Strategic Direction for Enterprise Information Sharing
2009-2012

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Message from the Implementation Board

The growing call for improved information sharing and communication capabilities to address the operational needs of justice agencies, anticipate and deter threats, and to respond quickly when threats and incidents might materialize, has mobilized IIJIS to further enhance our governance model, strategic direction, organizational structure, and overall goals.

With the creation of the Implementation Board, IIJIS has accelerated integration by clarifying and building an effective governance model. This model includes not only the Implementation Board, but also the following committees:

- Executive Steering
- Policy and Planning
- Technology
- Outreach
- Funding

Eleven subcommittees work through these committees to address policy, issues, and guidance on integration elements ranging from privacy to grants to educational and media strategy. Thanks to the dedication of justice advocates from all sectors of the justice community; courts, attorneys general, public defenders, law enforcement, government, and public activists, these subcommittees have benefited from increased input from colleagues as well as focused efforts to further integration.

IIJIS has made significant advancements in several areas of the justice information network. The Technology Committee has adopted and endorsed a set of comprehensive technology standards to guide new development projects to compatibility and portability. The Funding Committee in cooperation with the Illinois Criminal Justice Authority (ICJIA) has obtained funding and Federal Grants for several initiatives. Finally, the Outreach Committee continues to leverage governmental as well as private partnerships to advance the IIJIS mandate.

These accomplishments would not be possible without an effective governance model and strategic direction. To that end, this iteration of the IIJIS strategic direction recognizes the foundational efforts of previous boards and hopes to continue these great strides by setting future direction to guide enterprise decision, maintain investments, promote cooperation / collaboration and leverage standards and infrastructure to reduce overall costs.

With this in mind, the Planning and Policy Committee has developed and clarified a Strategic direction that recognizes and benefits from the foundation laid by preceding plans, yet provides direction for future growth. As technology capabilities, organizational directives, economic demands, and legislative mandates compel changes, our strategic direction must lead IIJIS and Illinois to meet these challenges and succeed.

The proposed Strategic Direction captures and defines what a justice information system must embrace and take account of to address these challenges, by clearly outlining goals and defining the desired environment of the future.

The Implementation Board would like to recognize Illinois State Police Deputy Director Michael Snyders and Rafael Diaz for their leadership of the Planning and Policy Committee during the creation of the structure and completion of this document.

All publications referenced in this document are available at the IIJIS website:
http://www.icjia.state.il.us/iijis/public/index.cfm

IIJIS Enterprise Strategic Direction

History of Integrated Information Sharing in Illinois

Recognizing the need for formalized guidance for integrated information sharing, the Illinois criminal justice agencies asked the Governor to create a formal oversight body to coordinate and direct the state's integrated justice system planning efforts. As a consequence, Executive Order Number 12 was issued on December 6, 2001 creating the Illinois Integrated Justice Information System (IIJIS) Governing Board. The Governing Board is comprised of representatives of local, county, and state justice agencies and associations, and was charged with several tasks, including the development of a strategic plan for the integration of Illinois justice and court information.

In 2003, the IIJIS Governing Board published its first Strategic Plan for 2003 – 2004. This document gave IIJIS the framework to begin communicating standards and guidelines for the complex issues involved in developing integrated justice information systems.

In 2008, to address concerns of long term planning, coordinated efforts, and effective tactical planning, the newly formed Implementation Board mandated the Planning and Policy Committee to develop a five year plan titled, "Strategic Direction for Enterprise Information Sharing 2009-2012." This document establishes Enterprise level direction for the implementation of integrated justice information sharing in Illinois. In the following months the Implementation Board will ask for recommendations from the Committees for an Operational Plan as well as twelve month action plans for the committees and sub-committees.

In recent years, Illinois criminal justice agencies have conducted surveys of technology and information sharing. These documents summarize the content of those surveys and reveal that in addition to being limited in scope, they are largely silent on information management policies of justice agencies and how they share information with one another. These surveys are available on the IIJIS website:
http://www.icjia.state.il.us/iijis/public/index.cfm?metasection=tools

Additionally, the IIJIS Technical Committee has adopted a Justice Information Exchange Model (JIEM), developed by SEARCH - The National Consortium for Justice Information and Statistics. This model provides an overview of the elements of

information exchange and lays the framework for the Illinois Integrated Justice System Technical Committee's research and mapping of statewide criminal justice information exchange points. The document is also available on the IIJIS website: http://www.icjia.state.il.us/iijis/public/jiem

Finally, IIJIS has published a variety of reports, policy guidelines and presentations to ensure the effective and appropriate direction for the continued pursuit of integrated justice information systems. These are also available on the IIJIS website and include:

- Report: Privacy Policy Guidance Volume 1: Privacy policy guidance for Illinois integrated justice information systems
- Report: Comparison of Official and Unofficial Sources of Criminal History Records
- Justice Systems Integration: A Definition
- Integration Architectures: The Range of Possibilities for Justice Information Systems Integration in Illinois
- An Enterprise Approach to Justice Information Systems in Illinois
- Integration Standards
- Global Justice XML Data Model (GJXDM)
- Presentation to NGA Center for Best Practices
- Tactical Planning Process
- Illinois Justice Network Proposal to the Implementation Board

Vision, Mission, Values, Guiding Principles – Reaffirmed

The Planning and Policy Committee has spent the last year reviewing, modifying, and reaffirming the IIJIS vision, mission, values, and guiding principles. We believe the time spent – though lengthy – as perhaps the most critical to the success of IIJIS. In defining and reaffirming these criteria, IIJIS has the simplest and most effective governance tools available to guide the creation of integrated justice information systems in Illinois.

Vision

The IIJIS Governing Board envisions Illinois becoming a recognized leader in justice information sharing, benefiting all people in Illinois and across the nation by creating a statewide justice information sharing capability that provides secure and timely access to accurate and complete information throughout the justice enterprise. Through integrated justice information sharing we will enhance the safety, security, and quality of life in Illinois; improve the quality of justice, the effectiveness of programs, and the efficiency of operations; and ensure informed decision-making, while protecting privacy and confidentiality of information.

Mission

Our purpose is multi-faceted and consists of:

- Bringing stakeholder organizations together to comprehensively and effectively plan justice information systems,
- Providing leadership for IT planning and system development activities and enable electronic sharing of information,
- Building and expanding the range of effectiveness of information systems and sharing capabilities, and,
- Improving the effectiveness, efficiency, timeliness, accuracy, and completeness of justice information.

The IIJIS Governing Board represents justice agencies spanning the full spectrum of the justice enterprise, including law enforcement, prosecution, defense, the judiciary, corrections, and relevant non-justice agencies, at city, county, and state levels.

Values

The IIJIS Governing Board adopted the following values to guide the development of an integrated justice system for Illinois.

Efficiency of Operations/Effectiveness of Services

- Providing information that is accurate, complete, and timely
- Ensuring available and accessible information for time-critical decisions

Teamwork/Collaboration/Cooperation/Commitment

- Establishing and promoting information sharing partnerships among the practitioners of justice, public safety, and homeland security community (and with others who require close coordination with this community) to effectively serve the needs of the public
- Protecting the confidentiality/privacy of individuals according to public policy
- Maintaining information security and ensuring appropriate access

Innovation
- Promoting and embracing innovative solutions
- Adapting to and exploiting the rapid advances in information technology
- Anticipating and participating in change

Goal and Action Orientation
- Setting achievable goals and objectives
- Adopting a resolve for action
- Taking the leadership initiative
- Solving problems and moving forward

Accountability
- Being accountable to the people of Illinois
- Conducting our business in a fiscally responsible manner
- Employing performance measurement and soliciting feedback
- Providing services that build public trust

Guiding Principles for Integrated Justice

Integration is designed to address the operational needs of justice agencies, as well as a host of outcome-based societal objectives. In spite of these varying objectives, there are several fundamental principles that guide the development of integrated justice information systems.

1. Information is captured at the originating point, rather than reconstructing it later;
2. Information is captured once and reused, rather then re-captured when needed again;
3. Integrated systems fulfilling these functions are comprised of, or derived from, the operational systems of the participating agencies; they are not separate from the systems supporting the agencies.
4. Justice organizations will retain the right to design, operate, and maintain systems to meet their own operational requirements. However, as with any network capability, participants must meet agreed upon data, communication, and security requirements and standards in order to participate.
5. Whenever appropriate, standards will be defined, with user input, in terms of performance requirements and functional capabilities, rather than hardware and software brand names;
6. Security and privacy are priorities in the development of integrated justice capabilities, and in the determination of standards;

7. Integration builds on current infrastructure and incorporates capabilities and functionality of existing information systems, where possible; and

8. Because of the singular consequences of decision-making throughout the justice enterprise, establishing and confirming the positive identity of the record subject is crucial.

Strategic Issue 1: A Governing Body comprised of major stakeholders to oversee and guide the development, implementation, and evaluation of effective electronic justice information sharing initiatives

Introduction to the Issue: Without a well-defined governance structure, existing and future information sharing and system integration will be fragmented and preclude a unified effort. Technology by itself cannot solve all system integration problems, and even the best-equipped information sharing effort will soon become bogged down without an effective Governing Body to chart its course. A well-defined governance structure will improve the justice information sharing process by enhancing communication, establishing and promoting guidelines and policies, reducing turf battles, and fostering coordination and cooperation. The Governing Body can also play a crucial role in securing funding and other resources for integration efforts. The Governing Body must have not only the authority to make and execute key decisions affecting justice integration, but also the position and influence to ensure that those decisions produce the intended actions. It is important that the role of the Governing Body continues beyond the planning stage. Although its structure, membership, and primary focus may change over time, the Governing Body must face the challenge of "keeping the momentum" as IIJIS evolves from a project with a set lifespan to an ongoing way of doing business in the justice community.

Desired Environment – what will success look like:
- The IIJIS Governing Body is formalized, recognized, and active in defining the vision, values, and operating principles regarding the use of information technology.
- The IIJIS Governing Body enables clear communication and effective dialogue to address the competing forces across the enterprise.
- The IIJIS Governing Body establishes realistic and prioritized goals and objectives in support of enterprise business goals.
- The IIJIS Governing Body provides guidance and feedback on technology efforts to achieve criminal justice information sharing goals. This is accomplished by active collaboration, coordination, and communication.
- The IIJIS Governing Body facilitates funding and promotes active management that ensures IT resources are properly leveraged.
- The enterprise strategic planning process produces important business issues, priorities, opportunities, challenges, and corresponding mission

critical information sharing requirements.

- The IIJIS Governing Body and workgroups monitor and measure performance, and make recommendations for improvement across the enterprise.
- There is substantial Executive and Legislative commitment and support for achieving the goals of the IIJIS information sharing effort.

Strategic Issue 2: Integrated collecting and sharing of justice data

Introduction to the Issue: Illinois has a variety of disparate systems, many that cannot easily share the information needed by justice decision-makers. IIJIS must harness the resources of current and future justice systems, and develop standards/regulations allowing for strategic information to be shared efficiently, timely, accurately, and completely. Stand-alone systems must be encouraged to conform to data exchange standards/regulations to facilitate justice information sharing while maintaining accurate, reliable databases.

Information integration and accessibility are potentially the biggest issues for the IIJIS governance teams to bring to terms. From a technological standpoint, Illinois is well poised to deliver on the promise of integrated data access for collaboration and systems integration. The justice enterprise is embracing new information technology architecture to support this integration. The Service Oriented Architecture (SOA) is comprised of components and interconnections that focus on interoperability and location transparency. Through this new approach, Illinois will be able to offer network ready applications that directly support customer driven requirements. These new systems and services will be delivered on network software components that focus on interoperability, data ownership, responsibility, and access.

Desired Environment – what success will look like:
- Agencies capture and share information, seamlessly integrating information assets throughout the justice enterprise
- Development projects focus on systems integration via technologies that enhance interoperability
- IIJIS partners have standardized electronic business architectures, terminologies, infrastructure, business documents, and workflow where appropriate.
- The IIJIS community strives to identify and remove organizational, legal, and procedural barriers to information sharing and reuse.
- Integrated information sharing streamlines workflow, supports integrated business transactions, provides the desired ROI/value realization, reduces costs, and increases the reliability and effectiveness of services.
- IIJIS endorses Service Oriented Architecture (SOA) as the recommended framework [DOJ Global Infrastructure/Standards Working Group, *A Framework for Justice Information Sharing: Service-Oriented Architecture (SOA)]* for development of justice information sharing systems.

- IIJIS encourages the electronic exchange of data, images, documents, messages and files between criminal justice agencies and systems statewide.
- Authorized criminal justice officials have access to timely information about the identification, criminal history, physical location, and current and recent status of defendants and offenders involved with the criminal justice process anywhere in the state.
- Illinois has created a network of reliable, real-time information systems which facilitates the sharing of justice information, for public safety and security, and incident tracking for single or multiple defendants and discourages redundant entry.

Strategic Issue 3: Serve justice, public safety, and homeland security needs while protecting privacy, preventing unauthorized disclosures of information, and allowing appropriate public access.

Introduction to the Issue: As justice information systems are developed that can more efficiently gather, analyze, and share potentially sensitive data across agencies and jurisdictions, creating a comprehensive strategy that will fulfill the needs of government, while protecting the privacy rights of individuals, becomes critical. This is especially important given the fact that data shared through an integrated justice system is very likely to include types of information that are not considered traditional criminal justice information. To guard against unauthorized disclosure of information while allowing appropriate access, IIJIS must develop a comprehensive set of privacy policy recommendations that can guide justice practitioners and system designers in the appropriate collection, use, and dissemination of electronic information throughout the Illinois justice system. Failing to develop adequate privacy policies puts justice agencies and the public at risk that inaccurate or private information may be inappropriately released and subsequently used to one's detriment. This risk is enhanced by the fact that once personal information is publicly released, it is forever public. As a result, there is a need to develop systems and policies which preserve the integrity and effectiveness of public safety efforts. At the same time, these polices must protect individuals from inappropriate use or release of information and promote appropriate public access for oversight of the justice process.

Desired Environment – what will success look like:
- IIJIS has assembled an active privacy subcommittee represented by practitioners from criminal and juvenile justice, the press, schools of law, and victim services groups to address privacy and data quality issues.
- IIJIS has adopted and endorsed privacy protections and information quality requirements for collecting, sharing, securing and managing the personally identifiable information that justice agencies use in their information systems.
- IIJIS has assembled an established set of clear and understandable standards and guidelines for collecting, using, disseminating, and retaining the vast stores of data maintained by the multiple and varied Illinois justice systems in order to protect the privacy of the individuals whose information is stored and shared across these systems.
- The six volumes of the Privacy Policy Guidance series are complete, and approved by the IIJIS Planning & Policy Committee and the Implementation Board, and distributed to Illinois justice agency

administrators.[1]

- General principles of public access to data are developed and applied to the fullest extent possible, without undermining privacy and system security.
- IIJIS has implemented a privacy policy development, review, and adoption process.
- IIJIS has generated high-level interest and support among justice agency administrators for developing and maintaining privacy.
- IIJIS privacy policy guidance also describes how security is implemented within the integrated justice system for the purposes of protecting personally identifying information and capturing data modifications.
- IIJIS information sharing initiatives will be vetted through the Privacy Policy Subcommittee to ensure data collection, security, and dissemination designs are consistent with established privacy guidelines and standard architecture.

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[1] **Volume 1-The report focuses on the types of information traditionally collected, used, and disseminated about the actors in the Illinois justice system. It also proposes a set of principles that should be incorporated into any integrated justice system's privacy policy.**

Volume 2-The volume identifies the privacy concerns created by enhanced collection, analysis, and sharing of electronic police incident report information made possible by several initiatives under development in Illinois. The report also addresses these privacy concerns by developing clear guidance on how to properly treat the types of sensitive data that are frequently included in police incident reports.

Volume 3-This volume discusses the privacy issues surrounding several of these types of information, including, but not limited to, officer safety information; Social Security numbers; fingerprints; DNA profiles; medical information; expunged and sealed records; warrants; offender registration information; and statistical data.

Volume 4-The fourth volume of the series focuses on the accountability and oversight of integrated justice information systems. Specifically, it contains recommendations concerning privacy policy compliance audits and how to ensure the accuracy of data contained in justice information systems

Volume 5-This volume focuses on the collection, use, and dissemination of juvenile justice information in an integrated justice information system. It discusses statutory requirements to keep juvenile data separate and to provide greater levels of privacy for minors who come into contact with the justice system.

Volume 6-The sixth volume reviews the types of intelligence information gathered by the Illinois justice system and discusses the proper treatment of this information taking into account federal and state laws regulating this information.

Strategic Issue 4: Sufficient and coordinated funding and other resources for integration

Introduction to the Issue: Coordination of resources for state and local integration efforts is needed to maximize resources and minimize duplication of efforts. Resources including but not limited to funding, technical assistance, and personnel should be allocated based upon priorities established by the Governing Body for integration. It is necessary to support unified strategies that make the best use of resources. Collaborative strategies must also promote regional and national participation in integration efforts. We must recognize the differences in resource availability among and within metropolitan, urban, and rural areas of the state and develop appropriate strategies.

Illinois' investment in Information Sharing Systems is substantial. Nearly every segment of the Illinois justice enterprise is directly dependent on information sharing systems to work efficiently in an environment of continuous change. In order for Illinois to meet the needs of citizens, it is essential that both Enterprise and agency Information Sharing projects be identified and supported.

Desired Environment – what will success look like:

- As funds are made available, they will be provided to agencies for information technology / information sharing research and development initiatives.
- Justice information sharing initiatives consistently leverage the volume purchasing power of the State through use of existing master contracts.
- IIJIS partner agencies effectively budget total cost of ownership and information systems life cycle requirements including but not limited to enhancement, replacement, and maintenance.
- Information sharing budgets are directly tied to enterprise and agency strategic plans.
- The IIJIS community recognizes the contribution of information knowledge workers and invests in productivity tools and training to enhance performance and protect resources.
- The baseline set of employee information knowledge skills is identified and cultivated to meet the enterprise knowledge management requirements. This results in a positive culture of information sharing, relationship building, and trust.

Strategic Issue 5: Established standards / regulations for data sharing and infrastructure development

Introduction to the Issue: The primary obstacle to electronic information sharing between justice agencies is the lack of standards for information exchange; without standards, justice agencies cannot easily design or adapt systems to share data with dissimilar justice information systems. Illinois can adopt and build upon standards that have been developed at the national level to facilitate information sharing between disparate justice systems at national, state, and local levels. The goal of accurate and timely information requires that IIJIS partners actively manage information throughout its lifecycle. Accurate information is only of value if it has commonly understood meaning across the enterprise.

Desired Environment – what will success look like:
- Successful data exchange is greatly facilitated by the development and adoption of standards that enable transparent integration of disparate systems.
- Illinois has implemented a coordination process to identify information sharing standards within the justice community. This effort includes publishing, cataloging, and sharing these standards to promote collaborative efforts and offer blueprints to those beginning the information exchange planning process.
- IIJIS partner agencies are encouraged to maintain baseline enterprise standards to remain current at maximum efficiency and interoperability level.
- Business integration standards in terms of programming languages, operating systems, application interfaces, access protocols, and networking protocols are established, published, and serves the needs of the IIJIS community.
- A common system vocabulary is developed to expedite the establishment of business relationships and to ensure that system messages and data have a consistent understanding between users and systems.
- New system developments maximize the use of common business processes and message exchanges by reusing existing standard objects and procedures.
- The Illinois Justice Data Dictionary contains metadata on all system interfaces, relationships, data objects, data sources, geographic coordinates, and reference indexes.

- o The data directory enables agencies and business partners to integrate datasets and manage identity information across the enterprise.
- o IIJIS will develop and outline the meaning and specific characteristics of commonly used fields. These common codes for shared information will be developed so that information entered in one system can be understood when passed to users of another system.
- o By establishing an inventory of identifiable data standards, systems can be built or purchased that conform to the standards, facilitating the sharing of information. Agencies can pursue development and implementation efforts knowing that their system will be compatible with others.

- IIJIS will adopt a nationally endorsed model as the standard of choice for intergovernmental information exchange, thereby enhancing the quality of governmental decision making by enabling accurate, timely, complete, and relevant information to decision makers.

Strategic Issue 6: Secure, reliable, effective, and efficient information technology (IT) infrastructure that facilitates justice information sharing

Introduction to the Issue: Infrastructure refers to a broad variety of mechanical, physical, and support technologies that enable and facilitate information and data exchange, as well as communication among and between people, organizations, and units of government. Infrastructure includes the computer hardware and operating systems that run applications and store justice data, the land-based and wireless communications facilities, and the security components that prevent unauthorized access to justice systems and information. While some agencies are employing state-of-the-art technologies, others are utilizing antiquated data systems and some lack automation. These conditions serve as barriers to effective information sharing. In order to promote the effective sharing of justice information across agency and jurisdictional boundaries, meet stakeholder requirements, and promote availability, reliability, stability, and coverage, the existing IT infrastructure must be regularly expanded, enhanced, and maintained.

Desired Environment – what will success look like:
- Key information security policies and practices are identified and in place that successfully safeguard the IT infrastructure and data.
- The Enterprise IT infrastructure provides the highest level of identity management and actively serves all needs for authentication and credentialing (authentication, authorization).
- The Enterprise IT infrastructure provides the highest level of systems and information availability (backup, recovery).
- The Illinois justice community recognizes the information needs of a mobile workforce by defining a mobile strategy and architecture, and maximizing use of the mobile internet technology.
- Illinois has improved the mobile information security framework, including devices and data residing on those devices.
- The IT infrastructure provides the customer base with the ability to self manage agency data
- IIJIS will be responsible for the identification and endorsement of open system standards that will lay the foundation for integrated systems planning at the State and local levels.

Strategic Issue 7: Rapid identification through biometric technologies

Introduction to the Issue: Illinois justice decision-makers must be able to rapidly and positively identify individuals. Inaccuracies are inherent in name-based systems; this problem is further complicated by the prevalence of forged identity documents. Agencies in some jurisdictions are employing technologies that facilitate rapid identification of an individual within seconds, while others lack the ability to identify an individual in less than two weeks. To further justice, public safety, and homeland security interests, Illinois must expand its use of biometric technologies for rapid identification.

Desired Environment – what will success look like:
- Illinois' justice community has appropriately expanded the use of biometrics for rapid, reliable and secure positive identification
- Illinois' biometric systems are compatible with nationally prescribed technical standards.
- Illinois' justice community has improved its ability to identify and apprehend wanted individuals through the use of integrated biometric systems.
- Illinois justice community has improved its ability to identify law abiding citizens, thus reducing the incident of inappropriate detainment.
- Illinois justice, public safety, and homeland security practitioners are easily and rapidly identified.
- IIJIS Privacy Policy Guidelines address the use of biometrics for rapid positive identification.