unanimously selected by Global Justice Information Sharing Initiative Advisory Committee (Global) as a framework for achieving justice integration.

It is recommended that the NNIJISP seek more information on these programs, including opportunities for training and additional technical assistance. To start, the National Information Sharing Standards (NISS) Help Desk and Knowledge Center is available 24x7 to all parties seeking support for information sharing and NIEM. The NISS Help Desk and Knowledge Center is hosted by the IJIS Institute and supported by experts from government and industry. It can be found at: http://it.ojp.gov/NISS/helpdesk.

5.3.6 Recommendation 14 - Design and Implement CJIS Exchanges

Once the overall architecture is designed, a series of information exchanges can be defined and prioritized in terms of the business value and implementation viability. Business value should be based upon:

♦   The need for the information provided by this exchange,

♦   The potential loss if this information is not received timely and accurately, and

♦   The reduction in cost of time and resources currently required to support the exchange manually.

Implementation viability addresses the proximity in time for when the systems and databases required to support the exchange will be implemented. A broad scope of potential information exchange groups follow:

♦ Correctional and Release Information

♦ Criminal Justice Information – Arrest and Disposition

♦ Criminal Index Information – CCH

♦ Disposition – conclusion of proceeding

♦ Identification Record Information

♦ Non-Conviction Information

♦ Wanted Person Information – Warrants

These information groups represent the first, and assumed highest priority, exchanges to be developed for NNIJISP CJIS. In any case, the NNIJISP is at a viable starting point for defining high value CJIS exchanges. Accordingly, it is recommended the information groups noted above be used as a starting point for information exchanges.

5.4. Facilities and Network Infrastructure

5.4.1 Recommendation 15 - Communications

Based on the feedback received during the site visit, and noticing the lack of communication among different agencies and DIT, it is recommended that DIT becomes more interactive and collaborate with all the public safety agencies' IT staffs and conduct a survey of their users in all the districts to collect issues and challenges faced frequently on a day-to-day basis in their operations. This survey will help identify the problems related to facilities and infrastructure and help have common understanding of the problem areas.

5.4.2 Recommendation 16 - Document Network Design

It is recommended that the Navajo Nation IT leadership develop a network design documentation using an established network design documentation standard. Network design is an iterative process aimed at ensuring the network meets the service needs of its users. This network design would include specifications for network services availability during different time periods, as well as document requirements for short-term and long-term business and operations support.

The business operations requirements should be documented to ensure that network performance can be effectively monitored. The business requirements should consider the exchanges and shared services to be implemented in support of NNIJISP. Documenting the network requirements and design will help determine future network capability and capacity.

The operations portion will examine how the network will run on a day-to-day basis. The topological design is a portion of the overall network design and can help optimize the location placement and cost of network facilities.

As the Navajo Nation environment is supported by a local fiber backbone, plus T1 and DSL connections, it will be prudent to explore the expected traffic on the DSL circuits to determine if this connection will be viable long-term.

The Navajo Nation can use the network design, including bandwidth requirements to support short-term and long-term exchange implementation; web based case management system, to effectively estimate future network upgrade and operating costs.

5.4.3 Recommendation 17 - Create Disaster Recovery Plan

As part of the disaster recovery plan policies and procedures should be created to prepare for continuation of technology infrastructure critical to an organization after natural or manmade disaster. In a more proactive view, such a plan is often referred to as a "continuity of business operations" plan. This plan should address how various applications, hardware and communications will operate in case of disaster. It is also important to consider the virus attacks, security gaps within the network. Data backup is another consideration that Navajo Nation DIT has to undertake to ensure that in case of disaster the data is protects and accessible from other locations.

5.4.4 Recommendation 18 – Collocation of Application and Data Server in Data Center

It is recommended that to gain efficiencies and provide more secure environment that different servers be collocated in the Navajo Nation data center. This will ensure that proper guidelines are followed to secure the hardware and application but also lead to the path of using web based capabilities within the new case management system and integrated environment. The ownership of the application will lie with the individual agency staff but, DIT will have the ownership of the facility and hardware maintenance. This will fit with the services currently provided by the DIT and justice and public safety agency staff.

5.4.5 Recommendation 19 – Upgrade Network Infrastructure

It is highly recommended that Navajo Nation upgrade the network infrastructure in all the districts. This applies to connectivity within each district and between all the districts. As the nation moves towards implementing integrated justice environment it is crucial that all police and judicial districts have the reliable connection. NDIT should play a key role in implementing the network infrastructure in all the districts similar to Window Rock district. NDIT and NNIJISP team should work together in defining the requirements for each district and work together on issuing the RFP if required to upgrade the network infrastructure.

The recommendations included in this section are intended to provide high-level technical guidance to the NNIJISP's technology managers representing the CJIS Network organizations. These recommendations are provided in support of the policy and business process recommendations discussed in the previous sections. Substantially, these recommendations are based upon the need for the NNIJISP to take an enterprise design approach for integrated NNIJISP CJIS (as discussed in Section 4.3 of this report).

5.5. IT Management and Resourcing

Today, the NNIJISP staff faces the early implementation stage challenges that come with implementing new systems. Challenges include changes resulting from integration of departmental operations, data conversions, and refinements of process interactions within and between justice agencies. These are all major hurdles in and of themselves.

As the NNIJISP IJIS/CJIS enterprise comes together and begins to consider the challenges of the future, new IT management and resourcing requirements will likely surface. Management issues will include decisions as to how to organize and define roles and responsibilities. Resourcing issues will be both temporal and sustaining to deal with the development versus ongoing operational support requirements of an integrated NNIJISP IJIS/CJIS environment.

5.5.1 Recommendation 20 - Develop Sustainability of IT Operations Requirements

It is recommended that the NNIJISP IJIS/CJIS leadership work in concert with the IT management from the justice agencies to develop a technology and human resource requirements statement for integrated IJIS/CJIS. This requirements statement would focus on the future acquisition of required skills and expertise to implement the IJIS/CJIS integration solution components. Long-term retention of skills and expertise to support operations management and growth of the technology environment should be addressed in the document.

Many agencies have revealed that they have authorized positions that have remained vacant for an extended period of time for various reasons. It remains a problem when salaries/wages for these positions are not competitive with the surrounding industry offerings. The focus may need to be oriented to local high school and college graduates wishing to remain in the local area and those that wish to remain faithful to the Navajo Nation's interest and culture. One remaining option to the staffing problem is to contract for specialize technical services on a short term basis from industry consultants other than incumbent software product suppliers.

Development of this statement should begin with a definition of resource requirements based upon the decisions of NNIJISP IJISP/CJIS leadership regarding policy and direction for the IJISP/CJIS program. In other words, planning for sustained operations can wait until the major decisions as to the policies and structure of future integrated IJIS/CJIS are determined.

Note: In light of the unique challenges facing the NNIJISP in the acquisition and retention of information technology (IT) resources and expertise, it is further recommended that future Technology Assistance (TA) engagements be provided to the NNIJISP TOC. These TA engagements should be considered in the next 4-10 months and should focus on remaining or new or issues meaningful to the further development and implementation of the NNIJISP IJIS/CJIS.

5.5.2 Recommendation 21 - Design an Enterprise Integration Architecture

Central to achieving the goals of CJIS integration is the TA Team has recognized the following as key capabilities of the enterprise integration architecture:

♦ Providing the capabilities for federated access and cross agency data communications; and,

♦ Providing the capabilities for shared central services and data management.

This architecture should encompass a common set of standards within a multi-tiered technical architecture concept that can support both the management and administration of centralized data, as well as providing the overall connectivity and information sharing standards required to support electronic interaction among the many justice organizations. It is recommended that this architecture include multiple integrated components:

♦ **Policy/Agreement** component captures an array of decisions that drive the requirements for standards and services throughout the other components. Inherent in this component are policies for enterprise data administration, as well as policies for security and privacy.

♦ **Authentication** component will provide the ability to establish and enable user participation in enterprise CJIS based upon their role as a system user, and their defined privileges for access to data and application services. This layer can define "trusted" participation via network access, departmental access, and/or position access. Once known to the system as a trusted participant, role-based privileges can then provided.

♦ The **Security** component will provide protection by diffusing the various areas of vulnerability within the computer systems environment. Security policies should define proper actions and controls that are required to prevent network and system penetration. Working in conjunction with authentication policy, security mechanisms create a shield against unauthorized access at multiple levels in accordance with policy guidelines.

♦ The **Data** component represents the data management layer of the conceptual architecture. This is where criminal justice information will be centrally administered. This component will address many of the goals expressed by the NNIJISP IT teams as the function of the "Repository".

♦ The **Transport** component primarily addresses the standards to be adopted in an SOA web services environment. Standards in this realm should include application exchange standards (e.g. SMTP, ISS, FTP, SSH, HTTP), Transport/Internet protocols (TCP/IP), and standards for linking disparate networks should that need arise.

6. Actions and Initiatives

This section includes a summary of actions and initiatives based upon primarily upon the recommendations set forth in Section 5 (a set of twenty-one specific recommendations). These are encompassed in the actions and initiatives that cross an expanse of issue areas, from policy and governance, to systems and technology, to IT management. The "actions" represent definitive objectives to be achieved; "initiatives" represent longer-term operational objective to be implemented. These actions and initiatives are presented in four distinct tiers, indicating the recommended priority and sequencing of execution.

Note: The entries herein parallel those presented in the Executive Summary above but elaborate upon the respective meaning of each action or initiative. Also provided are references to more detailed information and recommendations as appropriate.

Delineated below are key points that when combined constitute a high level implementation plan or project plan for the NNIJISP initiative. In the terms of discussions had during the onsite TA engagement, this section effectively defines the "roadmap" or "next steps" that are most significant to the acquisition and implementation path that is ahead. A more comprehensive or formal implementation plan (project plan) can be developed easily with more granularity by introducing subordinate subtasks to those outlined herein.

6.1. Tier 1A - Project Task Definitions – Initial CMS Implementation

Actions and initiatives in this tier give particular consideration to the expenditure commitment deadlines that the project is faced with, as well as immediate underlying technology issues that must been resolved before progress at the enterprise level can be achieved. It is important to note that the actions and initiatives in this tier are recommended to be executed in parallel with Tier 1B. While they are of a different nature, parallel action is recommended to ensure that key program components are shored up to guide CMS project activities. The key component included in this tier is the initial phase of the CMS implementation - Phase 1. Phase 1 is to be considered a "proof of concept" or "pilot" system that will serve as an operational and developmental site in which the product must prove the applicability of the software to the Navajo Nation's working environment. References to Phase 2 (and beyond) are addressed in Tier 2 for the replicated deployment of the Phase 1 system into each of the remaining districts at a pace defined by NNIJISP. The pace of these downstream implementations will be based upon the available resources and funding to support those deployments.

6.1.1 Develop and Issue a Court Case Management System Request for Proposal (RFP)

It has been recommended that NNIJISP staff develop and issue a request for proposal for a Case Management System for the judicial branch that can be used by different courts, agencies and departments in the integrated justice environment. It is also important that the case system that is purchased is able to integrate with the case management system used by prosecutors, public defender, peacemakers and public safety RMS and JMS systems. These systems will also help automate the manual processes currently used for data entry and data management. This

action is supported by the basic intent of this TA engagement and the specific recommendation in Section 5.3.1.

6.1.2 Identify the District for the "Initial" CMS Implementation – Phase 1

A single district should be identified as the organization and site for the initial CMS installation, testing and implementation operationally. This action is supported by recommendations as found in Sections 5.2.3 and 5.3.1.

6.1.3 Select the Best CMS Software Product

The selection of the best CMS software product is critical to the success of the implementation and operational use by the respective user staff. It is imperative that the RFP for acquisition of the CMS be clearly expressive of the Navajo Nation requirements to ensure the most responsive solutions. Likewise, it is equally imperative that the new CMS be selected based upon the RFP requirements to ensure the best solution is acquired. Refer to recommendation in Section 5.3.1 for more details.

6.1.4 Acquire the CMS Software Product

This task involves all of the activities that surround the procurement and contract process. After the proposal submission date, the NNIJISP staff must accurately and meticulously evaluate the offerings. Ideally these should be reduced to no more than three viable candidate systems. Each should then be advised that they are in the final running for selection. Each should also be requested to demonstrate any questionable system functions and to submit their "Best and Final Offer" (BAFO) for further consideration. Refer to recommendation in Section 5.3.1 for more details.

6.1.5 Upgrade Supporting Infrastructures for the Initial District

Before any CMS can be installed in any district, it will be necessary to ensure that there exist the proper infrastructure to support such installation and implementation. Foremost will be infrastructure and communications. This applies to connectivity within the local level and from a remote perspective. It is important that the required infrastructure is in place, including sufficient capacity (network bandwidth) to support responsiveness of online interactive transactions at all times, especially at peak workloads. Some lesser items include sufficient PCs and printers for the staff, proper AC power facilities, software and database backup capabilities, maintenance contracts and provisions for training in the use of the new system. Refer to recommendation in Section 5.3.1 for more details.

6.1.6 Configure and Implement Phase 1 CMS in the Selected District as a Parallel Operation

Complete the acquisition, configuration, installation and implementation of all components of the required hardware, networks and software services to establish the initial district as a pilot site. Convert available data into the database, develop and document operating procedure notes and train staff in preparation for participation in a parallel operation of the new CMS. Operate the site for a fixed period of time before executing acceptance testing. Acceptance testing should be a formal process with documentation of the tests that will be performed as well as the

results. The acceptance criteria should be taken directly from the requirements as stated in the RFP.

6.1.7 Conduct Phase 1 Post Implementation Review and Evaluation

The primary purpose of this activity is to do an assessment of the pilot process in anticipation of the Phase 2 (next site) implementation based upon the views and findings of the staff who were involved in the Phase 1 (initial site pilot). A key objective should be to identify and record lessons learned and to collect ideas and changes that might make the next deployment cycle better than the first.

6.1.8 Develop a Phase 2 Deployment Plan (based on Phase 1 Experience)

Incorporate the findings of the post implementation review and evaluation into a plan for the Phase 2 plan.

6.2. Tier 1B - Project Task Definitions – Enterprise Integration

The actions and initiatives included in this tier are required to provide the overarching policies and direction for the NNIJISP initiative. This first set of actions involves the establishment of a formal leadership and directional structure for the NNIJISP initiative. It is recommended that the following actions and initiatives be taken by the current NNIJISP leadership, including the Technical Oversight Committee and the Project Management Subcommittee. These are required to initiate and achieve an effective and operational integration solution regardless of the structure and content of the technology solution.

6.2.1 Focus on Project Strategy - Develop IJIS/CJIS Strategic Plan

It is recommended that the TOC and the Project Management Subcommittee take the lead in an effort to determine the information sharing needs and expectations of individual stakeholder agencies to create a list of expected outcomes for integrated CJIS. These outcomes can form the basis of long term vision and mission statements for the IJIS/CJIS integration program. Once formalized, the TOC should engage in a process that will result in the creation of a long-term (three to five years) IJIS/CJIS Strategic Plan for the NNIJISP Criminal Justice Information System. It is intended that a major portion of this TA report can be incorporated into the strategic plan. Refer to Section 5.1.4 for more details.

6.2.2 Improve and Formalize an Enduring NNIJISP Governance

This initiative is recommended for the purpose of more formally empowering the roles of the Technical Oversight Committee and the Project Management Subcommittee in a more formalized structure for the governance of the Criminal Justice Information System environment. See Section 5.1.2 for more details

6.2.3 Improve IJIS/CJIS Information Sharing Business Environment

Changing the information sharing environment may be the most difficult part of the integrated justice equation, but it can yield major dividends to integration efforts. Key areas of focus for this initiative include commitment, direct problem solving, training, and feedback. More specific details on this subject may be found in Sections 5.1.1 and 5.2.1.

6.2.4 Implement IJIS/CJIS Enterprise Integration Policy

The TOC, as the appropriate executive level decision making body should develop and promulgate a formal set of policies covering the following subjects in the information sharing environment:

♦ Security

♦ Privacy

♦ Data ownership

♦ Data access

♦ Data administration and stewardship

Following formalization of the governance structure, an MOU can provide the more specific policy agreements between agencies required to establish information sharing partnerships. The MOU documents can be used to provide important and detailed understandings, provisions, and terms between two or more cooperating agencies to support the multi-agency information sharing goals of the NNIJISP CJIS integration program. Reference is made in Sections 5.3.2 and 5.3.3.

6.2.5 Develop IT Operations Sustainability Requirements

It is recommended that the NNIJISP CJIS leadership work in concert with the IT management teams from the justice agencies to develop a technical and human resource requirements statement for integrated CJIS. This requirements statement should focus upon the sustainability of short term operations from both technology and human resource views. The statement should include the timely acquisition of new system technology components and ensuring their continued operation. A statement addressing the acquisition of human resource skills, as well as the long term retention of skills and expertise to support operations management and growth of the technology environment is necessary. Reference is made to this issue in Sections 5.4.3, 5.4.4 and 5.5.1 for more details.

6.2.6 Increase Project Outreach

The NNIJISP should increase its communications with all stakeholders in order to make its vision a reality. This initiative is supported by the recommendation found in Section 5.1.3.

6.3. Tier 2 – Project Task Definitions – Future Improvement

The actions and initiatives included in this tier will be executed based upon the satisfactory implementation of the Phase 1 CMS effort - Tier 1A. This tier addresses the full deployment of

the CMS in all remaining districts. The actions and initiatives listed below are targeted at further developing the essential underpinnings of a shared IJIS/CJIS integration environment as well as expanding the functional business capabilities and features.

6.3.1 Ensure Funding Availability for CMS Phase 2 Implementation and Beyond Based Upon Tier 1A. Factors

This action is of key importance in the process of implementation and deployment of the CMS hardware and software services. Given that the acquisition of the CMS product and Phase 1 infrastructure upgrade will likely consume all or most of the original appropriated project funding, and given that Phase 2 will require newly acquired funding, this action will require advanced planning and diligent project management.

6.3.2 Upgrade District Infrastructures

These actions are prerequisite to deployment into each of the districts, pursuant to the discussion in Section 6.1.5 above.

6.3.3 Conduct Phase 2 Post Implementation Review and Evaluation

This action is for the purpose of better understanding any issues that surfaced during the Phase 2 implementation, testing and training.

6.3.4 Develop Phase 3 Deployment Plan (based upon Phase 2 experience)

By developing a Phase 3 deployment plan, and leveraging the "lessons learned" in the Phase 2 deployment, the subsequent district implementations should progress with the benefits of lessons learned from earlier implementations.

6.3.5 Implement NNIJISP System Administration Function

It is essential to address the need of a central organization and technical management. There needs to be a structure for administering decisions and policies throughout the entire IJIS/CJIS environment. This structure is important not only in the administration of the initial policy decisions that are made for the system, but also is needed to make changes as issues arise during the actual operation of the system. Further details can be found in the recommendation in Section 5.2.4.

6.3.6 Design and Implement High Priority IJIS/CJIS Exchanges in the Phase 1 CMS Environment

Once the overall architecture is designed, a series of information exchanges can be defined and prioritized in terms of the business value and implementation viability. This action provides for the implementation of the highest priority exchanges. See Sections 5.2.2 and 5.2.6 for supporting recommendations.

6.3.7 Begin Replicated Deployment of the Phase 1 CMS Implementation in the Phase 2 District and Beyond

This action is representative of the actual deployment of CMS into the remaining districts.

6.4. Tier 3 – Project Task Definitions – Long-Term Enhancements

The actions and initiatives included in this tier are primarily long-term and address needs that are not immediate. However, these recommendations should be considered and included in the long-term strategic and project planning, such that provisions are made for eventual action. Ideally, a number of these should have been elevated to Tier 1A and Tier 1B if certain local constraints were not part of the factors considered.

6.4.1 Design and Implement Lower Priority IJIS/CJIS Exchanges

The CJIS data exchanges recommended in this initiative should be consistent with the recommendations in Section 5.3.6. Any newly identified exchanges should be added to the defined list. Exchanges should still be defined and prioritized in terms of the business value and implementation viability on the same basis as described earlier. NNIJISP CJIS data exchange projects should continue to track to the full implementation of the key information groups.

6.4.2 Implement Data Quality Initiative

Agencies in an integrated criminal justice system must be able to rely upon available data for operations, decision making and planning. This can be well served by adopting enterprise standards for data quality. In order for data quality standards to be effective, the standard must raise agency confidence that the data is complete, accurate, timely, and consistent. The NNIJISP should adopt standards to ensure that criminal justice data achieves these data quality goals. Refer to Section 5.2.3 for more details.

6.4.3 Implement an Enterprise Project Management Office to Coordinate the Design, Development and Implementation of New Systems

As the NNIJISP CJIS effort progresses, the integration effort will benefit from the creation of a Program Management Office (PMO). The PMO may take a number of forms, depending upon the complexity, needs and resources of the integration effort. In the early stages of the NNIJISP CJIS integration program it can consist of a committee composed of knowledgeable managers from justice agencies to provide project oversight. As the system begins to take shape, the PMO can evolve to include a full-time project manager and staff to direct development. The recommendation in Section 5.1.2 provides more detailed information.

6.4.4 Define the Portfolio of Technology Projects

It is recommended that the NNIJISP CJIS define a set of critical information sharing projects in support of the NNIJISP CJIS strategic plan. It is further recommended that the CJIS Technical Oversight Committee mandate that the NNIJISP CJIS Program Management Office (PMO) use a structured implementation methodology to manage the implementation of future CJIS integration projects.

6.4.5 Document Network Design

The TA Team recommends that the NNIJISP IT leadership develop network design documentation using an established network design documentation standard. Network design is an iterative process aimed at ensuring the network meets the service needs of its users. This network design would include specifications for network services availability during different time periods, as well as document requirements for short-term and long-term business and operations support. See Section 5.4.2 for further details.

6.4.6 Define Long Term Enterprise Information Sharing Business Architecture

As a foundation for enhancing business operations in support of cross-agency information sharing, it will be necessary to create an Information Sharing Business Architecture that defines interagency interaction, interagency process, and data exchanges. This action should begin the definition of a set of high value exchanges providing benefit to multiple CJIS Network agencies. Refer to Sections 5.2.1 and 5.2.2 for additional information.

6.4.7 Design an Enterprise Integration Architecture

Central to achieving the goals of the IJIS/CJIS integration, the TA Team has recognized the need for an enterprise integration architecture. Therefore it has been added to the initiatives of the implementation plan. Refer to Section 5.5.2 above for more information on this subject.

6.4.8 Adopt and Use of National Information Sharing Standards

To assist the NNIJISP IT management team in the long term to development of the integration architecture, it is recommended that the national standards be used to save time and costs. Details pertaining to these standards can be found in Sections 5.3.4 and 5.3.5.

6.5. Conclusion

In conclusion, as the NNIJISP prepares to meet the challenges of multi-agency IJIS/CJIS integration, a series of well-planned actions and initiatives will need to be taken. However, it is equally important in the view of the TA Team, for the NNIJISP IJIS/CJIS leadership to recognize the value of progress to date and to build upon the related achievements as the project moves forward. Most notably, it is the value of the "consensus" decision making that has occurred among the NNIJISP IJISP/CJIS organizations that will make further achievements possible, and that must continue for success in this new IJIS/CJIS integration program.

7. Appendices

Appendices are included in a separate document.

IJIS Institute

JUDICIAL BRANCH OF THE NAVAJO NATION TECHNOLOGY ASSISTANCE ENGAGEMENT REPORT - APPENDICES

Development of an Integration Architecture Strategy and Plan for the Navajo Nation Integrated Justice Information Sharing Project (NNIJISP) - Appendices

Draft Report	July 24, 2009
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	Susan Laniewski SAL Consulting, LLC
	G. Thomas Sandbach Justice Technology Consulting
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	Greg Trump Project Manager

Appendix A: Letter of Agreement

IJIS Institute

**Integrating Justice
Information Systems**

IJIS Institute Technology Assistance Engagement Program
The Judicial Branch of the Navajo Nation
Letter of Agreement

This Agreement, made this 17th day of March 2009, between the **Integrated Justice Information Systems (IJIS) Institute, Inc.** (hereinafter referred to as "IJIS" or "the Institute"), and the **Judicial Branch of the Navajo Nation**, (hereinafter referred to as "Client").

IJIS Institute Background

IJIS is a nonprofit Institute, organized under the laws of the State of Delaware and recognized as a tax-exempt entity pursuant to 501(c)(3) of the Internal Revenue Code. The purpose of the organization is to provide technology-based assistance to states, local governments, and organizations seeking to plan, design, create, implement or enhance integrated justice information systems.

In order to enable states, local governments, and other organizations to acquire needed assistance, the IJIS Institute provides its professional services at fees and costs significantly below prices charged in the competitive market. Some technology-related activities of the IJIS Institute may qualify for subsidization by the federal government, through a grant provided by the United States Department of Justice, Office of Justice Programs.

The professional services provided by the IJIS Institute and set forth in Attachment A below will be performed on site by one or more consultants whose activities are directed and controlled by the IJIS Institute but who are regularly employed by companies offering integrated justice information services on an entrepreneurial basis.

Engagement Provisions

The provisions of this letter assume that the Client is both desirous of having certain specified integrated justice information services provided by the IJIS Institute and acknowledges and consents to the nature of the relationship between and among IJIS and its consultants.

To facilitate the execution of this work, the parties agree that:

1. The IJIS Institute will perform the professional services for Client as set forth in Attachment A hereto, which is hereby incorporated by reference and made a part hereof.

http://www.ijis.org

2. The Client will compensate IJIS for these professional services as set forth in Attachment B hereto, which is hereby incorporated by reference and made a part hereof.

3. The Client acknowledges and agrees that applicable purchasing law and policies do not prohibit, preclude, or restrict any company from bidding on any future Solicitation for Bid or Request for Proposal which may be issued by Client, solely because the subject matter of the Solicitation or Request flows from professional services performed by one of the company's regularly employed consultants acting as a consultant of IJIS under this Agreement.

4. The Client further acknowledges and agrees that applicable purchasing law and policies do not prohibit, preclude, or restrict any company from bidding on any future Solicitation for Bid or Request for Proposal which may be issued by Client, solely by reason that such company regularly offers its employees and agents as IJIS consultants.

The Client acknowledges that analysis and effort of IJIS consultants in furtherance of this Agreement may assist IJIS in its efforts on behalf of others involved in integrated justice information systems and may increase public knowledge and awareness of potential improvements or enhancements of the delivery of justice systems generally. In support of this end, Client asserts no proprietary interest in any analysis performed, recommendation prepared, or report developed as a result of IJIS professional services under this Agreement.

IJIS Institute, Inc.

Name: Paul Wormeli

Signature: _____
David Frelenburgh for Paul Wormeli
Title: Executive Director

Please **FAX** and **MAIL** this signed agreement to:

IJIS Institute
Attn: Justin Fleming
Manager of Business Operations
44983 Knoll Square
Ashburn, VA 20147
Fax: (703) 726 -3557

The IJIS Institute will mail a copy of this signed agreement to the Requesting Agency or Organization address listed on this page.

Judicial Branch of the Navajo Nation

Name: Chief Justice Herb Yazzie

Signature: _____

Title: Chief Justice, Navajo Nation Supreme Court

Accounting Contact Information:

Name: Jimmy Yellowhair

Tel: (928) 871-6900

Address: P. O. Box 520

City: Window Rock

Sate: AZ   Zip: 86515

Attachment A: Statement of Work

The professional services provided to the Client by the IJIS Institute will include the following:

Background and Overview:

The sheer size, geography and remote nature of the Navajo Nation presents unique and dramatic challenges for delivering such government services. The following statements define relevant supporting factors:

- The Navajo reservation is larger than 10 of the 50 United States. Roughly the size of West Virginia, Navajo land encompasses 16 million acres (or 27,000 square miles) in northeastern Arizona and parts of Utah and New Mexico. Its dramatic desert vistas draw thousands of tourists each year, but the reservation fails to attract the businesses and service providers needed to build its economy. And though undeniably beautiful, the remote and rugged terrain has made it difficult to develop an effective and affordable telecommunications system.
- The Navajo Nation has a population of 250,000 residents. The statistics tell a clear story: 44 percent unemployment, 56 percent living below the poverty line, per capita income of $6,217, according to the Navajo Nation Economic Development Division.
- The median age on the reservation is 22.5. Navajo is the primary language for 75 percent of all Navajos.
- Many Navajo residences still lack water and electricity. About 32 percent of the housing units on the reservation lack complete plumbing.
- According to a Census 2000 report from the Navajo Economic Development Division, 60 percent of reservation homes lack telephone service. Although the telephone penetration rate in the United States hovers at 95 percent, on the reservation it's about 37 percent, according to the 2000 Census.
- Navajo land has 9,286 miles of public roads, with 78 percent of them dirt or gravel, according to the Navajo Transportation Department.

Navajo Nation Integrated Justice Information Sharing Project (NNIJISP) Initiative

NNIJISP is an initiative of the Judicial Branch in partnership with the Division of Public Safety and the Office of the Chief Prosecutor. The goals are to expand automated case management support to the courts, probation, corrections, prosecutors and public defenders; and implement NIEM and SOA based information exchanges between criminal justice entities.

The design of NNIJISP follows a Needs Assessment Report generated by the National Center for State Courts following a site visit on March 20-23, 2007. The overall strategic plan consists of modernizing to new technologies and integrating agency systems to foster collaboration and effective communication and sharing of information within and across agency and jurisdictional boundaries. The Technology Oversight Committee (TOC) will be responsible for development of NNIJISP.

The Navajo Nation judicial and criminal justice system is a complex network of programs, departments and divisions representing sometimes competing interests. However, the establishment and implementation of an integrated data input and sharing system serves the combined interest of all. No one component acting alone can have much impact on implementation of a shareable data management system. By working together, NNIJISP has the potential to implement an integrated information sharing system once and for all and, thereby, improve the quality and timeliness of justice in the Navajo Nation.

NNIJISP includes all judicial, criminal justice, and agency components who have a stake in accessing justice data in order to perform law enforcement, judicial, and other public service functions on behalf of the Navajo Nation public. More specifically, organizational roles are outlined as follows:

- Prosecutor's office primarily handles criminal misdemeanor, delinquency, and dependency cases, initiating cases by filing complaints in the district courts, thence representing the Navajo Nation in proceedings until obtaining an order.
- Defender's office is court appointed to criminal cases and defends indigent criminal defendants.
- District Courts are trial courts in which a range of matters are brought under Navajo law, including civil, criminal, juvenile, family, domestic violence, probate, small claims, repossession, etc.
- The Peacemaking Program of the Judicial Branch coordinates peacemaking and Diné law trainings and meetings between Peacemakers, Peacemaker Liaisons, and the courts.
- Probation services are within the Judicial Branch and supervised by the courts. They monitor defendants and juveniles referred to them by the court; assess a defendant's income qualifications for pro bono counsel; refer to community service; track inmates; perform outreach to communities, agencies, non-profits, and other services in order to maximize restoration of defendants to their communities.
- Peacemaking Liaisons are employees of the Judicial Branch who interface between the court and community-based peacemakers, including assisting in the preparation of peacemaking agreements, scheduling peacemaking, and resolving court-related peacemaking issues.
- The Supreme Court is the Navajo Nation's appellate court.
- Public Safety has an operational Records Management System (RMS) that needs to be considered for informational exchanges with the CMS.

The overall strategic plan projects modernizing to new technologies and integrating agency systems to foster collaboration and effective communication and sharing of information within and across agency and jurisdictional boundaries. A successful, committed, energetic NNIJISP will provide a forum for, and be the primary force behind the exchange of data, information, expertise, and ideas on current and future problems and projects that impact justice information sharing. Specific objectives of the NNIJISP project include (but are not limited to) the following:

- Establish a unified automated web-based case management system for judicial and justice components who do not now have a supported Courts Management System (CMS)

(Prosecutors in 10 district offices; Public Defender in 4 district offices; a central Peacemaking Program office; Peacemaking Liaisons in 10 districts; Probation offices in 10 districts; and a central Supreme Court); or have an obsolete, non-web-based CMS (Trial Courts in 11 districts).

- Design and completion of an RFP with a goal toward commitment of CMS purchase funds no later than September 30, 2009.
- Put in place Project Management tracking and timelines accessible by all NNIJISP stakeholders in their respective districts.
- Establish commitment and buy-in of all NNIJISP district stakeholders and components, including a full and comprehensive understanding of the specifics of what is required of each district component in order to achieve NNIJISP goals, and what the consequences are for a failure of commitment by all stakeholders as a unified team.
- Obtain IJIS Institute advice and assistance in evaluating and sorting through responses to RFPs
- Interface and integrate information sharing in real time with existing Public Safety RMS by establishing a NIEM framework for information exchange using SOA. Public Safety presently uses CODY, while its archive databases are NCJIS and CRIS which are still relied on for criminal background checks. The division comprises criminal background checks, sex offender registry, law enforcement, corrections, etc.
- End redundant data entry
- Increase data accuracy
- Enable seamless real-time information linkage and warrant and protective order notification
- Improve identification and apprehension of wanted individuals by providing more accurate and complete information to justice users
- Decrease event to depository lag time
- Decrease operational costs
- Enable expansion of CMS as unique Navajo laws develop, including possibility of orders "published" as sound recordings in the Navajo language
- Put in place a training scheme so that operators are skilled in CMS use and internal staff have the long-term capability to train other staff
- Standardize processes and documents and establish member policies, practices and procedures
- Establish an Automated Fingerprint System (AFIS).
- Implement NIEM and SOA based information exchanges between criminal justice entities

IJIS Institute Technology Assistance (TA) Engagement Goals

The primary goal of this TA engagement is to assist the NNIJISP team in the development of an integration architecture strategy and plan. As these new systems are implemented across the primary justice and public safety organizations, it is imperative that they do not develop as silos. The desire is for an architecture that will ensure a comprehensive information management environment, enabled to effectively share information of interest to all justice and public safety organizations.

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The need for TA services is to provide the NNIJISP team with expertise and best practices from other information sharing initiatives throughout the U.S. This includes raising awareness of programs like the National Information Exchange Model (NIEM), the Justice Reference Architecture (JRA), and the Global Federated Identification and Privilege Management (GFIPM).

Additionally, a TA engagement in this situation may be able to address some of the unique challenges facing the NNIJISP in their efforts to develop an architecture and plan for integrated justice. Several high-level candidates for inclusion in this plan are enumerated below:

- A governance structure that would ameliorate issues of turf and break down barriers between justice agencies
- A NIEM framework for information exchange using SOA
- A review of Navajo Nation's technical support infrastructure and architecture (e.g. data center and network capabilities)
- A responsibility matrix illustrating the roles and responsibilities of contracted service providers and user community personnel.
- A draft implementation plan to establish a seamless, accurate real-time linkage and data exchange.
- A preliminary definition of requirements for a CMS for use across agencies who do not now have a supported CMS.

IJIS Institute TA Engagement Scope of Work

The IJIS Institute will provide a team of experts in justice and public safety system integration. These consultants will represent a consortium of IJIS Institute member companies and will possess the required experience and expertise in the justice and public safety domains; relevant technologies and product sets; and the applicable information sharing standards and capabilities.

The IJIS team will work with the designated NNIJISP representatives to develop an overall justice integration framework (conceptual architecture) and implementation strategy. This framework will address all of the major application components comprising the NNIJISP integrated justice environment. A conceptual architecture depicting the required capabilities to support a central exchange of information will be developed, including recommended utilization of relevant standards and technologies (e.g. National Information Exchange Model - NIEM), SOA and services (e.g., master name index).

Specific onsite activities that will be performed by the IJIS Institute consulting team will likely include a review and assessment of:

- Current organizational structure and approach to governance under the NNIJISP Initiative;
- Existing applications, user communities and stakeholders (summarized above) who must buy in to the integration architecture strategy and plan
- Current technology environment and any plans for future upgrades;
- Critical data exchanges and associated functional requirements, as well as approach to implementation of these capabilities;
- Security and privacy policies in place today and future requirements;
- Existing technology standards that have been or are intended to be adopted in the near future;
- Risks and benefits of various decisions surrounding different alternatives available for inclusion in the integration architecture strategy and plan, including issues of data ownership and quality;
- How standards (such as those identified above) can best be utilized to ensure maximal reuse and minimal development of customized solutions;
- Project timelines and milestones for tracking (with corresponding advisement); and
- The onsite activities will include a presentation by the IJIS Institute to help establish commitment and buy-in of NNIJISP district stakeholders and components, including a description of the specifics of what will be required of each district component according to a timeline in order to timely achieve NNIJISP goals, and what the consequences may be for a failure of a commitment by all stakeholders as a unified team.

The IJIS Institute will conduct this engagement in a 4-day on-site engagement, followed by the generation of a set of documents that will provide the NNIJISP with a technical architecture and plan for integration and information sharing.

Additional Assistance Requested

Due to a demonstrated dearth of applications from individuals with the requisite expertise willing to live and work on the rural reservation, the withdrawal or illness of 2 Project Managers within a six month period, and a non-negotiable deadline of September 30, 2009 for committing tribal NNIJISP funds, the client needs immediate technical assistance in finalizing, as soon as possible, a NNIJISP CMS RFP. The IJIS Institute agrees to review and comment on this CMS RFP.

Additionally, the IJIS Institute recognizes that the client has urgent needs for on-going advice and consultation and has requested this assistance from IJIS due to the above special circumstances that make it impractical, if not impossible, for the client to pursue said on-going advice and consultation in the competitive marketplace. The IJIS Institute will investigate and implement any and all available opportunities that will allow for the fulfillment of this request. To do so IJIS will require approval of the IJIS Institute Board of Directors and will need to insure acceptability of this request in accordance with the scope and authority of BJA's technical assistance program. If approved, a mutually agreed-to scope of work for on-going advice and consultation will be issued via a separate agreement with its own terms and conditions.

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Tentative TA Engagement Schedule:

(Note: these dates are subject to change)

- ➢ Review and comment on NNIJISP CMS RFP: **As Soon As Possible**
- ➢ Identification of onsite TA Engagement team by the IJIS Institute: April 17, 2009
- ➢ Preparatory Materials Provided by Client to the IJIS Institute: **Materials provided by client with initial request to be supplemented as requested by IJIS**
- ➢ Pre Site Visit Conference Call with Client: **on or about April 30, 2009**
- ➢ Site Visit: Week of **May 11, 2009**
- ➢ Draft TA Report Submission: **July 1, 2009**
- ➢ Final Report Submission: **TBD**

Attachment B: TA Engagement Compensation

Services provided by the IJIS Institute fall under the purview of a grant with the United States Department of Justice, Bureau of Justice Assistance (BJA). The IJIS Institute Technology Assistance Grant is BJA award number 2003-LD-BX-0007. As such, this work may be subsidized by grant funding. Travel, lodging, meals, incidental expenses, staff salaries and consulting fees associated with this Technology Assistance engagement will be compensated according to the following terms and conditions:

The Client will pay the cost of travel, lodging, meals, and other incidental expenses for the consultants working on this TA engagement for on-site visits to the Navajo Nation. **The IJIS Institute will pay** daily rates/fees for consultants as well as salaries and fees for IJIS Institute staff and the travel, lodging, meals and incidental expenses for IJIS Institute staff working on this TA engagement.

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Appendix B: Navajo Nation IJIS/CJIS Detailed Business Structure, Processes and Work Flows

This appendix contains the Navajo Nation's IJIS/CJIS detailed overview of the business structure, processes and work flow.

1. Business Assessment

1.1. Business Operations

1.1.1 Overall Courts Organizational Structure

The Navajo Nation Judicial System is composed of several units. The judicial system includes both the formal two-tiered court system based upon the United States Federal Judicial adversarial system (established in the Navajo Nation within the past 50 years), and traditional Navajo processes which existed prior to the Tribe's relocation in the 1860's. The two process flows are not integrated and the traditional values for non-adversarial restorative resolution of disputes are often in conflict with the punitive U.S. judicial structure. If they are to improve their business process and operations, the Navajo Nation needs to make revisions in operations and technology to include the integration across branches, districts, and departments of the limited amount of automation that does exist.

The Judicial Branch is composed of a multi-level court and administrative structure. As depicted below, the judicial branch reports to the Tribal Council and includes a Chief Justice, Administrative Office, single level appellate court (Supreme Court), the Peacemaking Program, and Judicial District Courts.

Figure B1: Judicial Branch Structure

The Supreme Court is the single level appellate court which includes a clerk's office, court administrator, and two Appellate Justices. At the trial level, there are 11 locations for the 10 Judicial Districts. Each District Court includes a clerk's office, probation department, court administrator, and judicial personnel to handle general civil, criminal, and family matters. As a sovereign Native American nation, the Navajo system also includes a Tribal Court component - Peacemaking Program, a traditional, non-adversarial dispute resolution process for handling complaints, family- and community-related matters, substance abuse, domestic violence, and other infractions outside of the U.S adversarial-based criminal justice infrastructure common in the U.S. states.

1.1.2 Courts Administration

The overall structure and organization of the administrative components of the judiciary is based upon the U.S. administrative structure and also incorporates the Peacemaker component as shown below. This structure currently results in some autonomy at the district level, but also may be useful in implementing standard processes across the judicial branch in later phases, as the structure is the same across all districts.

The Administrative Office of the Court (AOC) can accommodate future growth and integration, if additional staff were assigned to supplement those who currently maintain and develop enhancements to the existing case management system UserBase, and complete statistical and administrative management tasks. The AOC includes an internal compliance unit as well as fiscal and budgetary administration. Both the current director of Judicial Administration and the Automation Technology/Information Manager expressed a need for additional staff and technology to achieve the goals of integrating and exchanging justice data with the other components of the justice system in the Navajo Nation. From the diagram below, it is easy to see where additional staffing would be beneficial to support the goals of integration and improved technology and automation advancements.
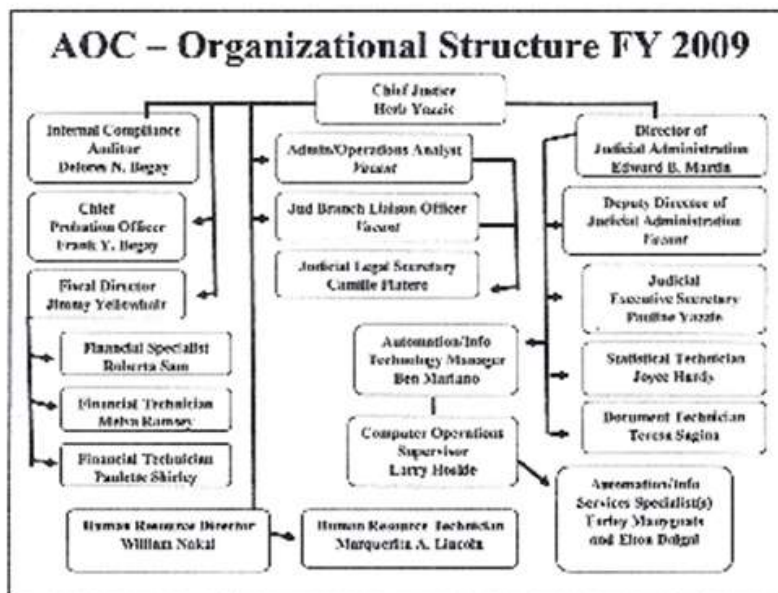
Figure B2: AOC Organizational Structure

1.1.2.1 Supreme Court

The Supreme Court is a single level appellate court that hears appeals from the District/Family Courts which are considered courts of record. All appeals are considered, as there is no writ of certiorari case type in the Navajo Nation. The Supreme Court also handles all Navajo Bar disciplinary matters, applications for membership and acceptance to practice matters. They receive requests for Rule Changes from the Bar, process Pro Bono appointments, and handle Passport applications.

The Supreme Court includes a Chief Justice and two Associate Justices, a staff attorney and administrative secretary, as well as a Court Clerk and Deputy Clerk. Within the past five years, a three Justice Panel was established to hear all cases. The overall structure is shown below.

Figure B3: Supreme Court Organizational Structure

In addition to their appellate review and bar oversight duties, the Supreme Court publishes opinions and manages the web site for publications and public notice of court decisions. The Court is looking to establish a Navajo Nation Government Digest and expand the public web site to include access to all public records.

The Supreme Court does not have a CMS, but processes cases using Microsoft Word for word processing and Microsoft Excel spreadsheets for case filing, tracking, opinion production, noticing, and reporting. The Clerk and Deputy Clerk have put together a business flow chart, and designed a manual tickler and file tracking system to handle the growing caseload. Using the desktop technology, the Clerk's Office also manages to provide public access to all public records (currently through a web site/internet) a limited-party cross reference system, and maintain the internal case and motions tracking process for all matters before the Court. The Clerk is also responsible for reporting statistics on all the opinions and court actions and maintaining the attorney status through the Navajo Bar application process.

The Supreme Court is also managing the oversight of the new civil traffic system, which will install Judicial Hearing Officers (JHO) in the Districts Courts to handle the large civil traffic caseload administratively.

While the Justices and staff have access to legal research services including Westlaw, Navajo Digest, and Versus law, there is no current Navajo Nation Government Digest (a pilot program is in place through the efforts of a private attorney), nor is there an automated reporting processes for slip opinions.

1.1.2.2 District/Family Court

The District Court handles traffic, civil, small claims, criminal and family matters for the Nation. Divided into 10 districts with 11 physical locations, each includes a court administrator component, clerk's office, probation, and judicial and staff attorney personnel. A court of general jurisdiction, the Districts currently handle:

♦ Civil Traffic Cases (the Civil Traffic Program utilizing JHOs instead of judges is being implemented)

♦ Small Claims and Repossession Matters

♦ Family Civil Cases

♦ Criminal and Criminal Traffic Cases

♦ Juvenile Matters (Children In Need of Supervision-CHINS, Dependency and Delinquency)

♦ Domestic Violence Cases

♦ Probate Matters
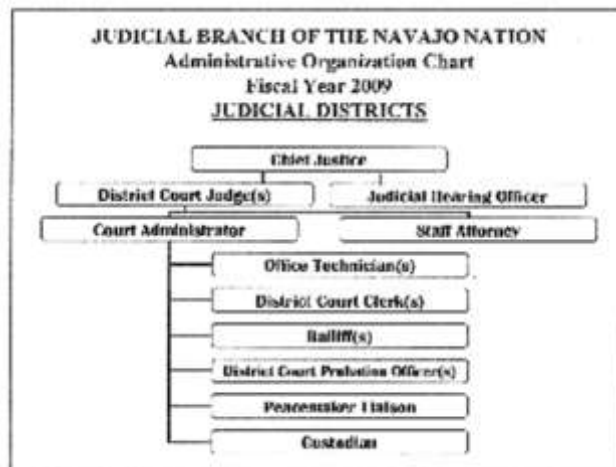
Figure B4: District Court Organizational Structure

The District court also provides juvenile and adult probation services and interfaces with the local based Peacemaking Program for referrals.

Currently, the Districts are not connected to a central system, and maintain individual stand alone instances of all manual and automated records and CMS database at each district office. While all are using the same application from the Office of Court Administration (CMS) and have email access, there are differences in how the data is captured, with much free-form data entry and use of notes and comment fields in data entry.

In the late 1980's the court's initial CMS was acquired at no cost to the Navajo Nation courts from the Pima County Justice Court. The system was a character based application using a fourth generation computer development and report language that ran on Digital VAX minicomputers. In the mid-1990s it was converted by Ben Mariano, the court's IT Director, to a new software platform named UserBase from Ross Systems (http://www.rossinc.com). The Court's IT staff has maintained the system since it was implemented.[1] The Court IT staff must constantly make improvements to assist users in searching and to speed data entry, but locally, staff has little time to train, and the system data entry tasks are constrained by the system's features which are not relational based. The current database does not include an integrated financial management, court calendar program, or word processing features, and desktop applications such as Word and MS Excel are used for these tasks. Additionally, there is no automated check printing, accounts receivables or schedule modules in the system, resulting in all of these tasks being accomplished manually or with desktop applications. Some districts use Word processing templates and manual multi part forms are in document production, noticing, orders, process and court schedules. Record and data searches for like cases, defendant background or outstanding warrants, still requires manual records searches as well as the completion of requests for record searches to other agencies.

The limited automation available for search and identification results in constant telephone calls and manual records checks which significantly slows down the processes. With no connectivity for automated data exchange, investigation, reporting,, noticing or communication to the other agencies in the justice system, the District Courts are swimming in paper and have encountered significant delays in process service, notification, tracking defendants in custody, creating and updating the individual defendant record, providing notification of decision, arrest and court events schedule notification, and case related automated data exchange with prosecution, defense and service agencies.

The Navajo Nation has a Uniform Case Management policy (dated 1999) which has been adopted by the Judicial Conference and promulgated to the District Court Administrators.[2] The policy is inclusive of all case types handled by the district court and serves as an excellent first step for improving standardization of business process flow. The Court Administrators have met and developed an intake methodology that supports the to assist in getting the data organized, improving case intake and standardizing on process and operations for the District Court actions, but individual procedures and processes abound, and there is little or no training available to help standardize business process and case management functionality.

During the assessment phase, the Team reviewed the major case processing activities of the Judicial Branch and Justice Agencies and the findings regarding the business operations are detailed below. The team was also provided with a number of Business process flows created for the District Court major case types. In these flow charts, the detailed processing steps for each case type were defined, and the system or manual process used to complete each step was described. The processes were modeled on the Shiprock District Court, but can be used in future RFPs for CMS systems as examples of case flow processes, and also can be developed

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[1] *As referenced in the 2007 NCSC Report to the Navajo Nation" Court Automation Review for the Navajo Nation Judicial Branch", James E. McMillan, Project Manager, National Center for State Courts, Court Consulting Services, Denver, Co, May 2007.*

[2] *Corrected Case management Policy, Hon. Robert Yazzie, Chief Justice of the Navajo Nation, August 18, 1999. (Model Case Management Policy).*

into training guides and user manuals for the court. The process flow diagrams define the general business processes, describe in detail which steps and processes are currently completed manually, or by using desk top publishing and which are accomplished using the current UserBase CMS. While developed around a specific district's work, the detail included is a first step that can be mapped and tailored to address specific districts' requirements and help to standardizing all business processes and implementing change management with the new CMS.

1.1.2.3 Peacemaking Program

The court's Peacemaking program represents the Navajo Nation's adaptation of traditional values and structures to a more structured dispute resolution and restorative justice model. Currently the Peacemaker program has no automation and is attempting to document their business processes in a manner that will encourage support and expansion through case status and outcome reporting and performance reporting. The Peacemaking Program is not a court of record, but of tradition. It does not employ adversarial resolution processes, but instead relies on traditional values, using volunteer Peacemakers to serve as the coordinators to handle issues in a community supported manner. The Peacemaking Program offers an alternative to the formal justice process and its workload and processes should be tracked in the CMS along with cases in the trial and appellate courts.

Figure B5: Peacemaking Program Organizational Structure

While the Peacemaking process is based on custom and traditionally, it is an informal community based resolution process that does not involve arrests and adversarial processes. The Peacemakers are beginning to develop some general business process flows and methodologies which can be replicated and used for training and expansion of the Program.

When these standards are implemented, whether it be a formal report of the Peacemaking proceeding, or a tracking of referrals from agencies and tribal members, the Peacemakers will be justifying the traditional Navajo method of dispute resolution as a successful process for restorative justice that the traditional Navajo values and is a more effective manner of resolving community issues. In automating the Peacemakers, the applications and system installed should provide the ability to access data on the individuals involved in a peacemaking process, track the source of referrals to Peacemaking (whether agency, family, or personal application),

and maintain a record of the successful completion of the peacemaker "contracts" or findings The data capture and availability to be maintained in a data base of cases, applications, finding and referrals, will provide valuable data that can be utilized to expand and promote the peacemaker program throughout the Navajo Nation.

1.1.3 General CJIS Processes and Data Flow

Figure B6, which follows, depicts the current general processes and data flow within the Navajo Nations CJIS environment.

Navajo Nation Criminal Justice System Flowchart

Entry into System
Arrest by Police

Arrest Report/ Criminal Complaint

Criminal Investigation

FBI

US Attorney

Complaint Filed by FBI

Officer in Charge Reviews Report

Prosecutor receives and reviews report

Criminal Complaint Filed by the Prosecutor

Docket #

Arraignment

Plea

Grand Jury 23 Members → Indictment → Arrest Warrant Criminal Summons → Magistrate Court Arraignment → District Judge → Trial

Dismissed Insufficient Evidence

Successful

Peacemaking

Unsuccessful

Not Guilty

Jury Trial Request

Temporary Commitment

Surety/Cash Bond

Personal Recognizance

Temporary Release

Pre-Trial Conference

Plea

Peacemaking

Bench or Jury Trial

Guilty

Judgment & Mittimus

Fine Paid

Serve Time

Suspended Sentence

Probation Community Service Work

Out of System

Guilty

Pre-Trial Diversion

Drug Court

Assessment

Family Involvement

Peacemaking

Treatment Plan

Family

Defendant

Other Diversion

Failure to Prosecute

Deminimis Infraction

Unsuccessful

Monitoring

Successful

Generic

Victim

Restitution/Nalyeeh

Yes

No

Peacemaking

Peace or Security Bond

$1000

Surety

Case Dismissed
Out of system

Case Dismissed
Out of system

Acquitted
Out of system

Out of system

Key

Federal System

Navajo Nation

Peacemaking

The Navajo Nation Criminal Justice Flowchart was created by the Navajo Nation Criminal Justice Planning Committee (NNCJPC). Copies of this chart may be reproduced. Attribution should be given to NNCJPC. For questions contact: Navajo Nation Criminal Justice Planning Committee, Office of the Chief Prosecutor, P.O. Box 3779, Window Rock, AZ 86515, 520-871-6622. Presently, the Navajo Nation and the United States Attorney's Office exercises concurrent jurisdiction over certain crimes committed on the Navajo Nation. As a result, these crimes are reported to both the Office of the Chief Prosecutor and the United States Attorney's Office for prosecutorial review. Chart printed September 2001.

1.1.4 Detailed Business Processes and Data Flows

1.1.4.1 Existing District Court Case Management Automation

Under the direction of the AOC, the district court divisions initiate and record case management actions in the Userbase CMS, a non-web-based case management system installed and functioning as a stand-alone application in each District.
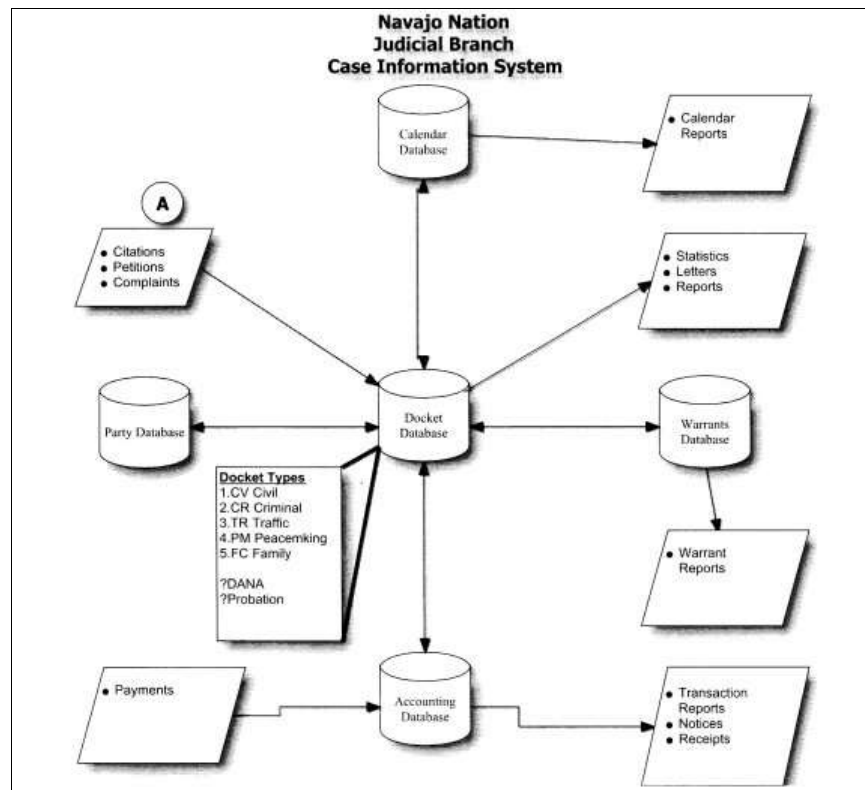
Figure B7: Current Case Management Automation

There is no computer connectivity and the application is limited to local court users and cannot be accessed outside the district court building. It is not integrated or able to send data to other justice partners, or to other court divisions, and as a result, the Supreme Court, Prosecutor, Defender, Probation Services, and Peacemaking continue to use manual spreadsheets and word processing to handle their case management activities and must provide these to the District Court in hard copy or facsimile format.

While, the Division of Public Safety purchased, through grant funding, a state-of-the-art records management system (RMS) which is operational within that Division for the Law Enforcement and Corrections/Detention components, but there is no connectivity with the Judicial branch CMS at this time. Other agencies in the justice process, including the Prosecutor and Public Defender are all performed without the benefits of a Records Management System (RMS) or Case Management System (CMS) application software using desk top publishing tools. Defined below are the major business flows by case type in the judicial system.

1.1.4.2 Judicial Processes and Data Flows

District Court Processes The current business processes of the District Court are accomplished utilizing manual record keeping, the UserBase Case Management System and MS Word and Excel. Within the CMS, searches and case records matching is difficult, as each charge is docketed as a case (one case / one charge numbering system) and the search criteria is based on a name search. Where a person has a single case with multiple charges, the name will appear once for each charge. As the data consists of free form fields, (with little or no computer editing) there are many errors in spelling and the format of the name is inconsistent (including middle initial, name or not). The representation of the name based upon the complaint versus a verified Master Name Index (MNI) and searching to perform case matching must be done by checking each instance of the name and then opening the case record and reviewing each case individually in the system.

Since there is no consolidation of data or Master Name Index across the districts, any universal search requires both manual and automated steps to try to validate the findings. There is also no access from the CMS to records maintained by other departments, such as probation, resulting in duplicate records and unverified defendant demographic and location data. To request a record search from the Department of Public Safety of a criminal record/ background check, a manual request form is completed and sent forward.

To fully understand the business needs of the Judicial branch for automation and workload processing improvements, each major process flow for the various case classifications is discussed below. While the order of the steps may vary somewhat across the Districts, the major processes are those endorsed under the Uniform Case Management Policy for tracking and monitoring matters before the court. For each major case type, a general overview of the steps in the business process is delineated with the team's observations from on site observations in the Window Rock and Shiprock Districts. The next step in this requirements analysis would involve mapping these requirements for all districts and identifying specific needs by district of case type that require more detailed analysis and definition.

Ticket (Civil non DUI) Traffic Processes One of the largest categories of cases is the Civil non DUI cases. Resulting mainly from police patrol traffic stops, these cases initiate when a ticket or citation is written by a police officer in a specific district. These cases have seven major process steps briefly discussed below:

♦ Docketing the Civil Traffic Citation;

♦ Issuing Civil Judgments for Non Payment;

♦ Recording Traffic Fine Payments;

♦ Handling Requests for Traffic Hearings;

♦ Conducting Traffic Hearings;

♦ Transferring the Case to Family Court due to a juvenile defendant; and

♦ Receiving payments from Violators where Citations cannot be located by the court.

Most of the tickets are received at the Court, either by mail, hand delivery by the police, or by the defendant appearing with the violator copy. All ticket data must be keyed into the CMS from violator's manual copy (hand written) or from the police provided handwritten or printed template as there is no automatic computer transfer of data from the police system. The citation

may be hand written by the officer on a multipart form or printed on a template from a laptop computer.).

When received, the Clerk initiates the case by entering the basic data into the CMS and assigning a consecutive docket number for each charge or violation cited which will be different from the Citation number provided by the police. The Clerk then types a physical file label and sets up hard copy file. Cases are referred to the Judicial Hearing Officer who reviews the file. At that time, the Hearing Officer may request that the case be dismissed or set for hearing and uses a "sticky" post it note© or other handwritten notation on the file to alert the clerk.

If sent for hearing, the Clerk sets for hearing based on notes from JHO, records the action in the CMS, and also creates a CMS Tickler reminder to pull the file on the hearing date. The Clerk then generates a notice using word processing, as there is not a noticing module in the current CMS.

The Court awaits a response from Officer, and also sends a notice of money owed to the violator. Payments may be received by mail or in person, and are recorded in the CMS and then sent to the financial section of the clerk's office that records the payment and deposits the money. If there is no timely payment, the file is returned to the JHO who will request issuance of a warrant. All notices and schedule data are generated by word processing and require in person service of the process, so manual copies of the documents are sent to the Police for service and recordation in the RMS. There is currently no email notice or electronic payment or alert system for agencies to track or be notified of these actions by the court.

Criminal Traffic (DUI) and Criminal Case Processes Criminal traffic Cases – Driving Under the Influence (DUI) and vehicular Homicide, and Criminal Non Traffic Matters may include up to ten process steps. These steps are listed below:

♦ Docketing Complaints

♦ Bench Warrants

♦ Daily Detention Roster Checks

♦ Preparation for Arraignment

♦ Arraignments

♦ Pre-Trial Conference

♦ Trial

♦ Payment offers, Fines, Bonds and Restitution

♦ Jury Trials

♦ Case Closures And Completion of Conditions of Sentencing

Criminal traffic cases (including DUI and Vehicular Homicide) are initiated when the police issued citation is sent by the police to the Prosecutor's office who reviews the matter, signs the citation and prepares a criminal complaint of DUI to be sent to the District Court. The individual may or may not be in Detention and there is not an automated record for the Court or Prosecutor to check. Each morning, the Court Clerks staff and Bailiff must check the complaints and citations received from the Prosecutor and cross match this with the individuals who are in Detention from arrests made while court is not in session. Often, the violator is in Detention, having been arrested and placed there by the police at the time of the incident, but

the manual copies of the citation/complaint paperwork from the Police and Prosecutor does not arrive before the scheduled arraignment in the District Court. As there is no automated process for notifying the court, all parties must double check the status of detainees and cross match with the paperwork in hand, and then manually – through telephone calls resolve any discrepancies and locate the pending complaint.

To initiate a DUI case record in the CMS, the Clerk enters data from the citation or complaint in the CMS and types a physical file label and sets up a hard copy file. If the violator is in custody and the complaint from the prosecutor is present at the court, an arraignment is held, and the Clerk prepares the disposition in hard copy and sends copies to the Prosecutor and Probation (if ordered). Bail is set and the defendant is remanded to Probation or released. Often, there is a delay in receiving the prosecutor's complaint, (i.e. defendant in custody but complaint has not yet been received by the court from the prosecutor) resulting in a high percent release at arraignment for no paperwork.

When the Criminal Complaint from Prosecutor is received by the Court <u>after</u> the individual has been released, the court will issue a summons for personal service of process. If there are multiple charges, each is listed on a separate summons (as the CMS is set up to record each charge as individual/one charge/one case).

The inability to share data electronically and a limited amount of detention space results in many paperwork errors, late receipt of paperwork and premature release of detainees on technicalities. Late receipt of paperwork also increases the personal service of process workload upon the Police. (Civil process servers and mail process service is not used due to geography and an inability to determine defined physical addresses on the reservation.)

Non-Traffic Criminal Case Processes Criminal cases can be initiated in the District Court upon the receipt of an application for arrest warrant from the Police (Bench Warrant/Emergency Order situations), but most often the application and complaints are received from the prosecutor. If it is an Emergency Order or Bench Warrant, it is brought directly to a judge for processing. In all other cases, the application is funneled through the Office of The Chief Prosecutor.

 A Warrant is required for case initiation of a criminal matter. When this occurs, similar to civil cases and traffic, the clerk's office is limited in its ability to determine the existence of other outstanding cases and warrants for a potential defendant due to the lack of integrated search capability and the non-connectivity of the CMS across districts or with other parts of the criminal justice system.

In the Navajo Nation justice system, few arrests occur before the court initiates a criminal complaint, due to traditional processing and very limited pre-trial detention facilities. Contact on criminal cases is normally made by the police who perform personal service of process.

Following confirmation of service, the case is arraigned and set for trial, the plea is taken, bail is set and a public defender is assigned by the court.

In the Navajo system, there are a high percentage of guilty pleas due to cultural and language issues. (More than 70% of the Navajo people use their native Navajo language, and for cultural reasons, if the plea hearing is conducted in Navajo the plea response is usually "guilty.")

If the plea is guilty at arraignment, the judge will often sentence directly and request a Pre Sentence Investigation (PSI) from probation or send the matter to peacemaking for alternative

resolution. While Bail is set, the poor economic state of the majority of the defendants has not proven to be an effective deterrent. There are a very limited number of beds for detention and long term consent decrees limiting detention as an enforcement option.

On a guilty plea, a Mittimus document or disposition of sentence will be created by the clerk recording the judge's order of sentence which is normally Probation, a Fine and or a Diversion program (counseling, public service, restitution, work release or rehabilitative treatment programs for alcohol or drug abuse.) There are few service providers, and probation is responsible for providing the judge with a plan for monitoring, sanctions, programs, restitution, and/or community service.

Under the rules of procedure if there is a request for trial and the defendant does not plead guilty, a public defender is assigned by the court and the period pre trial discovery begins. The defined ten-day period tolls following arraignment and is often insufficient time for completion of discovery steps (the complaint from the prosecutor is still not filed or other data relevant to identification or witnesses is unavailable or cannot be located and confirmed in the ten-day time frame following arraignment . The result is a high percentage of cases (one district estimated 60-80%) being dismissed on the technicality of no timely discovery.

There are also few formal criminal trials and less than 1% of cases involve a jury trial. In most instances, the courts seek less punitive measures and the busier Districts reported very few trials.

1.1.4.3 Probation Department Processes

Probation as the court services agency is responsible for tracking the arraignments list in the courtroom preparing the PSIs, conducting the interviews for persons who are assigned to probation, providing the file data to the Public Defender when appointed by the Court and determining if the individual is in detention.

Probation also tracks arraignment status in the courtroom taking the paperwork to their office following a judgment of sentence to initiate the probation folder and case file. With no access to an automated case management system for probation, they use an MS Excel program to create their files and track probation clients.

Individuals in detention are released from Detention to Probation following arraignment and sentencing who then refers them to service providers and sets up a probation client plan. The provider is expected to notify Probation of the client's successful or unsuccessful completion so that they may provide the updated results to the Court for the CMS Case record. Notification does not always occur and there is limited time for follow up, all of which involves manual efforts and telephone calls.

If a Probationer does not check in or appear for meetings as defined in the Probation plan, the Probation Officer will contact the individual first before requesting a revocation of Probation be filed by the Prosecutor. It is up to the Prosecutor to decide when to file for revocation with the Judge. Busy offices provide a list of cases to the prosecutor for revocation, while others contact and file individually with the Prosecutor on a case by case basis. Judges have great discretion in granting or denying the revocation request. When the order for Revocation is created by the Prosecutor, a copy is provided to Probation who update their records and provide information to the Court for entry into the CMS docket for that case.

Post Trial enforcement of criminal case judgments is difficult because a fine to members of the economically depressed population does not result in being a deterrent to recidivism. There is very limited or no jail space in most districts and detention is most often at capacity.

Concurrent jurisdiction on criminal matters between the Navajo Nation and the U.S. Federal District Courts exists and also may result in case transfers between the State and U.S. federal courts. In these cases the information sharing is most often manual.

Combine these factors with extremely limited data sharing, data validation and identification processes, little or no training and limited staff, and need for better automation, the need for integrated systems, training staffing and funding for integration of criminal justice initiatives and alternatives to punitive principles and incarceration becomes blatantly obvious.

Civil Small Claims and Repossession Actions Processes Small Claims and repossession Actions include six (6) major business process steps discussed briefly below.

♦ Docketing and Scheduling Petitions;

♦ Applying Payment of the Filing Fee;

♦ Motions;

♦ Withdrawal of Petition;

♦ Telephonic or in Personal appearances (includes Pre Trial Conference and Hearings); and

♦ Orders and Stipulations.

A petition must be filed with the filing fee ($10.00 for small claims and $35.00 for repossession) by the plaintiff at the court. The clerks checks the amount in controversy (small claims is under $2,000.00) and provides the Plaintiff with stamped copies. The clerk then creates the case in the CMS using the mandatory data fields defined for these case types, assigns a docket number and creates a physical case file and label, and sets the case for hearing on the manual calendar.

A Summons is issued for small claims, and sent by certified mail to the Defendant, and first class mail to the plaintiff. If an answer is filed, a pretrial conference is set and if no agreement is reached at pretrial, a trial date is set.

In a Repossession case, the Civil Summons is sent by mail to the Plaintiff to serve on the defendant, and when the defendant answers a pretrial Conference is set.

Where the Petition contains an order to show cause, additional data is entered into the CMS, a physical folder is created, stamped copies are provided to the Plaintiff and a hearing is set on the manual calendar with the date recorded in the CMS. The plaintiff is notified and plaintiff serves the defendant with notice.

In civil cases filing fees are paid based upon case type (these vary by case type and severity). The clerk will apply the payment in the CMS financial system and then issue a receipt to the Petitioner. The money orders or cashier checks are attached to receipt copies and deposited the following business day in the designated account. All of the receipting copies are manually tracked by the clerk. No credit cards are accepted and no electronic payment capability exists.

Parties may submit motions in these cases and the motions are attached to the hard copy case file upon receipt and the file is forwarded to the judge. The judge may choose to write notes on the file and may grant or deny a motion without a hearing. At this point the clerk will send notifications to the moving party for service. The clerks record these actions in the CMS by

adding entries to the docket and also setting ticklers for response dates and calendar events. Any events are manually recorded on a court calendar also – done outside of the case management system, with time periods manually calculated by the clerks.

If the Plaintiff files a motion to withdraw or vacate the petition, or sends a letter stating their wish to drop the case, the judge may issue the order to dismiss the petition without consulting the Defendant and order the clerk to send the order to the Plaintiff for service on the Defendant.

Telephonic appearances are permitted in Repossession cases and Counsel may send their motion for a telephonic appearance by facsimile in some districts.

For small claim matters, following the hearing, the judge will issue a judgment. In repossessions, the parties may come to a stipulated agreement or the judge will issue an Order for Repossession. Manual copies of the orders are sent to all parties.

Family Civil Cases Processes Family Civil Cases may involve up to 11 process steps. These steps are listed below and factors of each are briefly discussed below.

♦ Docketing Petitions With a Filing Fee

♦ Docketing Petitions Without a Filing Fee

♦ Applying Filing Fee and recording the receipt

♦ Docketing of proceedings and events

♦ Recordation of Affidavits of Service

♦ Default Processing

♦ Counter Petitions Processing

♦ Pre-Trial Conferences and Discovery

♦ Motions Hearings

♦ Final Hearings

♦ Specialized Proceedings (including Stipulated Divorce, (Vital Records, Termination of Parental Rights, Adoptions, Name Changes, Correction of Record, correction of Date of Birth, Guardianship Appointments for adults and minors, Probate Matters including wrongful death recording)

Initiating a family case is an intense process that may involve multiple forms and stipulations depending upon the case type – divorce, adoption, etc. In most instances, the cases involve family members as additional parties and the court may be serving in a guardian, oversight protective, or mediation role. Because family cases are civil- or probate-type matters (except for domestic violence), the filing process mirrors more of a civil motion and petition process, but still involves a third case party of the family or guardian. Many family civil petitions are filed without fees and include family consent forms. Family Court matters may initiate formal motions but the most frequently used template is a "Notes to Case file form" which allows free form entry for the judge of events and actions on the motion or petition. The form is manually generated and not maintained in the CMS. Additionally, all case-related correspondence between the clerks, judges, and staff attorneys on a family civil matter tend to be recorded through a note to the case file rather than a formal docket entry due to the nature of the counseling and family aspects of the case. The current CMS is limited in its ability to record multiple family parties, addresses, and with the one charge one case rule, it is difficult to

consolidate a series of cases related to the same family or incident. Clerks make extensive use of the notes and free form comments fields in the CMS which are not searchable.

The current CMS system is not equipped to handle all of the case specific recordings for family matters. Most of the case history, events and documentation remain in manual, hard copy form in a file which is subject to specific privacy and confidentiality restrictions. Adoption records, guardianships, and some civil probate matters remain very confidential throughout the life of the case, and matters involving vital records require orders and documentation to be sent to outside institutions including the Navajo Nation are all sent in hard copy format to agencies such as the Vital Records department for recordation. All of this is accomplished manually as there are no automated interfaces in place.

Name changes and corrections in birth records, social security numbers, IDs, and state driver license documents result in vital updates to demographic and personal data which would be useful for updating court and other justice department automated records and maintaining accurate identification files. But the manual process does not accommodate a speedy and efficient update process. Additionally, there are not enough codes in the CMS to handle all of the family case types and actions, resulting in inaccurate recording of local decisions or recordations that are not uniform across the Navajo Nation. (For example Wrongful Death actions must be filed under probate codes.) Reports to the Department of Social Services are processed manually, even if there is a temporary custody order or other action which requires a fast turnaround. In defining family business flow and case actions, it is essential that the Navajo Nation staff fully define processes and case flow needs, as there are very few case management applications in place to handle juvenile and family cases and the amount of tailoring required to meet specific client needs depends heavily upon understanding of the business flow in any particular family court.

Domestic Violence Case Processes Domestic Violence cases may involve up to ten (10) formal process steps. These steps are listed below and factors of each are briefly discussed below. Domestic Violence matters are often handled by Peacemaking and will not, in such cases have a formal recordation process in the District Court CMS. Domestic Violence Processes in the District Court include:

♦ Docketing and Recording the Domestic Violence Petition
♦ Action by the Judge on the Temporary protection Order (If filed)
♦ Withdrawal of the Petition
♦ Service of the Petition and requests for extension of service
♦ Receipt and Processing of Counter Petitions
♦ Motions on the Petition
♦ Appointment of A Commissioner to Hear the Case
♦ Domestic Violence Hearing(s)
♦ Post Judgment Motions
♦ Domestic Handing of Foreign Protection Orders

In Domestic Violence (DV) matters, there is often an immediacy to the petition which will result in the clerk assisting the petitioner in completing the form manually and then walking the petitioner through the filing of a request for a temporary protection order at the same time.

While the case is filed and recorded in the CMS, there is no filing fee attached to this type of case.

Usually, there is a request for temporary protection order (TPO) accompanying the petition. Once the petition is filed, the TPO may be granted before the hearing on the Domestic Violence petition for the person's safety, or the TPO may be denied but the hearing on the petition may still be scheduled. Recording these actions in the current CMS is difficult due to the limited capability to show multiple actions resulting from a single hearing or on a specific date. (The one to many recording capability is limited and clerks use the notes field or record items on different dates and then explain in comments fields.)

Due to the volatile nature of domestic violence matters, the processing and scheduling of the hearings, judgments on TPO, converting TPOs into permanent no contact orders, and hearings on the matter where witnesses are reluctant to attend, change their story, or involve other family cases besides the relevant DV matter, are sensitive and subject to revision and rescheduling. Petitioners moving into or out of the Navajo Nation will often request transfer of the TPO to their new residence, requiring action by a foreign court as well as the Navajo Nation.

Police officers are involved in enforcing the Temporary and Permanent Protection Orders and identification and verification of the involved parties is critical. Post judgment orders and motions to reinitiate, make permanent or to abandon an order are common. With the current CMS it is difficult to ensure that all actions and petitions related to as single domestic violence situation are accurately related as cases within or across districts or that advance notice is provided to the service providers, police and other parties in a timely manner. Manual record keeping and recordation of case notes on manual forms outside of the CMS is the normal process for these case types.

With no automated data sharing, the Judge in a Domestic Violence case may refer the matter to peacemaking or may receive the case for hearing not knowing that a Peacemaker has already attempted restorative justice processes, or has a contract with the parties for the DV matter. There are automated links to in Nation or across district records. Statistics on Domestic Violence matters are also difficult to ascertain due to the process, which may include a domestic violence incident that is related to several other family complaints, is a recurring situation, or involves parties who have filed similar actions in other districts. Coordinated record keeping and a Domestic Violence registry including a registry of TPOs and Permanent Protection Orders that is updated and can be accessed by all parties and law enforcement outside agencies is a critical need.

CHINS (Children In Need of Supervision), Dependency and Delinquency Case Processes
These case types involve juveniles and are manually filed cases involving service providers, temporary housing, shelter services, Juvenile Probation, Department of Social Services (DSS) and Child Welfare agencies.

Chins, Delinquency, and Dependency cases should not be considered as "typical civil or criminal" case matters. They are juvenile matters that often involve charges such as delinquency, truancy and runaways which are juvenile "crimes" or juvenile matters that follow different process flow steps dependent upon the involved agency, child's needs and status. The most usual steps are listed below and factors of each are briefly discussed below and generally include:

♦ Filing a Petition and Temporary Placement Orders

- ♦ Appointment of GAL (Guardian Ad Litem)
- ♦ Temporary release and Custody/Juvenile detention Hearings
- ♦ Consent Decree
- ♦ Pick Up orders (for Runaways/Truants)
- ♦ Notice of Hearings filing and determination of Legal Guardian
- ♦ Show Cause Orders
- ♦ Preliminary Hearings and Pleas
- ♦ Bench Warrants Processing
- ♦ Adjudicatory and Disposition Hearings
- ♦ Review Hearings

A sample business flow for CHINS cases is shown below:
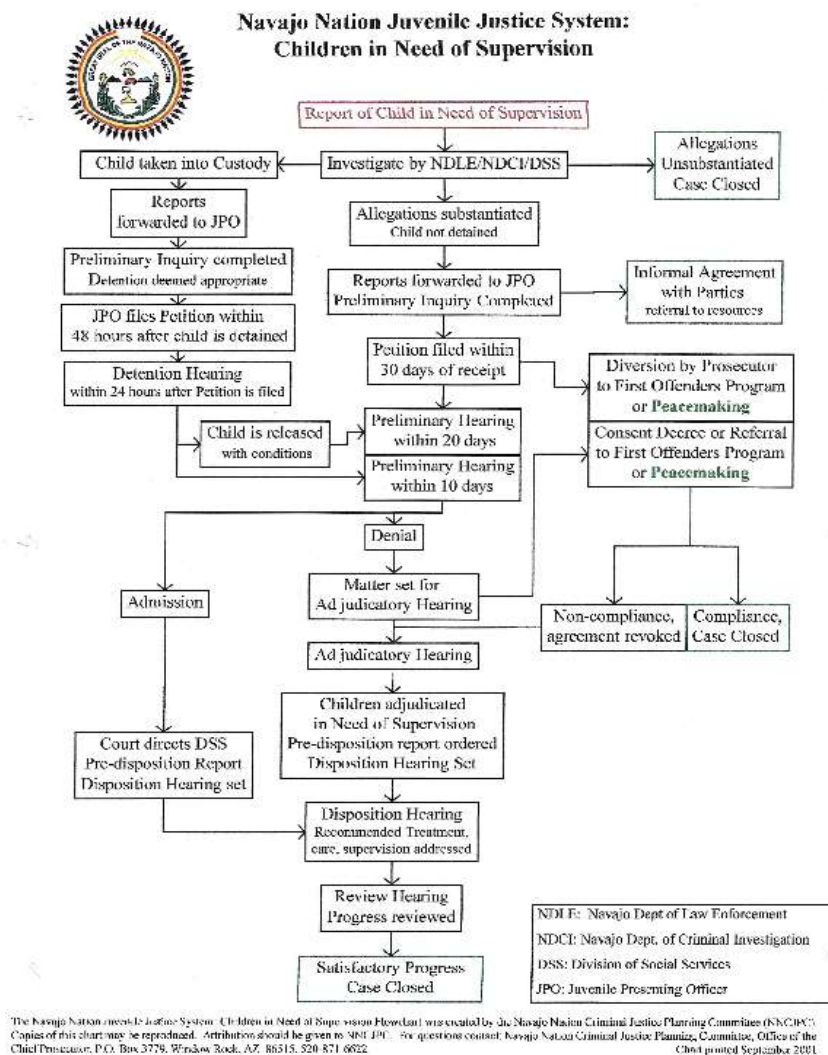
Figure B8: Child in Need of Supervision (CHINS) Case Flow

Dependent Children Dependency cases are initiated by a Juvenile Probation Officer in the family court. The Dependency cases deal with petitions for temporary placements. These cases involve hearings at the shelter (if the child is in a shelter), appointment of Guardian Ad Litems, assignment of Pro Bono Services (requires contact with the Supreme Court), and hearings. Since the child cannot act for themselves, the role of the Juvenile Probation Officer and court is different than in a civil or criminal matter. Although some data on the case is recorded in the CMS, there are a number of manual processes, and petitions, as well as exchange of documentation with social services agencies that is accomplished manually. The current business flow of these cases is presented below:
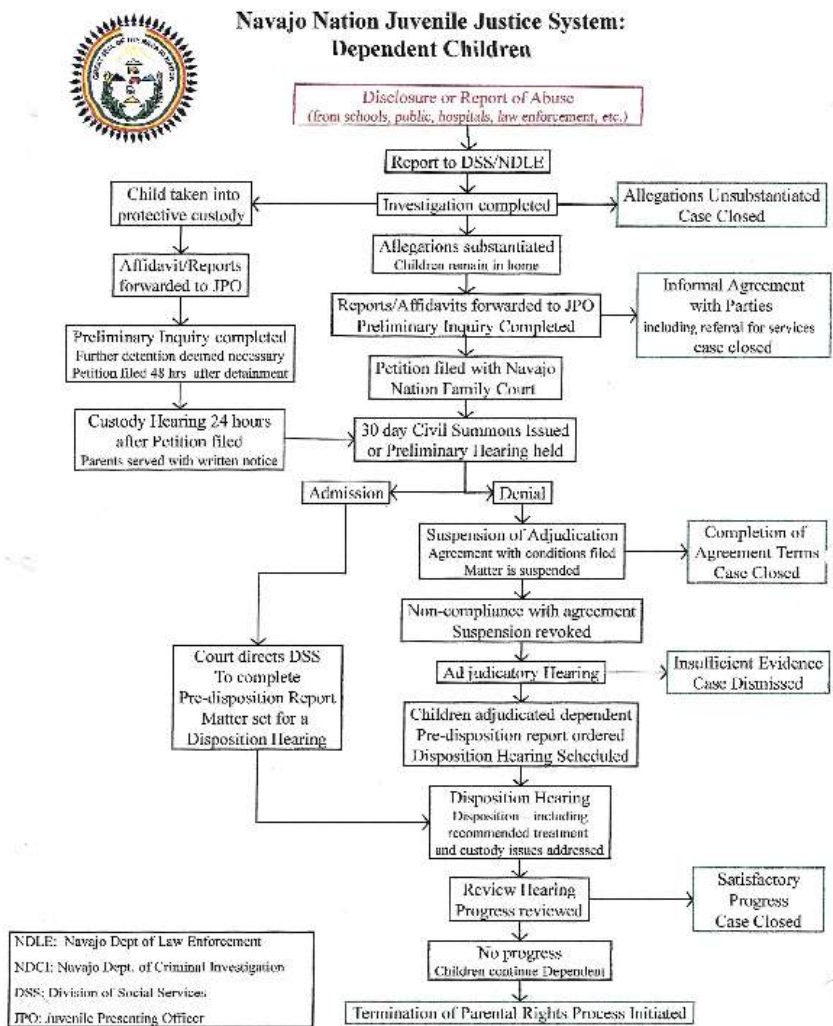
Figure B9: Dependent Children Case Flow

Delinquents Delinquency Cases may result from a runaway, truancy, or need to detain a child or family member for their welfare – what are considered "status offenses" as they are specific to minors. Detention hearings on juveniles have strict time parameters, and notices of hearings regarding Juvenile Cases are sent to parents and legal counsel, youth works, assigned social workers, appoint guardians (counsel or family member, or social worker) and Guardians Ad Litems appoint by the courts. Orders to show cause regarding the incident may be issued on the minor child and the parents. Pick up orders are often issued if the minor child is classified as a runaway. An example of the business flow of a delinquency case is shown below.
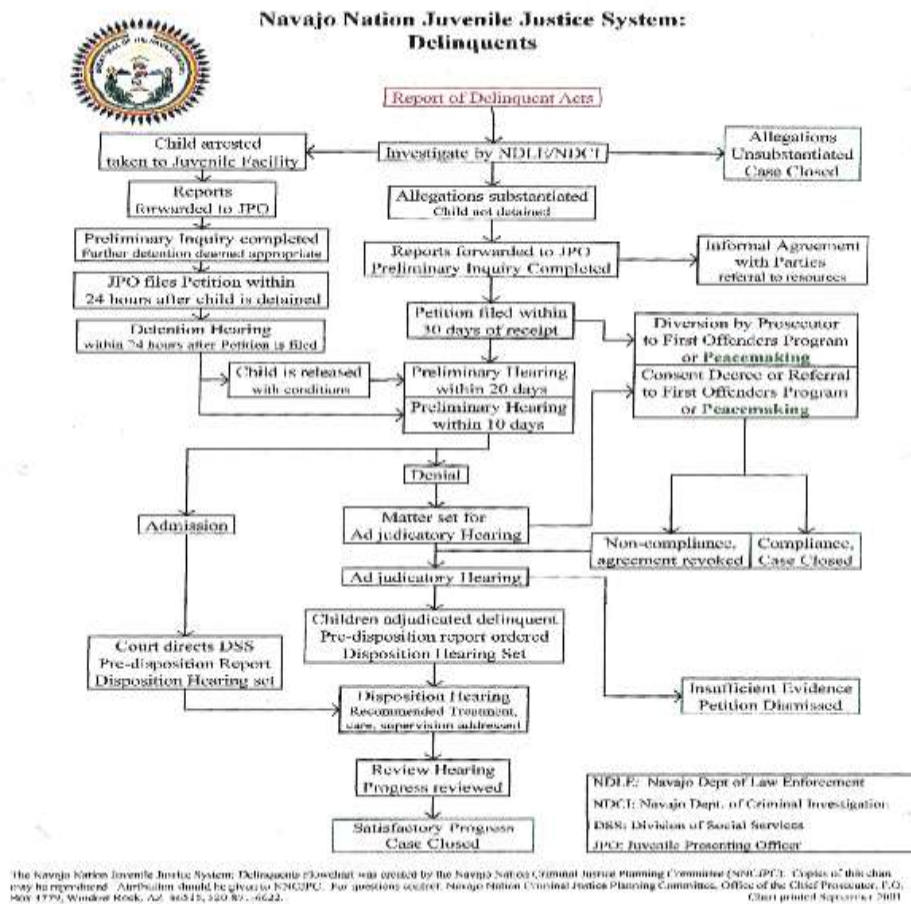
Figure B10: Delinquents Case Flow

Specific Juvenile Probation and Child welfare workers, school counselors are assigned to these cases, and police departments often have a family or juvenile officer designated for specific matters. The lack of an integrated system to share data interferes with the processing of these matters.

There are limited detention and shelter facilities for juveniles in the Navajo Nation system and caseloads for juveniles tend to involve higher numbers of high risk cases. Most processes observed included manual data sharing only. The CMS in place was not designed to handle juvenile delinquency cases, and any matters that are referred across district or department lines are very hard to track due to the case parties for the child, guardian, temporary guardian, parents, siblings, service workers, and others.

Financial and Accounting Business Flows The current CMS records some data regarding the financial and accounting functions for district court cases however the application does not print checks, produce receipts or encompass a general ledger accounting function. The Court Administrators in each district assign staff in the Clerk's office to handle the receipt and disbursement of payments. The court only accepts checks and money orders and does not have the facility to receive credit cards. All checks for disbursements are handwritten. All deposits are made daily to Navajo Nation deposit accounts and weekly and monthly accounting reports are produced. The clerk's office receives payments for:

♦ Traffic Fines

♦ Traffic Fine Overpayments

♦ Payments which cannot be matched to a specific complaint or citation number

♦ Civil filing Fees

♦ Peacemaker fees

♦ Domestic Violence Commissioner's fees

♦ Cash Bond Payments (there are no surety bonds)

♦ Restitution Payments (both full and installment payment plans)

♦ Newspaper publication fees (certain probate and vital records actions have a publication requirement)

In all accounts receivable processes, specific fines and fee charts and payment schedules are set, but most are not included in the CMS financial reconciliation program, and the clerks must manually calculate payments and enter amounts. The system is rigid in its accounting structure and the comments field is used extensively for tracking and transaction descriptions. All receivables are tracked on spreadsheets and manual registers outside of the CMS and the clerk must balance the register daily.

Disbursements handled by the Clerk's office include:

♦ Checks issued by the court after the deposit of a restitution check for victims

♦ Case bonds that must be reimbursed to the defendant after compliance with court appearances

♦ Domestic Violence Commissioner payments

♦ Peacemaker Mediation Fees

♦ Application of Security Bonds to Fines

Restitution is often paid in an installment plan and victims must present their ID and sign for in person restitution disbursements – checks are not mailed. Restitution receipts can be generated electronically by the CMS or manually.

Deposits and Financial reports are made by the accounting clerk assigned in the Clerk's office. This may be a rotating position depending on the size of the office. Most reports are generated form MS Excel and from comparative printouts of data recorded on fines, fees, miscellaneous payments, trust payments and disbursement menus in the CMS. The reports produced include:

♦ Daily Transaction report

♦ Daily Deposit report

- ♦ Weekly Report
- ♦ Monthly Summary of transactions
- ♦ Case Bond Journal
- ♦ Check register
- ♦ Monthly reconciliation

As the clerks do not accept cash or credit cards, the reconciliation for daily debit and credit transaction accounts register is based upon the account fines and fees records by account number and the trust accounts (case bond deposits made and recorded in the UserBase system). Lists of the Navajo Nation accounts numbers for Fines, Fees and the Trust Accounts by district are included in the CMS codes for recordation by case for specific payments and disbursements. Clerks are able to search only by name (and not by citation number). So when there are a number of payments that are received by mail or in person without an accompanying copy of the citation, proper identification of the applicable case/citation relationship cannot be located by the person name search. Where a payment is made for multiple charges related to a single incident, (which are each recorded as separate cases), the matching process is even more difficult. These funds have to be accounted for and may be returned if a case/citation match cannot be made. Where an individual is paying multiple fines with a single money order, the clerks must manually split and record the payments in the CMS, noting the details in the comments field and then also in the Excel or manual financial ledgers.

1.1.4.4 Probation Business Processes and Data Flows

Probation Office cases follow different process flows dependent upon the type of case and defendant status as an adult or a juvenile client. Juvenile matters are not considered criminal and are handled by different staff and the processes are specific to the juvenile or family services case type. The probation department has no automated system in place and makes use of desktop word processing and spread sheet functionality instead. Their role in the justice process varies depending upon what type of case and the district assigned. General processes include the following:

- ♦ Adult Processes
    - Pre sentence Investigation Report (PSI) production and presentation
    - Probation Case initiation and interviews
    - Pre sentence Interviews
    - Community services monitoring
    - Judge Ordered Assistance in Monitoring Defendant
    - Initial Case Interviews
    - Adult Ongoing Monitoring
    - Status Memos to Court
    - Noncompliance/Revocation reporting
    - Case closure
    - Daily Roster and Detention Checks
    - Case processing and assignments after arraignment

- – Transfer to Peacemaking
♦ Juvenile Processes
  - – Recording Juvenile Case Events
  - – Intake Interviews
  - – Shelter and Placement reports and Monitoring
  - – Case Monitoring reports and processes
  - – Pre Disposition Reports
  - – Status memos
  - – Juvenile Detention Checks
  - – Noncompliance Reporting
  - – Case closure
  - – Transfers to Peacemaking

As an arm of the judiciary, most probation activities result after arraignment for adult defendants and on assignment of a case for juvenile matters.

In adult matters, the judge may request a pre sentence report from Probation immediately after arraignment, assign a defendant to probation, order the probation officer to assist in monitoring the sentence and or require the Probation office (administrative staff and Probation officers) to begin processing the case for sentencing. When a case is assigned to community service, the probation officer is responsible for creating the case in the manual probation system and recording all actions and case data.

Probation officers are assigned in a rotation manner and the incoming cases are logged in a manual record keeping system, (using word processing or manual recording). The assigned probation officer manually receives the intake packet (file documents) from the clerk which will include the judgment, conditions of probation form and other documentation – including verification form and will then initiate a probation case. If the defendant is in custody, the probation officer will prepare the pack and then interview the client. The Probation officer must also record manually all events in the clients file and maintain an interview log, reporting log, phone contacts, record of "report ins", any status reports, orders, testing results, etc.

Folders are maintained in the local office with the active cases controlled by the assigned probation officer. Unless authorized, the probation officers do not enter or update any information in the Court CMS. This results in dual recording of events in both the manual probation files and Excel register and the court CMS and case files.

When assigned to create a Pre Sentence Report, the report is manually generated by the probation office and submitted directly to the court. Any events in producing the report, as well as any data gathered (includes interview logs, report ins, contacts, etc.) are included in the probation file, but may not be updated to the court CMS. The files remain manual in the Probation office making it difficult to accurately share data across district lines.

The Probation officers also submit status memos on the monitoring and supervision to the court, and when a client is non complaint, they may meet with the client to come up with a plan of action and or submit a non compliance notice to the court.

Other notices to the court include recommendation for case closure for successful completion, and case closure with the issuance of a bench warrant (revocation of probation) for non compliance. In most cases revocations are submitted to the Prosecutor for determination, not the court.

Case closures must include a judge signed order for closure, whether it is for successful completion or non compliance requiring probation to interface with the prosecutor and not the court directly. Adult probation officers also perform daily and random checks of detention facilities, review the pending roster sent over by probation and perform periodic monitoring.

In Juvenile Matters, the probation office also creates the Probation case manually, including all documentation received from the judge or other agencies, and maintains a case log that includes an interviews log, phone contacts, report-ins, field visits and any documentation that is produced or received on the case. Pre-Disposition reports for Juvenile matters are manually generated and then submitted to the court by the assigned Juvenile probation officer only. Similar to adult cases, status memos and noncompliance reports are produced and filed with the judge for closure or recommended future actions.

As all probation cases are manually generated and there is no CMS in place, there is no method for electronically searching, tracking, transferring, monitoring, or recording activities for clients or cross matching and checking client history, outstanding cases, etc. Additionally, the statistical and performance reporting must be manually generated by spreadsheet records, not an integrated computerized CMS.

1.1.4.5 Peacemaking Processes and Data Flow

As a traditional non adversarial proceeding that looks to restorative justice rather than punitive measures, the Peacemaking Program cases are not part of the current CMS in the district court. However there is a recognized need in the Peacemaking program to standardize some procedures for how Peacemakers are recording and reporting on the matters they handle. Not only will this provide statistical data to support the success of alternative justice processes, the successful resolutions of matters brought to peacemaking will present a strong case for more efficient and effective alternative justice and traditional dispute resolution programs. This could result in further expansion of the program, and additional funding justification for the process.

The Peacemaking program also has a need for data contained in the CMS and other agencies in the formal justice system which will help them to understand the background of the individuals they assist.

The Peacemaking liaison or office technician interviews walk in clients and provides them with the peacemaker request forms and information on the fees for services. Peacemaking cases are also received from court referrals sent to the Liaison office. The fee is $60.00 and is paid before the case is initiated. Upon receipt of the fee, the technician creates a file and assigns a case number. A case folder is created when the referral is received and the office contacts the client and reminds then to come in with the mediation (Peacemaker) fee. The cases which are walk ins tend to be more traditional matters where the party is requesting a traditional validation of a probate action or marriage, confirmation of paternity, child support, emancipation of a minor child, record changes, declaration of death, family counseling problems or adoption by Navajo tradition. Court referred cases include traditional resolution for domestic violence, criminal and criminal traffic sentencing, marital and family counseling and children in need of supervision matters. Once the fee is paid, the Peacemaker Liaison delivers the fees to the local court clerk for

processing and the payment is recorded as a bond or peacemaker fee. Disbursement is completed upon written request b the Peacemaker. Recordable events in Peacemaking include documents, letters and contacts received by the office for the session.

The office also sends out notices of the session to all involved parties. Often supporting documents for the peacemaking include marriage or death certificates, birth certificates and affidavits, family and marital profiles, original permits, judgments and contracts as well as statements from heirs, and other relevant public or private records. Additional documents are produced by the peacemaking process including the appointment of a peacemaker, requests for records from government sources (Navajo Nation and BIA), sign in sheets for the session and application of recognition of the peacemaking agreement.

Once the Session is concluded, a peacemaking agreement (or contract) is produced and where required a public notice (for probate matters) is recorded and filed. The Peacemaker produces a case report and at the original of the agreement is signed and by the participants with copies distributed and included in the file. Cases are closed once a peacemaking agreement is submitted to the court or if an agreement cannot be reached, the parties fail to show, the parties fail to file the fee, or the initiating party withdraws from Peacemaking. The reasons for closing the file are included in the file notes and the file may then be closed.

The current CMS is not set up to handle a peacemaking case reporting and tracking. The Peacemakers are considering some standard processes which they wish to initiate and then further investigate the automation that would assist the process.

1.1.4.6 Appellate Processes and Data Flow

The current business flow of appeals from the District and family Court to the Supreme Court is shown below. The current businesses process are managed without a formal case management application utilizing desk top word processing and spread sheet technology. The Clerk's office manages all motion tracking, case processing and reporting using these systems and manually created "ticklers" and template forms and notices.
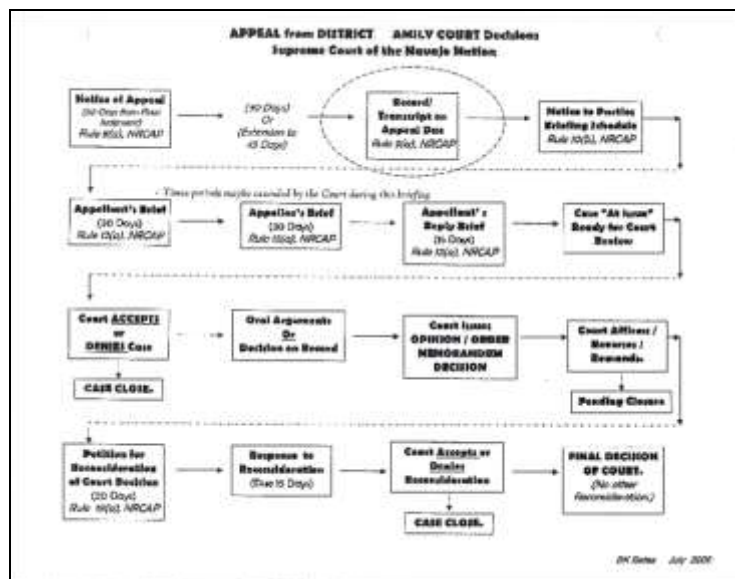
Figure B11: Appellate Process

The Appellate process begins when the clerk and law clerk receive the request for appeal in hard copy form through walk in or mail in documents.

Case types include appeals from District court cases, Emergency Petitions – Special Writs (which are processed immediately and not scheduled for a hearing), transfers of cases sent on advisement from a U.S. Federal Court Case (may be considered by tribal court when sent on Advisement by the U.S. Attorney), and cases transferred from U.S. State Courts. At least 40% of the matters are Habeas cases. Once the appeal is received, the Clerk's office records the petition, and sets up the manual file and MS Word file by year, utilizing the template forms for documents. The Clerk and law clerk receive all files (manual files – tracking everything in MS Word with case files set by year and template word forms for documents.

- They manually create file folder and collate as and set up the case Index and ticklers (The Index includes docket # sequence and there is a manual tickler system).
- They record receipt of the original case file (hard copy) from lower court
♦ The Appellant produces the transcript (whole or part depending on matter – audio transcription) and provides to the Clerk.
♦ Record any Exhibits from the record.

The Clerk maintains separate dockets for each case type and a special docket for miscellaneous matters (admin orders, etc.). These are recorded in chronological order of receipts and retain the party names and caption from lower court. Once the case file of documents is complete (the Clerk has a manual checklist of items), the case is assigned to the Justices for review and may be:

♦ Summarily Dismissed
♦ Set for hearing
♦ A Request for supplementary materials is sent from the Court

The Clerk manages the file and continued to track all briefs manually. If a hearing is set, then all matters are considered to be on Record.

Hearings are before the panel of three Justices. About 1 ½ hrs in length, 20 minutes are allowed for each side to present their argument, the Panel then proceeds to ask questions, and then recess to make a decision or decide to take the case under advisement.

At this stage, the written Opinion, Order or memorandum decision is produced and published.

Since many cases have a community and public presence, the court follows up with publication on the web site.

The chart below outlines the current Filing Timeline and rules from the Navajo Rules of Civil Appellant Procedure.

NAVAJO RULES OF CIVIL APPELLANT PROCEDURE
(NRCAP)
TIME LINES for FILING WITH COURT

RULE			DUE		
NOTICE OF APPEAL / Cross-Appeal					
8(a)	APPEAL, Filing Time	30 Days			
8(a)	CROSS-APPEAL May be filed by opposing party	20 days From date of Notice of Appeal			
RECORD / TRANSCRIPT					
9(a)(2)	RECORD, Transmission of	30 Days From Filing Notice of Appeal			
9(a)(2)	EXTENSION of Time to file Record, (File Mtn./obtain Order for additional 15 days from Dist. Ct. or Admin. Agency.)	30 Days	+ 15 Days	= 45 Days.	
9(b)	TRANSCRIPT Notice of Ordering or Partial Transcript	10 DAYS After Filing the Notice of Appeal			
BRIEFS					
12(a)	APPELLANT'S BRIEF	30 Days After Service of Rule 10(b)	+ 7 Days If Mailing, Rule 5(c)	= 37 Days.	
12(a)	APPELLEE'S BRIEF	30 Days After Service of Appellant's Brief	+ 7 Days If Mailing, Rule 5(c)	= 37 Days.	
12(a)	APPELLANT'S REPLY BRIEF (or Notice of No Reply)	15 Days After Service of Appellee's Brief	+ 7 Days If Mailing, Rule 5(c)	= 22 Days.	
RECONSIDERATION					
19(a)	Reconsideration, Petition for	20 days After notification of decision	+ 7 Days If Mailing, Rule 5(c)	= 27 Days.	
19(a)	RESPONSE, To the Reconsideration	15 Days After service of the Petition	+ 7 Days If Mailing, Rule 5(c)	= 22 Days.	

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Figure B12: Appellate Process Filing Timelines

Following the decision, if a Petition for Reconsideration and Response is received in a timely manner, the Court may accept or deny the reconsideration request and either close the case or accept the reconsideration and issue a final decision. There is no secondary follow up appeal from this reconsideration process.

1.1.5 Non-Judicial Branch Departments and Agencies

1.1.5.1 Department of Public Safety - Police Report Flow Chart

Shown below is an example of a typical flow of information when a police report is initiated and entered in to the CODY RMS system.[3]

POLICE REPORTS

Dispatcher Receives Call – incident inputted into CODY

Sergeant is notified

Call is assigned to Police Officer

Officer indicates if a report will be made
Yes or No?

YES
Crash
Arrests
Crime

NO
Assistance Rendered
No Report

Officer writes Report and enters into CODY

Sergeant reviews and approves reports

Report is sent to Office of the Prosecutor

If Prosecutor accepts case

Case is filed with District Court
Court Date is set

Case is Closed

If Prosecutor Declines Case

Reports are sent back to records for filing.

Police Reports and supporting documents are sent back to records for filing.

Criminal Complaints are sent to Tuyei, AZ for storage.

Figure B13: Police Reports Process

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[3] *Provided by the Shiprock District of the Navajo Nation Police.*

1.1.5.2 Citations Flow

The chart below is an example of how citations are handled by the Navajo Nation Police and recorded in the CODY RMS System.[4]

CITATIONS

Police Officer Notifies Dispatchers Of traffic stop

Log Number is assigned by dispatcher and information of driver is given to dispatcher.

Citation is issued to driver.

Police Officer inters citation in CODY

Citations are sent to Office of the Prosecutor depending on charge. Warnings are sent to Records for filing.

Copies of tribal citations are kept on file at Records and State Citations are sent to Farmington and Santa Fe.

Figure B14: Citation Processing

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[4] *Provided by the Shiprock District of the Navajo Nation Police.*

1.1.5.3 Accident Flow

The chart below is an example of how Accident reports are processed and recorded in the CODY RMS System.[5]
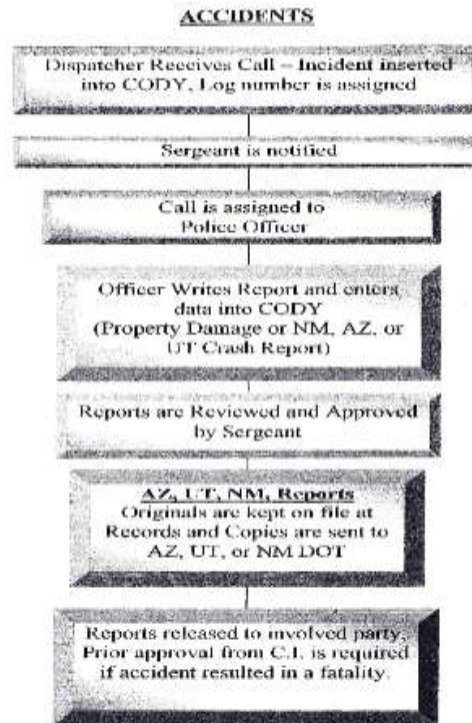
Figure B15: Traffic Accidents Processing Flow

The current business process within the Navajo Nation police department is accomplished utilizing CODY Records Management System (RMS). Once the police officer is assigned or does traffic stop the report is written and entered into the CODY system. Then Complaint is printed and awaits for sergeant's approval and the put it into the folder and given to clerk in the police department. The approval process can sometime take days before the documents are send to detention or prosecutors office. In the Windowrock district all the complaints are send to the detention center and the given to prosecutors office. In Shiprock district the file is send to prosecutor's office.

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[5] *Provided by the Shiprock District of the Navajo Nation Police.*

1.1.5.4 Criminal History Records

Navajo Police Department Criminal/Traffic History
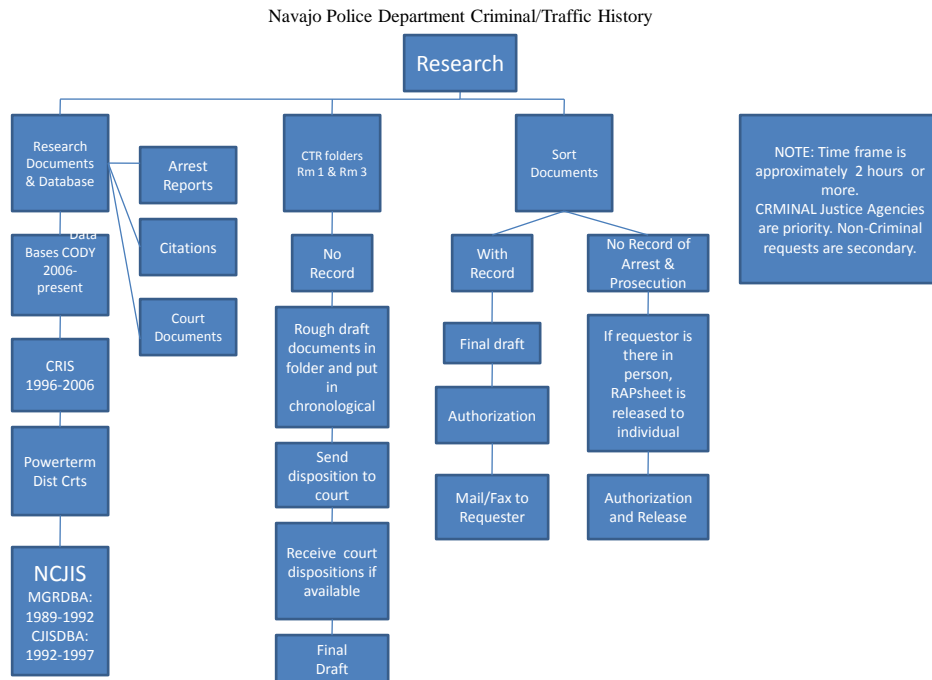
Figure B16: Criminal/Traffic History Records Process Flow

The current criminal record and traffic his flow process is manual. Even though the CODY system exist but it doesn't have all the data because before CODY the Navajo Nation public safety department had CRIS as the records system. In order to research the staff person has to go and check the CODY, CRIS and NCJIS systems. Sometime these systems don't have the complete data as the data is printed from these systems and then other data is added from other organizations and case goes from one agency to another. In this case they have to go to the documents stored in the boxes. This process is very time consuming process and can delay the response to critical requests.

1.1.5.5 Corrections

Currently the CODY systems Jail Management module support's detention (jail) operations; however, there are a limited number of terminals available—the Window Rock Detention center has only one terminal. The detention center in Windowrock district is using the system but the data from RMS is not automatically share with the JMS as a result the detention center receives the printed documents from the police department. However in Shiprock district they are not using CODY JMS system even though the system is installed. Detention staff also has access to Court CMS for viewing of online court records; a separate manual log book is also used to record receipt of new detainees and paper forms are used to record detention actions

Window Rock detention center has a Sagem Morpho LiveScan terminal; however, it is not being used at this time so all the fingerprints are taken on the cards.

1.1.5.6 Service Providers

In addition to the Child Welfare Services and Department of Social Services which handle family and child protective services, there are currently three (3) main service provider groups in the Navajo Nation.

♦ Indian Health Service (Federal): The Indian Health Service provides medical and health care related programs for Navajo Nation Members.

♦ Behavior Health (NM/AZ)

♦ Navajo Services – Social Services: Does not have a system or the ability to interface directly to the NNIJISP.

The Team was unable to spend time with these service providers, but in future stages of the NNIJISP, it is recommended that the data and program reports for these agencies can be assessed and interfaced to the justice partner agencies currently included in this report.

1.1.6 Document and Records Management

While the AOC, Department of Public Safety and IT staff in the courts are attempting to implement document management processes, with limited technology available and no ability in the current Court CMS, RMS and JMS to track documents, the only processes available are those which include document tracking that is set up in a desk top word processing or MS Excel spreadsheet.

The AOC IT staff are attempting to implement scanning and imaging technology on a pilot basis, and hope to be able to implement a new court CMS that will interface with the scanner technology. Imaging is utilized for maintaining historical records and for offsite storage and some retrieval, but the scanner technology does not interface with the existing court CMS and is limited in the ability to created imaged records of case file documents.

One of the biggest interfaces needed to improve the process flow for the courts is an automated search by the Department of Public Safety for background checks through the RMS for the criminal records. In most instances, the records management Section is involved in Background Checks requested by the Judiciary and other agencies. Further, the judicial records updates from disposition and sentencing need to be recorded on the criminal records. A sample process flow is shown below.

BACKGROUND CHECK DATABASE FLOW CHART

Figure B17: Criminal Record Background Check

1.1.6.1 Storage and Data Retrieval Processes

For data storage and retrieval, the Judicial Department backs up all documents to microfilm and are currently implementing a document scanning plan. The Department of Public Safety has local storage disk backup, a backup server, but the last 10 years of criminal records are all in hard copy format. The Office of the Chief Prosecutor is also looking at scanning methods and hopes to move to digital imaging of all paper.

1.1.6.2 Caseload Statistics and Performance Reporting

The Judicial Department and others are limited in their ability to produce statistical reports and performance reports out of the automated CMS, RMS and JMS applications because of the reporting limitations of the existing systems. The District Court does provide some numbers to the court administration from standard financial and case reports that are produced by the court CMS, but most reporting results from manual compilations and spread sheets maintained by the offices. The same is true for probation, which utilizes spreadsheets to create counts and totals for standard reporting. The Supreme Court relies upon the Clerk's Office statistical reports produced manually from collated data in Excel.

The standard reports on performance case load and workload are compiled by the AOC annually and presented with budget requests and in annual reports. A sample of the fiscal year Case Management Caseload report for the AOC appears below. These reports along with budget justification documents, grants requests and performance measures cannot be generated from the CMS for the Judicial Branch due to the limited capabilities of the CMS application.

Judicial Branch of the Navajo Nation
Average Caseload Information
OCTOBER 01, 2007 to SEPTEMBER 30, 2008

DISTRICT	B/F	Filed	Caseload	Judges		Clerks		Closed	Pending
Tuba City	2,339	5,452	7,791	2	3,896	10	779	6,484	1,507
Kayenta	829	3,703	4,532	2	2,266	7	647	3,786	746
Aneth	177	1,269	1,446	1	1,446	2	723	1,222	224
Chinle	5,611	8,464	14,075	2	7,038	12	1,173	9,097	4,978
Dilkon	1,012	5,964	6,976	1	6,976	4	1,744	5,890	1,086
Window Rock	2,508	7,596	10,104	3	3,368	11	919	7,470	2,634
Shiprock	3,203	7,053	10,256	2	5,128	10	1,026	6,556	3,700
Crownpoint	4,439	6,344	10,783	2	5,392	12	899	7,311	3,472
Ramah	482	1,461	1,943	1	1,943	2	972	1,184	759
Alamo / Tohajiilee	524	838	1,362	1	1,362	4	341	705	657
District TOTAL	21,124	48,144	69,268	17	4,075	74	936	49,705	19,563
PROBATION	B/F	Filed	Caseload	PO				Closed	Pending
Tuba City	75	496	571	3	190			485	86
Kayenta	140	305	445	4	111			341	104
Aneth	8	23	31	1	31			25	6
Chinle	290	1,812	2,102	4	526			1,973	129
Dilkon	216	288	504	2	252			456	48
Window Rock	63	580	443	5	89			329	114
Shiprock	516	1,386	1,902	4	476			1,651	251
Crownpoint	630	1,598	2,228	4	557			1,867	361
Ramah	99	311	410	1	410			213	197
Alamo	33	192	225	1	225			204	21
Tohajiilee	33	135	168	1	168			98	70
Probation TOTAL	2,103	6,926	9,029	30	301			7,642	1,387
PEACEMAKING	B/F	Filed	Caseload	PL				Closed	Pending
Tuba City	26	180	206	1	206			171	35
Kayenta	11	60	71	1	71			62	9
Aneth	3	33	36	1	36			23	13
Chinle	12	47	59	1	59			39	20
Dilkon	46	81	127	1	127			58	69
Window Rock	28	68	96	1	96			66	30
Shiprock	52	81	133	1	133			115	18
Crownpoint	17	110	127	1	127			110	17
Ramah	6	37	43	1	43			35	8
Alamo / Tohajiilee	5	44	49	1	49			47	2
Peacemaking TOTAL	206	741	947	10	95			726	221
				Justices		S C Clks			
Supreme Court	67	140	207	2	104	2	104	115	92
GRAND TOTAL	23,500	55,951	79,451	59	1,347	76	1,045	58,188	21,263

Note: PO – Probation Officers, PL – Peacemaker Liaison and S C Clks = Supreme Court Clerks.

Figure B18: Caseload Statistics

Appendix C: Supreme Court Data Elements

SUPREME COURT
Case Management Fields

Client
Number of Appellants: 1 or 2
Appellant No. 1:
 Name
 Address
 Phone Number
 Fax Number
 Legal Counsel: Y N
  If Y, then:
  Name <Attorney by Code>
  Address
  Phone Number
  Fax Number
Appellant No. 2
 Name
 Address
 Phone Number
 Fax Number
 Legal Counsel: Y N
  If Y, then:
  Name
  Address
  Phone Number
  Fax Number
Number of Appellees: 1 or 2
Appellee No. 1
 Name
 Address
 Phone Number
 Fax Number
 Legal Counsel: Y N
  If Y, then:
  Name
  Address
  Phone Number
  Fax Number
Appellee No 2
 Name
 Address
 Phone Number
 Fax Number
 Legal Counsel: Y N
  If Y, then:

                    Name
                    Address
                    Phone Number
                    Fax Number
Real Party in Interest: Y N
        If Y, then:
        Real Party in Interest No. 1
                Name
                Address
                Phone Number
                Fax Number
                Legal Counsel: Y N
                        If Y, then:
                        Name
                        Address
                        Phone Number
                        Fax Number
        Real Party in Interest No. 2
                Name
                Address
                Phone Number
                Fax Number
                Legal Counsel: Y N
                        If Y, then:
                        Name
                        Address
                        Phone Number
                        Fax Number
Case Consolidated: Y N
        If Y:
        Consolidation Order Entered:

Financial
Date Paid
Filing Fee Collected
Money Order No.
Collected by: <Clerk by Code>

Docket
Supreme Court Docket Number
Date Appeal Filed
Certified Judgment Attached: Y N
        If Y, then:
        Lower Judgment1 Docket Number
        Date Judgment1 Entered
        Lower Judgment2 Docket Number

Date Judgment2 Entered
Appeal from
     District Court
     Family Court
     Labor Commission
     Office of Hearing and Appeals
     Quasi-Judicial Body
Type of Appeal
     Civil
          Election
          FED
          Repossession
          Divorce
          Child Support/Custody
          Writ
          Employment/Labor
          Land Dispute
          Grazing Dispute
          Probate/Estate
          Children's
          Certified Question
          Traffic
     Criminal
     NNBA
     Special Proceedings
Presiding Judge/HO/Chairperson
     <Person by Code>
Justices Assigned
     <Justice by Code>
Recusal Y N
     If Y, then:
     Assigned Justice1 <Judges by Code>
     Assigned Justice2 <Judges by Code>
Oral Argument Y N
     If Y, then:
     OA Date
Type of Final Judgment
     Memorandum
     Opinion
     Order
Date Final Judgment Entered
Reconsideration Period Ends <Default 27 days from "Final Judgment Entered">
Reconsideration Filed: Y N
     If Y, then:
     Date Recon Filed
     Outcome

Granted
Denied
Term Date

Scheduling
Date Record Due <Default 30 days from "Date Appeal Filed">
Extension for Record Filed: Y N
        If Y, then:
        ExtRecord Due Date
        ExtRecord Filed
Date Record Filed
Date Transcript Due
Extension for Transcript Filed: Y N
        If Y, then:
        ExtTranscript Due Date
        ExtTranscript Filed
Date Transcript/Non-Filing Filed
10(c) Dismissal: Y N
        If N, then:
        Date 10(b) Entered
Appellant's Brief Due <Default 37 days from "Date 10(b) Entered">
Appellant's Brief Filed
Appellee's Brief Due <Default 37 days from "Appellant's Brief Filed">
Appellee's Brief Filed
Reply Brief Due <Default 22 days from "Appellee's Brief Filed">
Reply Brief Filed
At Issue Date

<need entries for several motions, documented chronologically>
Date Motion Filed
Type of Motion
        Motion to Dismiss
                Untimely Appeal
                No Certified Judgment
                No filing fee
                No Record
                No Transcript
                No Appellant's Brief
        Motion to Amend
        Motion to Strike
        Motion for Leave to File for Reconsideration
        Motion for Extension of Time
        Motion for Clarification
Order on Motion Entered

Probono & ProHac Vice Appointment

Request Date
Requesting District:
    <code by Judicial District>
Date Appointment Made
Clerk making Appointment
    <clerk by code>

<u>Passport Applications</u>
Applicant Name
Address
Phone Number
Date Application Received
Passport Fees
    Navajo Supreme Court's Fee
    US Fee
Date Sent to USGovt
Date Processed Passport Received
Date Routed to Applicant
Closed

<u>Navajo Reporter Sales</u>
Buyer Name
Address
Phone Number
Date of Purchase
Volume Sold: <code 1 – 8)
Assigned Book Number
Cost
Tax
Money Order/Check No.
Clerk <clerk by code>

<u>Revenue</u>
Fines
    Name
    Address
    Reason
    Date Paid
    Fine Amount
    Money Order/Check No.
    Clerk (clerk by code)

Photocopying
    Date
    Cost
    Clerk (clerk by code)

Certifications
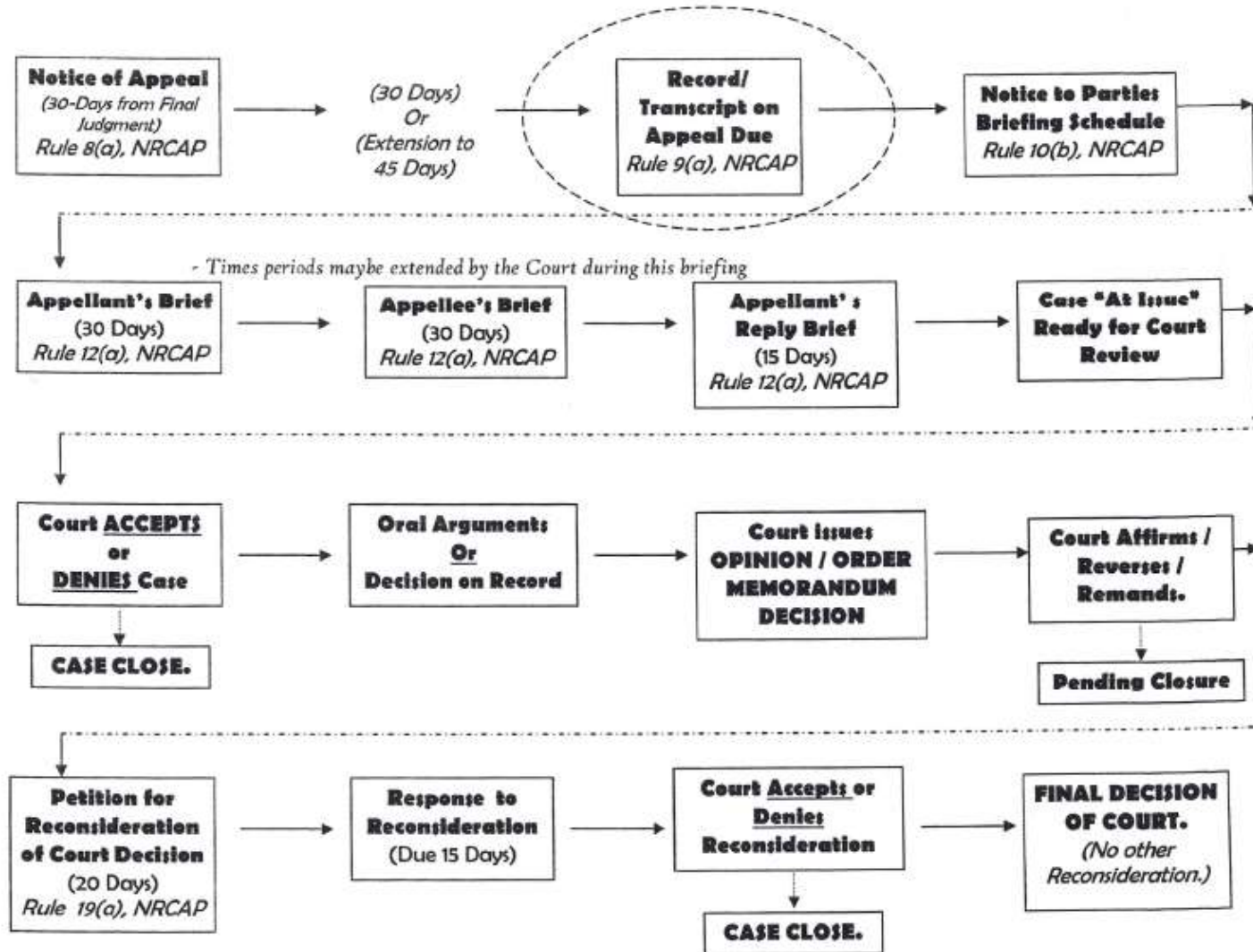   Name
    Date
    Reference Number
    Cost
    Clerk (clerk by code)

Filing Fees <total of all fees collected ; refer to Finance>

Passport Fees <total from Passport Applications>

APPEAL from DISTRICT / FAMILY COURT Decisions
Supreme Court of the Navajo Nation

Notice of Appeal
(30-Days from Final Judgment)
Rule 8(a), NRCAP

→ (30 Days) Or (Extension to 45 Days) →

Record/ Transcript on Appeal Due
Rule 9(a), NRCAP

→ **Notice to Parties Briefing Schedule**
Rule 10(b), NRCAP →

- Times periods maybe extended by the Court during this briefing

Appellant's Brief
(30 Days)
Rule 12(a), NRCAP

→ **Appellee's Brief**
(30 Days)
Rule 12(a), NRCAP

→ **Appellant's Reply Brief**
(15 Days)
Rule 12(a), NRCAP

→ **Case "At Issue" Ready for Court Review**

Court ACCEPTS or DENIES Case

↓ **CASE CLOSE.**

→ **Oral Arguments Or Decision on Record**

→ **Court issues OPINION / ORDER MEMORANDUM DECISION**

→ **Court Affirms / Reverses / Remands.**

↓ **Pending Closure**

Petition for Reconsideration of Court Decision
(20 Days)
Rule 19(a), NRCAP

→ **Response to Reconsideration**
(Due 15 Days)

→ **Court Accepts or Denies Reconsideration**

↓ **CASE CLOSE.**

→ **FINAL DECISION OF COURT.**
(No other Reconsideration.)

BK Bates   July 2006

NAVAJO RULES OF CIVIL APPELLANT PROCEDURE
(NRCAP)

TIME LINES for FILING WITH COURT

RULE		DUE		
NOTICE OF APPEAL / Cross-Appeal				
8(a)	APPEAL, Filing Time	**30 Days**		
8(a)	CROSS-APPEAL May be filed by opposing party	**20 days** From date of Notice of Appeal		
RECORD / TRANSCRIPT				
9(a)(2)	RECORD, Transmission of	**30 Days** From Filing Notice of Appeal		
9(a)(2)	EXTENSION of Time to file Record, (File Mtn./obtain Order for additional 15 days from Dist. Ct. or Admin. Agency.)	**30 Days**	+ 15 Days	= 45 Days.
9(b)	TRANSCRIPT Notice of Ordering or Partial Transcript	**10 DAYS** After Filing the Notice of Appeal		
BRIEFS				
12(a)	APPELLANT'S BRIEF	**30 Days** After Service of Rule 10(b)	+ 7 Days If Mailing, Rule 5(c)	= 37 Days.
12(a)	APPELLEE'S BRIEF	**30 Days** After Service of Appellant's Brief	+ 7 Days If Mailing, Rule 5(c)	= 37 Days.
12(a)	APPELLANT'S REPLY BRIEF (or Notice of No Reply)	**15 Days** After Service of Appellee's Brief	+ 7 Days If Mailing, Rule 5(c)	= 22 Days.
RECONSIDERATION				
19(a)	Reconsideration, Petition for	**20 days** After notification of decision	+ 7 Days If Mailing, Rule 5(c)	= 27 Days.
19(a)	RESPONSE, To the Reconsideration	**15 Days** After service of the Petition	+ 7 Days If Mailing, Rule 5(c)	= 22 Days.

Rev. Jan 2009.

Appendix D: Change Management Procedure

Following is an abbreviated description of a formal procedure that should be implemented in for the short term projects.

Change Request Initiation

The key element in the change process is the creation of a Change Request. Upon the identification of the need for a change, a Change Request is initiated by completing a Change Request Form, which is signed by NN IJIS Project Manager who will assign a Change Request Tracking Number, log the request, and track and maintain a status of the Changing Request throughout its life cycle.

A typical change form request will be created and discussed with all parties. [6]

Each Project Manager (the NN PMO Project Manager and the Vendor Project Manager) should review the Change Request upon receipt and be prepared to discuss the Change Request at the next Project Status Meeting. The Change Request will be formally added to the agenda of the next Project Status Meetings and will be presented for discussion at that meeting.

Change Request Impact Review

As soon as is reasonably possible, Vendors should submit to the NN IJIS Project Manager a Change Implementation Proposal that documents how the Vendor proposes to implement the changes requested in the Change Request. The Change Implementation Proposal shall describe any changes in products or services (i.e., timing of delivery, amount of work efforts, timing of deliverables), and pricing.

If a Price Adjustment or Contract Amendment is Required

If the Change Implementation Proposal identifies the need for a price adjustment or other Contract Amendment, the NN IJIS Project Manager will notify their respective management of the need for a Contract Amendment and shall establish a process for negotiating any required Contract Amendments and Purchase Orders.

The NN PMO Accepts Change Implementation Proposal

Upon receipt of such authorization, the Vendor will log the proposal as approved and will begin implementing the changes as defined in the Change Implementation Proposal.

The NN PMO Does Not Accept Change Implementation Proposal

If the NN IJIS Project Manager does not accept the Vendor's Change Implementation Proposal, the NN IJIS Project Manager may (a) withdraw its Change Request, (b) modify its Change Request, or (c) call a meeting of the Technical Oversight Committee to negotiate a mutually acceptable agreement.

During the regular status meetings, all problems and resolution plans will be discussed. The discussion will also include the planned achievements for the planning horizon, providing risk assessments and actionable recommendations.

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[e]*Examples of change management tracking forms are available from the IJIS Institute.*

In all cases, the PMO should consider the following criteria for determining project risk and initiating change management:

♦ Can the project meet its business and operational requirements and make use of existing systems, with little or no changes? Then for example, the risk is low.

♦ What is the gap between current system functionality and the new business requirements? The larger the gap, the larger the project and with larger projects comes potentially higher risk.

♦ Is the project highly complex, either from a business or technical point of view?

♦ Is the cost high, or are funding sources difficult?

♦ Are the performance requirements difficult to achieve (i.e., fast response time, high transaction throughput, large data volumes, etc.)?

♦ Will the project conform to standards, either general industry direction or federal or agency standards?

♦ Are personnel with necessary skills readily available for this project?

Employing a continual risk assessment and mitigation plan that measures the probability of occurrence and the impact of the risk to project scope, budget, schedule or objectives ensures that the change control process can manage the risks. The process must include:

♦ Formal Change control policy

♦ Checkpoints and go/no-go milestones on an agreed to schedule and roadmap

♦ Vendor and contract management involvement in status and risk mitigation planning and resolution

♦ Issue management

Appendix E: NIEM Adoption and Use Case Studies

NIEM Adoption and Use Case Studies can be helpful for agencies to see how NIEM is working in other organizations. The set of NIEM Adoption and Use Case Studies is located at: http://www.niem.gov/library.php#case.

Case Studies

- Alabama
    - ([PDF file](#)) ([accessible text file](#))
- California-Nevada
    - ([PDF file](#)) ([accessible text file](#))
- CONNECT Initiative
    - ([PDF file](#)) ([accessible text file](#))
- Connecticut
    - ([PDF file](#)) ([accessible text file](#))
- National Capital Region Data Exchange Hub Program
    - ([PDF file](#)) ([accessible text file](#))
- New Jersey
    - ([PDF file](#)) ([accessible text file](#))
- New York
    - ([PDF file](#)) ([accessible text file](#))
- New York City Health and Human Services (HHS)-Connect
    - ([PDF file](#)) ([accessible text file](#))
- Office Of Foreign Assets Control
    - ([PDF file](#)) ([accessible text file](#))
- Pennsylvania
    - ([PDF file](#)) ([accessible text file](#))
- Texas
    - ([PDF file](#)) ([accessible text file](#))
- U.S. Citizenship and Immigration Services E-Verify
    - ([PDF file](#)) ([accessible text file](#))
- Vermont Judiciary VCase Courts Management System
    - ([PDF file](#)) ([accessible text file](#))
- Virginia – Successful External Alarm Interface Exchange IEPD
    - ([accessible PDF file](#))
- Washington
    - ([PDF file](#)) ([accessible text file](#))