innovations

April 2000

In this issue

3
Reaching Out
To hundreds of officials across the state

4
Sharing Lessons
About integrated data repositories

5
Did You Know?
How to build a business case to gain support

6
Managing Records
For a variety of current and future uses

Center for Technology in Government

University at Albany, SUNY

Integrating Justice Information

The cop walking a downtown beat. The lawyer prosecuting a murder case. The attorney defending a robbery suspect. The judge presiding over a fraud case. The prison guard keeping order in a cell block. The officer monitoring a convicted felon on parole.

They all need information to keep us safe in our small towns and big cities. Information makes our country's justice system work.

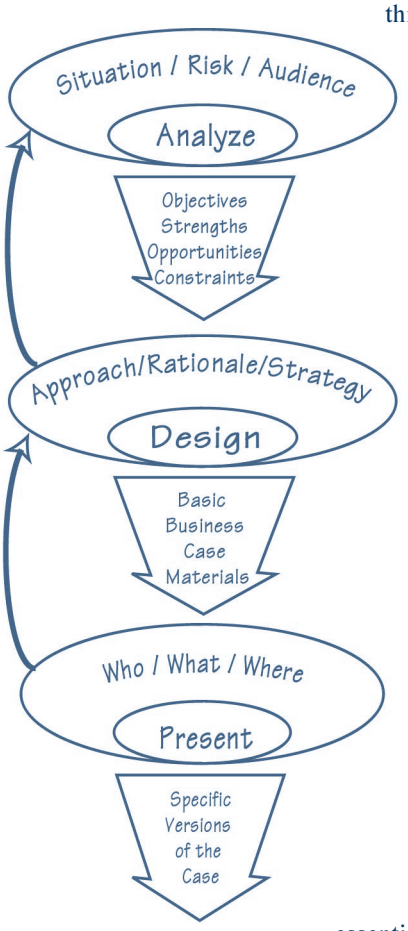
But getting information is just the beginning. The information also has to be accurate and timely. It needs to be shared with the right agencies. It must be available to everyone working on a case. It has to be updated easily. And it must be maintained for future use.

The way to make this all possible is by creating integrated information systems in the justice community. A complex task, but it can be done. CTG, through a grant from the United States Department of Justice (DoJ), developed a guide to help justice agencies make integrated information systems a reality.

"And Justice for All: Designing Your Business Case for Integrating Justice Information" is a practical handbook provides guidelines, tools, and reso to justice officials who need to secure support and funding for information system integration initiatives at the state and local levels. The guide, or business case blueprint, shows users how to build business cases for these projects.

"The effective business case generates the support and participation needed to turn an idea into reality," CTG Director Sharon S. Dawes said. "The business case communicates the argument for integration to those whose commitment of resources is needed to execute a specific implementation strategy."

Based on input from justice officials from across the country, and lessons learned from more than 20 state and local integration initiatives, CTG created this guidebook. The business case eprint features three chapters ıt lead readers through the ıalysis, design, and presentation f business cases tailored to their ɔecific projects.



he analysis phase involves etermining the situation in which e integration project is to take ace, the market demand for such project, and the risks involved in e initiative. Justice officials use variety of tools to determine here they are, where they want go, the market for their ideas, ɔw to get from here to there, and ɔw to organize their argument. fter completing the analysis, sers can clearly identify the ɔjectives, opportunities, rengths, resources, and ɔnstraints of their project.

ı the design phase, readers use e results of their analysis to elop the details of their ɔach and rationale, and to ize all the basic business case ls. The following are the essential elements necessary to construct any business case: problem statement; mission statement or vision of the future; specific objectives for the current initiative; preferred approach; alternatives considered; expected benefits; performance measures; risks and how they will be addressed; basic plan of work, timeline, and key milestones; project management and human resource implications; cost estimates and sources of funding; and opposing arguments and responses.

continued on page 2

continued from page 1

For the presentation phase, users produce the message, materials, and methods needed to customize their cases for different audiences. Justice officials learn how to approach their key audiences, get on their agendas, and deliver their cases in ways that will result in political support, funding, and resources.

The business case blueprint also contains appendices of useful tools and references. Based on CTG's "Making Smart IT Choices" methodology, the tools help users create clear and compelling business cases for justice integration initiatives. These tools include: current and best practices research, visioning, strategic framework, consensus building, stakeholder analysis, and strategic planning methods. The references include real examples of business cases and supporting materials that have been developed and used successfully.

The guide is available in two formats—a printed report and a Web document. The printed report is a portable resource that contains all the lessons and tools justice officials need to create business cases for integration initiatives. The Web document is a fully-interactive publication that allows users to navigate through all of the guidebook information according to their needs and links them to other Internet resources. In addition, an eight-page executive briefing version is available.

For more information about CTG's "And Justice for All: Designing Your Business Case for Integrating Justice Information" guidebook, visit www.ctg.albany.edu/projects/doj/dojmn.html.

innovations
is published quarterly by the Center for Technology in Government, University at Albany, State University of New York.

1535 Western Avenue
Albany, NY 12203
(518) 442-3892 (phone)
(518) 442-3886 (fax)
info@ctg.albany.edu
http://www.ctg.albany.edu

Editor:
Stephanie Simon
Designers:
Sally Goodall
Linda Keane

. . . an applied research center devoted to improving government and public services through policy, management, and technology innovations.

The Bigger Picture

Developing a business case to garner support for integrating justice information is just the start. Public and nonprofit organizations also have to work together for integrated justice information systems to become reality.

The United States Department of Justice, Office of Justice Programs (DoJ) is spearheading an effort to make this happen. The Department has contracted with several organizations, including CTG, to investigate issues surrounding integration initiatives. This work includes:

- *And Justice for All: Designing Your Business Case for Integrating Justice Information* by CTG—A guidebook for justice officials on how to create business cases that will gain support for integration projects.
- *State Governance Structures and Statutes* by the **National Criminal Justice Association** and **SEARCH**—A survey and site visits to learn about existing justice integration governance structures.
- *Local Governance Structures* by **Public Technology Inc.**—A survey and collaborative meetings to learn more about local governance structures and how they can impact integration projects.
- *Legislators Project* by the **National Conference of State Legislators**—Educate state legislators about the issues surrounding justice integration.
- *Interchange Point Project* by **SEARCH**—Models of information interchange processes which feed into the business processes that must be changed in order for integration to be effective.
- *Interoperability Standards* by **US Department of Commerce, National Telecommunications and Information Administration**—A study of current and best practices to develop standards that will ensure the compatibility of various information systems across all levels and jurisdictions.
- *Information Architecture* by the **National Association of State Information Resource Executives**—A sensible approach for using information architecture to implement integrated systems.

The work of these organizations will help guide justice agencies as they develop their own projects as part of the larger national justice integration effort. The guidelines, standards, and policies that come out of this research will be brought together in the planned Center for the Integration of Justice Information (CIJI). The CIJI, which will have a comprehensive Web site, is designed to be a tool for people and organizations that are championing the nationwide integration movement. The CIJI will include reports, guidebooks, research, and other resources justice leaders can use to gain support for their projects.

For more information about justice information integration, visit www.usdoj.gov/ag/global/.

Reaching Out to State & Local Agencies

OSC's Pam Stewart and CTG's Theresa Pardo facilitate a workshop for users of the state's central accounting system.

It was a well-planned tactical operation. Over the course of just five weeks, eight CTG staffers and 10 state agency representatives fanned out across New York to conduct 19 workshops in seven cities with 320 state and local government officials.

All that outreach was designed as a way to collect feedback from people in the trenches who will be affected by two statewide projects we're assisting with as part of the Using Information in Government Program.

The **Office of the New York State Comptroller** (OSC) recognizes that the central accounting system, a nearly 20-year-old mainframe system that is the backbone of financial operations in the state, may need to be modified at some point in the future. The agency wants to ensure that any proposed changes will incorporate the needs of its users. CTG is working with OSC to conduct a stakeholder analysis that will detail the concerns and needs of system users.

The **New York State Office of Real Property Services** (ORPS) is launching an annual property tax reassessment program to improve statewide equity and increase state aid to municipalities. CTG is helping ORPS better understand what assessors and local officials will need in order to fulfill the requirements of the new program.

"The workshops were an ideal way to solicit and collect the hopes, fears, needs, and constraints faced by the state and local officials who will be affected by the new accounting system planned by OSC and the new reassessment program implemented by ORPS," said CTG Project Director Theresa Pardo. "The facilitated sessions were designed so participants felt comfortable sharing their perspectives. We recorded these ideas and the agencies are working on incorporating them into their project plans."

OSC may want to modify the central accounting system to increase information access, streamline workflow, and enable e-commerce transactions. Agencies and departments all across the state use the system for transactions (budget, payment, encumbrance) and information (trend analysis, geographic analysis, projections). At the 13 OSC workshops, users discussed how they use the system now and what features they'd like to see in the future.

ORPS is implementing an annual reassessment program as a way to ensure that parcels of property are equitably valued. Some properties in the state haven't been reassessed in as many as 80 years. The new program will prevent similar properties in the same community from having very different assessed values. During the six ORPS workshops, local assessors and county directors of real property discussed their reactions to the new program and what resources they need in order to implement it.

CTG is working with both agencies to incorporate suggestions gleaned from the workshops into their system and program designs. Our work with the projects is expected to end in early summer.

For more information about the OSC and ORPS projects, visit www.ctg.albany.edu/projects/uig2/uig2mn.html.

Developing Data Repositories

Take dozens of boxes of puzzles. Dump all the pieces into a huge pile. Now try to put the pieces together so they form one unified picture. This is the kind of situation organizations face when building integrated data repositories.

From mismatched data to incompatible systems to privacy concerns, there are literally hundreds of issues that have to be worked out in order for any integrated data repository to be useful. CTG addressed these issues during a Feb. 9 seminar, co-sponsored by the New York State Forum for Information Resource Management, on "Putting Information Together: Building Integrated Data Repositories."

Part of our Using Information in Government Program Seminar Series, this session dealt with the lessons learned during the Homeless Information Management System (HIMS) project conducted by CTG and the NYS Bureau of Shelter Services (BSS). The prototype data repository incorporates information from a variety of sources to help BSS and homeless shelter providers manage and evaluate services for homeless families and single adults in New York State. Using the HIMS prototype development as an example, the seminar highlighted the management, policy, and technology issues of creating integrated data repositories.

The seminar included several presentations. BSS Director Robert Dawes and BSS Homeless Services Representative II Jane Wagner discussed how their agency developed the business case for the HIMS prototype. University at Albany Professor Lakshmi Mohan talked about the data odyssey of the project. Oracle Corporation Technical Manager Pat Schaffer recounted how the prototype data repository was built. The capabilities and functionality of the HIMS prototype were demonstrated by Oracle Corporation Principal Consultant Samir Ahuja. CTG Project Support Manager Donna Canestraro provided an overview of lessons learned during the HIMS project.

Some important points about integrated data repositories include:

- A vast majority, between 50 and 80 percent, of data warehouse projects fail because participants don't fully understand the value of integrated data and aren't sure how to use the combined information.

- Data repositories integrate disparate sources of data to evaluate the impact of a set of programs and services on a specific population. Such repositories require solving issues about: intersection of programs and services, business drivers, compatibility of data, technology, and policy environment. And they are built on a foundation of leadership, sponsorship, partnerships, and common vision.

- Build a bridge from the idea to the actual system by defining a service objective, developing a business case, establishing partnerships, encouraging communication, building a prototype, resolving problems, and being persistent.

- To define relevant data, focus on what an organization *must* do and know rather than what would be nice to do and know. The goal is to access information that will be actively used for identifying and solving problems.

- Prototype development should follow an evolutionary approach in which each phase builds on the other until a prototype is produced that can be tested by users, modified as needed, and turned into a full system.

Pat Schaffer of Oracle Corporation discusses the HIMS project.

- Data marts have three components: feed, store, and use. Operations and external data are extracted, transformed, and fed into the warehouse. The data itself, and meta data that explains what it contains, are stored in the system. Relational and online analytical processing tools and applications are employed to use the data.

- Technology is important, but the management and policy issues must also be addressed early on in the development process. Organizations need to know who will be involved in the project, what stakeholder groups will be affected by it, what the system will do, where the data will come from, and how it will be obtained. They also should create business rules, standard data definitions, confidentiality and privacy policies, multi-organization data sources, and service evaluation models.

For an interactive summary of this seminar, visit www.ctg.albany.edu/projects/usinginfo/usinginfomn.html.

Partners Crucial to Prototype

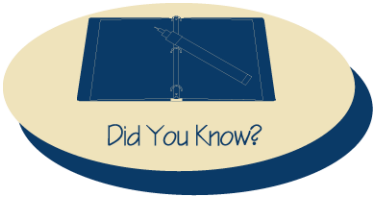
Colleagues in the government, university, and private sectors were integral in creating the Homeless Information Management System (HIMS) prototype integrated data repository.

Government partners were involved at every step. The **NYS Bureau of Shelter Services** was the driving force behind the entire project. Two homeless shelter providers—**NYC Office of Domestic Violence and Emergency Intervention Services** and **Homes for the Homeless**—contributed data and participated in the integration of the data sources. These agencies are also members of the **NYC Homeless Providers Technology Committee**, which was vital in demonstrating that the prototype idea was valid and could be accomplished. The **NYS Archives and Records Administration** consulted on policy issues.

Partners from the University at Albany provided many insights regarding the data. Faculty in the **Department of Management Science and Information Systems** sorted out data issues and created the repository design. Students in the **Information Science Doctoral Program** helped resolve a number of data quality issues.

Corporate partners donated valuable equipment and technology services. **Hewlett Packard** loaned an NT server. **Albany Net, Inc.** provided dial-up e-mail accounts for some team members. **Microsoft Corporation** donated server software. **Oracle Corporation** representatives shared their expertise in creating data repositories, managing multiple sources of data, and developing multi-dimensional data models; cleansed, transformed, and transported data; designed and developed the prototype; and presented the prototype for evaluation.

Your organization has an important new project coming up and you want to make sure it succeeds. One way to increase that likelihood is to develop a business case.



More comprehensive than a traditional business plan, a business case is a multi-purpose communication tool that can help you gain the support and participation you need to make your project happen. A business case will help you show stakeholders: where you are now, where you're going, your ideas for getting there, and how they can help.

These are the essential elements of any business case:

- A brief, compelling, problem statement—Find true stories in your area that show the problem and its consequences.
- A mission statement or vision of the future that addresses the problem—Illustrate what will improve once the problem no longer exists.
- A description of the specific objectives of your project—Identify your project's key aims, state them briefly in plain language, and elaborate as needed to explain them.
- A description and rationale for your preferred approach—Tell how you'll solve the problem; include desired end state, participants, effect on customers, strategies, and necessary changes.
- A set of alternative approaches considered and how they would or would not work—Detail other alternatives, as well as ideas that were considered and discarded.
- A statement of your project's benefits that address concerns of relevant stakeholders—Discuss the benefits of change to show how your project will help affected groups.
- Measures that will demonstrate progress toward objectives—Develop ways for stakeholders to assess the project and track necessary improvements.
- A statement of the likely risks of your initiative and how they will be addressed—Explain how your approach reduces the risks or at least takes them into account.
- A basic plan of work with a timeline and key milestones—Describe the infrastructure, funds, staff, time constraints, and other changes required for your project to succeed.
- A project management plan with names and roles of key managers—Outline the qualifications and responsibilities of important personnel.
- Cost estimates and potential sources of funding—Tell how much the project will cost and how you're going to pay for it.
- Opposing arguments and responses to them—Have solid data to back up your position and be willing to hear new ideas that might improve your plan.

For more detailed information about creating a business case, visit www.ctg.albany.edu/projects/doj/dojmn.html.

E-records Project Continues

Organizations are great at generating electronic records, but often fail to take steps to preserve and maintain access to those vital business documents.

For the past two years, CTG has been studying how public and private sector organizations save, maintain, and retrieve electronic business records for primary and secondary uses. From compiling a 50-year agency history to forecasting business trends over the next decade, electronic records are necessary for a variety of applications. Our **"Gateways to the Past, Present, and Future**" project is designed to produce a set of practical guidelines that will help organizations in their efforts to make sure electronic records of enduring value remain available and accessible over time.

Based on recommendations from the Gateways Advisory Committee—a group of information technology and electronic records professionals in the government, corporate, and nonprofit communities—the project team has been developing a set of tools and techniques. At its January meeting, the group provided valuable feedback on the definitions of primary and secondary use, as well as a set of models that describe how organizations are providing access to electronic records to internal and external users. Current practices in electronic records management were investigated by the project team. In addition, interviews were conducted with more than 20 people from across the country whose jobs involve providing access to electronic information for secondary uses.

The project process is a complex one. "It's been like a kaleidoscope where you examine the problem from various angles and it looks different at each one. Intellectually, this is a very hard topic to grasp," said CTG Director Sharon Dawes. "The project goal is to turn difficult concepts into useful practical recommendations about electronic records."

The results will be shared with a panel of electronic records management experts in late May. The panel will review our work and make recommendations that will help refine project products.

The project continues through early summer and is expected to result in: a current practices report that details policies, management strategies, technology tools, and resource sharing models used by public sector agencies; a cost-benefit framework for assessing the value of alternative models of maintenance and access for secondary uses; and practical guidelines and strategies for helping organizations ensure that their valuable electronic records are available and accessible over time. All of the products are designed to enable organizations to support and promote the use of electronic records.

For more information about the Gateways project, visit www.ctg.albany.edu/projects/gateways/gatewaysmn.html.

Through the CTG Speakers Bureau, Center staff share our innovations and practices with colleagues in the government, academic, and technology communities, as well as the general public. This column highlights some of the connections we've made during the past few months.

January

We facilitated a New Orleans meeting of the **Integration Town Council Steering Committee**, which is part of the United States Department of Justice initiative to integrate justice information systems.

February

We presented a lesson on "Developing and Delivering Effective Team Presentations" to the new class of New York's **Public Management Intern Program** at the University at Albany's **Rockefeller Institute of Government**.

March

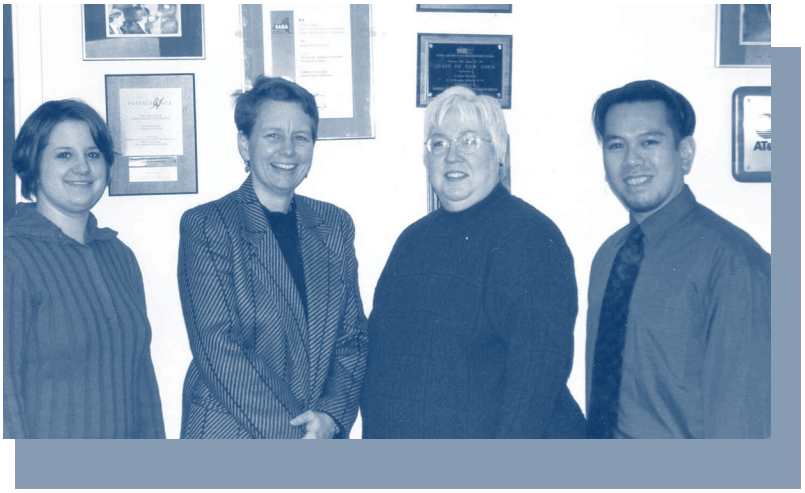
"Managing the Digital Government of the 21st Century" was the subject of a seminar we delivered to the **Public Management Interns**.

We participated in a panel on the importance of IT strategic planning for county governments at the Annual Meeting of the **National Association of Counties** in Washington, DC.

The **Government Finance Officers Association** in Albany learned about the "Dimensions of E-governance" during a CTG presentation at their meeting.

New Project Brings New Staff

CTG's staff has increased thanks to our Knowledge Networking in the Public Sector project. We recently added a secretary, a research associate, and two graduate assistants to help with this intensive three-year project to study how governments work with other organizations to create and maintain knowledge networks.



CTG's newest staffers are Carrie Schneider, Judy Miller, Carol Murray, and C.N. Le.

Secretary **Carol Murray** is the primary support person for the project. A member of the Administration and Outreach Unit, Carol also assists in the day-to-day management of CTG office functions. A self-described "Army brat" who has lived all over the United States, Carol has more than a decade of administrative experience at Capital Region companies and universities. Prior to joining CTG, she worked as an administrative assistant at Kaiser Permanente in Latham. She has also worked at the University at Albany, Pyramid Companies, and Rensselaer Polytechnic Institute.

Research Associate **C.N. Le** helps manage the project, conducts research and analysis, and is creating an electronic management system for project material. C.N.'s strong background in program management serves him well. He developed and oversaw multi-level community education programs as the director of education for the Asian and Pacific Islander Coalition on HIV/AIDS and served as administrative coordinator for the National Asian Pacific American Bar Association, both in New York City. While a graduate student at UAlbany, he served as president of the Graduate Student Organization and taught numerous undergraduate courses in the Sociology Department. C.N. earned a bachelor's degree in political science and sociology from the University of California at Irvine and is a doctoral candidate in sociology, with specializations in race and ethnicity, immigration, and urban sociology, at UAlbany.

As graduate assistants, **Carrie Schneider** and **Judy Miller** help design research methods, perform evaluations, and conduct literature reviews for the knowledge networking project. Both are UAlbany doctoral students.

Carrie honed her research and project management skills through several jobs at Wisconsin colleges. She was a research coordinator and grant writer at Marian College of Fond du Lac, as well as a researcher and assistant for several departments at St. Norbert College in De Pere. Carrie is pursuing a doctorate in political science, with a concentration in public law and policy.

Judy has a strong background in fundraising, management, and teaching. She served as development director for a New Jersey chapter of the Association for Retarded Citizens and as assistant director of development for the College of New Jersey. She previously held several management positions with Supermarkets General Corporation, also in New Jersey. Judy has taught at UAlbany and Marist College. She is pursuing a doctorate in public administration.

For more information about CTG staff, visit www.ctg.albany.edu/people/ctgstaff.html.

Play Government Manager

If you're going to work with—and sell to—government agencies, then you better know the ins and outs of how the public sector works.

Information, Technology, and Government, a hands-on seminar scheduled for April 25 and 26 at CTG, gives corporate managers lessons in the complex mix of laws, principles, and practices that govern management and procurement decisions made by agency executives. CTG instructors lead participants through a realistic case scenario where they assume the roles of government managers and experience the unique environment in which public sector decisions are made.

Corporate partners may participate in the seminar for free, as a benefit of their formal partnership with CTG. Other vendors are invited to attend for a fee of $750.

To register for the April 25-26 **Information, Technology, and Government** seminar, call CTG Education Coordinator Winsome Foderingham-Williams at (518) 442-3983.

A full description of the seminar is available online at www.ctg.albany.edu/education/itg_desc_00.html.

Get Connected

Keeping up to speed on everything that's happening at CTG is easy if you're a subscriber to CTG **Web News**.

This monthly e-mail announcement tells you about additions to our Web site, including new project updates, publications, partners, and program announcements. Web News messages contain brief descriptions of the features that have been added to our Web site. The messages also provide links to our site, so you can see the new items for yourself.

To register for CTG Web News, visit www.ctg.albany.edu/ctgwebnews.html.

UNIVERSITY AT ALBANY
STATE UNIVERSITY OF NEW YORK

Center for Technology in Government
University at Albany, SUNY
1535 Western Avenue
Albany, NY 12203

Non Profit
Organization
U.S. Postage
PAID
Albany, NY 12222
Permit # 205