And Justice for All:

Designing Your Business Case for Integrating Justice Information

Business Case Blueprint

Center for Technology in Government
University at Albany / SUNY

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Designing Your Business Case
for Integrating Justice Information

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Introduction

Public safety. Few factors are as visible or as important to the quality of life in our communities. Around the country, justice agencies are striving to improve public safety by sharing information across the boundaries of organizations and jurisdictions. These efforts reflect a broad consensus that integrated justice information has the potential to save lives, time, and dollars.

Achieving the benefits of integrated justice information can be a difficult and complex task. The technical and organizational challenges require sustained commitment from key people and organizations, as well as investment of resources and changes in the way work is done. None of these are easy to come by. Success depends on making a clear and compelling case that persuades many different players to participate and collaborate. A well-crafted business case is a powerful communication tool that can increase support for the effort. This Guide provides advice and tools that will help you design and present a strong, persuasive business case to public officials, community leaders, and justice professionals.

An effective business case is a multi-purpose communication tool that generates the support and participation needed to turn an idea into reality. It explains why integration should be supported and how it will improve the business of the justice enterprise. It casts the explanation in terms of the specific circumstances and opportunities of a particular time and place. The case recognizes conflicts and competition for resources and suggests strategies for dealing with them. The case presentation can be tailored to the different audiences whose support is essential to success.

What we are calling a business case includes elements that you may find in a business plan or a business strategy. You may recognize them, perhaps labeled differently, from your own experience with program development and planning, budget development and justification, legislative negotiations, acquisition planning, or any number of tasks in which you have both expertise and experience.

The basic idea for this Guide came from deliberations at national conferences, sponsored by the US Department of Justice, involving dozens of justice professionals from a wide range of state and local agencies. Considerable additional research and lessons from successful integration experience have gone into the Guide's development. We used materials and lessons learned from more than 20 state and local integration initiatives. The Guide also reflects the results of a national workshop at which elected and appointed officials met with justice professionals to help them identify more effective ways to present a business case. The result is a Guide that is grounded in the lessons of real life integration initiatives and the advice of seasoned policy makers and justice professionals.

Building your business case for justice integration

The kind of case we are describing here requires careful design and construction. In many ways, the architects of the business case face problems similar to those of an architect designing a building; the same kind of care and deliberation go into both processes. The design and detailed planning of a building must take into account the desires and the resources of the customers, the setting for construction, the nature of the land and materials, the climate, and the skills of the builders. Similarly, the architects of the business case must take into account the desires and resources of the decision and policy makers who must pay for the integration initiative, as well as the political climate, the organizational landscape, and their own needs, materials, and resources.

The idea of architectural design can also be used to describe some of the components of business case development and the design of information integration initiatives. For example, justice information systems integration can require architects of public policy, architects of data networks, architects of new business processes and procedures, architects of new coalitions and collaborations, architects of public opinion, and even architects of new mechanisms for conflict resolution. In all of these areas, the architect brings training, expertise, and experience to bear on the complex design task. It is a task that requires creativity, innovation, and attention to details and practical requirements.

The architectural metaphor incorporates other useful ideas. Good architecture provides the potential for renovation, expansion, and ongoing development. It depends on the quality and adequacy of the "foundation" or physical infrastructure. Architectural design is, after all, something you have to "live with." We use this architectural metaphor as a way of describing the various concepts, methods, and tools used in building a business case.

Organization of the guide

This Guide presents an approach to the development of a business case along with supporting methods and tools. It does not present a complete case or recommend one single model of what a case should contain. The range of possible local circumstances and integration objectives is far too broad for a single business case or approach to work. Instead, the Guide presents a way of designing and building a business case that can be adapted to a very wide range of particular circumstances. We also include examples of cases and materials that have been developed in a variety of state and local situations.

The approach to business case design and development is presented in three phases.

◆ The first is an *analysis* phase that includes attention to the *situation* in which the integration is to take place, the *market* demand for and willingness to pay for integration, and the *risks* involved in the undertaking. The results of the analysis phase enable a clear identification of the *objectives, opportunities, strengths, resources,* and *constraints* guiding the integration initiative.

◆ The second phase includes the *design* and development of the business case itself based on the information resulting from the analysis phase. In the design phase, you articulate the details of your *approach* and its *rationale,* and compile and organize all your *basic case-building materials.*

◆ The third phase customizes the message, materials, and methods needed to *present* the case to different audiences in order to secure their commitment and ongoing support.
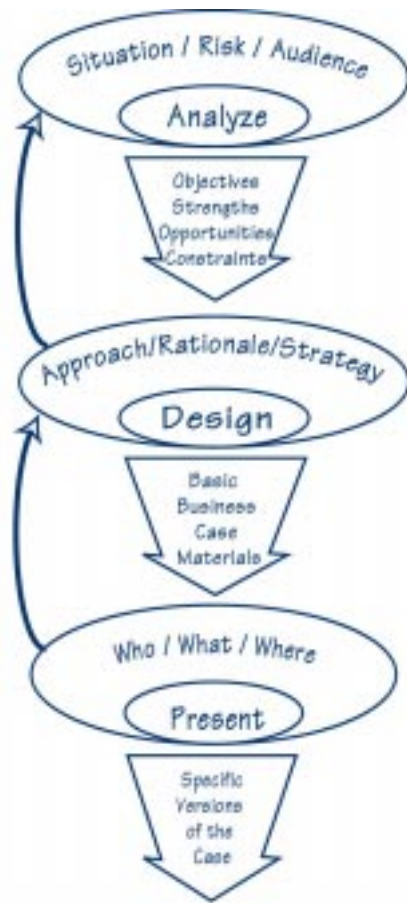
The relationship among the phases is shown in the figure on the left. This figure shows the basic logic of how the material is presented in the Guide. The figure may imply that building a business case consists of these three phases (*analyze*, *design*, and *present*) occurring in simple sequential order. The actual work of building a business case, will, of course, be more complex, with a considerable amount of iteration among the phases. The results of work in the analysis phase are used in the design process. But the design activities often reveal gaps in the analysis, or produce new information that influences the objectives. So results from the design phase can loop back to a new analysis, which then feeds into subsequent design activities, and so forth. The same idea applies to the flow of design results into the crafting of presentation materials, with looping back to the design or analysis phases.

Following the three main sections of the Guide described above, you will find additional supporting material in the appendices. Appendix A describes specific tools and skills that may be useful in designing and building the business case. Each section includes a brief description, a discussion of how the tool can be used, and references to more detailed sources for further exploration. Table 1 summarizes these tools and their purposes.

Other appendices include examples of business cases and supporting materials that have been developed and used successfully in a number of states and local jurisdictions. These illustrate the range of approaches and proven strategies that have been used. In addition, there are key references and links to Web sites, print resources, and organizations related to information integration in the justice field or generally in state and local government. These can be used to explore specific topics in more detail than can be included in the Guide itself, and to check on current developments in organizations and locations involved in integration. Taken together or individually, these supporting materials and references may be useful in the analysis, design, and presentation of your business case. They may also be useful in the important work of establishing and nourishing the collaborative relationships required to sustain a successful integration project.

Suggestions for using the guide

Just as there is no one-size-fits-all business case, there is no one best way to use this Guide to building a business case. There are at least three ways to use the Guide.

One is as a tutorial, primarily for those new architects with limited experience in designing and presenting a business case. In using the Guide as a tutorial, start at the beginning and work through the sections in order to get an overall picture of the various tasks to be completed for any particular business case situation. New architects could begin their business case development as they work through the sections, so that they have some of the work completed by the time they have finished the Guide. They could then use the examples and materials in the appendices to move the case closer to completion.

A second way to use the Guide, appropriate for more experienced architects, is as a reference tool, selecting material in whatever sequence is useful. These architects may come to the task of building a business case with a variety of experiences and skills in the Guide topics. For these more experienced users, the Guide can serve as a general reference tool or as a source of links to related materials and examples.

A third way to use the Guide applies to even more experienced architects who have no need for general guidance in building a business case. For them, the Guide can have a different use—as a source of links to examples, supporting material, and to other architects who are working on similar information integration agendas. Since we view integration as an ongoing process, one successful business case will likely lead to others. Experienced architects and builders will therefore have an ongoing need for new information and can benefit from examples and access to colleagues facing similar challenges. The Guide includes extensive examples and links to print and electronic sources, as well as to organizations that provide support and material for these kinds of objectives.

TABLE 1. HELPFUL ANALYTICAL CASE-BUILDING TOOLS[1]

TYPE OF ANALYSIS	TOOLS	PAGE
To know where you are today Assessing your current situation and comparing it to others	Environmental Scanning Self-Assessment Current/Best Practices Research Benchmarking News Analysis	42 43 44 45 46
To know where you want to go Articulating a vision and choosing specific objectives	Hopes & Fears Exercise Visioning Strategic Framework Consensus Building, Collaboration, & Decision Making	47 48 49 50
To know the market for your ideas Identifying and understanding your audience	Positioning Charts Stakeholder Analysis Partisan Analysis	51 52 53
To know how to get from here to there Identifying and evaluating options	MAU Models SWOT Analysis Cost-Benefit/Cost-Performance Analysis Risk Analysis	54 55 56 58
To know how to organize your argument Prioritizing and planning	Prioritizing Methods Strategic Planning Methods	59 60

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[1] These tools are adapted from The Center for Technology in Government's *Making Smart IT Choices* which can be accessed on the Internet at www.ctg.albany.edu/resources/smartit.pdf.

1. Getting ready: Data gathering & analysis
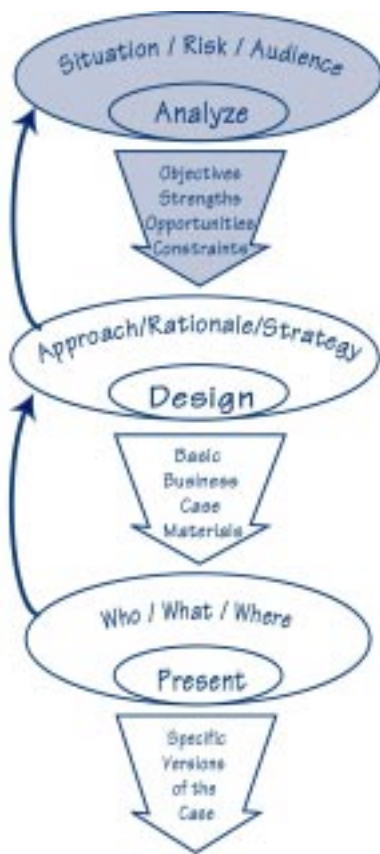
Just as an architect must assess the lay of the land before he can start designing a new building, you must carefully analyze your business, political, and financial environments before you can skillfully craft your business case. The following considerations should lead you to gather the information that supports your case and makes sense for your time and place. Table 1 (in the Introduction) refers you to tools that may help you conduct a thorough analysis as you begin to consider how all the facets of your environment will play a role in the creation of your business case. In this initial phase, you will gather and analyze information that helps you:

♦   Know where you are now

♦   Know where you want to go

♦   Know how to get from here to there

♦   Know the risks and how to mitigate them

♦   Know the market for your ideas

♦   Know what you are asking of your audience

Know where you are now

While the benefits of justice integration lie in your vision of the future, the cost and effort of getting there represent the difference between your current situation and that ideal future. For this reason, it is important to describe how things work today. If the stakeholders you are trying to persuade believe the current state of affairs is better than it really is, then you are much less likely to convince them to invest in significant change. In your analysis of the current situation, you must paint an unvarnished picture of today's reality so stakeholders will appreciate the need for change—and the consequences of doing nothing.

**Helpful Tool:
News Analysis**

Gathers and analyzes news accounts from a variety of media sources

Tells you how news outlets cover public safety issues and other justice integration initiatives

Helps you assess media and public sentiment about these projects

Good for learning about real life examples, finding justice professionals, gauging media and public reaction, and identifying obstacles

Limited by each story's locale and point of view

(This and other tools for assessing your current situation can be found in Appendix A starting on page 42.)

The current business process and ways to improve it

A well-crafted process model or description helps you discover, document, and explain why "bottle necks" and gaps exist and where duplication of effort occurs in current operations. It can also raise awareness about the dependencies among agencies.

The business process can be thought of as a multi-layered map. Initially you will want to show an overview of each organization's operations and how they do (or don't) interact. You could call this the 40,000-foot view. This high-level map will likely show you key problems and opportunities for improvement. You will then need a much more detailed map that represents a ground level view of those operations that seem most likely to benefit from integrative action. You can then go on to develop specific objectives, strategies, performance indicators, and other action plans to take advantage of those opportunities.

Existing technical infrastructure and needed changes

The Central Park police precinct in New York City decided recently to implement an Automated Fingerprinting Identification System (AFIS), but discovered that the available electrical output was inadequate to run the system. They solved this problem by buying their own power generation system that actually produces enough electricity to make the precinct a supplier to others in the area. While this example is unusual, it makes a strong point that infrastructure matters. Existing hardware, software, systems, networks, and physical facilities constitute the baseline infrastructure for integration. This infrastructure can be one of your biggest assets in creating an integrated system or one of your biggest problems. Most jurisdictions have at least some of the building blocks already in place: wireless communication networks, computers, Internet access, and adequately trained staff to carry out integration initiatives. Many, however, do not have these resources and many more have widely varying and incompatible types of software and equipment.

Your infrastructure analysis needs to assess the current capabilities of, and compatabilities among, all the organizations that are likely to participate in integration initiatives. Then compare these to some likely standards that will allow all to participate fully. The analysis should include attention to such issues as adequacy and compatibility of network connections and bandwidth, capacity for expansion and modernization, and physical facilities.

The status of recent and current IT projects that relate to your initiative

Mechanisms to improve information sharing for public safety have been appearing at all levels of the justice community over the last few years. Some are comprehensive efforts, but many more are partial integration projects set up in response to a specific need, a legislative mandate, or an isolated funding opportunity. Clearly, though, a great deal of money, time, and effort has been expended already in the quest for integrated systems. (For information on what is out there at the state and local level: www.search.org/integration/.)

In gathering information for your business case, you must therefore account for investments that have already been made in related systems, equipment, and personnel, and be prepared to show how those investments are paying off. Decision makers will want to know what is lacking in the current system, what benefits they will see from something new, and why past investments were not enough to solve the problems you now face. Moreover, you must become educated about the needs and project proposals of other justice agencies and begin to form a plan that takes them into account.

Know where you want to go

Integration takes many different forms. Some initiatives are very comprehensive and encompass all aspects of the public safety enterprise. Others focus on building a foundation of infrastructure, relationships or data standards that will support a variety of future initiatives. Other efforts focus on a specific pressing problem, a unique opportunity for action, or a particular funding source.

Your analysis of the current business process, infrastructure, and recent history will point out where the opportunities for change lie in your jurisdiction. Review each one for its potential to improve operations or achieve other important public safety benefits. It is unlikely that all of them can be addressed by a single initiative. Select the ones that seem most valuable for the near future, remembering that "value" can be defined in many ways. Depending on your current situation, you may identify actions that:

- Lay essential groundwork for more complete or ambitious integration efforts in the future
- Build on the foundation built by previous efforts
- Address the most pressing problems or weaknesses in the current situation
- Have the strongest and broadest base of support for immediate action
- Take advantage of a one-time funding opportunity

Know how to get from here to there

Putting one foot in front of the other is sometimes not as easy as it sounds, but that's what has to happen if you want to get your integration initiative up and running. There are a series of steps that must be taken to get from where you are today to your vision of the future. Because integration will affect the day-to-day business for so many people, it is important to carefully map out the steps needed to get to where you want to go. Have your game plan ready. And have a Plan B, just in case the players, the resources, or your environment change in the meantime.

A champion for the cause

Key leaders in your community, whether they are elected officials or justice professionals, are excellent candidates to carry the torch for your initiative. Find a champion who can galvanize support for your business case and for justice information integration. The champion should be someone who holds the respect of others in his or her own agency, as well as counterpart agencies. Champions can help build support by talking about the project among their colleagues, in the community, and to key decision makers.

Changes needed in current policies, processes, and practices

Your analysis of work processes, practices, and information flow comes into play here. Identify specific changes in policies, processes, and practices that are necessary to achieve your integration goals. For example, if your initiative calls for a central database rather than separate files in individual agencies, the likely changes in technology, information access policies, and data definitions need to be well explained. Staff support is essential to building momentum and furthering the project. The business case has to document efforts to build and show support "within the ranks" for the proposed changes in the way work is done.

**Helpful Tool:
Strategic Framework**

Presents a way to analyze your project in relation to its goals and resource needs

Helps clarify your project goal, examine its beneficiaries and participants, and identify useful technologies and other innovations

Good for giving you a high level view of the project, thinking outside the box, refining goals, and identifying partners, customers, resources, and technology

Limited by its focus on enablers but not barriers, as well as by availability and cost of needed resources

(This and other tools for articulating a vision can be found in Appendix A, starting on page 47.)

Alternative approaches

Avoid locking in on one solution to the exclusion of all others. Seek alternative approaches that could bring you to your goals, even if they seem less desirable than the one you prefer. Understanding the alternative pathways to your integration objectives will help define and clarify the points you will make in your business case. This kind of analysis is invaluable because it:

♦ helps you see that there *are* multiple ways to achieve your goals
♦ will provide the information you need to fully explain why the path you have chosen seems to be the best one
♦ enables quick adoption or adaptation of alternative approaches without going back to the drawing board

One alternative is to do nothing, and that's an important alternative to be explored at this point. Doing nothing has its costs. Your case should present the costs and consequences of doing nothing by projecting what your justice system will look like in five or ten years if your initiative is not pursued. What current problems would continue or expand? What new problems are likely to emerge? Will individual agencies pursue separate, uncoordinated agendas? Think also about how your unimproved situation will compare with peers in other states or localities. Identify funding programs or "windows of opportunity" that are open now but may close in the future.

Costs and who bears them

No responsible investor will fail to ask, "What will this cost?" and "Where will the money come from?" Cost estimates for justice integration need to include salaries, training, consulting, hardware and software, networks, equipment, and other categories. A common mistake is to estimate only the cost to build a new system, but not the cost of operating it or the total cost of ownership. Another common problem is estimating the costs related to the technical system, but not the ones related to all the other business activities that are affected by it.

It is often difficult to get complete and accurate dollar figures for new technology projects, particularly for complex integration initiatives that involve multiple agencies. Working out the costs of the project requires careful attention to what cost information is relevant, what's available, and how it can be interpreted and used. Resources, such as vendors or integration committee members in areas that have developed similar initiatives, can provide or help develop cost figures or ways to calculate them.

The price tag is only part of the cost consideration. Students of taxation learn early that "if you broaden the base, you lower the rate." Integration by definition implies the participation of several groups. If the costs can be spread across all participants, the cost for each diminishes. Not all agencies can contribute dollars, but they may be able to contribute staff time, share facilities or networks, or offer linkages to key supporters, all of which can be just as valuable as funding. Perhaps one of the best ways to demonstrate the value of any system is to show in the beginning the willingness of multiple parties to collaborate—and nothing shows willingness better than money and other tangible resources on the table.

The benefit side of the equation is equally important and often harder to produce. For example, a new criminal history database system may be designed to reduce the amount of time it takes for the user to access criminal histories. One cost-performance measure for the new system could be the average personnel costs per retrieval of a history file, such as 15 minutes per retrieval at an average personnel cost of $20/hour, or $5 per retrieval. If the older system took an average of two

hours ($40) per retrieval, the new system produces a saving of $35 per retrieval. The costs of implementing and maintaining the old and new systems could then be added to this measurement to give an overall assessment. The softer benefits in quality of life or citizen and officer confidence are much harder to quantify and should at least be identified and described.

Points of leverage

Leverage is about taking advantage of elements or events in the environment to strengthen your case. Highlighting the actions of others also creates leverage. Comparing your situation with other states or jurisdictions sets up a bit of healthy competition for investments in good performance. Elections can present unique opportunities to be heard by both citizens and candidates. A human tragedy that occurred because critical data was unavailable can become a powerful call to action. Leverage can also be found in broad assessments of how certain investments can reap multiple benefits. For example, many justice applications benefit from geographic information systems—but so do economic development, environmental quality, and county or municipal services. Elected officials and budget officers are more likely to favor this kind of investment over one that meets only a single need. Look carefully for these kinds of leverage.

Know the risks and ways to mitigate them

Risks are an inherent part of the implementation of any project. There are risks associated with the basic assumption that information integration will improve interagency communication, or reduce costs through the entire system. There are a host of basic factors that can change during a project, including political support, personnel, technology, and cost estimates. In the business case, you need to identify the risks that are critical to the success of your project and demonstrate avenues to handle any problems that may arise. A variety of risk analysis methodologies are available to perform more sensitive risk assessment and analysis, if necessary.

Risks associated with technology-based innovation

In both the public and private sectors, a well-documented set of risks accompanies information technology (IT) initiatives. Your project may face any number of them:

♦ *Unrealistic expectations* among sponsors, builders, and users about the benefits, costs, and barriers associated with the project.

♦ *Lack of organizational support and acceptance* for changes in business processes, tools, and practices. Support and acceptance throughout the organization, especially among the people who will use the technology, is just as important as top management support.

♦ *Failure to evaluate and redesign business processes* before applying technology. Meeting the needs of customers, employees, and decision makers means carefully studying, evaluating, and improving business processes in preparation for new systems.

♦ *Lack of alignment between policy goals and project objectives.* The goal of IT adoption should be to enhance or improve your ability to carry out your public safety mission or business objectives. It should improve citizen service, reduce response times, speed transactions, prevent errors, or support good and timely decisions

♦ *Failure to understand the strengths and limitations of new technology.* Most new technologies are constantly changing, must work in tandem with others, or must be incorporated into existing older systems.

Ways to mitigate risks of IT innovation

Most risks associated with information technology initiatives can be anticipated and addressed as part of the planning process. A focus on business processes, practices, and the people who will use the system is critical to achieving a complete and feasible design. Direct participation by users will help keep expectations realistic, increase support and acceptance, realistically ground new changes to the business process, and help keep goals and objectives clear. You should also get unbiased advice about the capabilities and costs of different technical solutions. Some advisory services are helpful here. You can also get good advice from other governments who have implemented solutions similar to the ones you are considering. A modular approach to design and development often reduces complexity, a common source of failure. Ask vendors and consultants for references to their past clients and take the time to question these people about their experiences and advice.

Risks associated with the public sector environment

The public policy choices and public management processes that are part of government make it an especially difficult environment for technology-based innovation. The structure of government decision making, public finance, and public accountability complicate your job and limit the choices available for achieving your goals. Your project may face any or all of these public sector risks:

- ♦ **Divided authority over decisions.** Executive agency managers do not have a clear line of authority over agency operations. Their decisions are circumscribed by existing law, the limits of current appropriations, a civil service system, and a variety of procedures mandated by both the legislatures and the courts.
- ♦ **One year budgets.** Uncertainty about the size and availability of future resources weakens the ability of government agencies to adopt innovations. Most government budgets are handled on an annual cycle and annual appropriations (influenced heavily by changing government-wide priorities) tend to negate long term planning.
- ♦ **Highly regulated procurement.** The goals of open competitive procurement are integrity and fairness. But the processes are often lengthy and prone to controversy. Commodity-based procurement, on the other hand, is easy for agencies to use, but (often mistakenly) assumes that they have all the information they need to design and assemble a high-performance system out of a catalog of parts.
- ♦ **Few government-wide information and information technology policies.** The absence of a government-wide information policy in many jurisdictions adds additional risks and problems. Without a high level overview of how information and information technology can support government operations and public policy goals, integration goals are difficult to realize.

Ways to mitigate risks associated with the public sector environment

Constant communication, joint planning and decision making, bipartisanship and a long-term perspective will all go a long way toward mitigating the risks associated with your integration initiative. Be sure that all of the players who will have influence over the decision to proceed are consulted and well informed. Consider multi-agency planning councils, give informative legislative briefings (on both sides of the aisle), and think several years ahead to anticipate the full impact of your project. Even though you are likely to receive funding one year at a time, present a more complete, long-term picture so those who review your budget can see how each year's effort fits

into a larger plan. When it comes time to procure a system, learn from past experience and consider the value-based procurement methods including partnership arrangements with vendors, as well as more traditional approaches.

Know the market for your ideas

The success of your business case depends in large part on its adaptability and appeal to different audiences. Consider the justice community; while all members are concerned with public safety and justice, they all have different roles to play and approach the issues from a variety of viewpoints. For example, a judge sees public safety from behind the bench in a courtroom, a police officer from inside the patrol car, a prosecutor from gathering evidence against the accused, a corrections officer from inside prison walls, and a parole officer from interactions with convicted offenders.

The potential costs and risks of your initiative will undoubtedly meet with some resistance. Because integration requires collaboration and change at the personal and organizational levels, the costs, benefits, and incentives to the key stakeholders in the justice community must be identified. Other stakeholders, such as elected officials, weigh the costs and benefits of integration against other important policy goals. Your case needs to convince politicians that integration is a good investment and worth trading off against other desirable actions.

Below are short descriptions of probable audiences for your business case, the kinds of issues that usually concern them, and the methods they often use to make decisions. This information is summarized in Table 2.

Elected officials

Elected officials—executives and legislators at the state, county, and local levels—are needed to help build public support for integration, draft and propose necessary legislation, and allocate the funding to start and maintain your project. But before you build your business case for an elected official, it is important to understand how your state and local governments are structured, the type of district that an elected official represents, and the official's appropriation responsibilities. Often on the state and local level, being an elected official is a part time job with full time concerns.

While improving public safety is an important and ongoing concern for elected officials, it competes for attention and resources with other significant issues like transportation, economic development, taxation, and education. Learning about elected officials' policy priorities, which drive their decisions, can help enhance your opportunities and avoid dead ends.

Project costs and funding sources are also important concerns. Once an investment is made, politicians want to ensure the initiative is working to make communities safer, not simply creating a new kind of bureaucracy. They are concerned with the actions and statements of elected officials from the political parties in and out of power, and how constituency groups feel about various issues.

While every elected official is different, they share a variety of methods to gather and assess information: public opinion surveys, newspapers, community forums, memorandums of support or opposition for legislative initiatives, personal contacts, and recommendations from staff members who focus on specific policy areas.

Once they gather information from their various sources, elected officials make decisions based on what is best for their constituents and what is politically feasible, as measured against their own policy priorities. They are also careful to weigh the pros and cons of every decision. Keep in mind that funding resources are limited, the number of requests is high, and officials are more likely to consider investments that have multiple payoffs. In addition, most elected officials keep at least one eye on the next election, and if you are asking them to support something that has little payoff for years to come, you're less likely to get the support you need.

Appointed policy makers and key staff

Because of the wide range and complexity of issues facing them, elected executives—governors, county executives, and mayors—appoint agency directors, administrators, and staff members who are responsible for carrying out their policy initiatives and goals. Many cities and counties employ professional managers who serve under contract rather than by election. Legislators—state representatives, county commissioners, and city council members—may also employ policy advisors to help draft, analyze, and carry out legislation, policy directives, and budget decisions.

Colleagues in the justice enterprise

The justice enterprise is made up of a variety of professionals—judges, court administrators, prosecutors, defense attorneys, law enforcement officers, county sheriffs, correctional officials, probation officers, and others—who are all on the front lines of public safety. They are charged with protecting the communities where they live and work. In this portion of your analysis, you must identify the specific needs and concerns of each segment of the justice enterprise and determine how different players feel about sharing information.

In general, justice professionals are concerned with preventing and responding appropriately to crimes and other threats to public safety. They also want to maintain the safety and efficiency of their own work. Concerns about protecting turf and jobs could impede your integration effort.

Each different professional has specific views and concerns. You may hear concerns about reducing the growing backlogs of court cases, getting accurate information quickly during traffic stops, accessing complete criminal histories before pressing criminal charges, reducing the costs of obtaining paper records necessary for defense planning, overburdening the already near-full capacity prisons, and reducing redundant paperwork to free up time to meet with offenders. Learn about the issues faced by justice colleagues in your area and factor them into your analysis.

Professional organizations and unions

Unions play an important and powerful function for the many individuals who work in the justice enterprise. Unions are concerned with negotiating contracts, keeping their members informed about current issues in their field, representing members in disputes with management, and steering public opinion.

Most unions employ a staff of professionals, usually at the state and national levels, who stay up-to-date on the issues that affect their membership. They receive information from members, management representatives, industry-specific publications, and the mainstream media. Unions make decisions based on the short and long-term interests of their membership. The backing of a union can be a strong endorsement for your project.

Similarly, professional organizations serve educational and advocacy roles on issues of importance to their members.

Table 2. Likely audiences and their key concerns		
Your audiences	**Their key concerns**	**The issues themselves**
Elected officials Executives and legislators at the state, county, and municipal levels	Constituency concerns	such as public safety, taxation, transportation, economic development, education, etc.
	Political issues	actions and statements of other political leaders, and how various constituency groups feel about integration
	Budget decisions	how much a project costs, where the proposed funding would come from, and what are the competing needs
	Good government	that the initiative is working to make communities safer, not simply creating a new bureaucracy
Appointed policy makers & key staff Agency directors, department heads, county and city managers, and legislative and executive staff	Policy issues	carrying out the policy and legislative directives of elected officials
	Budget decisions	addressing the known constraints of existing budgets and appropriations
	Advisement	advising the elected official about the issues surrounding integration and public opinion
	Administrative practices	managing the people who work at the agency or office over which they preside, effectiveness
Justice professionals Judges, court administrators, prosecutors, defense attorneys, law enforcement officers, county sheriffs, tribal police, correctional officials, probation officers, and others	Public safety	preventing and responding to criminal activity and its sources
	Work issues	increasing the safety and efficiency of their jobs on a day-to-day basis
	Turf	letting go of or sharing information, responsibility, power
Professional organizations & unions Police officers, correctional officers, civil service unions, professional associations, municipal leagues	Membership concerns	negotiating contracts, providing information about current events/issues, building membership
	Political action	taking positions on and engaging in political issues
Community groups & organizations Service organizations, neighborhood associations, chambers of commerce, civil rights groups	Quality of life	working to improve the quality of life in the community
	Public safety	keeping streets free from crime helps attract families and businesses, which expands the tax base and strengthens the community
	Economic development	encouraging businesses to expand and grow to create jobs and economic prosperity in the community
	Civil rights	protecting individual rights
	Membership	keeping members informed and engaged in the organization
Private sector interests Local corporations and the foundations they sponsor	Economic development	strengthening the local economy benefits businesses as well as individuals
	Quality of life	creating an environment that attracts a highly skilled workforce and their families
	Public safety	cracking down on crime in the community helps prevent vandalism and crimes against businesses
The media Newspapers, radio, television	Viewership	attracting and keeping readership, listeners, and viewers
	Education	keeping the public informed about the news and events in their community
The public	Public safety	protecting themselves, their families and their communities
	Pocketbook	paying taxes
	Good government	monitoring how well government spends taxpayer dollars

Community groups and organizations

Community groups are comprised of people who want a better quality of life. Service groups (like the Rotary Club, Kiwanis, and the Knights of Columbus), neighborhood associations (like Neighborhood Watch, Crime Stoppers, and D.A.R.E.), and business groups (like chambers of commerce) are natural audiences for justice integration initiatives.

Here you have a group of people who volunteer their time because they believe in something. If you can direct some of that effort towards integration, you can significantly increase the likelihood that elected officials, appointed personnel, and others will be receptive to your case. Grass roots support for your project is a powerful tool in getting the attention of policy makers.

Some community groups may resist integration because they are concerned that an individual's rights may be violated by the sharing of personal information. Others may be concerned about security issues. Each of these concerns needs to be assessed and considered in your plan.

Private sector interests

Corporations and private foundations also have a tremendous interest and the funding to invest in projects that improve their communities' quality of life. These groups want a community that attracts skilled workers and new businesses to strengthen the local economy and provide the tax base needed for top-quality public services. Initiatives that reduce and help prevent crime are likely to be a major priority.

Foundations and corporations gather information from grant applications and requests for funding, as well as employees who live in the community. Foundation boards and corporate executives are also concerned with their image and the projects to which their names are connected. They will make decisions based on what's best for the organization, their employees, and the community.

The media

Media organizations—local newspapers, radio and television stations—are concerned with attracting and keeping readership, listeners, and viewers. Most newsrooms have a staff reporter who covers justice issues, including the court and police beats. By paying attention to how justice issues are presented by each particular media source, you can usually gauge how they might cover stories about justice information integration.

Media organizations get their information from other news agencies, community residents, public officials, public relations agencies, and businesses that hold press conferences and other events. Media outlets decide what stories to cover by analyzing what issues they believe interest their audience and what issues other news organizations are covering. Finding ways to get news coverage in your local area should be a prime concern.

The public

The public may be the most important audience for your business case. Safety—for themselves, their families, and their communities—is of the utmost importance for most people. The public receives information about justice from the news media, television shows, and movies, where the lack of justice integration is rarely shown. For that reason, most people assume their justice enterprise is already integrated. The public will decide how they feel about your initiative based on how they think it will help improve public safety in their community.

**Helpful Tool:
Partisan Analysis**

Tells you the competing interests and conflicts surrounding your integration initiative

Helps you determine the wants, needs, and special interests of groups affected by your project

Outlines the political nature of the project through examination of stakeholders' potential gains and losses, key relationships, who has power, rules of the game, and wild cards

Good for planning how to present your project, collaborating with other groups, and strategizing to mobilize support

Limited by the quality of available information and lack of definitive answers about true interests

(This and other tools for understanding your audience can be found in Appendix A, starting on page 51.)

Many of the groups listed above help shape public opinion. Developing a concise plan on how you will engage these audiences and shape public opinion is of extreme importance. The quickest way to get a policy maker to listen to your ideas is to have the public demand it. Garnering sufficient public support is a complicated task, but one that must be given time and resources.

Know what you are asking of your audience

The business case you are about to put together has one main purpose—to convince key stakeholders to support some new venture in a visible or tangible way. Support might come in the form of financing, public endorsements, shared responsibility, or a deep appreciation of your venture that influences related decisions. You prepare a business case because you want these important stakeholders to think or to act positively on behalf of your integration initiative. You are arguing for integration because you want your audience to *do* something that will help you. Your case needs to include any or all of these specific calls to action:

An understanding of public safety as a complex and interconnected business process

Perhaps no goal is more important than this one in your quest for investment in justice integration. Stakeholders need to see and understand justice as a complex system of many components that influence one another and whose combined effects lead to desired (or undesired) outcomes.

Advocacy

Justice integration planning, design, and implementation are long-term efforts. If those efforts are successful, they will lead to a new way of doing business that will need continued nurturing and attention. Advocates can help bring the issue to the table with other stakeholders, sustain top level attention through long periods of planning and development, help clear obstacles and resolve problems, and carry the message to top political and community leaders.

Agreement to engage in formal coordination

If public safety is viewed as an interconnected enterprise, then coordination mechanisms are the essential connective tissue. When one organization's activities are coordinated with another, some change in both is inevitable. Many forms of coordination are possible, such as an executive committee made up of representatives of the participating organizations or a central staff group charged with coordination responsibilities. The important point is that stakeholders understand and acknowledge that formal coordination is a requirement for successful communication, compromise, dispute resolution, and authoritative decision making.

Funding and other resources

Your business case will seek investments that build integration, instead of funding for separate and discrete efforts. These investments can usually be measured in dollars or staff time. Other needed resources include shared infrastructure such as data or voice networks, space, equipment, and specialized skills. The case will also show how partnerships can multiply the value of existing resources and strengthen the chances of obtaining external funding from grants and other sources.

Desired Responses to Your Business Case

- ♦ An understanding of public safety as a complex and interconnected business process
- ♦ Advocacy for the initiative
- ♦ Agreement to engage in formal coordination
- ♦ Funding and other resources
- ♦ Broad participation, buy-in, and trust
- ♦ Willingness to adopt and abide by standards
- ♦ Planning and patience for a long range effort

Broad participation, buy-in, and trust

Most of the elements described so far pertain to a justice integration case made to executive or elected leadership. In many instances, however, a core group of partners needs to make a case to peers and colleagues within the justice community. In this situation, you will be seeking agreement and participation in the integration planning and implementation processes. These activities form the basis for long-lasting relationships in which trust can develop. Trusting relationships make it easier to make tough decisions, communicate effectively, face problems, and try new ideas. Moreover, executive and elected leaders will likely look for evidence of real consensus among justice agencies as they make their own decisions about support for the effort.

Standards

Standards are crucial to integrated justice information. They represent agreement and consistency or compatibility in data elements, procedures, application design, communications protocols, and computing platforms. Decisions about standards typically require individual agencies or jurisdictions to give up some autonomy and incur some costs to change procedures, train staff, or adopt new equipment or applications. Your business case shows stakeholders how and why the benefits of adopting standards outweigh the costs.

Planning and patience

The complexity of the justice integration enterprise is daunting. Positive results usually require the involvement of many different organizations, or jurisdictions, or levels of government. They entail extensive learning, coordination, and information sharing over an extended period of time. Stakeholders need to understand, appreciate, and commit to work together over a period of years, not weeks or months.

Results of your analysis

This chapter was intended to get you thinking about all of the things that must go into the design of your business case. You should have a better understanding of your integration objectives and opportunities, the strengths in your favor and the constraints you face, as well as the resources needed for integration compared to the resources currently available to you. You should also have a better sense of the audiences for your case, what they care about, and what you want them to do on your behalf. Assessing all of these aspects of your environment will give you a fairly clear picture of where you are, where you want to go, and how to get from here to there.

The checklist on the following page can help you begin to organize the information you uncover as you conduct your business analysis and prepare your business case. The more specific you can be at this point, the more it will help you build and present a strong case.

Checklist of analysis tasks and results

As each of the following analyses is defined, record who is responsible for conducting it and a due date. When it is complete, enter a short description of the result

Analysis needed	Responsible person	Due date	Brief description of result
Business process What is the business process map of our current justice system? What are the problem areas from a system-wide perspective? What are the likely targets for change?			
Goals and approach to meeting them How do we want performance to improve? What changes are needed in policies, processes, and practices to achieve these performance goals?			
Infrastructure and technology What is the current technical infrastructure of each relevant agency? What information technology projects are underway right now in each agency or system-wide?			
Risks and mitigation What are the risks of changing from the current process? How do we avoid, mitigate, or address them?			
Costs and resources What are the costs of achieving key goals and who will cover them? What/who can we leverage for more funding, political support, or economies of scale?			
Alternatives What are some alternative approaches and their pros and cons?			
Support Who needs to support our integration initiative and what are their concerns? What do we want them to do? Who is or could be the "champion" and how do we engage them? Who is likely to oppose this initiative and why?			

2. Designing the argument: Approach, rationale & strategy
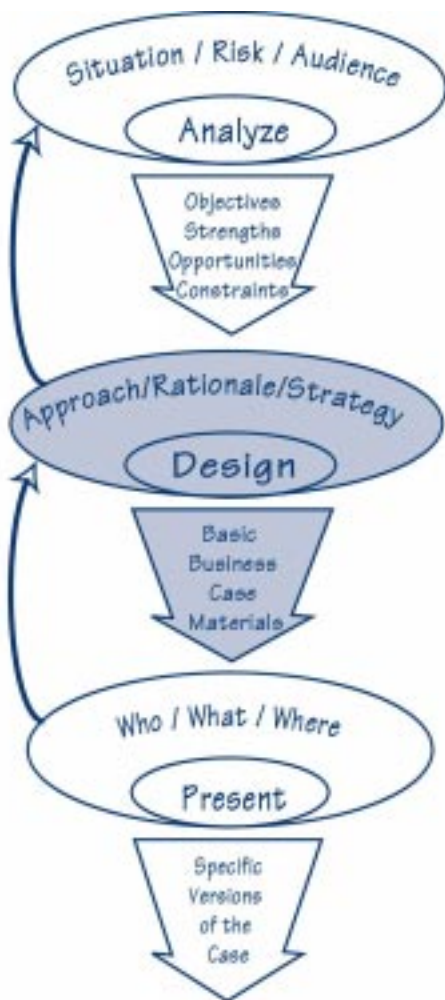
Now that you've gathered all of your data and analyzed your situation, you're ready to pull it together to construct a convincing argument for your project. This chapter will help you design the right approach, rationale, and strategy that will create support for your initiative.

We define a business case as a well-reasoned argument that attempts to convince an audience of the benefits of justice integration while educating them about the changes, costs, and risks that will be part of the effort. The goal of your business case is to inform key players about your justice integration initiative and convince them to support it in some specific ways.

Elements of a business case

This chapter outlines the essential components that should be included in any business case, with comments and references to sources where further information can be found. This design phase, like the previous analysis phase, is comprehensive. The presentation phase, which follows, selects from these comprehensive elements to construct presentations about your initiative that are well-suited to particular circumstances. A strong business case includes all of the following elements:

> **Essential Elements of a Business Case**
>
> Problem statement
> A 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
> A basic plan of work, timeline, and key milestones
> Project management and human resource implications
> Cost estimates and sources of funding
> Opposing arguments and responses

Problem statement

A problem statement clearly defines the problem, need, or opportunity. When developing a problem statement for your business case, the key is to state the problem in terms of public safety. You want to explain how the public is impacted by the inability of justice agencies to easily share information. Find several true stories in your area that illustrate the problem and its consequences for real people. Draw on the process maps from your analysis to show how and why the problem occurs.

A mission statement or vision of the future

Just as an architect has a mental picture of the building she wants to create long before she begins drawing, you must have a vision of how your project will impact the future. This vision of the future can be described by answering the question, "How will things be different here when this problem is solved?" Illustrate how community safety and security will be improved once the problem you currently face no longer exists. Again, make sure to discuss your vision in terms of public safety, not just technology.

Specific objectives

Once you've described your vision of the future, you must define the project objectives that will help you realize that future. While "improved public safety" is an admirable goal, it's too general. You need to express your project goals in specific terms that people will understand. Using the results of your detailed analysis, identify the key aims of your proposed project. State your goals briefly and in plain language, and then elaborate as needed to fully explain them.

Preferred approach to the problem

The next step is to decide how you're going to solve your problem and achieve your vision. Write a brief statement that describes the approach you plan to take.

A complete statement of approach includes the:

♦ problem to be solved and the desired end state
♦ participants and their roles
♦ customers or beneficiaries and how they will be affected
♦ methods and strategies to be used
♦ innovations and other changes needed to solve the problem

2. Designing the argument

Your statement should begin with a sentence or two that conveys the essential elements of your approach. It then addresses those elements in more detail. You need to describe how your project will be managed and the main principles that support the approach.

For example, your statements about the management of the project may focus on the key methods of coordination and decision making. This approach often includes the formation of a coordinating body that represents the many interests involved, helps shape the project, and guides it through the complex world of power, politics, and bureaucracy. Several states have successfully used coordinating bodies to shepherd their projects—North Carolina has a governance board, Washington employs a justice information committee, and Colorado uses an executive policy board. Some states also use a second layer of coordination to deal with the technical issues. Colorado has two such bodies—a technical work group that deals with technical issues and a tactical business work group that tests applications and determines that solutions "work" for users.

When defining your approach, describe the key factors that underlie your choice. For example, you may need to address the following questions:

- will existing systems be retained or replaced?
- will different organizations use the same database or retain and coordinate separate ones?
- will the project start with a prototype or pilot test?
- will all participants fund their own efforts or will a central pool of funds be created?

> **Sample Summary of Alternatives Considered**
>
> **Indiana**
> http://www.state.in.us/isp/safe-t/plan.html
>
> Alternative organizational structures are largely defined by the degree of involvement and how user agencies are represented in decision making. (Alternatives provided are followed by descriptive paragraphs that can be found in Indiana's strategic plan document.)
>
> Alternative #1: Consortium
> Alternative #2: Governor's Council
> Alternative #3: Shared Management

Alternatives considered

Even though you've created the best possible way to solve your problem, there may be some audiences that just won't back your approach. It's important to protect your business case from lackluster support. Detail any acceptable alternative approaches that will achieve your future vision. It is also helpful to describe your decisions about some potential approaches that were considered and discarded.

Sample Summaries of Benefits

McLean County, Illinois
http://www.mclean.gov/sheriff/
ejs_page1.html
We will be one "team" instead of many disparate entities that duplicate much of each others' efforts. We will provide much better service for our citizens while maximizing efficiency throughout the justice system with a cost-effective solution to these problems.

Colorado
http://www.state.co.us/gov_dir/cicjis/
intro.htm#benefits
CICJIS will improve public safety by making more timely, accurate, and complete information concerning offenders available statewide to all justice agencies and to individual decision-makers in the system including police officers, judges, and corrections officers.

Decision-making by increasing the availability of statistical measures for evaluating public policy.

Productivity of existing staff by reducing redundant data collection and input efforts among the agencies and by reducing or eliminating paper-based processing.

Access to timely, accurate, and complete information by both justice agency staff and the public.

Berrien County, Michigan
http://www.search.org/integration/
Daily updates to the on-line court calendar eliminated the weekly printing of 50 hard copies of the court calendar.

Case information collapsed into synopsis form or detailed, as needed.

Data entry carried to associated screens automatically.

Expected benefits

The benefits of solving your problem are an integral part of your business case. People want to know how your project will help them in their business and their community. You should identify and discuss the benefits of change. In the 1999 workshop on *Building a Business Case for Integration of Criminal Justice Information*, participants identified some of the benefits of integrated justice information systems as: reduced costs due to less effort wasted on redundant tasks such as data entry, better decision making at each step of the judicial process due to more accurate and timely information, improved efficiency of case processing, and overall improvement in public safety. While many benefits can be realized collectively, it is also critical to identify benefits that are specific to each of your stakeholders.

Performance measures

If people are going to give you their support, they will want to know that you are delivering on your promises. Performance measures give your stakeholders a concrete way to assess how the project is doing relative to their expectations and identify where improvements are needed. Examples of performance measures include indicators of customer satisfaction, cost-efficiency, time savings, dollar savings, improved conviction rates, and quicker case dispositions. Integrated justice systems certainly have the potential to save money, but they are also expensive, especially in the initial phases. So, it is also important to capture the intangible benefits—such as increased public confidence—as thoroughly as possible. In order to retain support and funding beyond the initial approvals, you should give progress reports against the performance measures established in your business case.

Sample Performance Measures

Colorado
http://www.state.co.us/gov_dir/cicjis/strategic/BENCH.html
Explanations and measures of each item are provided at the Web site.

- Single point statewide inquiries
- Minimize redundant data collection efforts
- Reduce resources required for queries
- Reduce costs of handling paper
- Improve user response time
- Reduce user time spent responding to phone queries

Risks and how they will be addressed

As you discovered in the last chapter, risks are an inherent part of the implementation of any project. And showing your audience that you know the risks, and how to lessen them, is an important part of your business case. State the risks you are likely to encounter on this project, based on your risk analysis, and identify methods for mitigating each one. Explain how the approach you have chosen reduces the risk or at least takes it into account. Anticipate the kinds of questions people will ask about risks and have answers ready based on your analysis.

A basic plan of work, timeline, and key milestones

Like a blueprint that guides construction, a well-conceived plan of work is a critical component of your business case. The plan of work must take into account the existing infrastructure, funds, staff, time constraints, and other changes required to make your vision of the future a reality. The statement about your plan of work should also include a section on efforts to coordinate resources with other information initiatives in the area. Information included in plans of work for many states and counties can be accessed through http://www.search.org/integration/.

Timelines are an easy way to show how long it will take to complete each step of the project. Fill your timeline with important project milestones, which serve as attainable short-term goals, and evaluation points that keep the project heading in the right direction and on schedule. These milestones also help keep people's interest in your project, since it is likely to span several years.

Examples of milestones used in justice information integration projects include: establishing a point of connectivity between agencies, creating a read-only information sharing system and testing it, putting together data standards, testing a new technology in pilot studies, and performing interagency transactions. Think about how you will demonstrate the achievement of each milestone as it occurs and let people see all that you have accomplished with their support.

Project management and human resource implications

All the planning and support in the world won't make your project succeed unless you have a key person running the show and the right people working on the effort. A project director is necessary to take responsibility for the project, manage the activities, and direct the staff. Your project director must be capable of implementing the project effectively, and be acceptable to all parties involved in the effort. The qualifications and responsibilities of the project director must be carefully described in the business case.

Pay special attention to the "people" components associated with your initiative. Explain how you will deal with the general shortage of IT professionals and the fierce competition for skilled people posed by the private sector. Describe how existing staff in every specialty will be prepared for changes by orientation, training, peer consulting, or other methods. Identify functions that are likely to be outsourced or handled by consultants and explain how they will be managed.

Cost estimates and sources of funding

Anyone evaluating your project proposal will have lots of questions about it, but the two questions you may hear most often are: "How much will this cost?" and "Where will the money come from?" An evaluation of costs and benefits is essential information to provide in your business case. Cost statistics can be obtained from historical data such as budgets or spending records, feasibility studies, an outside consultant, or other agencies that have attempted similar projects.

A cost-benefit analysis can be as simple as comparing costs and projected benefits. Or, you can use more detailed financial models. Whatever you choose, the results have to be convincing enough to persuade those evaluating the case to approve funding or lend their support to the initiative. Your cost estimates should cover all elements of the project: human resources, technology, consulting, training, physical plant changes, and so on. The analysis must also assess the impact of ongoing costs, such as training and maintenance, and related activities.

Project Management Examples

Washington
http://www.wa.gov/dis/jin
Web site contains agendas and meeting minutes from various committees working on the integration initiative.

Kentucky
http://www.state.ky.us/agencies/ucjis
Web site gives an overview of the Kentucky project management and implementation activities.

Pennsylvania
http://www.state.pa.us/Technology_Initiatives/jnet/summary.html
Web site describes the phased approach the state is using in establishing their system.

New Mexico
http://www.unm.edu/~isrnet/cjimt/
Web site provides the following information: Project Plan and Charter.

Samples of Summary Cost Estimates

Alaska
http://www.integration.search.org/Alaska/AKStrategicPlan.pdf
For each of these (CJIS) initiatives, a series of tactical projects have been identified by the participating agencies. These projects support each initiative in attaining the future vision and have been scheduled throughout 2003. The overall budget and year-by-year expenditures are outlined in Alaska's strategic plan, which can be found on the Internet.

Kansas
http://www.kbi.state.ks.us/
A combination of federal, state, and local sources are funding the $10.124 million CJIS Strategic Plan. These sources have currently been able to contribute approximately 80 percent of the total funding requirements. An additional $708,100 is estimated to become available from future federal funding sources. This leaves the project with an estimated $1.9 million funding shortfall as of August 1, 1997.

Securing funding for your project is likely to be a complex and creative process. While there are several state and federal sources of funds for justice information integration efforts, (including significant funds from the Office of Justice Programs http://www.ojp.usdoj.gov/fundopps.htm and its bureaus) you are unlikely to find one single source of funding for your project. A multiple source funding model will allow you to accomplish your goals. Making your case to several "funders" and assembling a mix of resources is probably your best road to success and may also help ensure the long-term viability of the project.

Opposing arguments and responses

In addition to all the questions you'll hear, you're likely to face some opposition to your project when you present your business case. Your earlier analysis that identified points of contention and alternative ways of looking at the issues will help you prepare to defend your decisions. Expect those issues and alternatives to be raised by one audience or another. Anticipate their reactions and be prepared to respond to them in as positive a way as possible. Have solid data to back up your position and show how the advice of recognized experts or the experience of other jurisdictions supports your project. You should also listen carefully to the concerns and be willing to hear new ideas that might improve your plan.

Resulting business case materials

Now you know more about the essential elements of any business case, are armed with a set of tools and resources, and have put some thought into your own plan. It's time to set up the drafting table, put pencil to paper, and design a comprehensive business case for your project. The following checklist will help you verify that you have all the information you need to make your case to key audiences. The next chapter will build on your analysis and design and show you how to present your argument to a variety of possible audiences. The checklist will help assure that all the building blocks are prepared.

Checklist of building blocks for your business case

Have you produced all of the following business case building blocks?

✓	BUILDING BLOCKS
	A brief, compelling, public safety-oriented problem statement
	A mission statement or vision of the future that addresses the problem
	A description of the specific objectives of your integration project
	Measures that will demonstrate improved performance or progress toward each objective
	A description and rationale for your preferred approach
	A set of alternative approaches that were considered and how they would or would not work
	A statement of the benefits of your initiative that addresses the concerns of all relevant stakeholders
	A statement of the likely risks of your initiative and how they will be addressed
	A basic plan of work with a timeline and key milestones
	A project management plan and names and roles of key managers
	Cost estimates and potential sources of funding
	Opposing arguments and your responses to them

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3. Presenting your business case: Audience, focus & method
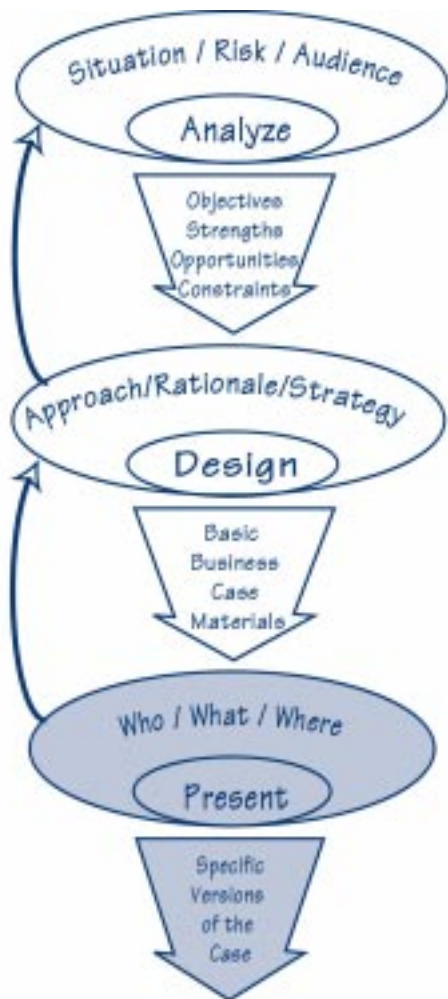
The analysis is complete. You have all your facts and your core message. The business case basics are prepared. Now you need to get ready to deliver it to key audiences. Just as different audiences have different concerns or areas of emphasis, they also have different ways of interacting with others. This chapter offers advice about ways to approach these key audiences, get on their agendas, and take advantage of opportunities to make your case. These recommendations complete the three-phase architecture of your case. You are now ready to customize your basic message by focusing on selected elements of the case that you know interest or concern specific stakeholders, and by deciding what medium and venue will best enhance the delivery and reception of your message.

Your aim now is to get integration on the agenda of all your audiences—public officials, justice professionals, community organizations, the media, and the public. Right now, many of these groups don't have a concrete understanding about what justice integration means. By presenting your business case, you will educate key members of your community about your integration initiative and how it will improve public safety. This is your opportunity to turn your business case into support—in the form of funding, staffing, advocacy, and energy—from various segments of your community. Be cautious, though, not to over promise—nothing will short-circuit your project faster than not being able to deliver on public commitments.

Understanding the political culture of your community is important here. Your audience analysis should have shown how political decisions are made, who is likely to make or influence them, and how to get access to the decision process. If the prevailing political culture puts a premium on public meetings, then a "knock-out" public presentation may be in order. If a crucial decision maker establishes a position on an issue by studying it herself, then you need time to talk with her. If she relies on staff to gather and assess information, then you need to find the person who plays this role and sell him on the issue.

Remember that your good idea is competing with other good ideas that come from constituencies, elected officials, and decision makers from all political parties. That's why it is important to brief representatives from all political parties to ensure the project gets early bi-partisan support. If certain members of your partnership have more credibility with certain decision makers, then have them carry the message. Word of mouth is an under-appreciated, but often powerful, marketing tool. Encourage your audiences to talk about the integration initiative in the community. That's how a grassroots movement gets started. The informal networks among many justice professionals and community leaders provide fertile ground for building support for integration.

But first, here are a number of tips that will help you get the message out there so it can grow.

Getting on the calendar

Lessons from kindergarten apply here. It is important to build good relationships with people you are working with. A pleasant, professional demeanor and good interpersonal skills will boost your attempts to get your presentation on the calendar. Here are some practical tips that will help you schedule your presentation with different stakeholders.

Elected officials and policy staff

The schedule keeper is your key resource for setting up a meeting with an elected official or key policy advisor. Call to schedule a meeting a week or two in advance. Be prepared for questions about what you would like to talk about, the group you represent, and who would be attending the meeting with you. Once your meeting is set up, you may want to fax or e-mail a brief fact sheet and a list of people who will be attending.

While most constituents want to meet personally with the elected official, it's often just as important to meet with the policy advisor or budget staff member who works in a particular issue area, like criminal justice. These individuals have the expertise in your area of concern and the necessary access to advise the elected official on the best course of action. Often the appointed staff forms a policy maker's opinion on any given matter. Thus, your ability to shape the staff's views on a subject may matter much more than a brief meeting with the elected official.

Justice professionals

The support of justice professionals is imperative to the success of your integration efforts. After all, they are the ones who will be asked to adapt their way of thinking and working for the new system. Change is difficult. If they aren't sold on the idea of sharing information among their various agencies, then the project will be a long and hard uphill battle.

One good way to formally present your case to justice professionals is at professional organization or union meetings. This is where your champion from the justice system will be particularly beneficial. Ask your champion to approach the association or union leadership with the idea of integration and suggest having the business case presented at an upcoming meeting.

Justice professionals also receive publications from the various organizations to which they belong and these may be good outlets for presenting your case. For example, judges, prosecutors, and defense attorneys belong to the State and American Bar Associations. Police and correctional officers may belong to unions and be part of the National Association of Police Organizations or the American Correctional Association.

Community groups and organizations

As discussed in chapter 2, there are several groups in your community that meet regularly to discuss quality of life issues and current events. Some groups, like Neighborhood Watch, Crime Stoppers, and D.A.R.E., are natural audiences for justice initiatives like integration, and they often invite guest speakers to their meetings.

Contact the president or one of the leaders of the community organizations you wish to speak to, give them a brief overview of what your business case is all about, and tell them you'd like to speak at one of their meetings. These groups can help you market your business case in the community by participating in events and building the grassroots network. Give them an opportunity to be involved in the process, and they will be much more likely to invite you to address their membership. It's important to involve these groups on an ongoing basis—their support and encouragement will be needed throughout the project.

The news media

The most effective way to deliver your message to the widest possible public audience is through the news media. There are many ways to try to get your integration initiative into the press, including press advisories, press releases, letters to the editor, and press conferences.

Before you reach out to a local editor or news manager, there is one thing you should know about public relations. When you bring the news media into your project, there is no way to be sure that your publicity efforts will produce the message you're trying to get across to the public. There are ways, however, to improve your chances of success.

- ♦ **Cover your bases**. Reporters like to balance every story and some like to create tension, so they may go out to find a source that will contradict your business case. If you present integration as a win-win-win situation, then that leaves little room for opposition.
- ♦ **Provide a list of sources**. If a reporter is looking for a source with another perspective on integration, point them in the direction of a champion or respected community leader whom you know supports your initiative.
- ♦ A**nticipate opposition**. Reporters are accustomed to playing devil's advocate. Anticipate the questions and problems they will raise, like "Why aren't justice professionals already sharing this information?" or "With the projected budget deficit, where will the money come from?" Be ready to provide answers or solutions for each one.

Presenting your business case

It's an old Boy Scout saying, but particularly true here: be prepared. Once you get on the agenda, you need to do your homework. By doing some research on the Internet, in the public library, by looking through a legislative directory, or reading newspaper clippings, you can discover a number of things about your audience before you walk into a room to make your presentation. Your presentation should address the concerns that they may have with public safety in general and with your integration initiative in particular. Table 3 summarizes the kinds of presentations that are well suited to each kind of audience.

♦ If you are meeting with an elected official, you should know his political party, the committees he sits on, his occupation, and the justice governance structure in his district.
♦ If you are meeting with a specific justice agency, you should have a good understanding of its day-to-day operations and what its role would be in the integration project.
♦ If you are presenting to a community organization, ask what types of projects the group has sponsored in the community and request a list of recent speakers.
♦ If you are trying to get your story picked up by a media outlet, you should have a good understanding of how it covers stories in the justice system and how it feels about spending on government projects.

One good way to know that you are fully prepared is to ask yourself questions you think your audience will ask. Put yourself in their places and look for gaps, mistakes, confusion, past experiences, and points of view that could lead to questions about your idea and its feasibility.

Meetings

When planning the meeting be sure you know who will participate, who will speak, what they will say, what you want to accomplish, what specific actions or decisions you want from the official, and any other important issues. Create and send an agenda to all participants, and plan to arrive at the meeting place with enough time to set up and become familiar with the meeting room. Be sure to brief all those who are attending the meeting with you about their roles and what you expect them to do.

Assume you will only have a few minutes to present your case. It is important to give a brief overview of your case, highlighting the problems, solutions, and benefits associated with justice integration. The details of your case—the perceived risks and the nuts and bolts of your initiative—should be included in the printed materials you leave behind. Be prepared to answer those questions in case they come up during your presentation. Have someone in your group record the comments and questions raised, and the main points of the discussion.

Computer-enhanced presentations

Regardless of the technology you use, keep your presentation simple and direct. Again, you must know your audience and prepare your presentation around its concerns. It helps to have an outline from which to build your slides. One general rule to follow when creating your slides: less is more. Screens crowded with words or special effects are difficult to read. Stick with one typeface, or two at the most. Make your key points with simple, short bullets. Be sure to carefully test the computer and projection equipment at the presentation site if possible. Have backup equipment or media available, since technology glitches can occur at any time.

TABLE 3: PRESENTATION METHODS FOR DIFFERENT TARGET AUDIENCES		
AUDIENCES	PREFERRED DELIVERY METHODS	SAMPLE STRATEGIES
Elected officials and policy advisors	**Presentations**	you may have the opportunity to address a legislative committee or a group of elected officials
	Meetings	elected officials and/or their staff members may prefer to meet in their office or a conference room; the meeting is likely to be short
Justice professionals	**Presentations**	at regularly scheduled meetings of professional organizations, associations, unions, and groups of justice representatives
	Informal networks	actively encourage justice professionals to talk about integration to their friends and colleagues
Community groups	**Presentations**	at their regularly scheduled membership meetings
	Informal networks	actively encourage community group members to talk to family, friends, and community residents about the benefits of integration
Private sector interests	**Presentations**	you may have the opportunity to present your business case to a foundation board or a group of executives
	Meetings	corporation or foundation presidents may prefer to meet in their office or a conference room
Local and regional news media and the public	**Press conferences**	creating newsworthy events for your business case and integration initiative
	Press releases	announcing newsworthy events
	Op/Ed (opinion/editorial) articles	enlisting community leaders to write articles that appeal for public support for integration
	Letters to the editor	writing clear and brief letters highlighting key points of the business case
	Editorial board meetings	meeting with newspaper editorial boards to present and discuss your business case for integration
	Radio talk shows	one of the most popular vehicles for delivering news, community issues, and current events
	Video	can be used to supplement your presentations and meetings, and they can be sent to audiences you don't have the opportunity to personally visit
	Web site	the anytime, anywhere character of the Internet will help you put your business case before more people
Advertising media	**Public service announcements**	licensed media outlets are required to print or run a certain number of advertisements publicizing nonprofit community groups and public issues
	Public transportation billboards	billboards and poster advertisements on subways and buses often give good return for your advertising investment
	Print ads	in newspapers, magazines, and community newsletter may help you leverage news stories for your initiative

Be yourself and be enthusiastic about integration. Think of your delivery as a communication with your audience, rather than a presentation to the audience. Make eye contact with the members of the audience instead of looking at the overheads. Speak clearly and at a pace somewhat slower than normal conversation. Let your confidence, conviction, and support for integration show through—it will be contagious.

Press conferences

A good press conference takes a lot of effort, but if it is done well the dividends are worth every minute of planning. The first thing you will want to do is pick an optimum location for your event. Strong visuals play a vital role in whether or not your story gets covered on television, and how much time and attention it will receive. For example, you may want to consider the front of a courthouse with police cars on either side of your podium to highlight the public safety and justice aspects of your initiative. But be careful to make sure your vision is practical. If the courthouse is on a very busy street and there is no way to get police cars near your podium, then rethink your plan. There are other visuals that will be just as effective. You will also want to hold your press conference on a day and time that will allow the most reporters to attend. Conventional wisdom indicates that press conferences to trumpet initiatives are best scheduled earlier in the week and during morning hours. Stay away from weekends and avoid times when other public or newsworthy events are already scheduled. Check with your press office or some other local public relations professional to find out more about the media climate in your area, so you can make an informed choice about when to hold your press conference.

Next, line up a number of key supporters or champions to stand with you as you present your case. If they plan to say a few words during the event, now is the time to plan the order of the speakers and identify what they will say.

A day or two before the press conference, fax a one-paragraph press advisory to the news media. Your advisory should give the time and place for the event, and a brief sampling of what will be covered. It is important to give enough information to make an editor or reporter want to cover the event. You may want to highlight the supporters who will be at the press conference if it will help attract media. Also be sure to provide a contact name and telephone number for reporters to call if they have questions. Before you fax the advisory, make sure your fax records are up-to-date so that all the right people are notified.

On the day of your press conference make sure your podium is set up properly. Decide where you want the press to sit or stand. If you are using a sound system or microphone, make sure it works. If you are not, make sure all attendees will be able to hear you. Provide information packets with your printed remarks and all the supporting material so the reporters will have something to work from when they develop the news story later in the day.

Editorial board meetings

If there is enough interest in the media and your efforts are building momentum in the community, you may want to set up a meeting with a newspaper editorial board. This meeting will provide you with the opportunity to thoroughly present your case to a captivated press audience and has the potential to create news stories, editorials, and an overall increased awareness of your integration initiative.

Ride-alongs

Having a reporter ride-along or shadow a justice professional can provide a great opportunity to highlight information sharing problems in a real time, real life way for the public to see. But before you ask a reporter to do a ride along with a law enforcement officer or to accompany an assistant district attorney to the courthouse, make sure all the necessary supervisors, managers, and decision makers have given their approval. As with your press conference, a ride-along has to be well planned so unexpected events don't undermine your message.

Opinion/editorial (op/ed) articles

Local newspapers often provide space for community leaders to voice their opinions on topics. An op/ed piece provides an avenue to clearly present an argument for integration and back it up with the facts. An op/ed piece will be most effective coming from a recognized leader in the community. Therefore, you may want to ask your champion to write, or lend her name to, the article. A published op/ed piece is a good addition to the press packets and printed materials you use as you continue to market your business case.

Letters to the editor

Letters to the editor can help increase awareness of integration and keep it fresh in readers' minds. Letters to the editor should be brief, and they should cover the main themes of your message that need to be repeated often to take hold with the public.

Press releases

Newsrooms receive dozens of press releases every day, so they should be reserved for newsworthy events. A press release can be used to announce key milestones in your integration effort, such as the support of a new champion, the introduction of legislation, the receipt of funding, or the implementation of the project. Press releases should include the details—the who, what, where, when, why, and how—of your story and a contact name and number for reporters to call if they have questions. Press releases should be kept to one or two pages.

Articles for specialty publications

Professional publications like union newsletters or association magazines provide a captive audience for your business case. These publications look for articles on current events affecting their members, and integration fits that category.

FREQUENTLY ASKED QUESTIONS

Experienced justice professionals, elected officials, and public policy leaders say you can expect any of the following questions when you present your business case. Can you answer them?

- What is integration?
- Why is it important?
- What are the risks?
- What are the benefits?
- How will this improve the justice system?
- What exactly is the problem? How can it be resolved?
- What are the long-term vision and goals?
- What is the time frame for completing the project?
- How long will it take to see results?
- Can you define the scope of the project?
- What are your milestones for showing progress?
- Who will manage this initiative and how?
- Who else supports this initiative and why?
- Who is against it and why?
- Are all the participants on board?
- Where has justice information integration been successful?
- Does legislation need to be written to accomplish integration?
- Can you specify the policy hurdles?
- What levels of government will it affect and how?
- In view of data privacy laws and issues, how much and what kind of information should/can be shared?
- What does the Mayor think about this initiative?
- Where does integration fit in with the Governor's crime-fighting agenda?
- Have you been to see the City Council yet?
- Does the County Executive know this is going on?
- What role will the Attorney General play in this initiative?
- Is the Chief of Police on board? How about the Sheriff?
- Has the Senator promised to support integration?
- Has the Chief Judge made a statement?
- Are the judges on board?
- How do the officers on the street feel about this?
- How much will it cost and where will the money come from?
- Didn't we [your audience] fund this already?
- Isn't a bureaucratic empire being built by this initiative?
- What about the millions of dollars we've already invested in justice in the past several years?
- What other funding is available? How are you pursuing it?
- What is the Total Cost of Ownership (TCO)? (building, maintaining, training, etc.)
- What will be the Return on Investment (ROI)?
- What are the true total costs?
- Is there a way to share the costs?
- What do you want me (your audience) to do?
- How will this project help achieve other policy goals that I (your audience) care about?

What to leave behind or send later

Information packet

Whenever and wherever you present your business case, leave behind an information packet so the audience has something to hold on to and refer to long after the meeting. It should contain a brief summary of your main points along with more comprehensive information for further reference.

When putting together the printed materials you plan to leave behind, keep in mind that most people in your audience are deluged with information every day. Your packet should be visually attractive, easy to read, include only relevant facts in a clear and concise manner, and be free of any grammar and spelling mistakes that would detract from your message. You want to include information that will help the reader justify supporting integration, such as news stories and editorials, a cost-benefit analysis, and proposed legislation or memorandums of support.

Thank you

A simple thank you letter goes a long way toward building a good relationship with the person or group you've just addressed. It will also help to keep the issue of justice information integration in front of a key decision maker. In your thank you letter, be sure to briefly restate the issue and relate any progress that has been made since your meeting. Give a name and telephone number that the elected official or a member of her staff can call if they have any questions or need additional information.

Meeting notes

Soon after the meeting send all participants a copy of the meeting notes, including any next steps to be taken.

Other methods for marketing your case

The Internet

The Internet can help you present your business case to all of your audiences—the public, justice professionals, the media, and elected officials—24 hours a day. The anytime, anywhere character of the Internet allows your case to be available to more people all the time. You can include much more information on a Web site than would be feasible in a handout or information packet, so be sure to include your Web site address in all your letters and printed material.

Practically anything you need to know about using the WWW or developing Web services is readily available to you on the Web itself. You can easily find and take advantage of white papers, tutorials, style guides, discussion groups, software, indexes, search tools, and many other resources. Perhaps most valuable is the ability to find and explore applications that other organizations have developed to meet objectives similar to yours.

Like all other forms of human communication, a good Web site is a combination of art and science. Effective Web sites combine a clear purpose, thoughtful organization, substantive content, interesting graphics, good writing, and ease of navigation. Before you try to design a Web site for your organization, take a look at what other integration efforts are doing on their Web sites. One example is Colorado's Integrated Criminal Justice Information System at http://www.state.co.us/gov_dir/cicjis/, another is Kansas' Criminal Justice Information System at http://www.kbi.state.ks.us/. There are several other examples listed on page 81. Check them out and decide how your Web site can best present your business case on the Internet.

Videos

Producing a top-quality video can be an expensive proposition, but if you have the resources it can be a helpful addition to your marketing efforts. Videos can be used in many ways: as part of your presentations, to be sent to audiences with whom you are unable to schedule meetings, and to be sent to local television stations as public service announcements or to supplement newscasts.

Using a video to promote your business case will provide viewers with strong visuals that show how integration will benefit the justice enterprise. Like a ride along, a video can provide a great opportunity to visually highlight how information sharing problems affect public safety. A video also personalizes the argument by presenting situations and people that viewers can connect to their own lives. And since you manage production of the video, you have much more control over the presentation of your message than with a TV story.

Next steps

This chapter provided you with a guide to creating your business case message and choosing when, how, and to whom it is presented. Your next step is to deliver your argument to the decision makers, leaders, and supporters you need to make your integration initiative successful. The following checklist will help you prepare your business case presentation for any audience.

PLAN FOR PRESENTING YOUR BUSINESS CASE

For each audience prepare a separate presentation plan that answers all of the following questions.

Audience:

Date:

Location:

Time:

QUESTION	ANSWER
What are the key public safety concerns of this audience?	
What public safety activities do they engage in today?	
Who should I call to set up a meeting or presentation?	
What logistical preparations are needed for this meeting or presentation?	
Who should I invite to the presentation/meeting?	
What role will each person play?	
What materials do I need to provide?	
How, when, and with whom should I follow up?	

Conclusion

This Guide has provided you with tested strategies that can help you build and present an effective business case. The appendices that follow provide tools and references that will help you determine what's best for your situation.

In order for your integrated justice effort to succeed, you need the participation and support of a number of different people in your justice and political communities. An effective business case will help you build support and encourage participation. It will help you persuade lawmakers to fund your project, promote grassroots activity among justice professionals, and educate the public.

The business case you develop is an extension of your ideas, as well as those of the group that designed your initiative. The resources that go into your case—the time, the funding, the staff work, and the personal energy—reflect your dedication to a vision of integration. It's important to let that dedication show through every time you present the business case. If you believe in the vision and have done your homework, your audience will see your care, commitment, and enthusiasm, and be much more likely to understand and support your efforts.

Appendix A. Tools for creating a clear & compelling case

This appendix is adapted from The Center for Technology in Government's *Making Smart IT Choices.* Here we describe a variety of tools, techniques, and methods for gathering, analyzing, and organizing the information that comprises the content of your justice integration business case. Although the tools are presented in groups that deal with the same general business case topic, individual tools or techniques will be useful in more than one area.

To get the most out of the tools, think of them as general methods that may be applied at more than one stage of business case planning and development. It is sometimes helpful to have expert assistance for some of the more technical tools, but none of these *requires* an expert consultant.

Step-by-step explanations on how to use these tools are presented in *Making Smart IT Choices*, which is available in electronic and print versions. You can access the handbook on the Internet at www.ctg.albany.edu/resources/smartit.pdf. The print version can be ordered by calling (518) 442-3892 or writing to The Center for Technology in Government, University at Albany, State University of New York, 1535 Western Avenue, Albany, NY 12203.

TABLE 1. HELPFUL ANALYTICAL CASE-BUILDING TOOLS		
TYPE OF ANALYSIS	TOOLS	PAGE
To know where you are today Assessing your current situation and comparing it	Environmental Scanning Self-Assessment Current/Best Practices Research Benchmarking News Analysis	42 43 44 45 46
To know where you want to go Articulating a vision and choosing specific objectives	Hopes & Fears Exercise Visioning Strategic Framework Consensus Building, Collaboration, & Decision Making	47 48 49 50
To know the market for your ideas Identifying and understanding your audience	Positioning Charts Stakeholder Analysis Partisan Analysis	51 52 53
To know how to get from here to there Identifying and evaluating options	MAU Models SWOT Analysis Cost-Benefit/Cost-Performance Analysis Risk Analysis	54 55 56 58
To know how to organize your argument Prioritizing and planning	Prioritizing Methods Strategic Planning Methods	59 60

Tools for assessing your current situation & comparing it to others

Environmental Scanning

Organizations use environmental scanning to monitor important events in their surrounding environment. It is a way to answer the question, "What's happening in my environment that will affect my future?" Scanning involves identifying the issues and trends that have important implications for the future. The scanning includes analysis of the information about these issues and trends to assess their importance and determine their implications for planning and strategic decision making.

What is it?

Discover emerging trends of strategic importance. Scanning is different from ordinary information gathering in that it is concerned primarily with the future, emerging trends, and issues that have strategic importance for your organization.

Gather information from variety of sources. It involves gathering information from publications, conferences, personal and organizational networks, experts and scholars, market research, and any source that appears to be useful. Organizations may have formal, continuous processes for scanning, with a permanent unit of the organization responsible. Or the effort may be episodic and organized in an ad hoc manner.

Analyze data for planning purposes. Simply gathering the environmental data is insufficient. It is also necessary for you to interpret the data correctly and make it useful for planning and decision making.

What is it good for?

Take advantage of opportunities. Environmental scanning can help capitalize on emerging opportunities. It can be an important part of strategic planning by helping you shape strategy to better fit emerging conditions. When asked his hockey strategy, Wayne Gretsky is reported to have said, "I just skate to where the puck is going to be."

Anticipate developments to avoid costly mistakes. Scanning also helps avoid costly mistakes by helping planners and decision makers anticipate new developments. This is particularly important in any planning that involves information technology, since the capabilities and costs of IT are evolving at a rapid pace.

Some limitations and considerations

Level of resources required. It's hard to judge the appropriate level of resources to devote to environmental scanning. Where environmental conditions are turbulent and full of potentially significant changes, large amounts of resources may be justified. Even with large efforts, there is no guarantee that some wholly-unanticipated event will cause serious problems or present a great opportunity for which you aren't prepared.

Interpretation an inexact science. More importantly, the interpretation of trend information and forecasting is an inexact science at best. The farther into the future a scan probes, the more careful you must be with the interpretation.

Self-assessment Tools

Self-assessment tools include a wide range of methods to gather information about a current situation or performance. They are designed to answer the question, "How are we doing?" These tools range from something as simple as a newspaper survey asking readers to rate their knowledge of the Internet to the kind of year-long institutional self-assessment procedures used in hospital accreditation. The essential element in all these tools is they recognize that many kinds of assessment questions are best answered by the person or group being assessed. In some cases, only the people themselves have access to the necessary information, or the collection and assessment procedures would be far too intrusive or expensive for an external agency to perform.

What are they?

Self-administered questionnaires. The simplest form of self-assessment is a self-administered questionnaire or test. In order for the assessment to work, the questions must be sound and the participants must understand the criteria and provide valid responses. The answers are usually accompanied by an answer key and information on how to interpret a score.

Informal evaluations. For informal self-assessments, such as the newspaper variety, neither the questions nor the resulting interpretation scales have any particular scientific basis, and are at best rough guides. More comprehensive self-assessments and accreditation procedures usually involve the participation of those being assessed in setting and reviewing goals. In the typical institutional assessment, the evaluation criteria are a mix of external standards developed by the accrediting body combined with the institution's own goals and criteria. So, establishing and reviewing goals is a part of the self-assessment process.

What are they good for?

Performance evaluations. If well designed, self-assessment can be a highly efficient kind of performance or status evaluation. The main cost of the process is the development of valid assessment tools and procedures. Once developed, the tools may be used repeatedly without the need for outside intervention.

Do-it-yourself. The kinds of information called for by the assessment tools may be quite extensive and complex to assemble. And the kinds of internal deliberations involved in institutional self-assessments require considerable staff time. But they avoid the costs of external consultants and analysts.

Build consensus, morale. The deliberative processes in setting goals and reviewing performance can have positive effects on the organization by building consensus, enhancing morale, and increasing understanding of operations.

Screen for problems. Self-assessment instruments can also be efficient screening devices to identify possible problems or areas for further attention. Self-administered surveys are often used in organizational development work to identify these areas and issues.

Planning tool. Self-assessment can also be used as a planning tool. One of the key planning questions to be answered in justice information integration is, "Where do we stand in terms of overall integration?" Your plan should be based on the most accurate possible assessment of past progress and the current status of integration efforts.

Some limitations and considerations

Hard to validate. Self-assessment tools are difficult to validate. The fact that they produce a measurement or evaluation result does not mean that it is accurate or meaningful. Interpretation must be done with careful attention to the validity of the tools and how they were used.

Distorted results. Those involved in the self-assessment can distort the results a number of ways. They may deliberately provide false or misleading information to promote their own interests: provide inaccurate data due to their own biases, faulty memories, or flawed perceptions; be unduly influenced by others in the process, either deliberately or inadvertently. And the data sources on which the assessment is based may themselves be of low quality.

Bias of the tools. The tools themselves could be badly designed or insufficiently tested, or there may be accidental but serious flaws in the information produced. The assessment tools could be deliberately designed to favor a particular point of view or desired outcome.

For more information

The Why EDI Guide for Small and Medium-Sized Businesses (1995). Montreal: EDI World Institute.

Strategic Planning Process Self-Assessment Questionnaire for Federal/Government Agencies. http://www.strategicfutures.com/articles/stratpln/gov/quesgov.html

Building Smart Communities (1997). San Diego, CA: International Center for Communications, San Diego State University.

Current/Best Practices Research

Often, you may find that your business problem has already been dealt with, in whole or in part, by other government agencies, private and non-profit organizations, or academic researchers. Identifying and evaluating these solutions are important early steps in your project planning. There is an abundance of information and expertise in the IT community, as well as elsewhere in the public sector, that can contribute to solving problems that are common to similar organizations. In particular, there is a great deal to learn from those cases where things did not go as well as expected. Best practices research involves learning both what works and what does not work, based on the relevant experience of others.

What is it?

Find various solutions. Best practices research involves identification and consideration of various solutions to the problem, or the components of the problem, that a project is intended to address.

Learn from others' success and failure. Such research may take different forms, but the ultimate goal is to learn from the experience of others so you can avoid "recreating the wheel" or replicating the mistakes of others.

Early project task. Best practices research should be conducted during the start-up phase and continued over the life of the project.

What is it good for?

Understand the problem. By finding out how other organizations tackled a similar problem, you can develop a better understanding of your problem from multiple and varied perspectives.

Find potential solutions that have already been tried. You can identify individuals and organizations that have solved, or tried to solve, problems similar to yours. You can learn from their experiences and gain feedback on your proposed and ongoing project activities.

Identify methods and resources. Use this tool to identify methods and mechanisms for evaluating IT solutions. In addition, current practices research is an effective way of identifying sources of relevant technical expertise and technology.

Classify all parts of the problem. By identifying all relevant components of a problem, you can avoid the trap of "treating the symptoms" of the problem instead of the problem itself.

Some limitations and considerations

Assumptions about others' work. When gathering data about other organizations' solutions, you must make assumptions as to the appropriateness or relevance of their experiences to the problem you're facing.

Reliance on published data and people's memories. In order to get information about current and best practices, you must rely on published reports and recollections of people involved in those projects. This can limit the scope of your research.

No one wants to discuss failures. Organizations and individuals are more likely to share stories about their successes than their failures. But both kinds of stories can provide valuable information.

Benchmarking

In benchmarking, you compare yourself to the best known example of how some other organization creates a product or service. The "best practice" provides a reference point against which to evaluate your own performance.[2] For example, if a county jail wanted to evaluate its recordkeeping procedures against a benchmark, it might investigate the fastest or most efficient examples across all county jails and take the best as the benchmark. Such a benchmarking framework has the advantage of using organizations that are similar in mission and basic technology. However, such a narrow framework might result in missing important lessons or improved methods to be found by a wider view. You may want to look outside your own "industry" for better examples. When Xerox Corporation wanted to improve its order fulfillment process, it did not use another copier company for a benchmark, but instead used LL Bean.

What is it?

Select an appropriate benchmark. Identifying and selecting the appropriate benchmarks is a critical part of the process. The news media, professional publications, and competitions are good ways to identify possible benchmark candidates.

Compare yourself to the best. Organizations that develop effective innovations and approaches to a particular problem typically publicize it. Most professional organizations and many publications sponsor annual competitions for best practices and noteworthy innovations. There are also databases of benchmark and best practice information for the public sector (see Keehley et al. below).

Requires consensus and support from team. Selecting the benchmark also requires consensus and support within your organization. In addition, you may have to establish a partnership with the benchmark organization.

Thorough analysis and understanding of business process. You need a thorough analysis and clear understanding of the business process and/or product to be evaluated. Without it, the lessons or innovations revealed by using the benchmark may be missed or misapplied.

What is it good for?

Learn how to improve efficiency and performance. The central benefit of good benchmarking is learning how to improve efficiency and performance. Benchmarks achieve their superior performance by innovative, often highly creative ways and offer rich opportunities for learning and gaining new perspectives. These new ideas, perspectives, and techniques can be learned through benchmarking much more efficiently and quickly than by self-study alone, formal research, or evaluation projects.

Take advantage of other group's investment. By using another organization as a benchmark, you're benefiting from its considerable investments in research, testing, training, and experimentation. Use the knowledge you acquire to help avoid mistakes and achieve higher performance.

Information sharing and collaboration. Benchmarking also involves information sharing and potential for collaboration. The process may start an ongoing exchange of performance ideas and innovation among organizations, providing greater opportunities for performance improvements.

Positive publicity and recognition for participants. Successful benchmarking efforts can also lead to public recognition for the participants. The potential for performance gains can be substantial, resulting in opportunities for increased public support and rewards.

Some limitations and considerations

Once-in-a-lifetime experience. The outstanding performance of the benchmark may be due to special circumstances or factors that you can't replicate.

Lack of good information. Locating adequate information about the benchmark may be difficult because of proprietary restrictions, poor documentation and recordkeeping, or lack of cooperation from the benchmark creators.

Can you live up to this standard? The high standards and great success of the benchmark organization can raise unrealistic expectations among your project participants.

Need solid support and good resources. Trying to replicate the success of the benchmark requires political support and consensus within your organization. In addition, you need adequate resources to respond appropriately to the challenges produced by using a benchmark for assessment.

For more information

Keehley, Patricia, Medlin, Steven, MacBride, Sue, and Longmire, Laura. (1997). *Benchmarking for Best Practices in the Public Sector*. San Francisco, CA: Jossey-Bass.

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[2] Benchmarking has a different, more technical meaning in hardware or software development and evaluation. In that sense, a *benchmark* is standard test routine or software program that is used to test the performance of a system or device (e.g., the Winstone or WinBench tests for PC's).

News Analysis

News analysis involves gathering and analyzing news stories from various sources to gain insight into the success and failure of other justice information integration projects. By reading editorials, viewing television accounts, and listening to talk radio shows, you can learn about other initiatives and gauge the public's reaction to them.

What is it?

Gather accounts from several sources. Find news stories in a variety of media outlets—newspapers, magazines, radio, television, Internet, government and justice publications—from around the country related to justice information integration efforts.

Thorough analysis. A complete news analysis provides rich insight into what worked and what didn't work for other justice information integration projects. You'll also learn how the media and the general public reacted to the successes and failures experienced in these projects.

Identify problems and solutions. Like current and best practices research, a news analysis will identify the problems others faced and the solutions they developed to achieve their integration goals.

What is it good for?

Real life examples. News stories are great resources for real life examples of how integration has improved public safety and increased efficiency for justice professionals.

Contacts with other justice projects. You'll find other justice professionals who have lived through integration projects and can share their experiences.

Identify obstacles and understand costs. Project accounts will help you identify the obstacles other groups encountered, as well as understand the costs and risks associated with integration projects.

Gauge media reaction. Knowing how the news media reacted to other justice integration initiatives will help you predict how reporters might cover your project.

Some limitations and considerations

Space, time restrictions. Reporters and editors are often forced to leave out information due to space or time constraints, thus the whole story may not be told.

Regional differences. The justice governance structures will be different from region to region. So it may be hard to apply others' experiences to your own project.

Just the facts. News stories often fail to capture the history, personality, and relationships that arise in interagency projects.

Tools for articulating a vision & choosing specific objectives

Hopes & Fears Exercises

Hopes and fears exercises are techniques that help members of a working group share their perspectives on the task at hand and build a common understanding of goals and potential problems. It is a way to help answer the question, "Do we share the same idea of what's supposed to happen here?"

What are they?

Share hopes for project outcomes. A facilitator or team leader first asks each member of the group to articulate his or her hopes for the outcomes of the process. These are recorded on a board or other display so all members can see them, and organized into related clusters. Each item is discussed to be sure that it is well understood by the members.

Prioritize and discuss group hopes. You may use rating or prioritizing techniques to show the relative importance of the different hopes or expectations. The discussion can also include ideas about how to ensure that the most important hopes are realized.

Express project fears. The same process is then used to elicit and discuss the fears. Each member is asked to articulate what undesirable outcomes they fear will occur, followed by clustering and discussion.

Determine ways to prevent fears. As with the hopes, the discussion can include attention to preventing the most important or costly fears from being realized.

What are they good for?

Build common understanding of goals and barriers. These exercises are most useful in building a work group's shared perspective of its tasks and potential problems. This is particularly important near the beginning of a group work assignment. It is at these early stages that the members are likely to have the greatest differences of opinion about what they are supposed to do.

Shared perspective for effective work. Coming to a more thoroughly shared perspective is necessary for effective group work and communication among its members. It is also useful to identify where hopes held by some members may be unattainable or even inappropriate to your overall goal.

Prevent sources of frustration. If these unrealistic or inappropriate hopes are identified early in the process, they are less likely to become sources of frustration and resentment that can interfere with your group's effectiveness. It is also reassuring to some members to learn that others in the group share their fears.

Simple, effective icebreakers. These exercises are also simple, unthreatening activities that are useful as icebreakers for new groups. They allow the members to learn about each other and begin useful interaction smoothly. The process of eliciting individual members hopes and fears, and giving them credence, also emphasizes the value of each person's contributions and can promote more enthusiastic participation in subsequent activities.

Some limitations and considerations

Reluctance to reveal feelings. Since these exercises are commonly used for new groups or new tasks, members may be hesitant to reveal their hopes and fears to an unfamiliar group of people.

Skillful facilitation necessary ingredient. A good facilitator is required to get the hopes and fears process moving. Even with such skillful facilitation, it is likely that some members will withhold information for strategic purposes, or simple embarrassment. So the full range of hopes and fears may be unavailable for discussion.

Smaller groups most effective. Because the process depends on active and relatively free-flowing discussion, it is inappropriate for very large groups. The effectiveness of the discussion may also be reduced by disruptive behavior.

Visioning

Visioning is a tool you use to establish an image of what you want your organization to look like in the future. The time frame associated with the vision depends on the needs of the group and may range from months to years. The point of creating a vision is to "stretch" your organization and establish a vision of a "preferred state." Growth in terms of size or scope of operations may indeed form part of a vision, but does not always constitute a vision. Circumstances facing your group need to inform the vision. Being realistic is important, as is remembering the concept of stretch. Ultimately, the vision should express the work that all participants will need to do in order to accomplish the desired outcomes.

What is it?

Various methods. The task of visioning can be completed in several ways. You will find listed here a generic example. Regardless of which method you use, your main focus is ideas. You must get everyone to share their ideas, reach a shared understanding, build consensus, and craft a meaningful vision statement.

One approach:
1. Use a round robin format and elicit responses from those in the room regarding the characteristics they want to see embodied in your project. You might consider grouping these by categories such as products, customers, etc.
2. Display, in some appropriate format, all of the responses from step 1.
3. Clarify what is being expressed in each statement, but avoid debate at this time.
4. Establish one or more small groups to take the statements and report back with alternative vision statements that reflect the key ideas.
5. Encourage the full group to discuss the statement and begin modifying it—this is when debate begins.
6. Repeat steps 4 and 5 until you produce a statement that satisfies your needs.

What is it good for?

Shared goals. Vision statements are often very good at "getting everyone on the same page." In the process of constructing a vision statement, preferences will be stated and conversations stimulated in order to reach consensus on ultimate goals.

Reflect interests, needs, skills. Remember that vision statements should reflect your interests and be attuned to their specific needs and capabilities. Otherwise, the likelihood of accomplishing the vision will be greatly reduced.

Important activity for any group. In short, a well-crafted vision statement that has buy-in from everyone involved is often a crucial first step in beginning any group activity.

Some limitations and considerations

We've done this before. Almost everyone has been through a process like this at one time or another. Some of the most prolific buzzwords around involve the words vision, mission, empower, and group consensus. Depending on people's previous experiences, the level of cynicism may be very high when an exercise like this begins and may remain high even when a vision statement is developed. Obviously, the only way to overcome this attitude is do everything to make sure things are different this time.

Address skeptics. Perhaps the best advice is to directly address participants' cynicism. Let them know that they are in the room to make things different. Participants have to find a way to cooperate and take responsibility for the outcomes of their efforts if your integration project is to succeed.

Predict the future. The final pitfall associated with vision statements is that people often make lousy prognosticators. Time and experience may necessitate revisiting the vision and modifying it as circumstances dictate. After all, integration takes place in a very dynamic environment and reality may dictate changes. The real key here is to see the vision as a dynamic statement and not simply a static document meant for framing on the wall.

For more information

French, W. L., & Bell, Jr., C. H. (1995, 5th ed.) *Organization Development: Behavioral Science Interventions for Organization Improvement*, New Jersey: Prentice Hall.

Quinn, R. E., Faerman, S. R., Thompson, M. P., & McGrath, M. R. (1996, 2nd ed.) *Becoming a Master Manager: A Competency Framework*, New York: John Wiley & Sons, Inc.

Strategic Framework

Strategic framework is a tool to analyze a project proposal in relation to goals and resources. It is a way to help answer the question, "What are we trying to do and what do we need to do it?" Like the stakeholder analysis, the strategic framework considers customers and other stakeholders. It is similar to a SWOT analysis (see page 55) but is more specific in terms of helping you identify resources, partners, and innovations that might help you achieve project goals.

What is it?

One objective at a time. To be most effective, the strategic framework should work with one project-specific objective at a time. Strategic frameworks can be devised by one person and then presented to and reviewed by others, or they can be created through a facilitated group decision conference.

Clear statement of project goal. The core element is a clear statement of the service or project objective.

Examine factors necessary to achieve goal. Completing the framework includes identifying and analyzing the internal and external factors that you must consider in order to achieve your justice integration objective. Those factors will include an initial identification of potential resources, including current and potential partners.

Identify relevant technologies. You should also identify potential uses for information technology and other innovations that may be necessary to achieve your objective.

What is it good for?

40,000-foot-view. The framework prompts you to take a high-level view of the full array of internal and environmental factors that can support a particular service objective.

Identify partners, customers, resources, technology. By creating a strategic framework for your integration project, you can readily identify potential partners to help achieve your objectives, details about the customers of your service, information and other resources that will be needed, and innovative products and services that might be relevant.

Thinking "outside the box." Using this tool enables you to expand your thinking about the project. Thinking outside the box will open up new avenues and possibilities to explore.

Refine goals. Once you know what partners, resources, and technologies your environment has to offer, you can refine the project objectives.

Some limitations and considerations

Good with enablers, poor for barriers. The strategic framework is limited in that it focuses on enablers, but largely ignores barriers. This can lead to an overly-optimistic assessment of your project's prospects. Or, you may fail to anticipate critical problems.

Ignores availability, cost of resources. The analysis also fails to deal directly with the availability and cost of identified innovations, resources, and partners. As a result, the stakeholder analysis by itself does not include the detail needed to craft a project plan or design a system. While important, it's only a part of the overall planning process.

For more information

Andersen, D.F., Belardo, S., and Dawes, S.S., "Strategic Information Management: Conceptual Frameworks for the Public Sector." *Public Productivity and Management Review, 17* (Summer, 1994) 4, 335-353.

Consensus Building, Collaboration, and Decision Making

Projects don't happen in a vacuum. Work with groups from other agencies and organizations is often required to successfully plan and implement an integration project. These tools are ways of answering the question, "How can we help the work teams function effectively?" Consensus-finding and building tools are often needed to help your team resolve different views and conflicting objectives or interests. Teams also frequently need models for collaboration, especially if they've never worked together before. Effective teamwork will also involve difficult decisions about details and how to proceed with development, so some decision-making tools and techniques can be useful.

What are they?

Meeting management methods, ground rules. Managing meetings involves ground rules, agendas, clear purposes, facilities planning and preparation, careful recording of results, notification of members, and communication.

Effective group processes. Group facilitation is one widely used method. A facilitator is someone trained in group process and methods to build the group's capacity for managing its own activity. The facilitator typically works with a group for a limited time to build its capacity for effective work or to accomplish a specific task.

Effective conflict resolution. Conflict is a normal part of group work that can result from adversarial relationships, different interests, or both. Techniques for conflict management include diagnosing the causes of the conflict, mediation, negotiation, and problem solving. Mediation involves helping the parties understand the possibilities, communicate effectively, and recognize opportunity for compromise. Negotiation provides a framework for finding a mix of compromises that will resolve the conflict. Well-understood rules and guiding principles can be particularly effective in conflict negotiation.

What are they good for?

Elicit information, brainstorming. Facilitators often use nominal group process to elicit information from the group. In this technique, a facilitator provides an opportunity for all group members to contribute to the discussion and share ideas. The results can be prioritized by voting methods in which all group members have equal influence on the results.

Multi-voting, where each group member can vote for more than one choice or has multiple votes to distribute, can be very effective for complex decisions and help avoid forming factions within a group.

Understand issues, resolve conflicts. Consensus building tools are useful in facilitating the two key requirements for reaching agreements in a work group setting: identifying and understanding issues, and resolving conflicts. Some of the tools for identifying and understanding the issues are described in other sections (SWOT analysis, hopes and fears exercises, strategic framework, and stakeholder analysis).

Some limitations and considerations

Effective group process takes time. It is unreasonable to expect new groups to accomplish substantive work immediately. It is usually necessary to invest in building skills, shared understandings, and commitment to the group process.

Vulnerable to disruptive, subversive behavior. Individual members can wreak havoc on a group's efforts to work collaboratively. Without effective internal controls and norms, such behavior can derail group efforts.

Right people at the table. Good decisions on who is involved in group processes are often critical to success. It is possible to have too much as well as too little participation. Choosing the most effective level requires careful consideration of the needs of the group and the participating organizations.

For more information

Johnson, D. W., & Johnson, F. P. (1994). *Joining together: Group theory and group skills*. Boston: Allyn & Bacon.

Schein, E. H. (1998). *Process Consultation*, Vol. 1. Reading, MA: Addison-Wesley.

Schwarz, Robert M. (1994). *The Skilled Facilitator*. San Francisco, CA: Jossey-Bass.

Schweiger, D. M., and William R. Sandberg (1991). "A team approach to top management's strategic decisions." In H. E. Glass (ed.), *Handbook of Business Strategy*, 6: 1-20. New York: Warren, Gorham and Lamont.

Tools for identifying & understanding your audience(s)

Positioning Charts

Positioning charts show the relationships among people, groups, or other elements of a problem in terms of their positions. The chart usually shows two factors important to the problem as the height and width of a space, with the people or alternatives arranged in the chart according to where they fit on the two dimensions. For the sample chart, different strategies can be chosen for dealing with different stakeholders according to whether they support or oppose the proposal and by their importance to its success.[3] As shown here, placing stakeholders on a positioning chart helps identify what different approaches or strategies will be most effective for the different positions. Resources could be wasted on trying to generate greater support for those with low ability to help, or failing to recognize antagonistic stakeholders could damage prospects for success.

What are they?

Determine relationships among people, factors. Positioning charts can be useful for any situation where two different factors influence the way you would view a participant or element of a project. It is often useless to produce charts with influences or interactions among more than two factors, since they become very complex to construct and interpret.

Plot people, alternatives based on position. The relative position of participants or project alternatives are plotted on the chart to display the relationships among those factors.

What are they good for?

Understand project influences. This type of chart allows you to better understand the way two separate factors influence the place of a participant or project component in your project. For example, the components of an information system project could be classified on a positioning chart in terms of two dimensions: their development times and the degree to which other components are dependent on their completion. Components with short development times and low dependence can be scheduled with much more flexibility than long-term, high dependence components.

Communication. Representing this kind of analysis in a positioning chart is not only a good exercise, but also an effective device for communicating the results to others.

Some limitations and considerations

Three's a crowd. If more than two factors are important in positioning, as is often the case, a chart of this type is of limited value.

Somewhat arbitrary process. Placing the people or components on the chart is often an inexact, even arbitrary process. Without actual measurements of the dimensions, substantial errors can be made in positioning, which results in flawed conclusions.

Oversimplify relationships. A chart may also oversimplify relationships in a complex setting, especially when more than two dimensions are involved or the relationships are not stable over time.
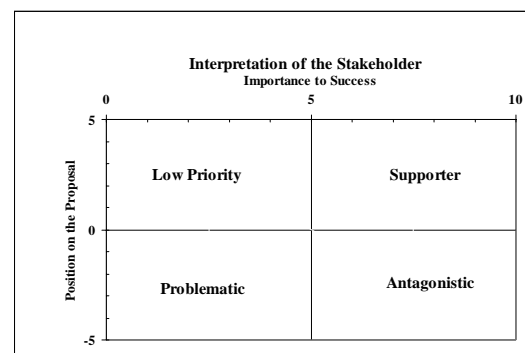
For more information

Bryson, John M. (1995). *Strategic Planning for Public and Nonprofit Organizations*. San Francisco, CA: Jossey-Bass.

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[3] Adapted from John M. Bryson. *Strategic Planning for Public and Nonprofit Organizations*. San Francisco, CA: Jossey-Bass, 1995, p. 284.

Stakeholder Analysis

Stakeholder analysis is a structured examination of the main impacts of an integration initiative. The analysis is a way of answering the question, "Who cares about this project and why?" Anyone who cares is considered a stakeholder, and the reasons they care are examined in terms of the products and features of the initiative.

What is it?

Identify impacts on stakeholders. In the analysis, you identify the impact each product or feature will have on each stakeholder group. You also examine what products will benefit or harm these groups and in what ways.

Quantify project effects. The stakeholder analysis attempts to quantify these effects. You can begin to understand what kinds of investments might lead to different outcomes. At a minimum, you should be able to understand how far the analysis will have to go before you really understand how your project will affect stakeholders.

Group work. A stakeholder analysis can be prepared by one knowledgeable person and then reviewed and refined by others. It can also be prepared in a facilitated group decision conference, where consensus decisions are made about impacts and estimates.

What is it good for?

Expand project scope. A stakeholder analysis expands the scope of a project design and strategy. Too often, information system projects are defined in terms of only one stakeholder—the agency that will build it. More often a project will be defined in terms of two stakeholders—the agency and those directly affected by the program. This is better, but still ignores a host of factors that can impinge on the final result.

Examine impacts to design better plan. There are many stakeholders in the environment of a government program, and most information systems have multiple features or products that will affect stakeholders in different ways. Some will see increased access to services, or better quality service. Others may experience higher costs or more competition for scarce resources. It is important to anticipate these effects before a full-blown project gets underway.

Expand understanding of environment. Most organizations are better at understanding internal dynamics than external ones. The stakeholder analysis pays little or no attention to the internal dimension and forces you to look outside your organizational boundaries to estimate the impacts and outcomes of a new initiative.

Predict potential results. The stakeholder analysis forces you to be specific about how various elements of a proposal will affect stakeholder groups. It helps you move from very general descriptions to more specific and measurable ones.

Identify high-priority features, stakeholders. Once you understand the different ways the proposal will affect different stakeholders, you should be able to see which areas need priority attention. You should also be able to identify measures of how your initiative will impact different stakeholders and estimate the magnitude of those effects.

Assess data needs. A full analysis provides a basis for making a rough assessment of what data is available and what other data is needed for a more complete evaluation. You will seldom be able to quantify all effects. Often even baseline data will be unavailable. The stakeholder analysis helps you see where your data is weak.

Help choose a good problem. A "good" problem is one worth the time, effort, capital, and commitment it takes to solve it. Good problems may have a number of uncertainties about them, but their main components should be readily understood. They should not be too narrowly constructed (this makes you tend to leave out important factors) or so broadly defined that they are far beyond your ability (in terms of skills, resources, or authority) to influence or solve.

Some limitations and considerations

Assumptions required. The analysis requires assumptions about causal relationships and processes. Since you have imperfect data, make educated guesses about causes and influences. Keep testing these assumptions as your project proceeds.

Qualitative and quantitative measures. Since not every effect can be reduced to a number, qualitative measures may be the only ones that make sense. The stakeholder analysis allows for both, but don't take the lazy way out by stating a qualitative gauge, when a quantitative one would be better.

First cut analysis. This analysis will give you a rough understanding of an issue or objective. If done well, it will gather and generate useful information, but it won't carry the weight of an entire project. Use some of the other tools presented in this guide to delve deeper.

Partisan Analysis

Partisan analysis recognizes that competing interests and conflicts are natural and unavoidable parts of any significant government action. Any new project requires careful attention to the partisan or political nature of the process.

What is it?

An inexact science. Partisan analysis can take a number of different approaches and ways of thinking about interactions, more like a craft than an exact science. However, some basic questions can guide the analysis.

Wants and needs of participants. Partisan analysis includes finding out what participants stand to gain or lose because of your project. This is more comprehensive than the stakeholder analysis, which is limited to the interests participants have in particular products or features of your project. The partisan analysis finds out what participants want in general, or what they stand to gain or lose.

Wide range of issues. Partisan compromises often involve negotiation over a wide range of issues that may be unrelated to the immediate concern. In legislatures, this is referred to as logrolling. It is also important to understand both individual and organizational interests and desires. Those who speak for a group or organization do not necessarily share all the group's desires and objectives.

Key relationships. Projects typically involve parties with existing relationships and histories. It is important to know who are friends and enemies, where natural alliances and rivalries exist or may form, and what kinds of coalitions are possible or desirable. Consider where trust has developed or been betrayed and where old friendships or wounds will shape current perspectives and actions. These issues are often critical to forming the coalitions necessary to move forward.

Who has the power. A partisan analysis considers what power resources the parties bring to the table. These include: official status or authority; ability to punish or reward other participants; special expertise, status, skills, or reputation; and access to information. It is useful to know participants' preferences for different kinds of power and how they have acted in the past.

Rules of the game. Effective strategies for playing the game depend on knowing what kinds of actions are acceptable and what tactics are the most successful in your organizational and political culture. These include preferred styles of negotiation or influencing others, limits or penalties for actions, and understanding the importance of signals and symbols of play.

Wild cards. Uncertainty plays a part in any partisan environment. One major element of uncertainty is whether any outside actor or force will affect your plans. Partisan analysis often involves scanning the environment for possible external factors that may become involved. This scanning can also include analysis of the risks and probabilities of these kinds of events and the potential range of impacts.

What is it good for?

Planning. Use partisan analysis to plan how to present your project to participants and outside audiences, what to emphasize, and your main selling points. You can also use it to decide the timing and format of presentations, what groups to make them to, and when.

Collaborating. It's an effective planning strategy for forming collaborations and work groups.

Strategizing. Use it to develop a strategy for political decisions and mobilize support among participants and stakeholders.

Some limitations and considerations

Quality, amount of available information. The value of your partisan analysis depends in large part on the quality and amount of information available about the people and groups involved in your project. In a partisan environment, people seldom announce their true objectives and strategies. In fact, there can be substantial incentives to mask or deliberately misrepresent their true goals and interests. Judgments based on inferences about other people's goals and interests should be evaluated and tested against actions and other evidence.

Lack of definitive answers. Assessing the goals and interests of others involves a lot of uncertainty. There may be discord among groups about their goals and interests. It's often difficult to evaluate the accuracy and stability of statements and actions expressed by partisan groups.

No history. Historical information may be an ineffective basis for judgment. In new projects or collaborations, histories may be absent. Information about past actions and events may be unavailable, unreliable, inconsistent, or badly distorted by selective memory or interpretation.

Tools for identifying & evaluating options

Multi-attribute Utility (MAU) Models

Multi-attribute utility (MAU) models are mathematical tools for evaluating and comparing alternatives to assist in decision making about complex alternatives, especially when groups are involved. They are designed to answer the question, "What's the best choice?" The models allow you to assign scores to alternative choices in a decision situation where the alternatives can be identified and analyzed. They also allow you to explore the consequences of different ways of evaluating the choices. The models are based on the assumption that the apparent desirability of a particular alternative depends on how its attributes are viewed. For example, if you're shopping for a new car, you will prefer one over another based on what you think is important, such as price, reliability, safety ratings, fuel economy, and style.

What are they?

Methods to evaluate alternatives. MAU models give you a way to score, evaluate, and compare possible alternatives. They offer a quantifiable method for choosing options.

Identify valuable attributes. To use a MAU model, you must identify all the attributes needed to evaluate the alternatives. They are assigned a weight that reflects their importance to the decision. You may assign a value of 3, 2, or 1 to each attribute, depending on its importance. Or you may use 100 points and distribute them over the attributes according to their importance.

Score your options. You then give a score to each of the alternatives for each attribute. You may use a scale of 1-10. Each alternative's score for each attribute is then multiplied by the weight of that attribute, and the total is calculated. That total represents the value (or utility) of that alternative, and can be compared to the same calculation for the others. If it is a group process, each member of the group scores the attributes for each alternative and the group's ratings can be totaled or averaged.

Explore potential consequences. A MAU model can be used to further explore the consequences of changing the attributes, their weights, or the scores they received. Since the criteria

are open for all to see, it's possible to make any number of changes and review the results. For example, if it appears that some attribute is too important in determining the results, the weights can be adjusted to produce different results.

What are they good for?

Clear selection criteria. One of the most useful benefits of using a MAU model is that it makes clear to all involved the basis on which the alternatives are being evaluated. This is particularly important in group decision making situations in which many different points of view and decision alternatives have to be reviewed and taken into account.

Some limitations and considerations

Requires group consensus. MAU models are typically used in a group situation. To be effective there, the group must be able to come to consensus on the attributes in the model and on the rough range of weights to be used. Achieving this consensus may be very difficult and time consuming, or even impossible with some groups.

Conflicts often arise. The level of detail and specification necessary in the discussion of attributes and their weights can result in considerable conflict and contention, rather than the move toward consensus.

For more information

Edwards, W. (1982) *Multiattribute Evaluation*. Beverly Hills, CA: Sage Publications.

SWOT Analysis
(Strengths, Weaknesses,
Opportunities, Threats)

SWOT analysis is a simple framework to help answer the question, "What are the prospects for this project's success?" The approach recognizes that any project should be examined for both positive and negative influences from internal and external perspectives. A SWOT framework prompts you to look in detail at both sides of the coin. That is, the strengths and weaknesses of your integration initiative are only meaningful in terms of the opportunities and threats in its environment. Good strategy means you must look both internally and externally. In writing about SWOT analysis, John Bryson quotes Sun Tzu, from the *Art of War*:

> So it is said that if you know others and know yourself, you will not be imperiled in a hundred battles; if you do not know others but do know yourself, you win one and lose one; if you do not know others and do not know yourself, you will be imperiled in every single battle.[4]

What is it?

Identify SWOT elements. To achieve this knowledge of yourself (strengths and weaknesses) and of others (opportunities and threats) requires identifying the SWOT elements and analyzing them in depth. This is typically done in interactive groups where people can discuss, assess, and elaborate on what is identified in each category.

Maximize the positive, minimize the negative. The analysis and deliberation are designed to identify ways to take advantage of your plan's strengths and exploit opportunities, as well as minimize the impacts of weaknesses and protect against threats.

What is it good for?

Known objective. SWOT analysis is best suited to a stage in planning when the nature of the objective is reasonably well known. It is a useful way of testing the feasibility of your project objective.

Determine how to move forward. This type of analysis helps you start identifying what will be needed to move your project forward.

Express different viewpoints. The interactive process can provide people with an opportunity to express their views about the project and discuss their implications. Advocates of a project tend to emphasize strengths and opportunities. Opponents tend to emphasize weaknesses and threats. Neither creates the balanced or comprehensive analysis needed for successful planning. Using the SWOT framework provides legitimate exposure for both perspectives and an opportunity to reconcile opposing points of view.

More planning. The results of a detailed SWOT analysis also provide valuable material for continued planning and support-generating activities. The strengths can be presented and emphasized to potential supporters. Discussion of weaknesses and threats provides useful information for strengthening the project or plan where possible, or anticipating the effects of environmental threats.

Some limitations and considerations

Information quantity, quality. The key to effective SWOT analysis is the quantity and quality of available information. Participants' understanding of your project, its resources, and weaknesses must be deep and detailed. Similarly, analysis of the environment in terms of opportunities and threats must be based on thorough scanning and collection of data from a wide variety of sources.

Predict the future. Complete information about the environment is never available and projections about future events and trends are always subject to error. So the SWOT analysis must include consideration of the reliability of the information used and of the conclusions reached. Considerable technical resources may also be needed in some circumstances to provide forecasts and projections for assessing the opportunities and threats in the environment.

Shared goals. The process of SWOT analysis is based on the assumption that the participants all share the general goal of creating a good project and achieving your organization's objectives. This, of course, is not always true. Because the process is dependent on information provided by participants, as well as their collaboration, the analysis may be vulnerable to disruptive or subversive behavior.

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[4] John M. Bryson. *Strategic Planning for Public and Nonprofit Organizations.* San Francisco, CA: Jossey-Bass, 1995, p. 82.

Cost-benefit Analysis and Cost-performance Analysis

Cost-performance and cost-benefit analyses are ways of answering the questions, "Is this worth doing?" and "How will we know whether it was worth it when we're done?" These tools are methods for assessing the value of a project by comparing its costs to measures of its performance, or more generally to the value of benefits it produces. The analysis requires accurate cost data, as well as measures of performance in appropriate units and overall benefits. Cost-performance measurement is narrower in that it deals only with measures of performance as the basis for comparison.

Cost and performance data can be obtained from operational records, direct observation, surveys, or group meetings at which those who perform the operations report and discuss costs and performance measures. Both one-time costs and ongoing costs should be included.

What are they?

Measure system costs. Working out the cost side of cost-benefit analysis requires careful attention to what cost information is relevant, what's available, and how it can be interpreted and used. Although it can seem like a straightforward task, a comprehensive cost analysis can be quite complex and demanding.

While it is not possible to present a comprehensive description of cost analysis here, the basic framework table below provides a useful approach and guide for further detail work.

Cost analysis framework			
Reason for Incurring Cost (object of cost or expenditure)	Direct Cost	Indirect Cost	Opportunity Cost
Personnel			
Equipment			
Supplies			
Utilities			
Contractual services			
Facility construction			
etc.			

Definition of cost. A cost is something of value that is given up or exchanged for a particular reason. It might be as obvious as the financial outlay for some new equipment or as subtle as the extra time it takes a supervisor to explain new procedures to a staff member. An effective cost analysis takes into account who is involved in these exchanges, what they may be giving up (incurring costs), why they would be expected to do so, and what the organizational consequences may be. A framework for identifying types of costs is useful in this task, and is shown in the table. It is useful to describe costs in terms of at least two concerns: the purpose of the cost, that is, what is the result of the exchange, and the impact of the cost on the organization's resources.

In the table, the rows provide the places to identify the reasons for incurring the cost. A typical budget contains standard categories of reasons (or objects) for costs or expenditures. These can be in terms of program objectives (as in a program budget), or in functional terms (such as legal services, personnel, etc.), or by the specific goods, services.

Separate direct, indirect opportunities of costs. The impacts on the organization can be separated into the three types shown in the columns of the table: *direct*, *indirect*, and *opportunity* costs. Direct costs of a new system or integration initiative are usually the easiest to identify and analyze, since they typically are the financial costs that are part of ordinary budget making and planning. A carefully worked out and detailed budget for an integration initiative is a necessary part of the planning and business case development.

However, a budget is not a complete cost analysis, and may miss part or all of the other kinds of costs. Indirect costs are usually based on estimates or pro-rating of shared resources, such as portion of infrastructure maintenance and depreciation or overall administration expense. These costs are usually more difficult to identify and analyze, since the estimates they require are often based on uncertain assumptions and limited knowledge of actual impact. But most organizations have developed ways of estimating these costs, and thus they should be part of the cost analysis.

The problem is a bit more difficult when it comes to opportunity costs, the losses or costs to the organization that result from implementing the new system rather than the alternative uses of those resources. The judge who spends several hours learning a new computer system, for example, instead of reading a law journal has incurred an opportunity cost. These costs are real and can be important, but are very difficult to measure and document. Participants in the

development and implementation of a new system are often very sensitive to opportunity costs, since these affect their day-to-day work. But these costs are not part of any formal accounting system and so may be ignored by planners and budget makers, often to the detriment of implementation. At the very least, a well-developed business case should attempt to identify the possible opportunity costs involved in an initiative and discuss ways to ameliorate negative impacts.

Assess risks. The consideration of costs should include risk assessment. Risks may be inherent in any of the internal or external factors that could affect the success of your project. These may include such potential risks as staff and client resistance to change, immaturity of a new technology, personnel limitations, technology failures, and expected changes in the technical, political, or management environment.

Define benefits. The performance estimate also includes a list of the expected benefits of developing the system. Typical benefit categories include "faster," "better," and "cheaper." So the analysis should describe precisely how which products or activities will be better, how much faster they will be, and how much less they will cost.

Measure performance. The analysis should also include a statement of how each benefit will be measured to see if it has been achieved. Some measures will be relatively easy to describe in quantitative terms, especially those in the cheaper and faster categories. Others that we usually think of as qualitative (e.g. "client satisfaction") can often be translated into measures through surveys and interviews. To identify broader, societal benefits, you must think as much as possible in terms of outcomes and results rather than outputs. Outcomes are benefits in terms of how an agency staff member, business partner, or constituent will have their lives changed, rather than how many hits your World Wide Web page will receive. The benefit is the impact your effort will have on society rather than the number of clients served.

What are they good for?

"Bottom line" information. Cost, risk, and performance analyses produce the necessary bottom line information on which you base the final decision about whether to go ahead with your project. The integration project plans and expectations will have been fine-tuned by developing the other evaluation products described in this appendix. Before a final implementation decision is made on the project, however, the costs and benefits need to be anticipated and fully understood by the ultimate decision maker.

Project evaluation. The results of your cost-benefit and cost-performance analyses form an important part of project evaluation. After the project is completed, these measures can be used to evaluate whether it actually achieved its goals within its expected budget. This assessment is an important factor in planning for future activities.

Some limitations and considerations

Complex environment. A comprehensive analysis of your project's impact may be difficult to prepare because of the complex environment in which public sector programs reside, and the many factors that may affect the intended outcomes of the project.

Hit "cheaper" and "faster," but forget "better." Project managers are often more experienced with cost analyses, and it may be easier to develop projects that fit into the cheaper and faster categories. While these are definitely important, many innovative applications also address the better category. This typically often requires more resource-intensive assessment methods.

Risk Analysis

Risk analysis covers a range of techniques and analysis tools used to assess the likelihood of failure or undesirable outcomes from decisions or policies. As one researcher put it, risk assessment "is the application of…knowledge of past mistakes in an attempt to prevent new mistakes in a new situation."[5] The methods rely primarily on mathematical modeling, statistics, uncertainty, and decision analysis.

What is it?

Find threats that can derail success. As applied to planning and decision making in IT projects, the most important elements of risk analysis are identifying the threats to success and assessing the probabilities and potential costs of the threats materializing.

Learn from past mistakes. Use a variety of modeling, statistical, and analysis tools to examine past projects, determine where mistakes were made, and devise methods to avoid repeating them.

What is it good for?

Identify threats, possibility of damage. Careful risk analysis is needed to provide two kinds of information. One is a clear and detailed identification of threats or possible mistakes that can damage an initiative. The other is an estimate of the likelihood of each kind of damage actually occurring.

Outline internal problems. A number of important risks are associated with innovations in business processes. These include internal resistance to change or even subversion of objectives by unhappy participants. The costs and complexities of needed changes may be underestimated, leading to insufficient resource commitment. An inadequate or inaccurate model of the business process may be used, or inaccurate data about that process may lead to mistakes. Differences in the cultures of the organizations involved may produce conflicts that undermine success. Competition or lack of trust can inhibit communication and collaboration. And it may be impossible to generate the support from top leadership to sustain large-scale changes.

Identify political opposition. Political opposition can lead to problems and barriers. Risk analysis should involve the positioning analysis described earlier, with special attention to estimating the strength of likely opposition from influential players. Risks can include failure to manage expectations about success or immediate results, as well as missing the possible influences of other large initiatives on the political agendas of supporters and champions.

Define IT risks. A number of risks are associated with the use of information technology, including rapid obsolescence and emergence of alternative technologies after investments have been made. Avoid the tendency to over-promise the benefits of technology or underestimate the effort of implementation—both lead to disillusionment and loss of support.

Describe environmental risks. Planning and risk analysis should take into account the kinds of policy shifts, as well as the sources of support and opposition to such policy changes, that constitute the greatest threat to your initiative. Demands and costs of human resources can also shift, due to labor market forces, and put a project in jeopardy. Careful environmental scanning can help mitigate or anticipate these possible threats.

Some limitations and considerations

Technical problems. The technical problems of statistical risk analysis can be substantial, since they depend on models of threats and probabilities. For complex projects, such models may be unavailable or even impossible to construct. In addition, statistical risk analysis often depends on historical information that may be unavailable for new projects, technologies, or collaborations. This problem may be mitigated in some circumstances by tools, such as system dynamics models or other simulations that allow for exploration of various scenarios or alternatives.

Long-term perspectives, short-term adaptability. This basic dilemma in mitigating and managing risk is especially acute in technology projects. IT plans and system designs based on current knowledge and technologies are unavoidably at risk. Systems built with smaller components or modules can provide for more flexible response to rapid changes, but their success depends in large part on accurate anticipation of technology trends, which is demanding and error-prone at best.

For more information

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Kemshall, H. & Pritchard, J. (1996). *Good Practice in Risk Assessment and Risk Management*. Bristol, PA: Jessica Kingsley.

Stern, P.C., Fineberg, H.V., & National Research Council (1999). *Understanding Risk: Informing Decisions in a Democratic Society*. Washington, DC: National Academy Press.

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[5] R. Wilson and E.A. Crouch, Risk assessment and comparisons: An introduction, *Science*, 236-267 (1987).

Tools for organizing your argument

Prioritizing Methods

Prioritizing methods establish the relative value of choices or alternatives. They answer the question, "What's the most important?" You can prioritize your results in a ranking of the choices to show what should be done first, what requires the greatest attention, and what needs the most resources. Methods differ depending on whether the priorities are based on objectives or criteria.

What are they?

Objective priorities. Actions or choices can be prioritized in terms of how they affect the achievement of an objective or fit into a structured process. These can be called objective priorities.

PERT to find critical path. Program Analysis and Review Technique (PERT) is an example of an objective priority setting process. A PERT analysis shows which activities in a structured process are part of the "critical path." This is the sequence of events that determines the overall pace of your project. Activities on the critical path usually receive priority attention because delays there will affect overall progress.

Triage activities. Triage methods are another objective-based priority setting process in which choices are made according to whether they will affect the overall achievement of objectives. In triage, cases that are not in immediate need of attention receive lower priority, as do cases where the likely success of action is small. Those activities or choices that combine urgency with potential for success get top priority.

Criteria priorities. Project priorities can also be based on a set of criteria. Cost-benefit or cost-performance analyses are examples of this sort of priority setting. Whatever choices yield the greatest value on the criterion measure get highest priority. Results of a MAU modeling exercise would also be a form of objective-based priority setting, but one that may be linked to a group decision process.

Set priorities through voting. Priorities chosen this way are based on the subjective preferences of the voters. These include one-person-one-vote methods, where vote totals can determine priorities. Multi-voting methods are also used in which each voter gets some fixed number of votes to distribute among the choices. Voting may be done by either public or secret ballots.

What are they good for?

Influence outcomes. These methods help effectively choose priorities that will directly affect the progress or outcomes of your work. These are often complex situations where some analytical tools, like PERT or cost-performance measurements, are needed to get a reliable answer.

Cohesive planning, group decision making. Prioritizing methods can also be used in situations where a variety of perspectives or preferences have to be taken into account. In these cases, setting priorities is necessary as a basis for cohesive planning and to establish group-based guides for decisions. In interorganizational efforts, as most integration initiatives are, collaboration is vital to success. Voting methods for priority setting in such collaborative situations provide a public expression of the decision process and the importance of each member's point of view.

Some limitations and considerations

Tough choices. Priorities always involve tough but necessary choices. The process of identifying and setting priorities will almost certainly involve conflict and controversy. Some planning and preparation are necessary to keep the work on track.

More tough choices. Setting priorities does not end the tough decision process. Even though you know which choices are most important, you still have to figure out exactly how to allocate resources and work assignments.

Existing preferences, policies. Priorities set by objectives or voting methods may become irrelevant if they fail to align with your organization's preferences and policies. Therefore, the effort invested in priority setting activities may not always determine outcomes. Active consultation with top executives or policy leaders should be a part of the policy deliberations to avoid conflicts and wasted efforts.

Strategic Planning Methods

Strategic planning methods include a wide variety of analysis and decision making tools and techniques, all of which contribute to an organization designing its future. They are a way of answering the question, "Where should we be going and how will we get there?" Strategic planning, as distinct from other more limited forms of planning, is usually about the big decisions organizations face about their future. It is strategic in that it involves decisions and actions with major consequences that extend over long time periods, and attends to the short and long term environmental factors that may affect events.

Many of the techniques and tools described elsewhere in this guidebook would be included in virtually any discussion of strategic planning. So this section describes some useful methods we haven't already covered: scenario building, forecasting, and modeling.

What are they?

Scenario building. This is a process of designing a hypothetical situation in a way that helps you predict the consequences of decisions and actions. For example, Massachusetts has proposed legislation to require all state agencies to consult a database of outstanding arrest warrants when a citizen is seeking a service or benefit. Officials could examine the possible consequences of such a new policy by creating a scenario. This scenario would assume reasonable values for the number of times the policy would generate arrests of various types, and compute the increased demand on jails or law enforcement officers.

Forecasting. This tool is also used to predict future events, but it uses calculations based on historical data. Forecasting typically uses data that have been collected on some events over time and uses them to project trends into the future. Populations, crime statistics, and budgets often have ample historical data for forecasting. The mathematical models used in forecasting may take into account the forces that influence trends to adjust the predictions.

Modeling. This includes a wide variety of techniques to represent a process or problem in some way that leads to predicting behavior or finding solutions. Graphical or qualitative models represent problems in conceptual terms, such as flows, resources, information, causal relationships, or abstract structures (such as semantic or social relationships). Quantitative models represent the problem in some mathematical form that allows calculating interactions or outputs. Qualitative models require clear identification of concepts, relationships, and interactions. Quantitative models require all that plus measurements of some kind as the basis

for calculations. Models that take into account the feedback of effects from one part of a system to another are called system dynamics models. While usually quite complicated, these models provide a way to explore the dynamic interactions that are not represented in other techniques.

What are they good for?

Simplified reality for testing. These kinds of models provide a simplified version of reality against which to test ideas and explore consequences. They are most useful in the kind of complex situations characteristic of justice systems and their information flows.

Explore possible actions. A model can be a very powerful tool to explore possible courses of action or decisions. Consequences can be explored in hypothetical rather than real situations, so the costs of errors or bad decisions are limited.

Common understanding. The development of models also provides a way of creating a shared understanding of complex systems among those that work in them. This shared understanding can be of great value as an aid in collaboration.

Some limitations and considerations

Require advanced technical skills. The kinds of models described here require relatively high levels of technical skill for their construction and interpretation. If these skills are not available in your organization, it will require the intervention of external experts, usually at considerable cost.

Quality depends on data. In addition, the quality of the analysis resulting from the model is no better than the model itself and the data on which it is based. Careful testing and validation are necessary to avoid conclusions or actions based on a flawed model.

Presentation, communication. Models of this sort often pose problems of presentation and communication as well. They frequently involve complex mathematical operations or graphic images that are hard to understand and explain to non-technical audiences. A well-designed interpretation and presentation must accompany the modeling work for non-technical audiences and policy makers.

For more information

Ward, John, Griffiths, Pat, and Whitmore, Paul. (1990). *Strategic Planning for Information Systems*. New York: John Wiley & Sons.

Appendix B. Examples

State of Alaska, Strategic Plan for Alaska's Criminal Justice
System Integration, Introduction and Cost/Budget,
March 16, 1999

State of Wisconsin, *BJIS Update*, Summer 1999

Commonwealth of Pennsylvania, Justice Network,
Press Release, June 7, 1999

State of Minnesota, *Minneapolis Star Tribune* Opinion
Editorial, September 24, 1999

State of Indiana, "Integrated Law Enforcement" by
M.J. Carraway and L.C. Miller, January 1998

State of Alaska
Strategic Plan,
Introduction and
Cost/Budget

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permission

STATE OF ALASKA

**Strategic Plan For Alaska's Criminal Justice
Information System Integration**

(Version 1.1)

March 16, 1999

Alaska Criminal Justice Information Advisory Board
Ronald L. Otte, Chair

I. INTRODUCTION

Alaska needs federal financial assistance totaling approximately $84 million to build a modern, integrated criminal justice information network that will dramatically improve public safety.

Criminal justice, juvenile justice, and social service agencies in Alaska are handicapped by information systems that are:

➢ Based on outmoded technology.

➢ Difficult to use.

➢ Fragmented instead of integrated.

➢ Incapable of providing complete, accurate, timely data.

Alaska's ineffective computer systems and lack of telecommunications infrastructure add to the weight of other burdens placed on police; prosecutors; public defenders; courts; youth and adult corrections; social workers; and fingerprint, photo, and criminal history processors:

➢ Growing caseloads.

➢ State and federal mandates for more and better record keeping.

➢ Geographic barriers.

Public safety and government efficiency are sacrificed when public servants are unable to rely on information systems to support critical decision-making needs. Policy makers lack access to reliable data and statistics on which to measure the effectiveness of laws, policies, and programs. Scarce human resources are wasted on repetitive tasks that could be automated or eliminated – duplicate data entry, paper pushing, and manual research and correction of erroneous data. Alaska cannot afford to continue diverting its criminal and juvenile justice professionals from direct services to record-keeping tasks that can be done more efficiently by an integrated network of computers.

Alaska began planning for an integrated criminal justice information system more than 5 years ago. Alaska's criminal justice community has laid an excellent foundation for this project by accomplishing the following steps with an investment of over $14 million:

➢ Adopted model criminal justice information legislation.

➢ Convened a multijurisdictional policy oversight committee.

Strategic Plan for Alaska's CJIS Integration (1.1)   1

> Written needs assessments and strategic plans for some agencies.

> Upgraded basic infrastructure (workstations and network connections) for some agencies.

> Migrated to modern fingerprint processing technology that meets national standards.

> Began replacing its correctional offender tracking system.

> Began replacing its state prosecutor case management system.

> Reached consensus on data exchange standards for criminal history record information.

> Implemented interface software allowing the largest law enforcement agency (the Anchorage Police Department) to seamlessly connect to the state's criminal history application and gateway to the Federal Bureau of Investigation's (FBI's) national databases.

This paper articulates a strategic plan consisting of seven initiatives for successful completion of Alaska's integrated justice information system:

Initiative 1 – Maintain multijurisdictional governance and establish a project management structure.

Initiative 2 – Enhance criminal justice information laws, policies, and procedures.

Initiative 3 – Establish technical architecture, direction, and standards.

Initiative 4 – Provide basic infrastructure.

Initiative 5 – Implement mission-critical applications for all agencies.

Initiative 6 – Implement automated data exchanges.

Initiative 7 – Develop training and technical support systems.

A budget summary is included at the end of this document, showing a 4-year schedule of funding for each initiative.

Strategic Plan for Alaska's CJIS Integration (1.1)   *2*

STATE OF ALASKA

STRATEGIC PLAN FOR ALASKA'S CRIMINAL INFORMATION SYSTEMS INTEGRATION

ESTIMATED BUDGET

Initiative / Tactical Project	FY 2000	FY 2001	FY 2002	FY 2003	FY 0603	Total
1 Maintain Multijurisdictional Governance & Establish Project Management Structure						
1.1 Maintain Multijurisdictional Governance (CJIAB)	$ -	$ -	$ -	$ -	$ -	$ -
1.2 Manage Integration Project	500,000	500,000	500,000	500,000	2,000,000	2,000,000
1.3 Write Integration Strategic and Tactical Plans	300,000	325,000	25,000	25,000	375,000	375,000
1.4 Department of Corrections	275,000	270,000	110,000		385,000	385,000
1.5 Division of Juvenile Justice	255,000	250,000	130,000	130,000	515,000	515,000
1.6 Department of Law (content incorporated elsewhere)	-	-	-	-	-	-
1.7 Public Defender Agency	10,000	10,000	10,000	10,000	40,000	40,000
1.8 Office of Public Advocacy	20,000	20,000	20,000	-	40,000	40,000
1.9 Alaska Court System	313,375	318,070	187,035	47,520	516,000	516,000
1.10 DHSS - Child Protection	280,000	280,000	180,000	130,000	590,000	590,000
1.11 Department of Public Safety - Rapid Info System Administration	175,000	175,000	175,000	175,000	700,000	700,000
1.12 Division of Motor Vehicles	255,000	250,000	130,000	130,000	135,000	645,000
1.13 Anchorage Police Department (content incorporated elsewhere)	-	-	-	-	-	-
INITIATIVE TOTAL	2,383,375	2,368,070	1,397,035	1,876,520	5,806,000	5,806,000
2 Enhance Criminal Justice Business Policies, Procedures						
2.1 Adopt Model Criminal History Laws (completed)	$ -	$ -	$ -	$ -	$ -	-
2.2 Design Criminal Justice Work Flow/Work Block Flow Processes	300,000	300,000	-	-	300,000	300,000
2.3 Revise Policies and Statutes		50,000	50,000	50,000	150,000	150,000
2.4 Update Procedures		50,000	50,000	50,000	150,000	150,000
INITIATIVE TOTAL	300,000	300,000	100,000	100,000	500,000	600,000
3 Establish Technology Direction, Standards and Standards						
3.1 Assess Current Application Options (completed)	$ -	$ -	$ -	$ -	$ -	-
3.2 Define Integration Architecture	500,000	500,000	-	-	500,000	500,000
3.3 Assess and Design Extended Wide Area Network	400,000	400,000	-	-	400,000	400,000
INITIATIVE TOTAL	900,000	900,000	-	-	900,000	900,000
4 Provide Basic Infrastructure						
4.1 Department of Corrections	390,160	298,100	478,740	507,740	2,080,140	2,080,140
4.2 Division of Juvenile Justice	730,750	739,700	332,050	235,050	1,716,850	1,618,850
4.3 Department of Law	104,200	169,300	129,020	105,090	429,800	429,800
4.4 Public Defender Agency	212,900	283,000	158,050	97,050	575,000	545,000
4.5 Office of Public Advocacy	37,500	34,900	56,750	29,400	192,450	192,750
4.6 Alaska Court System	833,750	835,300	425,550	365,300	1,985,000	1,985,000
4.7 DHSS - Child Protection	944,500	997,500	474,500	235,000	2,421,500	2,421,500
4.8 Department of Public Safety - Rapid Info System Administration	612,300	600,300	965,300	158,700	1,902,600	1,902,200
4.9 Department of Public Safety - Alaska State Troopers	614,100	614,100	614,100	614,100	2,456,300	2,456,400
4.10 Division of Motor Vehicles	500,000	500,000	500,000	500,000	2,000,000	2,000,000
4.11 Anchorage Police Department	-	-	-	-	-	-
4.12 Enhance the Existing WAN Connections	265,755	265,755	265,755	-	531,510	531,510
4.13 Other Criminal Justice Organizations	676,167	676,167	676,167	611,100	2,389,600	2,339,600
INITIATIVE TOTAL	5,922,082	5,991,052	4,910,497	4,288,840	18,302,770	18,502,750
5 Implement Mission Critical Applications for All Agencies						
5.1 Department of Corrections	1,496,000	1,425,000	1,320,000	390,000	3,175,000	3,145,000
5.2 Division of Juvenile Justice	1,920,000	2,920,000	2,420,000	920,000	5,260,000	5,260,000
5.3 Department of Law	-	41,000	41,000	41,000	123,000	123,000
5.4 Public Defender Agency	50,000	50,000	35,000	35,000	170,000	170,000
5.5 Office of Public Advocacy	20,000	20,000	20,000	20,000	80,000	80,000
5.6 Alaska Court System	1,850,000	1,425,000	425,000	-	2,275,000	2,275,000
5.7 DHSS - Child Protection	2,500,000	2,500,000	1,500,000	500,000	4,500,000	4,500,000
5.8 Department of Public Safety - Rapid Info System Administration	560,000	2,980,000	2,080,000	3,880,000	6,980,000	6,960,000
5.9 Department of Public Safety - Alaska State Troopers	5,000	37,500	37,500	15,000	65,000	65,000
5.10 Division of Motor Vehicles	500,000	2,900,000	2,800,000	2,800,000	6,500,000	6,500,000
5.11 Alaska APIS Replacement (complete)						
5.12 Alaska Live Scan Network Replacement						
5.13 Anchorage Police Department	850,000	850,000	-	-	850,000	850,000
5.14 Telecommunications Support for New Applications	2,900,000	3,900,000	8,700,000	8,700,000	26,100,000	26,100,000
INITIATIVE TOTAL	12,651,000	17,698,500	16,298,500	10,655,000	56,028,000	56,028,000
6 Implement Automated Data Exchanges						
6.1 Refine Data-Sharing Standards and Standards	$ -	50,000	50,000	50,000	150,000	150,000
6.2 Implement Data-Sharing Applications	-	100,000	100,000	100,000	300,000	300,000
6.3 Develop Criminal History Interface Transactions	75,000	75,000	-	-	75,000	75,000
INITIATIVE TOTAL	75,000	170,000	150,000	150,000	525,000	525,000
7 Develop Training and Technical Support Systems						
7.1 APSIN/AST Application Training	$ 150,000	150,000	150,000	150,000	600,000	600,000
7.2 Department of Corrections (content incorporated elsewhere)	-	-	-	-	-	-
7.3 Division of Juvenile Justice	60,000	60,000	80,000	80,000	300,000	300,000
7.4 Department of Law (content incorporated elsewhere)	-	-	-	-	-	-
7.5 Public Defender Agency	40,000	40,000	20,000	10,000	80,000	80,000
7.6 Office of Public Advocacy	10,000	10,000	10,000	10,000	40,000	40,000
7.7 Alaska Court System (content incorporated elsewhere)	-	-	-	-	-	-
7.8 DHSS - Child Protection	75,000	100,000	100,000	100,000	375,000	375,000
7.9 Division of Motor Vehicles	-	-	-	280,000	280,000	280,000
7.10 Anchorage Police Department (content incorporated elsewhere)	-	-	-	-	-	-
INITIATIVE TOTAL	335,000	360,000	360,000	760,000	1,675,000	1,675,000
GRAND TOTAL	22,566,457	23,968,002	23,213,032	25,570,410	84,036,050	84,036,750

BJIS UPDATE

Summer 1999   www.doa.state.wi.us/dtm/bjis/index.html   Volume II Issue 3

IJIS Interfaces: Blueprints for sharing

Using common interface standards and data definitions can ensure inter-agency information exchange

By Anne Iwata

Under the suspices of SEARCH (The National Consortium for Justice Information and Statistics), the Integrated Justice Information Systems Symposium was held February 8-10, 1999 in Washington, D.C.

This Symposium emphasized that integrated justice systems should be driven by the operational systems of participating agencies.

Since integration is the ability to access and share critical information at key points throughout the justice process, current and future agency applications must be written to interface with other justice agency information systems.

In Wisconsin, the Interagency Justice Information Sharing (IJIS) project aims to exchange information electronically across Wisconsin's justice agencies. A goal of this project is to create interagency connections following a big-picture blueprint using defined interfaces

IJIS Update

What's Inside

Washington County pilots PROTECT software

Case Management System gets high marks

By Bonnie Locke

On May 4th, Washington County became the first pilot county for the PROTECT Release 1.0 case management software. Over the next month and a half, the Washington County DA office has been testing the software for bugs. The office is also testing the layout and logical flow of the case-management software to see if it matches the office workflow.

Prior to the start of the pilot, the PROTECT development team had already conducted extensive testing of the software and made any necessary changes. But identifying all potential bugs and ultimately perfecting the software would be impossible without the current testing at Washington County.

"This is where the district attorneys try to 'break it' and find out if the system is too cumbersome," said BJIS DA IT Director Laura Radke.

In the first phase of testing, ac-

Three new staff members add experience, efficiency

BJIS is pleased to announce that it has added three new faces to the team. The bureau hired Laura Radke as the State's District Attorney Information Technology (DA IT) director, Anne Iwata as the Inter-Agency Justice Information (IJIS) director, and Paul Lynch as an IJIS applications specialist.

Laura, who began on April 19, comes to the State from the private sector where she was vice president of operations for a company that managed outsourced technical support for large companies. She brings a wealth of information technology customer service experience to the DA IT program.

Laura Radke

Laura's top priorities in getting started are to work with the DA Support Center to make sure DA offices with state computers are getting the support they need and to review the long-range planning and organizational needs for DA IT. She has begun meeting with DA LAN county staff, WDAA IT committee staff, and many others in county offices and will continue to do so over the next few months.

Anne has worked in the Madison IT community for over 20 years. She began as a programmer/analyst in applications development and then progressed as a networking specialist in technical support for the University of Wisconsin. Moving into the private sector, she worked for IBM Madison as a systems engineer in large systems and special projects for both private and public sector customers.

Anne Iwata

Returning to higher education at the UW System Administration, Anne did system-wide policy, planning and project management. She worked on administrative computing, networking/building WiscNet, library automation and electronic access to information, and instructional technology projects. She also worked on IT-related biennial budget items, allocation of these funds to UW campuses across the state, and fund oversight.

Anne is a firm believer that change is good, especially for herself. As IJIS picks up again, she looks forward to learning more about justice applications and meeting and working with the Wisconsin justice community.

Paul joins BJIS after working as a technical support supervisor at the Wisconsin Department of Veterans Affairs for the past two years. Like Anne, Paul also spent some time performing technical work for the UW in the late 1980s and early 90s. For the time being, Paul will help work on the DA case management system.

Please feel free to contact Anne (608-264-6681, anne.iwata@doa.state.wi.us.), Laura (608-261-6614, laura.radke@doa.state.wi.us) or Paul (608-261-8356, paul.lynch@doa.state.wi.us).

— *Scott McDonell*

Governor's subcommittee assesses state contingency plans

The *Governor's Blue Ribbon Commission on Year 2000* believes that contingency planning is a critical component of the state's preparation for the Year 2000.

Many organizations are diligently working to implement their Year 2000 plans of identifying existing systems, testing those systems for Year 2000 readiness, and, if necessary, upgrading those systems or identifying alternative systems for business continuity into the next millennium.

However, contingency planning is also important for organizations and communities to be prepared to handle the most likely adverse scenarios.

In May 1999, the *Public Safety Subcommittee* issued a report on its assessment of Wisconsin contingency planning efforts to ensure statewide emergency preparedness. The report assesses contingency plans for Wisconsin citizens, organizations, communities, local governments, and state government with specific guidance given to Wisconsin citizens about personal preparedness.

Effective Year 2000 statewide emergency preparedness requires each level of planning to build upon the other and for communication within and between those levels.

A framework already exists for contingency plans at each of these levels through the state's emergency operating plan.

(IJIS, from page 1)
and data definitions.

Why do Wisconsin justice agencies need common interfaces and data definitions?

Wisconsin can achieve dramatic improvement in justice information sharing without creating an expensive, centralized system. New investments will be needed, but these

mon interface standards.

A common set of data definitions is the most critical component of an overall technical architecture. It insures that each agency or system speaks a common language when sharing information with others.

In Wisconsin work has begun on data definitions. There are 30 or so data elements that are shared between Circuit Court Automation

nary/definitions.

To position your agency, applications and systems can be written and migrated to use BadgerNet as the communications transport and TCP/IP as the communications protocol.

Feedback

If you have questions, comments or suggestions, please contact Anne Iwata, IJIS Project Director, at 608-264-6681 or
Anne.Iwata@doa.state.wi.us.

> "Wisconsin can achieve dramatic improvement in justice information sharing without creating an expensive, centralized system. New investments will be needed, but these investments can be incremental and targeted toward priority-enabling projects."

vestments will be needed, but these investments can be incremental and targeted toward priority-enabling projects.

Use of the same interface standards and data definitions will guarantee that an agency's applications will be able to exchange information with other agencies.

We need common interfaces to implement sharing incrementally. This approach will allow sharing and enable changes to be made on each agency's timetable. The interfaces will leave intact the agencies' own applications and databases, while the IJIS project will define the com-

Project (CCAP) and the District Attorney's (DA) Protect project. Discussions have begun to formulate Memos of Understanding for interfaces for the DA PROTECT project.
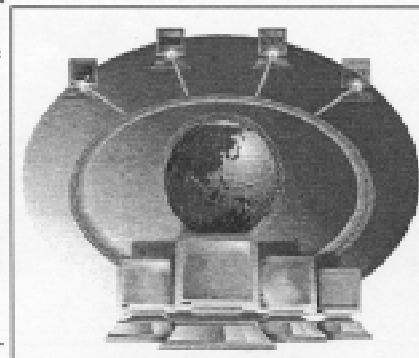
How can your agency help?

Agencies can assign the appropriate people to participate in the analysis and planning of the project. They can review the information that is currently obtained from and distributed to other agencies.

When IJIS project meetings resume in the new fiscal year, agencies can assist by participating in the development of the data dictio-

More info on IJIS: What's happening nationally?

Keynote presentations from the February Search Symposium provide a number of good references.

For more information on objectives and standards for interagency sharing see, "Technology Issues and Challenges" by Robert L. Marx, Senior Systems Specialist, SEARCH. A PDF copy of this presentation can be found at *http://www.search.org/1999symposium/PDFs/marx.pdf.*

A review of selective state planning initiatives is found in "Integrated Justice Information Systems Planning and Implementation: Organizing for Change," by David J. Roberts, Deputy Executive Director, SEARCH at *http://www.search.org/1999symposium/PDFs/roberts.pdf.*

(PROTECT, from page 1)

tual cases are entered into the system, but only for testing purposes. The county still relies on its existing system to perform any actual work that needs to be done.

Currently, Washington is beginning the second phase of testing, the parallel pilot. This phase, which begins after most of the bugs have been eliminated and lay-out improvements made, involves not only entering data on cases but also tracking it on the county's existing system.

As the last critical testing stage, the parallel pilot phase serves to test the reliability of the PROTECT system and to ensure that it is ready for day-to-day use.

In July 1999, testing of the initial phases will be complete. Washington will begin transitioning off its current system to begin production use of only the PROTECT system.

Thus far, the pilot has been a success. BJIS publicly thanks

Members of the Washington County DA's Office give the PROTECT case-management software its first trial run.

Washington County DA Dave Resheske and his staff for their enthusiasm and for being the test site for the new case-management system.

BJIS UPDATE

BJIS UPDATE

101 E. Wilson St., 8th Floor
P.O. Box 7844
Madison, WI 53707-7844

JNET Commonwealth of Pennsylvania Justice Network, Press Release, June 7, 1999

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Governor Ridge Names Savidge As Justice Network Executive Director

Office of Administration
Commonwealth News Bureau
Room 308, Main Capitol
Harrisburg, PA 17120

HARRISBURG (June 7) – Gov. Tom Ridge today announced that he has appointed Terrill J. Savidge of Camp Hill, Cumberland County, as executive director of the Justice Network (JNET).

The JNET program uses information technology to allow criminal justice organizations across Pennsylvania to more easily share electronic information. The Justice Network, which grew out of Gov. Ridge's 1995 Special Session on Crime, currently is in the early stages of implementation.

"Terri Savidge has a proven track record of using technology to help state agencies improve their delivery of public services," Gov. Ridge said. "Her experience will be invaluable as we continue to build out the Justice Network and deploy technologies to help our criminal justice agencies keep Pennsylvania communities safe."

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Complete text of Press Release follows

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Savidge has 15 years of experience in information technology, taking on increasing levels of responsibility while working for three state agencies: the Public Utility Commission; the Public School Employees' Retirement System; and the Health Department. She also has worked in the private sector for Computer Resource Associates Inc. in Cumberland County.

During the past two years, Savidge worked as director of the Health Department's State Center for Health Statistics and Research. In that position, she led the design and development of local- and wide-area computer networks, interconnecting state health offices. She also worked on the department's Year 2000 computer preparations.

The Ridge Administration's JNET program is one of the most comprehensive statewide integrated criminal justice initiatives in the nation. It was conceived to overcome the challenge of sharing information between Pennsylvania criminal justice organizations that use different computer systems.

By making it possible for these groups to more easily share electronic data, information on criminal suspects and offenders will not have to be entered repeatedly into separate computer databases by police, court, and probation and parole officers. This will help speed up the processing of criminal cases and reduce costs by eliminating duplicative data entry.

Also, the sharing of information will improve the ability of public safety agencies to track potentially dangerous individuals. The five primary data repositories incorporated into the JNET system will be maintained by the Pennsylvania State Police; the Department of Corrections; the Administrative Office of the Pennsylvania Courts; the Juvenile Court Judges' Commission; and the Pennsylvania Board of Probation and Parole.

In her position as executive director of the JNET office, Savidge will work with both the JNET Executive Council and JNET Steering Committee to ensure that the Justice Network meets its public safety objectives and implementation timeline.

The 1999-2000 state budget, which Gov. Ridge signed in May, includes $9.3 million for JNET.

Contact: Scott Elliott
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Commentary: Closing this gap could save lives

Amy Klobuchar

On Sept. 25 two years ago, 48-year-old Ilka Mondane was shot and killed outside her home in south Minneapolis by her ex-husband, Douglas Welch. At the time of the murder, he was out on bail after having pleaded guilty just a few weeks earlier to being a felon in possession of a gun. This gun crime carried a mandatory minimum prison sentence of 18 months (it's now five years). But the judge reduced Welch's bail to $5,000 until his formal sentencing on the gun crime, and Welch was out on the street. Soon after his release, he murdered his ex-wife.

Unknown to the judge and the prosecutor were several important facts about Welch. Only a month earlier, he had been arrested (but not charged) for domestic assault against a girlfriend. And just a few years earlier, another girlfriend had filed a court order for protection against him because he had threatened to shoot her.

Afterward, the judge said that if he had known these facts, he never would have considered reducing Welch's bail. Based on the information available to him, the judge believed that Welch's gun possession case was an isolated incident.

This tragic story highlights the literally life-or-death consequences that can result from the serious information gaps in our criminal justice system. These gaps are caused by the multiple, often incompatible computer systems used by the 1,000 law enforcement and criminal justice agencies throughout the state. The gaps are further compounded by poor, unwieldy access to the limited information that is available.

Fortunately, there is now greater awareness and concern that something must be done because these information gaps are undermining the efficiency and accountability of the criminal justice system, while also endangering public safety.

The dimensions of this challenge should not be underestimated. The volumes of data — from police investigation and arrest through prosecution and court disposition to incarceration and probation — are staggering.

Each year, for example, our office alone files 7,000 adult felony charges, while 45 separate municipalities in the county charge thousands of adult misdemeanor crimes. Our juvenile prosecution division charges more than 7,000 misdemeanor and felony cases each year, while also handling 12,000 lower-level juvenile cases.

What we know about the past records of people who commit crimes is very important to protecting public safety and ensuring the fair administration of justice. Judges, prosecutors and others in the criminal justice system are making fateful decisions every day about people's lives with information that we know is often sadly incomplete.

Indeed, our gaps in information are sometimes more like grand canyons. For example, Minnesota does not have a statewide database of people on probation. Nor do we have a statewide system to track misdemeanor offenders. Sometimes, our prosecutors must literally call around to local police departments to find out if defendants have misdemeanor records in other communities where they have lived.

Criminals freely cross city, county and state lines all the time. Our information about criminals needs to do the same.

The lack of comprehensive information on misdemeanor offenders and individuals on probation is a special concern because serious criminals often start out committing lower-level offenses. They can reoffend again and again, in different jurisdictions, while escaping serious attention.

There are now serious planning efforts underway to improve information access, most notably with planning for a statewide criminal justice information system. The Legislature and the governor have encouraged innovative ideas across the state. In Hennepin County, the state and the County Board are already funding a pilot project. The purpose is not to build a whole new system, but to focus on "skyways" connecting different computer systems, just as corporations do when they merge with other corporations.

In addition, a plan is underway in Hennepin County to create a countywide juvenile database. This initiative will encourage information-sharing among the county's 37 police departments and 17 school districts, as well as the County Attorney's Office, Juvenile Court, Child Protection, Probation, the Juvenile Detention Center and the County Home School. The juvenile courtrooms would be rewired to provide judges, prosecutors and defense attorneys with immediate, user-friendly access to information about offenders. Schools, human service agencies and child protection workers could also have access to more information. Keeping children in school is a top priority for our county, as well as for our schools. Real-time access and monitoring of attendance records is a key to accomplishing this goal.

Any effort that aims to integrate information from the squad car to the Supreme Court will have its work cut out for it. Implementing these plans in Hennepin County and beyond will take much expertise and a serious financial commitment. Certainly no county can do it alone, and even the state could use some help. We welcome the interest and support of Minnesota HEALS and the Minnesota Business Partnership. These corporations know how to use the enormous information-sharing capabilities of computers to enhance productivity and strengthen accountability.

The challenge is neither simply collecting more data for the sake of it, nor buying fancy new technology to store the data. The real challenge is to make sure that more complete, timely information is actually being used by the criminal justice system for the important decisions that shape people's lives and the safety of our communities.

If the information gaps had been closed two years ago, Ilka Mondane might very well be alive today.

— Amy Klobuchar is Hennepin County attorney.

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Integrated Law Enforcement

"You mean they are not doing it now?"

by: **Melvin J. Carraway and Lester C. Miller**

Lawrenceburg Police Department Detective Stephanie Madrill had just returned from the scene of a drug-related homicide. It was a professional job--single 9 mm bullet to the side of the head, hands and feet ty-wrapped together behind victim's back, a plastic bag believed to have contained cocaine was stuffed in his mouth. The victim was suspected to have been a small time cocaine dealer.

This was not what Detective Madrill had expected to be involved with when she joined the department five years ago. Lawrenceburg had not experienced a drug killing before. She could not draw on departmental experience. Recalling recent training on fighting drugs she had received through the Integrated Law Enforcement Distance Learning Network, she logs on to the Integrated Law Enforcement Intranet and conducts a search of the unsolved crimes MO (modus operandi) database using the unique features of the crime as search terms. She gets three hits--Evansville, Jeffersonville, and Seymour. Each hit has the name of the investigating officer with phone numbers.

Then Detective Madrill searches the Indiana State Police home page looking for background and investigational tips on drug-related homicides. She downloads a five-page guide and notes that there are three references with phone numbers for additional assistance--First Sgt. Jim Lloyd, squad leader for the Indiana State Police homicide squad of the recently formed Bureau of Criminal Investigations, Lt. Chris Battison, Indianapolis Police Department Metro Homicide Task Force, and Special Agent Donna Fleetman, FBI.

Detective Madrill reviews the Indiana State Police guide, reexamines the evidence in light of what the guide says, and makes notes on what further information she needs to obtain. She then contacts the officers in Evansville and Jeffersonville and First Sgt. Lloyd on the interactive video network from a room at the Lawrenceburg campus of Ivy Tech. She shows them pictures of the crime scene using the separate digital camera, which permits zooming in on different sections of the picture and discusses the crime.

All four concur that this crime appears to fit in with the pattern seen at the other two cities and formulate a coordinated plan for tracking down the perpetrators. This includes setting up a public folder for each of them to put in information as well as posting to the Integrated Law Enforcement Council's drug and homicide bulletin board their information with a request for other agencies with similar crimes or tips to contact them. Now, every law enforcement agency in Indiana has been enlisted to help solve Lawrenceburg's homicide.

It was a dark and stormy night. A tornado has hit several cities and towns in north central Indiana. Deputy Sheriff Dan Montgomery of the Marshall County Sheriff's Department is Signal 10 to a nursing home, 10 miles outside Culver, which has been destroyed by the tornado. He is the first to arrive on the scene. A fire has broken out. Trees are blocking the roads and are tossed like match sticks on the rubble of the home. There will be many injuries tonight.

Deputy Sheriff Montgomery gets on his 800 MHz Ericcson radio to call for assistance. The dispatcher contacts: the national guard armory requesting them to provide an engineering

company to help with road clearance to get emergency aid into the home; the Culver and Plymouth Fire Departments to fight the fire and provide ambulance service; the Indiana State Police and the county emergency director. The dispatcher patches the fire departments that use a VHF radio and those state and county agencies that use 800 MHz Motorola radios together.

Now Deputy Sheriff Montgomery is in direct radio contact with the other emergency providers so he can direct them to the site and coordinate the establishment of the response. He gives on the scene accounts to the providers so that they arrive with full knowledge of what to expect-- which roads need to be cleared, where the most seriously injured patients are, and what appears to be the cause of the fire. He receives a message on the CDPD laptop in his car from the State Emergency Management Agency Operations Center (EOC) in Indianapolis requesting a picture of the scene so they can evaluate what additional response may be appropriate. Dan takes out his digital camera, shoots a couple of pictures and sends them not only to the EOC but also to the other responders with laptops. Some of them are on CDPD transmission; some use 800 MHz for the transmission. Everyone responding to this disaster gets the picture.

The two scenarios described above could take place today with current technology. There are countless more examples where revamping how law enforcement and public safety agencies can perform their jobs more effectively and efficiently. The concept is called "Integrated Law Enforcement" (ILE). Law enforcement leads the integration effort, but other public safety and, in fact, other governmental agencies will benefit from the concept. This article discusses why it is needed, what integrated law enforcement is, how it can be implemented and what are the impediments to implementation. The public has certain expectations regarding how law enforcement fights crime. When they are informed of this project to integrate law enforcement, one of two responses is invariably given: "You mean they are not doing it now?" or "Well, it's about time."

Introduction

The face of crime is changing. It is becoming more violent, and drugs are making it more complicated. At the same time, the public expects all aspects of government, including law enforcement, to be more effective with the resources currently provided. Individual law enforcement agencies will never have all the needed resources to meet these combined demands. Law enforcement simply must change the way it does business.

Presently, there is occasional mutual engagement among the law enforcement community to integrate its services. Unfortunately, it often takes the death of an officer or some unusually high profile event to bring our varied resources together to solve problems. Mostly, law enforcement agencies tend to become isolated. For example, agencies individually purchase computers or radios, computer aided dispatch software, or other technology rather than combining with other agencies to heighten buying power. Or, in instances where specialized services are required, such as a need for qualified underwater search and recovery personnel and equipment, there is no central catalog of information relating to this service or information regarding which law enforcement agencies have it. Also, information is not readily shared because there has been no efficient and cost effective means of doing so. By encouraging the various departments to work together to integrate as many policing functions as possible, the cost of such shared systems can be reduced and specialized services can be shared easily. Such shared and open access by an increased number of departments will enhance overall expertise in crime analysis, problem solving and internal organizational change.

At the Governor's direction, an initiative was begun to integrate law enforcement services at the state, county, local and federal level. Making this happen requires planning and buying into the concept by the state, county, local and federal law enforcement agencies and elected officials. Fortunately, the U.S. Department of Justice recently awarded the Indiana State Police a $250,000 grant to help start the integrative process.

When we duplicate our policing efforts, it is expensive and often unsafe and inefficient. Such examples are numerous and fail to meet the public's expectation for prudent disbursement of their tax dollars. The Indiana State Police and many law enforcement agencies in Indiana have adopted Community Oriented Policing (COP) as their method of operating. COP is designed to have the officer become more involved in the community. The nature of Community Oriented Policing (COP) insists on all segments of the community working together to share resources to solve their mutual problems.

There must be a new paradigm in law enforcement services within Indiana. This new model of law enforcement includes individual agencies continuing to have individual responsibilities, while the work they engage in and the tools available to them will be shared by all participating groups. To illustrate, if a domestic violence case is worked within a city and a case report is generated to reflect pertinent data, another officer in the same jurisdiction will likely not know anything about it. If that same domestic violence incident occurs again and a different agency is called to the scene, the responding officer would benefit from knowing what occurred previously with the other police officer. This type of activity is very common.

The first step in encouraging buy in of ILE has already occurred. The first Governor's Summit on Integrated Law Enforcement was convened on Dec. 8-9, 1997. Sheriffs, police chiefs, town marshals, mayors, county commissioners, and representatives of the FBI, U.S. Customs, state house of representatives, and other governmental agencies came together to learn about the concept and about how technology can help this process. The Integrated Law Enforcement Council, an historic coalition of the major law enforcement associations, sponsored this event.

The focus of the Summit was how Integrated Law Enforcement allows law enforcement agencies across the state voluntarily to share their information and resources to maximize effectiveness and efficiency. This means processes will be changed so that they act in a coordinated manner with technology as the enabler. Those law enforcement agencies that choose to participate will buy radios so they can communicate with one another. They will purchase computers in their agencies and cars so information about a criminal or a crime is available to other agencies around the state. Participants will share their resources, both human, such as detectives or laboratory services, and physical, such as helicopters, to ensure no criminal escapes prosecution.

The benefit of sharing was recently demonstrated in the tragic case of Kelly Eckart, who was murdered recently in Franklin. Both Indiana State Police and Indianapolis Police Department brought in their specialists in homicide investigations, and Indiana State Police provided laboratory and helicopter services. This sharing does not diminish the autonomy of the local agencies but adds capability to the smaller agencies that cannot afford to have such expertise and resources. In addition, it can bring about significant cost savings through quantity purchases and diminish the administrative burden of purchasing technical equipment, particularly on smaller law enforcement agencies.

One key to making ILE work is the voluntary nature of the concept. No law enforcement agency is going to be forced to join. Each must examine its circumstances, consult with its governing and fiscal bodies, and make a determination if ILE is right for it. Based on the reaction at the Summit, there will be many joining in the process.

How Does It Work?

Integrated law enforcement has two major components: process and technology. These components interact with each other in a repetitive synergistic manner. Modern integrative processes require new technology to be fully effective. Full utilization of new technology requires a change in the processes of law enforcement. For either to occur, we must change what we train our law enforcement officers to do and how we train them.

Process Change

When Professor Kenna Davis Quinet, Assistant Professor of Criminology at IUPUI, addressed the Governor's Summit, she asked the question that forms the foundation for the need for change in how law enforcement conducts its business of the assemblage of sheriffs, marshals, and police chiefs: "Does the person sitting next to you have information (or services) to help you do your job better." The answer is "yes," and the participants said so in their response to a questionnaire prepared for the summit.

Tippecanoe County law enforcement understood the answer was "yes" before Dr. Quinet asked it. Two years ago, Tippecanoe County law enforcement changed its processes to improve its fight against drugs. The Tippecanoe Sheriff's Department, Tippecanoe Prosecuting Attorney's Office, Lafayette Police Department, West Lafayette Police Department, Purdue Police Department, and Lafayette Post of the Indiana State Police made an interlocal agreement. This model for ILE contained three unique features: when a drug raid was made, all proceeds went into a common fund for the benefit of all participating agencies regardless of who led the raid; pre-arranged investigative teams in which each agency agreed to provide a certain level of staffing to the team; and total participant access to everyone else's information. They have also gone to a centralized booking procedure. According to Sheriff Murtaugh, the two principles that drove their efforts were: "I can't do it by myself" and "I am here to serve my community."

Perhaps, the overriding process change is the elimination of "turf protection." Tippecanoe County made the change. Who can imagine a public agency agreeing to share its funds with another? Each agency that decides to become a part of this process must examine how it does business and determine if it can share some of its resources in the interest of public safety.

Technology

As with any organization today, technology is critical to getting the job done. Police technology ranges from DNA analysis to criminal history databases and laptops in cars. Unfortunately, technology is very costly and difficult to buy. Police agencies have been buying cars and guns for a long time; purchasing hardware and software for laptops that go into cars is new. Because technology is expensive it cries out for integration efforts. Rather than every law enforcement paying large sums of money for a new communication system, why not have the agencies pool their resources and build a system that will not only enable them to talk to each other; but also save money by eliminating duplicative aspects of the system?

Many agencies want to purchase laptops for the cars to ease the overloading of voice communications and enable the officers to conduct their own criminal history and vehicle background checks. The literature is saturated with statistical and anecdotal evidence of the value of this tool. The Indiana State Police has been conducting three pilots of new technology: use of a GTE laptop in central Indiana; use of new 800 MHz voice and data communications system from Ericcson in Fort Wayne, and sharing information with Dearborn County Sheriff's Department using a Spillman run data system. This latter pilot has given Indiana State Police access to more than 32,000 names in the Dearborn County database. The pilot was the result of Dearborn County Sheriff Department coming to Indiana State Police and offering access to this information. Troopers who have used the GTE laptops said that, without the laptops, several apprehensions would not have been made. Officers involved in these pilots feel safer due to the presence of the new technology.

The cost of technology can be decreased and its effectiveness increased if proper planning occurs. A strategic plan must be developed that encompasses all of the needs at each level of Indiana government. Subsequently, an information technology architecture needs to be created. Adherence to the architecture will ensure that agencies will be able to share information with other agencies.

For all this to be done well, a strategic planning and technology consultant must be engaged. This is being done through the Indiana State Police. This consultant will work with federal, local, county and state agencies to determine the status of their technology and their future needs. One police chief at the Summit was elated upon hearing that the Indiana State Police was going to engage such a consultant because he could never have afforded one on his own.

Integration brings significant cost and time savings. As mentioned above, the state's engaging of a consultant will be a great boon to many smaller agencies. In addition, agencies will not have to build and maintain their own communication systems. These can be centrally managed. A significant benefit of integration is that a statewide quantity purchase agreement for hardware and site licenses for software can be negotiated to dramatically lower the acquisition costs. Finally, we often do not consider the opportunity and real costs that the public sector procurement system imposes on all agencies. Integration will dramatically lessen these.

While we hope many agencies will purchase laptops and radio systems that adhere to the architecture, thus allowing them to "talk" to each other in the future, Hoosiers should not have to wait for ILE to take place. Luckily, technology vendors have developed ways for the already purchased systems to talk to each other. In fact, part of the strategic plan includes an analysis of the utility of implementing some of these technology solutions. Undoubtedly, some agencies will decide to acquire this connecting technology.

Training

The key to instituting this sea change is training. The 11,000 sworn law enforcement officers have worked all their lives in a non-integrative environment. Technology and planning alone will not change the way they conduct their business. This aspect of implementing technology is often overlooked. Rather, everyone must be trained in this technology. This will ensure the technology produces the results for which the agencies paid. To achieve the training necessary, we will use distance learning networks already present or contemplated in Indiana. Indiana is at the leading edge of network development. Such networks have already been built primarily for connecting grade school and high school students. However, the public universities have or are also building significant networks. While there are different networks, they can "talk" to each other as was demonstrated at the Summit when officers in Fort Wayne, Columbus and Indiana conversed with the Summit participants via both Ameritech's and GTE's interactive video network. These will enable not only interactive teaching but also the transmission of documents.

The distance learning networks will save significant amounts of money currently spent on travel, lodging and overtime and will provide more officer time on the job by eliminating the need to travel long distances for specialized and recurrent training. All law enforcement officers are required to have 16 hours of in-service training per year. As a side benefit, law enforcement can provide anti-drug, anti-gang, and other curriculum to students and adults throughout the state.

Implementation

No state has ever embarked on a vertical integration journey of this nature. However, using technology to break down organizational boundaries is perhaps the most significant trend in government today. The Kennedy School of Government at Harvard University recently held a workshop on this topic. At that workshop, we learned that every level of government is conducting some type of integration process. More than seventy-five percent of the participants reported moderate to significant experience with cross boundary technology projects. However, fifty percent felt that they were still before the knee of the learning curve when it comes to implementing such a project. Thus, there is not an exact road map for this process.

In the current road map established for Indiana Integration, the ILEC will serve as the planning body for implementing ILE. It will oversee the development of the strategic plan and will coordinate with the county, local, federal and state agencies to smooth the transitions and work out the bugs of implementation. We will use the technology consultant to provide the expertise for the technology aspects, but to move ahead will require commitment by the local governments. Governor O'Bannon has already given his commitment, and our technology consultant's strategic vision will identify the steps to be taken which may include implementing legislation. In order to facilitate communication, there will be another summit in late 1998.

Impediments

Technology. The easiest part of implementing will prove to be the technology. Vendors are salivating at the prospect of doing business in Indiana. They understand the power of the ILE concept. Any vendor that is a part of the first statewide implementation will have an advantage on the competition when other states decide to adopt ILE which will happen if we are successful.

Organizational change. The second most difficult part will be convincing law enforcement to change the way it does business. However, there is hope. The fact that more than 180 law enforcement agencies registered to attend the Summit, and agencies from Dearborn County to Marion County and Indianapolis Police Department offered to share their information with the State Police demonstrates the time is ripe for ILE.

Funding. However, even if we can achieve organizational change, we have a very practical need and most difficult problem--money. While budgets are tight, there is money to be found. The federal government is making significant sums available for technology because they realize the benefit. We need to work with the U.S. Department of Justice and Congress to continue funding for these programs.

Community Oriented Policing did not gain wide acceptance in Indiana and other states until federal money was made available based on an agency's commitment to COP. If we can get federal money for ILE, the path will similarly be cleared for acceptance. Agencies will need to reexamine their budgets to see if money allocated for maintenance or acquisition of current technology or for unrelated items such as travel and lodging can be reallocated to integrative technology. Many local governments and the State of Indiana have funds appropriated or planned for appropriation for such items as communications. Pooling of these resources can result in the installation of a system that leads us to integrated law enforcement and brings to fruition the benefits described at the beginning of the article.

We need to look at creative funding mechanisms that eliminate the need for large single appropriations and create a revenue stream for steady funding of communication systems into the future. This would have avoided the immediate problem faced by the state of having to fund an 800 MHz voice communication system whose total infrastructure will cost over $50 million. The actual funding mechanisms will be worked out over time through the ILEC.

Conclusion

Madison County Sheriff Scott Mellinger, speaking at the Summit on the challenges of ILE, described the characteristics necessary for adopting ILE--courage and humility. The courage to stand up to years of tradition and resistance to change and the humility to accept that no one person or agency can handle the challenges of law enforcement alone.

We must also put our egos to one side. We take great pride in having our own radio system, data system, and training system. This is an "edifice complex." That is not the best way to fight crime today. The public does not care who owns what technology. They only care about the outcome of our efforts. How have we made it safer for that child to play in the yard in front of his or her house? Have we lowered the fear of a senior citizen walking home from the grocery store? Are there fewer funerals for homicide victims in Indianapolis or Gary? Are we able to get more drunk drivers off the road? What steps are being taken to keep drugs out of our schools? In Superintendent Carraway's 18 years as a law enforcement officer, he has never been asked who owns his radio system.

We must focus on the outcomes, not on outputs. If we do that, agencies across the state will embrace integrated law enforcement, and Indiana will be a safer place in which to live and work.

Melvin J. Carraway has served for 18 years with and is currently the Superintendent of the Indiana State Police. He holds a Bachelor of Music degree from Heidelberg College. Lester C. Miller is special counsel to the Superintendent of the Indiana State Police. He received his J.D. from Indiana University School of Law in Indianapolis and a Masters in Public Administration from Harvard University.

Appendix C. Useful Links: Integration References & Their URLS

Department of Justice Programs/Offices

U.S. Department of Justice	http://www.usdoj.gov
Office of Justice Programs	http://www.ojp.usdoj.gov/
Bureau of Justice Assistance	http://www.ojp.usdoj.gov/BJA
Bureau of Justice Statistics	http://www.ojp.usdaoj.gov/bjs
National Institute of Justice	http://ojp.usdoj.gov/nij
Justice Technology Information Network	http://www.nlectc.org

State justice integration initiatives

Alaska	http://www.integration.search.org/Alaska/AKStrategicPlan.pdf
Colorado	http://www.state.co.us/gov_dir/cicjis/intro.htm
Connecticut	http://www.opm.state.ct.us/pdpd1/grants/cjis.htm
Indiana	http://www.state.in.us/isp/safe-t/plan.html
Kansas	http://www.kbi.state.ks.us/
Kentucky	http://www.state.ky.us/agencies/ucjis
Michigan	http://www.michigan-cjis.org/page1.html
Minnesota	http://criminal.justice.state.mn.us/
Nebraska	http://www.nol.org/home/crimecom/
New Mexico	http://www.unm.edu/~isrnet/cjimt/plan.html
North Carolina	http://sbi.jus.state.nc.us/cjin/cjin.htm
Ohio	http://www.ocjs.state.oh.us/CJIS/cjisweb1.htm

Pennsylvania	http://www.state.pa.us/Technology_Initiatives/jnet/home.htm
Virginia	http://www.dcjs.state.va.us/icjis/
Washington	http://www.wa.gov/dis/jin
Wisconsin	http://bjis.state.wi.us/

Local justice integration initiatives

Harris County, Texas	http://www.co.harris.tx.us/jims/
Hennipin County, Minnesota	http://www.macrogroup.net/cjsiip/project_overview.htm
Marin County, California	http://marin2.marin.org/mc/cjis/cjis.html
McLean County, Illinois	http://www.mclean.gov/sheriff/Sherif12.html
Wichita, Kansas	http://www.wichitapolice.com/

National associations and organizations

Alliance for Redesigning Government	http://www.alliance.napawash.org/alliance/index.html
The American Correctional Association	http://www.correctionscorp.com/aca.html
American Legislative Exchange Council	http://www.alec.org/
American Probation and Parole Association	http://www.appa-net.org/
Association of Public-Safety Communications Officials	http://www.apcointl.org/
Association for Information Systems	http://www.aisnet.org/
Center for Technology in Government	http://www.ctg.albany.edu/
The Corrections Connection	http://www.corrections.com/
Council of State Governments	http://www.statesnews.org/
International Association of Chiefs of Police	http://www.theiacp.org/
International Association of Law Enforcement Planners	http://www.ialep.org/
International City/County Management Association	http://www.icma.org
National Association of Attorneys General	http://www.issinet.com/naag/
National Association of Counties	http://www.naco.org/naco/index.htm
National Assn. of State Information Resource Executives	http://www.nasire.org/
National Center for State Courts	http://www.ncsc.dni.us/
National Conference of State Legislators	http://www.ncsl.org
National Crime Prevention Council	http://ncpc.org/
National Criminal Justice Association	http://ncpc.org/
National District Attorneys Association	http://www.ndaa.org/
National Governors' Association	http://www.nga.org/

National Institute of Standards and Technology http://www.nist.gov/
National League of Cities http://www.nlc.org/
National Legal Aid and Defender Association http://www.nlada.org/
National Sheriffs' Association http://www.sheriffs.org/
SEARCH-National Consortium for Justice Info. & Statistics http://www.search.org

Magazines

CIO Communications Inc. http://www.cio.com
Civic.com http://www.civic.com
Governing http://www.governing.com
Government Technology http://www.govtech.net
State and Local Government Computer News http://www.gcn.com

Information technology resources

Information Technology Association of America http://www.itaa.org/
National Law Enforcement & Corrections Technology Center http://www.nlectc.org/
Public Technology Inc. http://www.pti.org
Smartgov http://policyworks.gov/org/main/me/smartgov/
Society for Information Management http://www.simnet.org/
States Inventory Project http://www.states.org/
Urban and Regional Information Systems Association http://www.urisa.org/

Foundations

There are a number of private sector foundations which are committed to investing in programs that improve the quality of life in the communities where they are located.

The Council on Foundations http://www.cof.org/
The Foundation Center http://fdncenter.org/

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