

GWINNETT COUNTY

CRIMINAL JUSTICE INFORMATION SYSTEM INTEGRATION STRATEGIC PLAN



Master Table of Contents

Executive Summary

1. EXECUTIVE SUMMARY

- 1.1. Enterprise Architecture (EA)
 - 1.1.1. *Business Architecture Framework*
 - 1.1.2. *Information Architecture Framework*
 - 1.1.3. *Technology Architecture Framework*
 - 1.1.4. *Architecture Governance Framework*
- 1.2. Agency Interviews and Assessments
- 1.3. Project Management Plan (PMP)
 - 1.3.1. *Project Planning Methodology*
 - 1.3.2. *Project Execution Methodology*
- 1.4. Gwinnett Justice Information Exchange Model (JIEM) Report
 - 1.4.1. *Overview of the Justice Information Exchange Model (JIEM) Methodology*
 - 1.4.2. *JIEM Report Summary*
 - 1.4.3. *Receiving Agencies*
 - 1.4.4. *Sending Agencies*
- 1.5. Integrated Justice Standards
- 1.6. Integrated Justice Legal Issues
- 1.7. Integrated Justice Technical Architecture
 - 1.7.1. *Purpose of the Technical Architecture*
- 1.8. CJIS Prioritized Project List and Action Plan
- 1.9. People Initiatives
 - 1.9.1. *CJIS Program Manager*
 - 1.9.2. *CJIS Analyst*
 - 1.9.3. *CJIS Support Analyst*
- 1.10. Process Initiatives
- 1.11. Technology Initiatives
 - 1.11.1. *CJIS Action Plan*
 - 1.11.2. *CJIS Project Action Plan Gantt Chart*

Enterprise Architecture

1. ENTERPRISE ARCHITECTURE OVERVIEW

1.1. Purpose of This Document

2. THE NASCIO ENTERPRISE ARCHITECTURE FRAMEWORK

2.1. Business Architecture Framework

2.1.1. *SEARCH Justice Information Exchange Model (JIEM)*

2.1.2. *Business Context Scenarios*

2.1.3. *CJIS Policies and Principles*

2.2. Information Architecture Framework

2.2.1. *JIEM Documents*

2.3. Technology Architecture Framework

3. ARCHITECTURE GOVERNANCE FRAMEWORK

3.1. CJIS COI Formation

3.1.1. *CJIS COI Mission, Goals, and Objectives*

3.1.2. *CJIS COI Mission Statement*

3.1.3. *CJIS COI Goals and Objectives*

3.1.4. *CJIS COI Roles and Responsibilities*

3.2. CJIS Operational Staff

3.2.1. *CJIS Program Manager*

3.2.2. *CJIS Analyst*

3.2.3. *CJIS Support Analyst*

3.3. Organizational Structure of Enterprise Architecture

3.3.1. *CJIS Community of Interest – Enterprise Architecture Subcommittees*

3.4. Roles and Responsibilities

3.4.1. *Enterprise Architecture Manager*

3.4.2. *Champions*

3.4.3. *Subject Matter Experts (SMEs)*

3.4.4. *CJIS COI Approval*

APPENDIX A—GWINNETT COUNTY CJIS IT STRATEGIC PLAN CHARTER

Agency Interviews and Assessments

1. INTRODUCTION

- 1.1. Purpose of This Document

2. ADMINISTRATIVE OFFICE OF THE COURTS

- 2.1. Overview
- 2.2. AOC General Procedures
 - 2.2.1. *Indigent Defense Counsel Management*
 - 2.2.2. *Dispute Resolution*
 - 2.2.3. *Drug Court and DUI Court*
- 2.3. AOC Statistics
- 2.4. Technology Assessment
- 2.5. Recommendations

3. DEPARTMENT OF CORRECTIONS

- 3.1. Overview
- 3.2. Corrections Facilities
- 3.3. Corrections General Procedures
 - 3.3.1. *Corrections Intake*
 - 3.3.2. *Work Alternative Program*
 - 3.3.3. *Prisoner Transfers*
- 3.4. Corrections Statistics
- 3.5. Technology Assessment
 - 3.5.1. *TAG Jail Management System*
 - 3.5.2. *Work Release Program Biometric Tracking System*
- 3.6. Recommendations
 - 3.6.1. *Sentencing Orders*
 - 3.6.2. *Transfer Request*

4. DISTRICT ATTORNEY

- 4.1. Overview
- 4.2. Role of Law Enforcement Agencies
- 4.3. District Attorney General Procedures
 - 4.3.1. *Charging Documents*
 - 4.3.2. *Accusation*
 - 4.3.3. *Indictment*
 - 4.3.4. *Dismissal*
 - 4.3.5. *Administrative Dismissal*
 - 4.3.6. *Nolle Prosequi*
 - 4.3.7. *Changes to Charges Through the Adjudication Process*

- 4.4. District Attorney Business Process
 - 4.4.1. *Vertical Prosecution*
 - 4.4.2. *District Attorney Intake Documents*
 - 4.4.3. *District Attorney Criminal Investigations*
 - 4.4.4. *Bond Process*
 - 4.4.5. *1st Appearance Hearing*
 - 4.4.6. *Preliminary Hearing (Committal Hearing)*
 - 4.4.7. *Arraignment*
 - 4.4.8. *Fast Track Pleas*
- 4.5. Trial
 - 4.5.1. *Trial Calendar*
 - 4.5.2. *Disposition*
 - 4.5.3. *Defense Counsel*
 - 4.5.4. *Discovery*
 - 4.5.5. *Offender Based Tracking System (OBTS)*
 - 4.5.6. *Court Calendar*
 - 4.5.7. *Victim Services*
- 4.6. Case Number Formats
- 4.7. District Attorney Caseload Statistics
- 4.8. Technology Assessment: New District Attorney System
- 4.9. Recommendations
 - 4.9.1. *Capture Defendant Information Electronically*
 - 4.9.2. *Use Biometrics Throughout the Justice Process*
 - 4.9.3. *Electronic Booking Information*
 - 4.9.4. *Electronic Filing*
 - 4.9.5. *Synchronize Case Numbers With the Clerk of Court*
 - 4.9.6. *Electronic Chain of Custody Tracking*
 - 4.9.7. *Electronic Unusual Occurrence Report*
 - 4.9.8. *Electronic Search Warrant Applications*
 - 4.9.9. *Automate OBTS Reporting*
 - 4.9.10. *Flag Cases That Require an Interpreter*
 - 4.9.11. *Provide a Consolidated Online Case Calendar*
 - 4.9.12. *Automatic Subpoena for Victims of Domestic Violence*
- 4.10. Technology Questionnaire
 - 4.10.1. *CJIS Policy Survey*
 - 4.10.2. *CJIS Technical Architecture*

5. FIRE AND ARSON

- 5.1. Overview
- 5.2. Arson General Procedures
- 5.3. Arson Arrest and Prosecution
- 5.4. Dispatch and Emergency Response
- 5.5. Geographical Information System (GIS) Layers

- 5.5.1. *Parcel Layer*
- 5.5.2. *Street Center Line Layer*
- 5.5.3. *Department for Public Utility (DPU) Layer*
- 5.5.4. *Lakes and Streams Layer*
- 5.5.5. *Other GIS Layers Used by the Fire Department*
- 5.5.6. *Arson Case Statistics Reporting*
- 5.6. Fire and Arson Statistics
- 5.7. Technology Assessment
- 5.8. Recommendations
 - 5.8.1. *Automate OBTS Reporting*
 - 5.8.2. *Arson System*
 - 5.8.3. *Limited Access to the Prosecution System*

6. GEOGRAPHICAL INFORMATION SYSTEM

- 6.1. Overview
- 6.2. Criminal Justice Applications
- 6.3. Sex Offenders
- 6.4. Technology Assessment
- 6.5. Recommendations
- 6.6. Technology Questionnaire
 - 6.6.1. *CJIS Policy Survey*
 - 6.6.2. *CJIS Technical Architecture*

7. JUVENILE COURT

- 7.1. Overview
- 7.2. Juvenile Court Business Process
 - 7.2.1. *Juvenile Warrants*
 - 7.2.2. *Juvenile Arrests*
 - 7.2.3. *Case Initiation*
 - 7.2.4. *Intake Division*
 - 7.2.5. *Juvenile Case Processing*
 - 7.2.6. *Juvenile Court Probation*
 - 7.2.7. *State of Georgia Juvenile Facility*
- 7.3. Case Number Formats
- 7.4. Juvenile Court Case Load Statistics
- 7.5. Technology Assessment
- 7.6. Recommendations
 - 7.6.1. *Receive Juvenile Complaint Form Electronically*
 - 7.6.2. *Juvenile Warrant Synchronization*
- 7.7. Technology Questionnaire
 - 7.7.1. *CJIS Policy Survey*
 - 7.7.2. *CJIS Technical Architecture*

8. MAGISTRATE COURT

8.1. Overview

- 8.1.1. Magistrate Court Staff*
- 8.1.2. Magistrate Court Schedule*

8.2. Magistrate General Procedures

- 8.2.1. Warrants*
- 8.2.2. Warrantless Arrests*
- 8.2.3. Arrest Warrants for Persons not in Custody*
- 8.2.4. Electronic Warrant Interchange (EWI[®])*
- 8.2.5. Temporary Protection Orders*
- 8.2.6. Interactive Voice Response (IVR) System*
- 8.2.7. 1st Appearance Hearings*
- 8.2.8. Preliminary Hearing (Committal Hearing)*

8.3. Technology Assessment

8.4. Recommendations

- 8.4.1. Magistrate Court Integration With the New Sustain CMS*
- 8.4.2. Electronic Warrant Interchange (EWI[®]) With the New Sustain CMS*
- 8.4.3. Integrate the Sustain CMS With the Interactive Voice Response (IVR) System*
- 8.4.4. Integration With Indigent Defense Counsel Information*
- 8.4.5. Access to Probation Information From the Bench*
- 8.4.6. Provide Consolidated Online Case Calendar*

9. POLICE DEPARTMENT

9.1. Overview

9.2. GCPD General Procedures

- 9.2.1. Routine Traffic Stops*
- 9.2.2. Arrest*
- 9.2.3. Digital Photographs*
- 9.2.4. Video Evidence*
- 9.2.5. Records*

9.3. GCPD Statistics

9.4. Technology Assessment

- 9.4.1. Records Management System (RMS) – CompuDyne*
- 9.4.2. Computer Aided Dispatch (CAD)*
- 9.4.3. Radio Communications*
- 9.4.4. Document Imaging (FileNet)*
- 9.4.5. Mobile Data Terminals (MDTs)*
- 9.4.6. Crime Analysis Unit – CrimeView*
- 9.4.7. Red Light Cameras*

9.5. Recommendations

- 9.5.1. Electronic Data Capture*
- 9.5.2. Digital Video and Cameras*
- 9.5.3. Access to RMS Data From Other Municipal Police Departments*
- 9.5.4. Electronic Chain of Custody Tracking*

- 9.6. Technology Questionnaire
 - 9.6.1. *CJIS Technical Architecture*

10. PROBATION (STATE COURT)

- 10.1. Overview
- 10.2. Probation Business Process
 - 10.2.1. *Intake*
 - 10.2.2. *Probation Case Management*
 - 10.2.3. *Probation Warrants*
 - 10.2.4. *Revocation Hearings*
 - 10.2.5. *Termination Orders*
- 10.3. Case Number Formats
- 10.4. Probation Statistics
- 10.5. Technology Assessment
- 10.6. Recommendations
 - 10.6.1. *Police Incident Reports*
 - 10.6.2. *Probation View of Jail Management System (JMS)*

11. RECORDER'S COURT

- 11.1. Overview
- 11.2. Case Initiation
- 11.3. Recorder's Court Divisions and Schedule
- 11.4. Recorder's Court General Procedures
 - 11.4.1. *Case Processing*
 - 11.4.2. *Non-Arrests*
 - 11.4.3. *Arrest*
- 11.5. Recorder's Court Probation (Sentinel Inc.)
 - 11.5.1. *Bench Warrants*
 - 11.5.2. *Violation of Probation (VoP) Warrants*
 - 11.5.3. *Incarceration Orders*
 - 11.5.4. *Bindover (Transfer Case to Another Court)*
- 11.6. Technology Assessment
 - 11.6.1. *Sustain Court Case Management System*
 - 11.6.2. *Citation Processing with Law Enforcement*
 - 11.6.3. *Integration with Probation (Sentinel)*
 - 11.6.4. *Recorder's Court Forms*
 - 11.6.5. *Recorder's Court Financials*
 - 11.6.6. *Integration With Department of Drivers Services (DDS)*
- 11.7. Recorder's Court Statistics
- 11.8. Recommendations
 - 11.8.1. *Capture Defendant Information Electronically*
 - 11.8.2. *Electronic Link to Sheriff's Department*
 - 11.8.3. *Electronic Documents*

- 11.9. Technology Questionnaire – Recorder’s Court
 - 11.9.1. *CJIS Policy Survey*
 - 11.9.2. *CJIS Technical Architecture*
- 11.10. Technology Questionnaire – Probation (Recorder’s Court)

12. SHERIFF’S DEPARTMENT

- 12.1. Overview
 - 12.1.1. *Detention Division*
 - 12.1.2. *Court Security Division*
 - 12.1.3. *Field Operations Division*
 - 12.1.4. *Civil Division*
 - 12.1.5. *Administrative Division*
 - 12.1.6. *Support Services Division*
- 12.2. Sheriff’s Department General Procedures
 - 12.2.1. *Warrants*
 - 12.2.2. *Warrant Service*
 - 12.2.3. *Warrant Recall*
 - 12.2.4. *Detention*
 - 12.2.5. *Identification Process*
 - 12.2.6. *GCIC Criminal History Names*
 - 12.2.7. *Bond Process*
 - 12.2.8. *Offender Based Tracking System (OBTS) Process*
 - 12.2.9. *Extradition Request*
 - 12.2.10. *Sex Offender Registry*
 - 12.2.11. *Records Department*
- 12.3. Sheriff’s Department Statistics
 - 12.3.1. *Inmate Population*
 - 12.3.2. *Inmate Status Snapshot (April 2006)*
 - 12.3.3. *Inmate Legal Status Codes*
 - 12.3.4. *Inmate Legal Status Statistics (1999 Through 2006)*
- 12.4. Technology Assessment
 - 12.4.1. *Victim Information Notification Everyday (VINE)*
- 12.5. Recommendations
 - 12.5.1. *System Integration*
 - 12.5.2. *Electronic Warrant Interface*
 - 12.5.3. *Local Fingerprint Database*
 - 12.5.4. *Electronic OBS Forms*
 - 12.5.5. *Sex Offender Registry Accounting*
- 12.6. Technology Questionnaire
 - 12.6.1. *CJIS Policy Survey*
 - 12.6.2. *CJIS Technical Architecture*

13. SOLICITOR GENERAL’S OFFICE

- 13.1. Overview

13.2. Solicitor Case Initiation

- 13.2.1. *Cash Bond*
- 13.2.2. *Non-Cash Bond*
- 13.2.3. *Bind Over*
- 13.2.4. *Law Enforcement Citation*
- 13.2.5. *Detention Center Intake*

13.3. Initial Case Information Data Entry

13.4. Initial Case Documents and Data Entry

13.5. Solicitor Criminal Investigations

- 13.5.1. *Law Enforcement Arrest / Incident Report*
- 13.5.2. *Video Recordings from Incident (DUI Videos)*
- 13.5.3. *Digital Photographs*
- 13.5.4. *Medical Records*

13.6. Solicitor Charging Procedures

- 13.6.1. *Administrative Dismissal*
- 13.6.2. *Accusation*
- 13.6.3. *Notice of Intent Not to Prosecute (NIP) – Administrative Dismissal*

13.7. Victim Advocate

13.8. Court Calendar

13.9. Arraignment

- 13.9.1. *Motions*
- 13.9.2. *Trial (Bench or Jury)*

13.10. Solicitor Case Number Formats

13.11. Solicitor General Statistics

13.12. Technology Assessment: New Solicitor System

13.13. Solicitor Recommendations

- 13.13.1. *Eliminate Redundant Data Entry*
- 13.13.2. *Fast Track Domestic Violence*
- 13.13.3. *Digital Video and Cameras*
- 13.13.4. *Access to Customized Jail System Reports*

13.14. Technology Questionnaire

- 13.14.1. *CJIS Policy Survey*
- 13.14.2. *CJIS Technical Architecture*

14. GWINNETT COUNTY STANDARDS COMMITTEE

14.1. Standards General Procedures

14.2. Recommendations

- 14.2.1. *Data Standards*
- 14.2.2. *Standard Address*

15. STATE COURT

15.1. Overview

- 15.2.State Court General Procedures
 - 15.2.1. *Court Filings*
 - 15.2.2. *Calendars*
 - 15.2.3. *Court Documents*
 - 15.2.4. *Appeals*
 - 15.2.5. *State Court Probation*
- 15.3.State Court Statistics
- 15.4.Technology Assessment
- 15.5.Recommendations
 - 15.5.1. *Sustain Court Case Management System*

16. SUPERIOR COURT

- 16.1.Overview
- 16.2.Superior Court General Procedures
 - 16.2.1. *Court Filings*
 - 16.2.2. *Grand Jury Indictments*
 - 16.2.3. *Calendars*
 - 16.2.4. *Waivers*
 - 16.2.5. *Court Documents*
 - 16.2.6. *Appeals and Other Post-Trial Pleadings*
 - 16.2.7. *Superior Court Probation*
- 16.3.Superior Court Statistics
- 16.4.Technology Assessment
- 16.5.Recommendations
 - 16.5.1. *Sustain Court Case Management System*

17. CLERK OF COURT

- 17.1.Technology Questionnaire
 - 17.1.1. *CJIS Policy Survey*
 - 17.1.2. *CJIS Technical Architecture*

APPENDIX A—GEORGIA STATUTE FOR ELECTRONIC SIGNATURES

Project Management Plan (PMP)

1. PROJECT MANAGEMENT PLAN (PMP) OVERVIEW

- 1.1. Project Planning Methodology
- 1.2. Project Execution Methodology
- 1.3. CJIS Management Plan (PMP) Process
- 1.4. CJIS Project Management Office

2. BUSINESS CASE

- 2.1. Scope of the Business Problem
- 2.2. Business and Operational Impacts
- 2.3. Possible Options and Alternatives
- 2.4. Best Option to Meet Business Requirements

3. FINANCIAL PLAN

- 3.1. Introduction
- 3.2. Vendor and Consulting Costs
 - 3.2.1. *Agency System Vendor Costs*
 - 3.2.2. *Hardware Requirements*
 - 3.2.3. *Software Requirements*
 - 3.2.4. *Gwinnett County Human Resources*
 - 3.2.5. *Additional Burden on Existing County Information Technology Infrastructure*
 - 3.2.6. *Ongoing Maintenance and Support Cost*
- 3.3. Project Cost Metrics
- 3.4. Return on Investment (ROI)
 - 3.4.1. *Direct Project Benefits*
 - 3.4.2. *Intangible Project Benefits*

4. COMMUNICATION PLAN

- 4.1. Communication Strategy
- 4.2. Communication Channels
 - 4.2.1. *CJIS Project Portal*
 - 4.2.2. *Monthly CJIS Electronic Newsletter – E-mail (Status Report Summary)*
 - 4.2.3. *Formal Project Meetings and Minutes*
 - 4.2.4. *Participation in Local, State, and National Conferences and Symposia*
 - 4.2.5. *Media Coverage (Print and TV When Approved by the CJIS COI)*
- 4.3. Roles and Responsibilities

5. PERFORMANCE METRICS PLAN

- 5.1. Credits
- 5.2. Overview

- 5.3. Why Measure Performance?
 - 5.3.1. *Performance Metrics for Intangible Benefits*
- 5.4. Identify and Describe the Nature of Performance Metrics
 - 5.4.1. *Step 1: Define the Measure*
 - 5.4.2. *Step 2: Measure Direction*
 - 5.4.3. *Step 3: Identify The Object Of The Measure*
 - 5.4.4. *Step 4: Identify The Expected Value Of The Measure*
 - 5.4.5. *Step 5: Identify Where And How Measurement Will Occur*
 - 5.4.6. *Step 6: Identify When The Measurement Will Be Obtained*
- 5.5. Sample Performance Metrics
 - 5.5.1. *Example 1: Arrest Warrant Process From Magistrate Court*
 - 5.5.2. *Example 2: Bench Warrant Processing From State and Superior Courts*
 - 5.5.3. *Example 3: Warrant Service Notice From Sheriff*
 - 5.5.4. *Example 4: 1st Appearance Order Processing*
 - 5.5.5. *Example 5: Bond Processing*
- 5.6. Collecting Data to Support the Performance Measures
- 5.7. Displaying the Results
- 5.8. Developing Performance Measures: Pitfalls to Avoid
- 5.9. Developing Performance Measures: Tips for Success

6. RISK MANAGEMENT PLAN

- 6.1. Risk Planning
- 6.2. Risk Assessment
 - 6.2.1. *Mitigation Strategies*
 - 6.2.2. *Contingency Strategies*
- 6.3. Risk Monitoring
 - 6.3.1. *Risk Registry*
- 6.4. Risk Handling

7. CHANGE MANAGEMENT PLAN

- 7.1. Change Assessment
- 7.2. Change Process Definition
- 7.3. Training Plan

8. ONGOING MAINTENANCE AND SUPPORT PLAN

- 8.1. Roles and Responsibilities
 - 8.1.1. *CJIS Support Team*
- 8.2. Maintenance Agreements
 - 8.2.1. *CJIS Target Availability*
 - 8.2.2. *Multi-Tier Maintenance and Support Plan*
- 8.3. Ongoing Maintenance and Support Budget
- 8.4. Technical Support Training

9. CJIS PROJECT EXECUTION METHODOLOGY

9.1. Project Execution Plan

- 9.1.1. Project Schedule*
- 9.1.2. Work Breakdown Structure (WBS)*
- 9.1.3. Project Overview and Implementation Plan*
- 9.1.4. Requirements Management Plan*
- 9.1.5. Quality Management Plan*
- 9.1.6. Migration Plan*
- 9.1.7. Training Plan*
- 9.1.8. Test Plan*
- 9.1.9. Project Execution Planning Acceptance*

9.2. Project Implementation

9.3. Project Acceptance

9.4. Ongoing Maintenance and Support

Gwinnett JIEM Exchange Report

1. GWINNETT COUNTY JUSTICE INFORMATION EXCHANGE MODEL (JIEM) REPORT

- 1.1. Introduction
- 1.2. Overview of the Justice Information Exchange Model Methodology
- 1.3. Justice Information Exchange Model Results
- 1.4. JIEM Report Summary
 - 1.4.1. *Receiving Agencies*
 - 1.4.2. *Sending Agencies*
 - 1.4.3. *JIEM Issues and Considerations*
 - 1.4.4. *JIEM Exchange Report*
 - 1.4.5. *JIEM Agencies*
 - 1.4.6. *JIEM Document Type Table*

APPENDIX A—JIEM EXCHANGE LIST

Integrated Justice Standards

1. INTRODUCTION

- 1.1. United States Department of Justice, Global Justice Information Sharing Initiative Advisory Committee (Global)
- 1.2. Global Justice XML Data Model (GJXDM)
 - 1.2.1. *Credits*
 - 1.2.2. *Overview*
 - 1.2.3. *Global XML Structure Task Force (XSTF)*
 - 1.2.4. *What Does the GJXDM Contain?*
 - 1.2.5. *GJXDM Reference Material*
 - 1.2.6. *GJXDM 3.0.3 (Current Release)*
 - 1.2.7. *Supporting Documentation*
- 1.3. GJXDM Information Exchange Package Documentation (IEPD)
 - 1.3.1. *Credits*
 - 1.3.2. *Introduction to Information Exchange Package Documentation (IEPD)*
 - 1.3.3. *Business Need for Information Exchange Package Documentation*
 - 1.3.4. *Artifacts in Information Exchange Package Documentation*
 - 1.3.5. *Information Exchange Package Documentation (IEPD) Clearinghouse*
 - 1.3.6. *Information Exchange Packet Documentation for Gwinnett County*
- 1.4. National Information Exchange Model (NIEM)
 - 1.4.1. *National Information Exchange Model for Gwinnett County*
- 1.5. Interstate Criminal History Transmission Specification (XML 3.0)
- 1.6. National Crime Information Center (NCIC)
- 1.7. National Law Enforcement Telecommunications System (NLETS)
- 1.8. Organization Recommendations for All Levels of Government
 - 1.8.1. *Local Agencies Requirements and Responsibilities*
 - 1.8.2. *State Agencies' Requirements and Responsibilities*
 - 1.8.3. *Federal Agencies' Requirements and Responsibilities*
 - 1.8.4. *Shared Responsibilities*
- 1.9. Americans with Disabilities Act of 1990 (ADA)
- 1.10. National Standards Best Practices
- 1.11. Reference Web Site Resources
 - 1.11.1. *Federal Agencies*
 - 1.11.2. *National Organizations*
 - 1.11.3. *Standards Groups*

Integrated Justice Legal Issues

1. LEGAL ISSUES

- 1.1. Introduction
- 1.2. Data Ownership
- 1.3. Data Quality
- 1.4. Confidentiality
- 1.5. Data Dissemination
- 1.6. Privacy
- 1.7. Security

1.7.1. National Institute of Standards and Technology (NIST)

2. FEDERAL STATUTES AND REGULATIONS FOR JUSTICE INFORMATION SHARING

- 2.1. Homeland Security Act of 2002
- 2.2. E-Government Act of 2002
- 2.3. Identity Theft and Assumption Deterrence Act of 1998
- 2.4. Omnibus Crime Control Act and Safe Streets of 1968
- 2.5. Criminal Justice Information System, 28 CFR Part 20
- 2.6. Criminal Intelligence Systems Operating Policies, 28 CFR Part 23
- 2.7. Electronic Freedom of Information Act of 1996

3. STATE STATUTES AND REGULATIONS

4. BEST PRACTICES FOR LEGAL ISSUES

5. REFERENCE WEB SITE RESOURCES

Integrated Justice Technical Architecture

1. INTRODUCTION

- 1.1. Purpose of the Technical Architecture
- 1.2. Technical Alignment With CJIS Policies and Principles

2. COMPLIANCE WITH NATIONAL STANDARDS FOR TECHNOLOGY

3. SERVICE ORIENTED ARCHITECTURE (SOA)

3.1. Service Oriented Architecture – Definitions and Acronyms

- 3.1.1. *World Wide Web Consortium (W3C)*
- 3.1.2. *Global Justice Information Sharing Initiative (Global)*
- 3.1.3. *Organization for the Advancement of Structured Information Standards (OASIS)*
- 3.1.4. *RosettaNet*
- 3.1.5. *Extensible Markup Language (XML)*
- 3.1.6. *Global Justice XML Data Model (GJXDM)*
- 3.1.7. *Extensible Stylesheet Language Transformations (XSLT)*
- 3.1.8. *Simple Object Access Protocol (SOAP)*
- 3.1.9. *Web Services Description Language (WSDL)*
- 3.1.10. *Universal Description, Discovery, and Integration (UDDI)*
- 3.1.11. *Directory Services*
- 3.1.12. *Lightweight Directory Access Protocol (LDAP)*
- 3.1.13. *Web Services*
- 3.1.14. *Simple Mail Transfer Protocol (SMTP)*
- 3.1.15. *Message Oriented Middleware (MOM)*
- 3.1.16. *Object Request Broker (ORB)*

4. CJIS APPLICATION SECURITY ARCHITECTURE

- 4.1. Network Security
- 4.2. Authentication
- 4.3. Authorization
- 4.4. Data Integrity
 - 4.4.1. *Encryption and Digital Signatures*
- 4.5. Non-Repudiation
- 4.6. Confidentiality
- 4.7. Auditing
- 4.8. Single Sign-On
- 4.9. Intrusion Detection Systems (IDS)
- 4.10. Physical Security and Security Policies

5. MESSAGE ORIENTED MIDDLEWARE (MOM) OR MESSAGE INFRASTRUCTURE (MI)

- 5.1. Introduction
- 5.2. Message Infrastructure (MI) Functions and Features
- 5.3. Commercially Available Message Oriented Middleware (MOM) Products

6. CJIS INTEGRATION ARCHITECTURES

- 6.1. Hub and Spoke Architecture
- 6.2. Enterprise Service Bus (ESB)
- 6.3. ESB Versus Hub and Spoke

7. INTEGRATION BROKER

- 7.1. CJIS Query Portal – Graphical User Interface (GUI)
 - 7.1.1. *Performance Considerations*
- 7.2. Adapters
 - 7.2.1. *Technical Adapters*
 - 7.2.2. *Application Adapters*
 - 7.2.3. *Application Adapter Support*
- 7.3. Workflow and Data Flow Management
 - 7.3.1. *Key Features*
- 7.4. Transformation
 - 7.4.1. *Key Features*
- 7.5. Transport Channels
 - 7.5.1. *Key Features – Support for the Following Transport Protocols*
- 7.6. System Management and Monitoring
 - 7.6.1. *Key Features*
- 7.7. Compatibility With Software Development Frameworks
- 7.8. Partner Management
- 7.9. Product Quality
- 7.10. Security
- 7.11. Commercially Available Integration Broker Products

8. GWINNETT COUNTY CJIS AGENCY TECHNICAL SPECIFICATIONS

- 8.1. Geographical Information Systems (GIS)
- 8.2. Clerk of Court (Magistrate's, Superior, and State Courts)
- 8.3. Records Court
- 8.4. State Probation
- 8.5. County Probation
- 8.6. Sheriff (Detention) & Corrections
- 8.7. Police Department
- 8.8. District Attorney
- 8.9. Solicitors Office
- 8.10. Juvenile Court

Integrated Justice Grant Funding

1. INTEGRATED JUSTICE GRANT FUNDING

- 1.1. Introduction
- 1.2. Fiscal Year 2006 Homeland Security Grant Program: Program Guidance and Application Kit
- 1.3. Department of Homeland Security – Risk Evaluation
- 1.4. Federal Grant Appropriations Process
- 1.5. 2006 Federal Grant Funding Process and Timelines
 - 1.5.1. *Timelines for Department of Justice 2006 Grants*
 - 1.5.2. *Timelines for Department of Homeland Security – Office of Grants and Training 2006*
 - 1.5.3. *Agency Web Sites for Grant Applications and Information*
- 1.6. Federal Grant Trends

2. FEDERAL GRANT PROGRAMS

- 2.1. Justice Assistance Grant (JAG) Program
- 2.2. Edward Byrne Memorial Grant Program (Byrne Grant)
- 2.3. Local Law Enforcement Block Grant Program (LLEBG)
- 2.4. COPS Technology Grants
- 2.5. Crime Identification Technology Act (CITA)
 - 2.5.1. *CITA Strategy Development Requirements*
- 2.6. National Criminal History Improvement Program (NCHIP)
- 2.7. Juvenile Justice Accountability Block Grants (JABG)
- 2.8. Homeland Security Grant Program (HSGP)
 - 2.8.1. *State of Georgia Homeland Security Contact Information*
 - 2.8.2. *Law Enforcement Terrorism Prevention Program (LETPP)*
 - 2.8.3. *Urban Areas Security Initiative (UASI)*
 - 2.8.4. *Targeted Infrastructure Grant Programs*
 - 2.8.5. *Firefighters Assistance Grant Program*

CJIS Prioritized Project List and Action Plan

1. CRIMINAL JUSTICE INFORMATION SYSTEM (CJIS) PROJECT INITIATIVES

- 1.1. Overview
- 1.2. People Initiatives
 - 1.2.1. *CJIS Program Manager*
 - 1.2.2. *CJIS Analyst*
 - 1.2.3. *CJIS Support Analyst*
- 1.3. Process Initiatives
- 1.4. Technology Initiatives
- 1.5. Agency System Upgrades
- 1.6. Other Agency Upgrades
- 1.7. CJIS Prioritized Project List

2. CJIS PROJECT 1: WARRANT, BOOKING, CASE INITIATION, AND INDIGENT DEFENSE INTEGRATION

- 2.1. Project 1 Prerequisites
- 2.2. CJIS Infrastructure
- 2.3. CJIS Query Portal
- 2.4. Electronic Warrant Processing
 - 2.4.1. *Arrest Warrant Processing*
 - 2.4.2. *Search Warrant Processing*
- 2.5. Booking Process
 - 2.5.1. *Book In Process*
 - 2.5.2. *AFIS Search Process*
- 2.6. 1st Appearance
- 2.7. Committal Hearing (Preliminary Hearing)
- 2.8. Hearing Waiver
- 2.9. Defense Attorney Appointment
- 2.10. Bond Processing
 - 2.10.1. *Bond Release*
 - 2.10.2. *Bond Condition Changes*
- 2.11. Judge Warrant Assignment Memo
 - 2.11.1. *Clerk of Court Case Number Assignment*

3. CJIS PROJECT 2: LAW ENFORCEMENT AND RECORDER'S COURT INTEGRATION

- 3.1. Project 2 Prerequisites
- 3.2. Law Enforcement Reports
 - 3.2.1. *Law Enforcement Sends Arrest Report to Detention Center*
 - 3.2.2. *Law Enforcement Sends Arrest Report to Fire Department*

- 3.3. On-Demand GCPD Reports and Forms
 - 3.3.1. *Law Enforcement Sends Reports to District Attorney*
 - 3.3.2. *Law Enforcement Sends Reports to Solicitor*
 - 3.3.3. *Law Enforcement Sends Reports to Defense Counsel*
 - 3.3.4. *Law Enforcement Sends Reports to Recorder's Court*
- 3.4. Recorder's Court Receives Case Initiation
- 3.5. Recorder's Court Warrant Processing
 - 3.5.1. *Recorder's Court Bench Warrant Process*
 - 3.5.2. *Probation Submits a Warrant Application to Recorder's Court*
 - 3.5.3. *Issue Arrest Warrant*
 - 3.5.4. *Recorder's Court Issues an Incarceration Order*
 - 3.5.5. *Recorder's Court Warrant Recall Request*
 - 3.5.6. *Recorder's Court Warrant Recall Approval*
 - 3.5.7. *Recorder's Court Warrant Service Notice*
- 3.6. Recorder's Court Bond Release
- 3.7. Recorder's Court Sends Disposition and Sentence Information

4. CJIS PROJECT 3: COURT CASE MANAGEMENT INTEGRATION

- 4.1. Project 3 Prerequisites
- 4.2. Calendar Processing
 - 4.2.1. *Court Schedule – Calendar Assignment Notice*
 - 4.2.2. *Hearing Schedule*
 - 4.2.3. *The Magistrate Court Notifies of the Preliminary Hearing Date*
 - 4.2.4. *District Attorney Schedules a Hearing*
 - 4.2.5. *Solicitor Schedules a Hearing*
 - 4.2.6. *Clerk of Court Case Number and Division Assignment Notice*
- 4.3. Accusation Filed with the Clerk of Court
- 4.4. Indictment Filed with the Clerk of Court
- 4.5. Prosecutor files Nolle Prosequi with Clerk of Court
- 4.6. Dismissal by Court Order
 - 4.6.1. *Administrative Dismissal*
- 4.7. Prosecutor – Disposition and Sentence
- 4.8. Sentence After Disposition
- 4.9. Motions (and Miscellaneous Filings)
 - 4.9.1. *District Attorney Motions*
 - 4.9.2. *Solicitor Attorney Motions*
 - 4.9.3. *Defense Motions*
- 4.10. Motion for Discovery
 - 4.10.1. *Defense Files Motion for Discovery*
 - 4.10.2. *District Attorney files Motion for Discovery*
 - 4.10.3. *Defense files Motion for Discovery*
- 4.11. Discovery
 - 4.11.1. *District Attorney Files Discovery*

- 4.11.2. *Solicitor files Discovery*
- 4.12. Protection Orders
 - 4.12.1. *Notice of Service for Protection Order*
 - 4.12.2. *Notice for Termination of Protection Order*
- 4.13. Subpoena
 - 4.13.1. *District Attorney – Subpoena*
 - 4.13.2. *Solicitor – Subpoena*
 - 4.13.3. *Clerk of Court – Subpoena*
 - 4.13.4. *Case Transfer Process*
 - 4.13.5. *District Attorney Transfers Case to the Solicitor*
 - 4.13.6. *Solicitor Transfers Case to the District Attorney*
 - 4.13.7. *Recorder's Court Transfer Case to Another Court*
 - 4.13.8. *Clerk of Court Notifies Prosecutor of New Case Number (After Transfer)*
- 4.14. Subject Change of Contact Information
- 4.15. Pre-Sentence Investigation
- 4.16. Pre-Sentence Investigation Is Complete
 - 4.16.1. *Probation Notifies Court of Pre-Sentence Investigation*
 - 4.16.2. *Probation Notifies Defense and District Attorney of Pre-Sentence Investigation*

5. CJIS PROJECT 4: PROBATION, PRE-TRIAL, DRUG COURT AND JUVENILE COURT INTEGRATION

- 5.1. Probation Processes
 - 5.1.1. *Probation Status Notice (Completion or Failure)*
 - 5.1.2. *Probation Financial Information Notice*
 - 5.1.3. *Probation (Recorder's Court) Modification Order*
 - 5.1.4. *Probation Notified of an Active Probationer*
- 5.2. Pre-Trial Diversion
 - 5.2.1. *Probation Notifies Solicitor of Completion or Failure of Pre-Trial Diversion Program*
- 5.3. Drug Court
 - 5.3.1. *Drug Court Notification from District Attorney*
 - 5.3.2. *Drug Court Notifies District Attorney of Completion or Failure of Drug Court Program*
- 5.4. Jail Unusual Occurrence Report
- 5.5. Psychiatric Evaluation Petition
- 5.6. Psychiatric Evaluation Order
- 5.7. Property Disposition
- 5.8. Pre-Existing Court Date Request (Detention to Court)
- 5.9. Pre-Existing Court Date Notification (Court to Detention)
- 5.10. Department of Driver Services (DDS) Message
- 5.11. Department of Family and Children Services Form 453
 - 5.11.1. *Police send Case Documentation to Department of Family and Children Services*
 - 5.11.2. *Department of Family and Children Services sends Police Form 453*
- 5.12. Court or Prosecutor Sends OBTS Information to Georgia Bureau of Investigation (GBI)

5.13. Juvenile Court Processes

5.13.1. Juvenile Complaint Form

5.13.2. Juvenile Court Bench Warrants

5.13.3. Juvenile Court Pickup Orders

5.13.4. Juvenile Court Warrant Recall

5.13.5. Juvenile Court Warrant Recall Approval

5.13.6. Juvenile Court Warrant Service Notice

5.13.7. Juvenile Court Bond Release

5.13.8. Juvenile Court Transfers Case to Superior Court

5.13.9. Case Transfers to Juvenile Court

5.14. Municipal Police Departments

6. CJIS PROJECT ACTION PLAN

7. CJIS PROJECT MULTI-YEAR ACTION PLAN GANTT CHART

This page left blank intentionally.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Executive Summary

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. EXECUTIVE SUMMARY	1
1.1. Enterprise Architecture (EA).....	2
1.1.1. <i>Business Architecture Framework</i>	2
1.1.2. <i>Information Architecture Framework</i>	2
1.1.3. <i>Technology Architecture Framework</i>	3
1.1.4. <i>Architecture Governance Framework</i>	3
1.2. Agency Interviews and Assessments	5
1.3. Project Management Plan (PMP).....	5
1.3.1. <i>Project Planning Methodology</i>	5
1.3.2. <i>Project Execution Methodology</i>	6
1.4. Gwinnett Justice Information Exchange Model (JIEM) Report.....	7
1.4.1. <i>Overview of the Justice Information Exchange Model (JIEM) Methodology</i>	7
1.4.2. <i>JIEM Report Summary</i>	8
1.4.3. <i>Receiving Agencies</i>	9
1.4.4. <i>Sending Agencies</i>	9
1.5. Integrated Justice Standards.....	10
1.6. Integrated Justice Legal Issues	11
1.7. Integrated Justice Technical Architecture	12
1.7.1. <i>Purpose of the Technical Architecture</i>	13
1.8. CJIS Prioritized Project List and Action Plan	14
1.9. People Initiatives.....	14
1.9.1. <i>CJIS Program Manager</i>	15
1.9.2. <i>CJIS Analyst</i>	16
1.9.3. <i>CJIS Support Analyst</i>	16
1.10. Process Initiatives	16
1.11. Technology Initiatives.....	17
1.11.1. <i>CJIS Action Plan</i>	17
1.11.2. <i>CJIS Project Action Plan Gantt Chart</i>	18

Table of Figures

Figure 1-1 Enterprise Architecture Governance Model.....	4
----------------------------------------------------------	---

Table of Tables

Table 1-1 People Initiatives.....	15
Table 1-2 Process Initiatives	16

1. Executive Summary

The demands and requirements that both the taxpaying public and government employees make on government agencies are steadily increasing. In today's hectic times, government entities are under increasing pressure to provide a higher quality of service while maintaining their current budgets. To meet these ever increasing demands, government agencies are turning to technology "to do more with less." Gwinnett County has looked to technology to provide increased productivity and efficiencies in its criminal justice business process. The County developed the Criminal Justice Information System (CJIS) Strategic Plan to take advantage of information technology, which will provide greater availability and interoperability of information among justice agencies.

Many government agencies depend on each other to provide timely information to accomplish their missions efficiently. This is especially true for the criminal justice system, in which many different agencies are required to work together to process criminal cases through the system. Gwinnett County's current information technology environment consists of a series of "stovepipe" information systems designed to meet the requirements of individual criminal justice agencies. Although each of these systems provides internal agency users with adequate functionality, the systems were never designed to share information with other agencies. As a result, agencies spend an enormous amount of time tracking down and re-keying information that is already in the County's various systems. In the County, the main method of information exchange is through paper forms and court documents. In fact, Gwinnett County, with a population of 750,000, has only one electronic business process in its criminal justice system. (The Police Department transfers citation information to the Recorder's Court electronically.)

The County realizes that integrating disparate information systems can increase the overall effectiveness of the justice system greatly. By pooling resources and sharing information, these various agencies can increase their productivity to allow for greater public safety. Moreover, substantial cost savings are associated with sharing information electronically, eliminating redundant data entry and reducing the time agencies spend to process paper documents. The County developed this CJIS Strategic Plan to document the many benefits of integrating information systems and to provide a roadmap for the future.

Gwinnett County developed the CJIS Strategic Plan sequentially as a series of deliverables that the CJIS Community of Interest (COI) approved. The CJIS Strategic Plan contains the following sections:

- Enterprise Architecture (EA)
- Agency Interviews and Assessments
- Project Management Plan (PMP)
- Justice Information Exchange Model (JIEM) Report

- Integrated Justice Standards
- Integrated Justice Legal Issues
- Integrated Justice Technical Architecture
- Integrated Justice Grant Funding
- CJIS Prioritized Project List and Action Plan.

1.1. Enterprise Architecture (EA)

The CJIS Enterprise Architecture will set key standards for business processes, information, and technology that will be reused throughout the CJIS Project. The rigorous application of Enterprise Architecture will provide Gwinnett County with a standard framework for planning, implementing, and supporting CJIS Integration Projects. One of the key elements of a strategic plan is adaptability. Therefore, as a CJIS Project progresses, it is important that the CJIS Enterprise Architecture be considered a living process that can be adjusted and updated throughout the project. The CJIS Strategic Plan is the first step in this process. This document should be maintained and updated as the Strategic Plan is implemented and business requirements evolve over time. The Enterprise Architecture framework defines the management and organizational structure that provides the mechanism to refine and update the CJIS Strategic Plan, including Business Architecture, Information Architecture, and Technical Architecture.

1.1.1. Business Architecture Framework

Business Architecture provides the high-level representation of the business strategies, intentions, functions, processes, information, and assets that are crucial to providing citizens, agencies, and criminal justice users with services. The Business Architecture Framework provides the structure for cataloging the interagency business processes in Gwinnett County's justice system. To support business decision-making, the detail captured in the Business architecture provides documentation of where the enterprise is today and where it will be in the future. The CJIS Enterprise Business Architecture is defined as the SEARCH Justice Information Exchange Model (JIEM).

1.1.2. Information Architecture Framework

The Information Architecture Framework is the compilation of the data requirements for agencies participating in the enterprise. It provides the structure for documenting detail on the information that is crucial to all agencies in Gwinnett County's justice system, including the baseline and the future target conceptual data model. The detail captured in the Information Architecture clarifies business relationships and enhances understanding of the business rules the enterprise adopted. This understanding forms a baseline for exploring and implementing changes in how business is done and what business rules the enterprise will adopt.

Information Architecture manages the enterprise's information. Information Architecture aligns the business processes with the information systems that support these processes, promotes information sharing, and facilitates cross-agency information exchanges. Using the set of business processes that provide a view of the enterprise functions, the Information Architecture will provide an organization with a high-level model of its crucial information. Information Architecture provides the terminology and definitions for the organization's information assets and the processes that affect or are affected by the information. The Information Architecture Framework defines Gwinnett County's enterprise information as JIEM documents associated with each discrete interagency JIEM transaction. Each JIEM document consists of discrete elements from the Global Justice XML Data Model (GJXDM).

1.1.3. Technology Architecture Framework

Technology Architecture is a disciplined approach to describing the current and future structure and inter-relationships of the enterprise's technologies to maximize value in those technologies. The Technology Architecture Framework provides a sound set of structured technical standards that support implementation of the CJIS Technology Architecture. The mapping of the technology products and standards to the business drivers is vital to align the enterprise's overall direction. Vendors, employees, and business users can benefit from an understanding of what technology standards exist and where these standards can be found. The foundation for the technology architecture framework is defined in Section 8, Integrated Justice Technical Architecture of the Strategic Plan.

1.1.4. Architecture Governance Framework

The Architecture Governance Framework addresses the governance roles and processes required for maintaining the Enterprise Architecture. It is used to create a sound governance model to support implementation and management of the Enterprise Architecture and to ensure the enterprise's objectives are achieved. The architecture governance framework must be resilient enough to allow for those in primary governance roles to learn, adapt, and manage risks to appropriately recognize opportunities and act on them. The CJIS COI promotes, plans, and implements integrated justice projects including the Enterprise Architecture initiative. The CJIS COI also manages three subcommittees for Enterprise Architecture, including:

- Business Architecture (based on the JIEM Exchange Model)
- Information Architecture (based on the JIEM Document Model)
- Technical Architecture (based on the CJIS Technical Architecture).

Each Enterprise Architecture subcommittee reports findings and recommendations to the CJIS COI. The CJIS COI approves the subcommittees' recommendations, which will become the COI's policies and standards. The CJIS COI will ensure that all future proposed projects comply with the policies and standards for the Enterprise

Architecture. The governance structure includes the Chief Information Officer (CIO) and the Program Management Office (PMO). The CIO directs strategic decisions in the CJIS Enterprise Architecture and adds the perspective of Gwinnett County's overall Enterprise Architecture.

The Program Management Office (PMO) ensures that CJIS Projects comply with countywide guidelines and procedures for project management. The CIO's office and the PMO are both evolving, and the development of the CJIS Strategic Plan and Enterprise Architecture will help define their ongoing roles and responsibilities. The Enterprise Architecture subcommittees will be staffed and supported by the County's Enterprise IT Department, Agency IT personnel, and Business Stakeholders. Figure 1-1 presents the proposed structure for governance of the Enterprise Architecture.

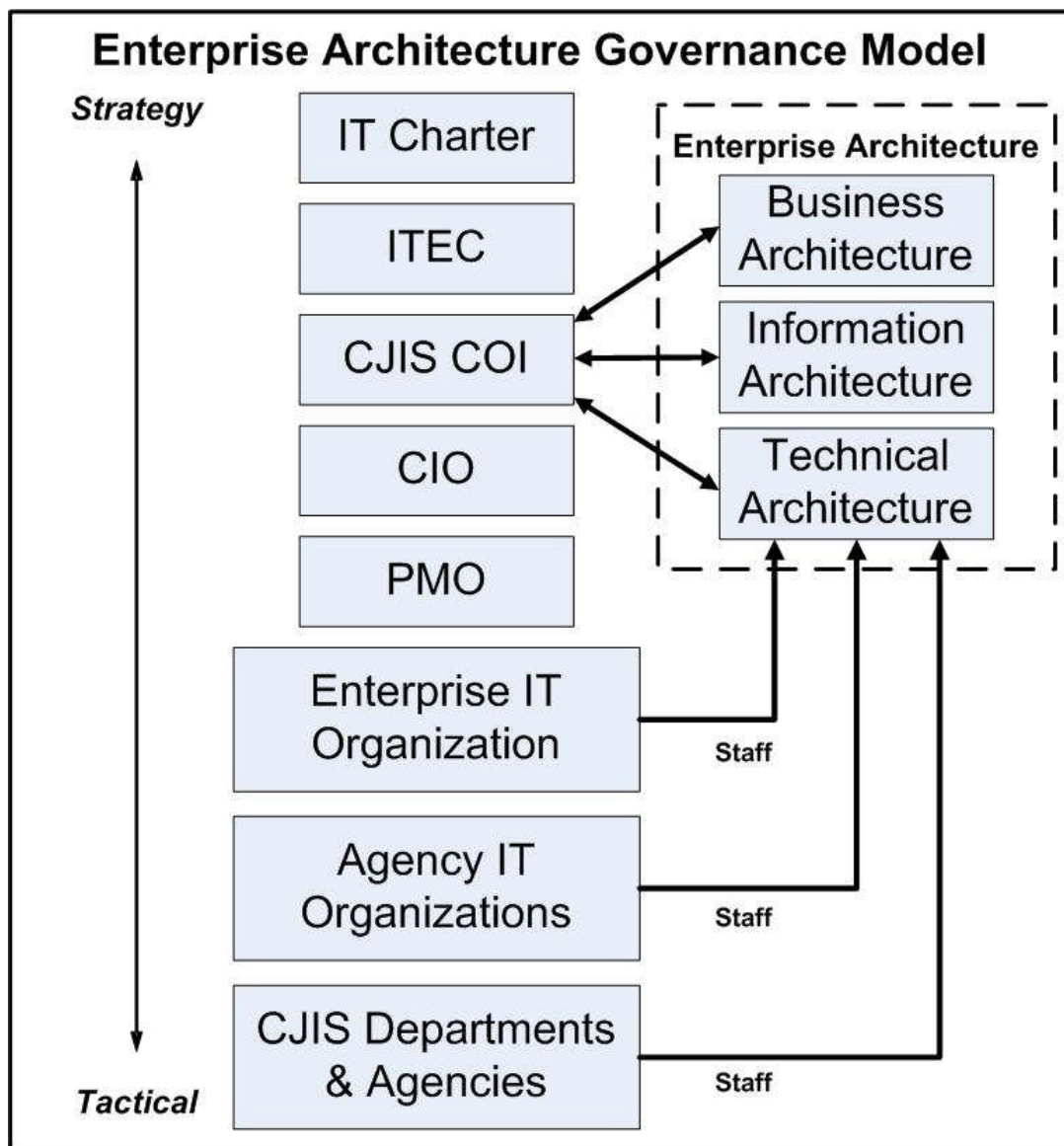


Figure 1-1 Enterprise Architecture Governance Model

1.2. Agency Interviews and Assessments

As a part of the CJIS Integration Strategic Plan Project, Unisys consultants spent 4 weeks interviewing the various agencies in the Gwinnett County Criminal Justice System:

- Administrative Office of the Courts (AOC)
- Clerk of Court
- Corrections
- County Information Technology
- County Probation
- District Attorney's Office
- Fire and Arson
- Geographical Information System (GIS)
- Juvenile Justice
- Magistrate Court
- Police Department
- Recorder's Court
- Sheriff's Department (Detention)
- Solicitor's Department
- Standards Committee
- State Court
- State Probation
- Superior Court.

This document contains the results of those interviews, including an overview of each agency's business process, current and planned technology upgrades, agency policy and technology questionnaires, and recommendations based on each agency's stated needs and desires.

1.3. Project Management Plan (PMP)

The Project Management Plan (PMP) is intended to provide a roadmap for the selection and implementation of projects to enhance the Gwinnett County Justice System. The PMP will provide a step-by-step process to organize the project documentation required to prepare for the challenges of scoping, approving, and implementing a CJIS Project. The Gwinnett County Program Management Office (PMO) will be the internal organization that manages and implements the PMP. The PMO must ensure that the CJIS follows the processes and procedures defined in the PMP.

The PMP is the collection of all the elements necessary to manage a project properly. It is divided into two sections: Project Planning Methodology and Project Execution Methodology. The Project Planning Methodology defines the required analysis and planning that enable County Executives to evaluate and approve CJIS Projects. The Project Execution Methodology defines the steps for executing the actual project. Responding to the County's Request for Proposal (RFP), implementation vendors develop the Project Execution Plan in their formal proposals.

1.3.1. Project Planning Methodology

The Project Planning Methodology is used to identify, define, and justify a new project to the CJIS community. This methodology should be followed when requesting CJIS funding. This document discusses the following basic elements in more detail later.

- **Business Case** – The Business Case defines the business problem that needs to be addressed, explains the details of the problem, identifies the stakeholders it affects, and lists the benefits of solving the problem. This element provides a business justification for the expense of implementing a project.
- **Financial Plan** – The Financial Plan details the costs of the project, including those of hardware, software, Gwinnett County human resources, and consulting.
- **Communication Plan** – The Communication Plan documents the guidelines and avenues of communication that will be used to inform the CJIS community of the project and its benefits. This plan should address both internal and external communication.
- **Performance Metrics Evaluation Plan** – The Performance Metrics Evaluation Plan documents the nature of the performance metrics for a project, including the object of the measurement, how the metrics are identified and measured, and the project’s intended outcomes.
- **Risk Management Plan** – The Risk Management Plan describes how the Project Team will identify and document any potential risks and the actions it will take if a risk is triggered. The plan includes the Risk Register, which is an itemized list of possible risks that the team identified.
- **Process and Organizational Change Plan** – The Process and Organizational Change Plan addresses the changes that will occur in an agency, how those changes will affect the process and the employees, and how the agency can prepare for the changes.
- **Ongoing Maintenance and Support Plan** – The Ongoing Maintenance and Support Plan defines who maintains the system, provides users with support for software maintenance agreements, and oversees the maintenance and support budget.

1.3.2. Project Execution Methodology

The Project Execution Methodology addresses how a project will be managed once it is implemented. This methodology will address the following:

- **The Project Schedule** is a high-level schedule of the vendor’s proposed implementation plan broken down by major phases of the project’s functional and technical requirements.
- **The Work Breakdown Structure (WBS)** is a deliverables-oriented, hierarchical breakdown of the work to be performed on a project. The WBS identifies all of the project’s direct cost items (such as labor and material).
- **The Project Overview and Implementation Strategy Plan** is a narrative that describes in detail how the project will be implemented: what the tasks will be, who will execute them, when during the project they will be executed, and any dependencies.

- **The Requirements Management Plan** is used to identify a project's requirements and to track its progress against the requirements. A Requirements Traceability Matrix (RTM) is used to track all requirements and demonstrate how the project satisfies each itemized requirement.
- **The Quality Management Plan** addresses a project's quality and how quality will be continually maintained and evaluated.
- **The Migration Plan** documents how the current business process will be moved to the new process once a project is ready to go into production. The Migration Plan may include data conversion and electronic integration points. To prevent significant disruption of the business process, the migration must be planned and orchestrated carefully.
- **The Training Plan** describes how training will be conducted and should include class schedules, class syllabuses, prerequisites, class sizes, and target audiences. The Training Plan also should address who will be conducting the training, what facilities and equipment will be needed, and the training material's contents.
- **The Test Plan** will define unit testing, system testing, and integration testing. It should include test scripts as well as policies and procedures for testing, debugging, and regression testing. User testing and acceptance testing should be defined and planned carefully.

1.4. Gwinnett Justice Information Exchange Model (JIEM) Report

Unisys consultants used the JIEM tool to describe and model information exchanges among the CJIS agencies. To determine and validate the business requirements for the interagency information exchanges, they held a series of JIEM workshops with the agencies. The Justice Information Exchange Model (JIEM) Exchange Report documents the output from the online JIEM tool. This report documents the CJIS agencies' enterprise business processes. To map the business rules as well as the information and data flow in the justice system, the report documents the processes, events, agencies, conditions, and information for all interagency data exchanges.

1.4.1. Overview of the Justice Information Exchange Model (JIEM) Methodology

The SEARCH Justice Information Exchange Model (JIEM) consists of five *dimensions* of information exchange that are relevant to the research, design, development, and implementation of integrated justice information systems:

1. The **Event** that triggers the information exchange, such as an arrest, an issuance of a warrant, sentencing, or a correctional discharge. The **Subsequent Event** documents the next logical business activity for the agency that receives the JIEM exchange.

2. The **Process** in which the exchange occurs, such as an investigation, a detention, predisposition court, postdisposition supervision, or incarceration
3. The **Agency** involved in the information exchange, such as a local police department, prosecuting attorney, pre-trial services agency, trial court, or treatment provider
4. The **Information** that is actually exchanged between agencies, which may include documents, data sets, and specific data elements
5. The **Conditions**, which are factors associated with the case, person, or event that govern the exchange of information and define the processing flow between agencies. (Examples of conditions include whether the case is a felony or a misdemeanor and the defendant is an adult or a juvenile or is in custody or on release.)

Taken together, these dimensions constitute business rules for the exchange of information. Business rules define the administrative, statutory, organizational, technical, and procedural practices that govern the exchange of information between agencies, given the exchange conditions, for defined events.

With the five dimensions identified, it is possible to define information exchange. *Information exchange* is the transfer of documents and data from one justice organization to another in accordance with a triggering event. The processing stage of the case and the defendant, as well as specific conditions for the action, determine both the content and recipient of the exchange. Every information exchange has a unique combination of triggering event, process, sending and receiving agency, and conditions.

Implementation of the JIEM required a sophisticated computer software tool to analyze information flow and business practices in the justice system. Any other approach to modeling multidimensional information would be too slow and too cumbersome to be of value. The JIEM Modeling Tool is a Web-based application that SEARCH operates through a grant from the U.S. Department of Justice. Using the JIEM Modeling Tool ensures consistency and uniformity of analysis over the entire range of criminal justice business processes in Gwinnett County.

1.4.2. JIEM Report Summary

The Gwinnett County JIEM Report includes a snapshot in time of 359 discrete agency-to-agency information exchanges when the report was delivered to the County. The Gwinnett model is a living model that is expected to evolve and change over time owing to changes in the business process. Changes to the model will be made only with the approval of the sending and receiving agencies. The statistical tables in this report were generated from an Excel spreadsheet extracted from the JIEM tool by using a standard JIEM report. The JIEM report and the Excel spreadsheet are available to the County to run on demand as the JIEM model changes. The statistical summary of the JIEM Exchange Report breaks the number of exchanges for each agency down from both a sending and a receiving perspective. The statistical summary provides the number of exchanges for each discrete triggering event described in the model.

1.4.3. Receiving Agencies

Receiving Agency	Total	Percent
Police Department – Gwinnett County	36	10.03%
Sheriff (Detention Department)	39	10.86%
Fire and Arson (Arson Criminal Investigations)	7	1.95%
Sheriff (Warrant)	14	3.90%
Recorders Court	17	4.74%
District Attorney	51	14.21%
Solicitor General	44	12.26%
EWI Warrant System (Magistrate Court)	14	3.90%
Clerk of Court (Magistrate / State / Superior)	94	26.18%
Probation (State Court – Misdemeanor) – Professional Probation Services	6	1.67%
Probation (Recorder’s Court – Misdemeanor) – Sentinel	5	1.39%
Probation (State of Georgia – Felony Probation)	6	1.67%
Juvenile Court	8	2.23%
Defense Attorney	16	4.46%
Drug Court	1	0.28%
Department of Family and Children Services (State of Georgia)	1	0.28%
Grand Total	359	100.00%

1.4.4. Sending Agencies

Sending Agency	Total	Percent
Recorders Court	13	3.62%
Sheriff (Detention Department)	27	7.52%
Defense Attorney	26	7.24%
District Attorney	47	13.09%
Solicitor General	38	10.58%
Juvenile Court	10	2.79%
Fire and Arson (Arson Criminal Investigations)	10	2.79%
Police Department – Gwinnett County	28	7.80%
Department of Family and Children Services (State of Georgia)	1	0.28%
EWI Warrant System (Magistrate Court)	13	3.62%
Clerk of Court (Magistrate / State / Superior)	78	21.73%
Sheriff (Warrant)	18	5.01%

Sending Agency	Total	Percent
Probation (State Court – Misdemeanor) – Professional Probation Services	10	2.79%
Drug Court	1	0.28%
Probation (State of Georgia – Felony Probation)	10	2.79%
Probation (Recorders Court – Misdemeanor) – Sentinel	5	1.39%
Corrections Department (Gwinnett County)	9	2.51%
Gwinnett AOC Administrative Office of the Court (AOC)	7	1.95%
Department of Drivers Services (State of Georgia)	3	0.84%
Georgia Bureau of Investigation (GBI)	5	1.39%
Grand Total	359	100.00%

1.5. Integrated Justice Standards

The Internet provides seamless, “on demand” access to billions of pages of information from any computer in the world with an Internet connection and a Web browser. The technical requirements to access all of this information are as simple as plugging the computer into an Internet connection, much like connecting a standard telephone. Internet standards provide all of the “invisible” technology behind the Web. Although this “seamless” access to information appears effortless, this notion is far from the truth. The World Wide Web Consortium (W3C) spent years reviewing and approving these standards.

The national justice community is following this example to develop a series of interoperability standards to promote secure information sharing among justice agencies at all levels of government. Gwinnett County’s CJIS Strategic Plan is designed to provide a blueprint for the future integrated justice system by streamlining processes through a more efficient use of technology. The integration technology will be built on national technical standards that will ensure interoperability among County agencies, State of Georgia departments, and federal agencies. Also, compliance with national standards will satisfy requirements to receive federal grants.

The Integrated Justice Standards deliverable (Section 6) provides reference information on current and emerging standards that will be beneficial in the implementation of Gwinnett County’s integrated justice system. This deliverable provides an overview of each major topic and discusses its relevance to the County. To find additional information on the topics discussed, readers should follow the embedded Internet links. Integrated Justice Standards includes sections on the following major topics:

- Global Justice XML Data Model (GJXDM)
- Global XML Structure Task Force (XSTF)
- GJXDM Information Exchange Package Documentation (IEPD)
- National Information Exchange Model (NIEM)

- Interstate Criminal History Transmission Specification (XML Version 3.0)
- National Crime Information Center (NCIC)
- National Law Enforcement Telecommunications System (NLETS)
- Organization recommendations for all levels of government
- Best practices for national standards.

1.6. Integrated Justice Legal Issues

The duty of all levels of government is to ensure the integrity of the information that the government collects, stores, and disseminates. This is a time of rapid access to information, and with this access to information comes increased benefits, risks, and threats. Government entities must be diligent in protecting their information and systems through the use of appropriate laws, policies, and technical tools.

This “Integrated Justice Legal Issues” deliverable (Section 7) provides information to help Gwinnett County identify legal issues that must be considered in going forward with the implementation of elements of its CJIS Strategic Plan. As with any legal issue, upfront awareness is the best method for avoiding problems. This is especially true for information systems because choices made in design and implementation can mitigate the risk of legal issues after the system is deployed. According to the SEARCH publication, “Roadmap for Integrated Justice: A Guide for Planning and Management” (<http://www.search.org/files/pdf/StrategicRoadmap.pdf>):

“The differing cultures of justice organizations, with respect to information policy, will produce some of the most significant disagreements in integration projects. Some organizations traditionally protect information resources to preserve the integrity of the investigative and deliberative processes. Others view justice system activities as open and public, and do their best to make information available to everyone.

“In reality, both approaches are correct and must be respected. The nature of information access and distribution changes during the life of a case. During an investigation, confidentiality is extremely important to avoid jeopardizing a prosecution and to protect the privacy rights of suspects, who are innocent until proven guilty, as well as victims and witnesses. Court proceedings generally are required by the constitution to be open, and records of those proceedings also are considered public record. Information that would not be released during an investigation might now be disseminated widely. Similarly, access to that same data may be limited following court proceedings, particularly if expungement or sealing orders are issued. Many states limit the distribution of arrest and conviction information held in state central repositories.

“Implementation of an integrated system will raise all kinds of legal questions that have not been addressed before, so it is important for the County to be prepared. Agencies may not be willing to share information they consider to be confidential with another organization that may release it to the public. These kinds of situations can create friction and confusion, often causing coalitions to crumble.”

In accordance with SEARCH's recommendations, several areas that must be considered in the planning process are:

- Data ownership
- Data quality
- Confidentiality
- Data dissemination
- Public access
- Privacy
- Security.

Although this list may not be exhaustive, it covers the most common areas in which issues may arise. Integrated Justice Legal Issues includes sections on the following major topics:

- USA PATRIOT Act of 2001
- Homeland Security Act of 2002
- E-Government Act of 2002
- Identity Theft and Assumption Deterrence Act of 1998
- Omnibus Crime Control Act and Safe Streets of 1968
- Criminal Justice Information System, 28 CFR part 20
- Criminal Intelligence Systems Operating Policies, 28 CFR part 23
- Electronic Freedom of Information Act of 1996.

1.7. Integrated Justice Technical Architecture

The Web has now become ubiquitous in our everyday life and has enabled access to vast amounts of information at our fingertips. Everyone assumes that you can “Google” any subject and instantly find multiple references to it. The private sector and many government agencies embrace Internet technology to provide advanced query and automated workflow capabilities. Gwinnett County is moving ahead to implement an integrated justice system that will provide justice practitioners throughout the County with these capabilities. In addition, the project is designed to automate the interagency business process and workflow of the Gwinnett County Justice System.

Like most jurisdictions, Gwinnett County transferred its justice information systems to a series of commercial software applications designed to serve the needs of each agency. Although these applications are designed to meet the specific business requirements of each justice agency, they were not designed to work together with other information systems. The goal of the CJIS Technical Architecture is to define the information technology that will be used to provide the interagency (inter-Application) information sharing.

The interagency business process is defined in the Gwinnett County Justice Information Exchange Model (JIEM), which documents the discrete information flow between agencies. Gwinnett County wants to replace paper-based transactions with electronic transactions based on the Global Justice XML Data Model (GJXDM). To realize the vision of integrated justice, a robust technical infrastructure will need to be planned and implemented. Enterprise Application Integration (EAI) links these applications and others to realize financial and operational advantages. Four primary technologies are required to perform integrated justice: Message Infrastructure, Integration Broker, CJIS Query Portal, and Application Adapters. Each component must work together seamlessly to provide the functionality, security, and performance needed to facilitate integrated justice.

- **Message Infrastructure** is a transport system for XML messages that flow between agencies and the Integration Broker. The Message Infrastructure provides guaranteed delivery of messages and queuing of messages if any agency systems or networks is temporarily inoperational.
- **Integration Broker** is the core of the CJIS. The Integration Broker is the central technology that controls the flow of information between agencies and maintains enterprise security. The Integration Broker is the “central post office” for managing and routing information that flows through the integrated justice system.
- **CJIS Query Portal – Graphical User Interface (GUI)** is the GUI that authorized users use to perform distributed queries of multiple agencies from a single query application. The CJIS Query Portal provides users with Single Sign-On access to all agency systems.
- **Application Adapters** transform information in each agency’s operational system into XML messages that the Integration Broker can consume and transmit to another downstream agency. The Application Adapters bridge the gap between the transactional world of databases and the messaging world of XML.

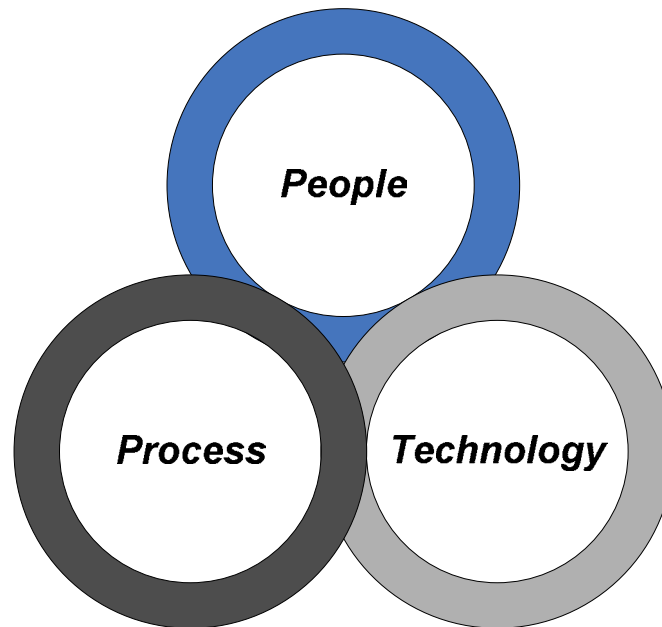
1.7.1. Purpose of the Technical Architecture

The Gwinnett County Technical Architecture will define each of these technologies at a detailed level. Many commercially available products in the marketplace provide XML Brokers, CJIS Query Portal, Infrastructure Message, and Application adapters. The goal of the Technical Architecture is not to recommend and select specific products but rather to provide a technical description of features and functions that are generally available in the middleware market. The Technical Architecture will provide the CJIS Community of Interest (COI) with a guide for selecting the right technologies and products when evaluating proposals for the initial implementation of the CJIS. Also, the CJIS Technical Architecture documents “best practices” when designing and implementing CJIS technology.

1.8. CJIS Prioritized Project List and Action Plan

The Gwinnett County Strategic Plan is intended to move the justice system away from reliance on standalone agency applications and paper-based business processes to a modern, fully electronic business supported by Enterprise Application Integration (EAI) technology. The vision for the CJIS includes the execution of a series of discrete projects that will be developed together to create the CJIS and enable the County to bring the Strategic Plan to fruition. This section of the CJIS Strategic Plan will document specific projects and their priority for deployment. None of these projects will be executed in a vacuum; rather, each initiative is a piece of the puzzle that must come together to complete the vision presented in the Strategic Plan.

The CJIS Strategic Plan is not only about technology. It is essential that the County bring together three crucial factors: **people, process, and technology**. Each will play an essential role in the future operation of the Gwinnett County Justice System. The overall success of the technology initiatives will require the people of the justice system to follow modern processes for the integration and management of systems. The following sections detail the initiatives of the Strategic Plan that will support the people, processes, and technology of the Gwinnett County CJIS.



1.9. People Initiatives

Modernizing the Gwinnett County Justice System is a significant undertaking. The introduction of enterprise systems to the justice system will bring a tremendous amount of technology and change every aspect of the business process. It is crucial for the County to staff the CJIS Project properly with full-time resources to manage the transformation of the justice system. To plan and manage the CJIS Project properly, there are several foundation principles for the people initiatives:

- The scope and depth of the CJIS Project requires a full-time, dedicated Program Manager to focus on the complexities of planning and executing CJIS technical initiatives.
- The CJIS Project must establish an organization to maintain and support the CJIS Infrastructure. In addition to technical support, the CJIS support organization must be able to support the human aspects of CJIS including training and change management.
- The CJIS Project must have a “customer service” focus to serve the member agencies of the CJIS Community of Interest (COI).

Table 1-1 documents specific people initiatives that will need to be established to manage the CJIS Project:

People Initiatives
Establish a new CJIS Program Management Office (PMO)
Provide Dedicated Resources to Manage and Support CJIS
Establish a CJIS Support Program for Technical Support and Training

Table 1-1 People Initiatives

Sections 1.9.1 through 1.9.3 describe the responsibilities for key positions in the CJIS Program Management Office (PMO).

1.9.1. CJIS Program Manager

The CJIS Program Manager will report directly to the CJIS COI (or member agency) as well as guide and manage CJIS Projects, including:

- Develop CJIS RFPs and ongoing contracts for maintenance and support
- Manage CJIS implementation contracts
- Develop annual budgets for the CJIS Projects
- Justify the business case for each new project
- Determine and report performance metrics
- Maintain the Risk Management Plan
- Recommend new functionality
- Maintain business documentation for each project
- Ensure the adoption of Enterprise Architecture standards
- Provide the CJIS COI and the ITEC with status reports
- Inform the CJIS COI and agency stakeholders of CJIS Project initiatives.

1.9.2. CJIS Analyst

The CJIS Analyst will report directly to the CJIS Program Manager as well as provide overall technical guidance and manage the CJIS Projects, including:

- Manage technical design decisions
- Manage CJIS technical contracts
- Ensure the adoption of technical Enterprise Architecture standards
- Maintain technical documentation for each project
- Ensure compliance with evolving national standards – GJXDM and JIEM.

1.9.3. CJIS Support Analyst

The CJIS Support Analyst will report directly to the CJIS Program Manager as well as maintain and support the CJIS Projects, including:

- Provide Level 1 Help Desk support
- Maintain the production CJIS
- Troubleshoot problems with Server and Message Infrastructure
- Manage the implementation vendor's technical staff
- Manage the system performance characteristics of the CJIS
- Coordinate with County IT for technical issues.

1.10. Process Initiatives

Every CJIS organization requires a series of standard management processes that govern the way systems are designed, developed, implemented, and maintained. Sometimes, the processes will drive the technology initiatives; other times, the technology will drive the processes. The CJIS Strategic Plan documents several enterprise processes (Table 1-2) that should become institutionalized within the CJIS Program Management Office (PMO), including the following:

Process Initiatives
Establish the Enterprise Architecture Program
Establish Project Planning and Management Standards
Develop Inter-Agency Information Security Policies
Develop Inter-Agency Privacy Policies
Develop an Ongoing Strategic Planning Process to Update the CJIS Vision Over Time.

Table 1-2 Process Initiatives

1.11. Technology Initiatives

Once the people and process initiatives are established, the CJIS Project will be ready to implement the technical projects in the Strategic Plan. The technology projects are broken down into three categories: CJIS Infrastructure, Agency System Upgrades, and CJIS Prioritized Projects. The CJIS Infrastructure initiatives consist of the core EAI technologies that enable interagency sharing of information. Agency system upgrades that are planned and under way will provide additional internal functionality for the agencies and enhanced integration capabilities for the CJIS Project. The CJIS Prioritized Projects will be developed once the core technology is deployed successfully. These functional projects include the implementation of the automated business processes that are defined in the Justice Information Exchange Model (JIEM).

The successful completion of the CJIS Prioritized Projects will transform the justice system into an electronic business. Each project will build on each other to continue achieving greater and greater results. Although the technology action plan consists of individual projects that can be executed as individual efforts, some projects depend on others to be successful. Timing issues may also be associated with the deployment of upgraded agency applications and the additional capabilities these systems provide compared with the existing legacy systems. It may be prudent to prioritize certain technology projects ahead of others until these new systems come online.

The CJIS Prioritized Project List outline is a prioritized list of the CJIS integration functions based on the JIEM. The initiatives are grouped into four major projects that include:

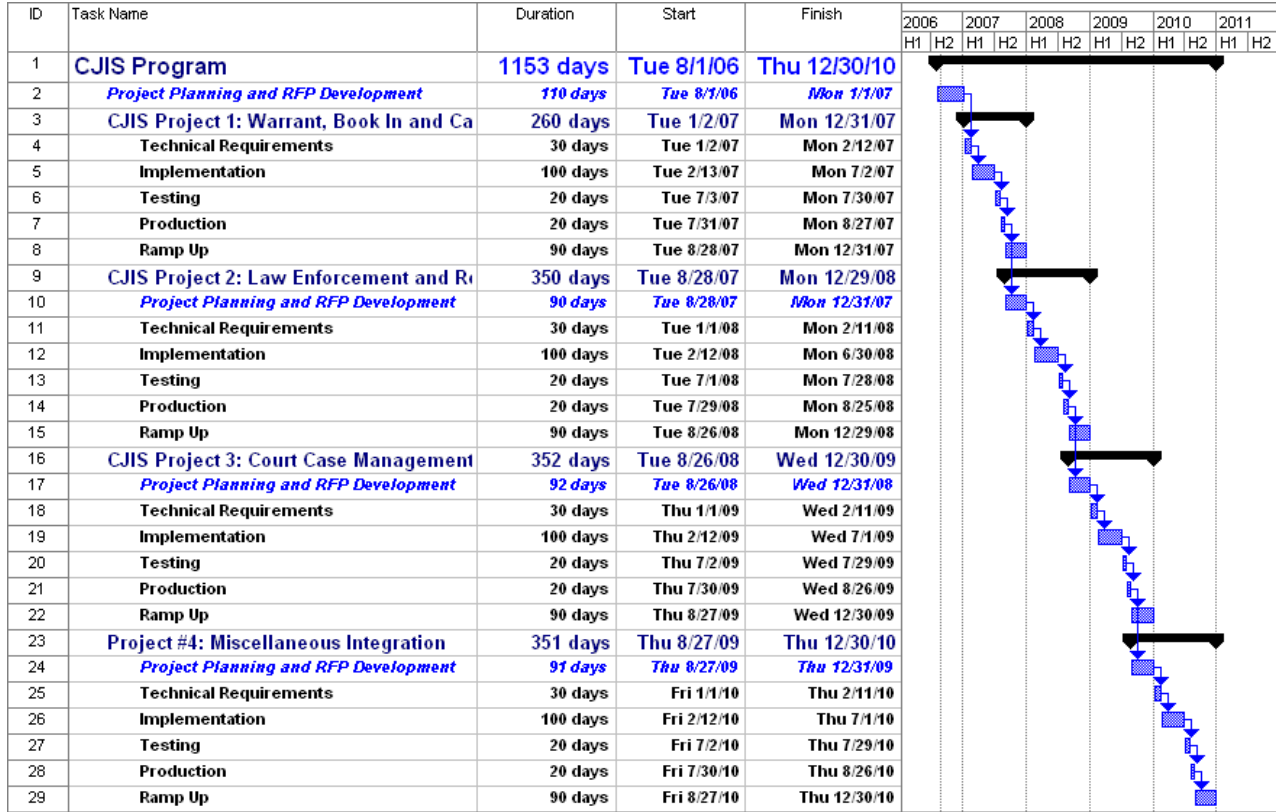
- CJIS Project 1: Warrant, Booking, Case Initiation, and Indigent Defense Integration
- CJIS Project 2: Law Enforcement and Recorder's Court Integration
- CJIS Project 3: Court Case Management Integration
- CJIS Project 4: Probation, Pre-Trial, Drug Court, and Juvenile Court Integration.

1.11.1. CJIS Action Plan

Unisys consultants developed the CJIS Prioritized Project List from the discussion at the CJIS Priority Workshop held on July 25, 2006. The CJIS Projects and JIEM exchange priority represent the CJIS community's priorities when the workshop was held. The actual size and scope of CJIS Project 1 and future projects depends highly on the amount of funds they will receive from the County and from grants. The County may need to re-evaluate each Prioritized Project's functional requirements for the level of funding. Also, each project contains prerequisites that must be in place for groups of exchanges to be implemented properly. For example, many of the exchanges between the Police Department and the Clerk of Courts are predicated on their new systems being fully operational. If the prerequisites for a project are not met, it may be prudent for the County to skip those projects or groups of JIEM exchanges until those systems

are operational. The following Gantt chart represents the current estimated schedule for the four CJIS Projects based on the information available when the Gwinnett County CJIS Strategic Plan was developed.

1.11.2. CJIS Project Action Plan Gantt Chart





“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Enterprise Architecture

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

- 1. ENTERPRISE ARCHITECTURE OVERVIEW 1**
 - 1.1. Purpose of This Document..... 1

- 2. THE NASCIO ENTERPRISE ARCHITECTURE FRAMEWORK 3**
 - 2.1. Business Architecture Framework..... 3
 - 2.1.1. *SEARCH Justice Information Exchange Model (JIEM)* 5
 - 2.1.2. *Business Context Scenarios* 7
 - 2.1.3. *CJIS Policies and Principles* 7
 - 2.2. Information Architecture Framework 8
 - 2.2.1. *JIEM Documents*..... 9
 - 2.3. Technology Architecture Framework 10

- 3. ARCHITECTURE GOVERNANCE FRAMEWORK 11**
 - 3.1. CJIS COI Formation 11
 - 3.1.1. *CJIS COI Mission, Goals, and Objectives* 12
 - 3.1.2. *CJIS COI Mission Statement* 12
 - 3.1.3. *CJIS COI Goals and Objectives* 12
 - 3.1.4. *CJIS COI Roles and Responsibilities* 13
 - 3.2. CJIS Operational Staff 14
 - 3.2.1. *CJIS Program Manager* 14
 - 3.2.2. *CJIS Analyst*..... 15
 - 3.2.3. *CJIS Support Analyst* 15
 - 3.3. Organizational Structure of Enterprise Architecture 15
 - 3.3.1. *CJIS Community of Interest – Enterprise Architecture Subcommittees* 16
 - 3.4. Roles and Responsibilities 17
 - 3.4.1. *Enterprise Architecture Manager* 18
 - 3.4.2. *Champions* 19
 - 3.4.3. *Subject Matter Experts (SMEs)*..... 19
 - 3.4.4. *CJIS COI Approval* 19

- APPENDIX A—GWINNETT COUNTY CJIS IT STRATEGIC PLAN CHARTER..... 21**

Table of Figures

Figure 3-1 Enterprise Architecture Governance Model.....17

1. Enterprise Architecture Overview

1.1. Purpose of This Document

The Criminal Justice Information System (CJIS) Enterprise Architecture will set key standards for business processes, information, and technology that will be reused throughout the project. The rigorous application of Enterprise Architecture will provide Gwinnett County with a standard framework for planning, implementing, and supporting CJIS integration projects. One of the key elements of a strategic plan is adaptability. Therefore, as the CJIS Project progresses, it is important that the CJIS Enterprise Architecture be considered a living process that can be adjusted and updated through the life of this project. The CJIS Strategic Plan is the first step in this process. This document should be maintained and updated as the Strategic Plan is implemented and business requirements evolve over time. The CJIS Enterprise Architecture framework defines the management and organizational structure that provides the mechanism to refine and update the CJIS Strategic Plan, including Business Architecture, Information Architecture, and Technical Architecture.

This page left blank intentionally.

2. The NASCIO Enterprise Architecture Framework

The National Association of State Chief Information Officers (NASCIO) represents state chief information officers and information resource executives and managers from the 50 states, six U.S. territories, and the District of Columbia. NASCIO's mission is to foster government excellence through quality business practices, information management, and technology policy. The NASCIO Enterprise Architecture Framework, which combines structure, processes, and templates to document the desired architecture in a systematic and disciplined manner, can be described as a technique for developing the necessary repository for the Enterprise Architecture. This document leverages the work that NASCIO did through Enterprise Architecture Development Tool-Kit 3.0. The entire tool can be downloaded from the NASCIO's Web site at: <http://www.nascio.org/nascioCommittees/EA/>.

2.1. Business Architecture Framework

Business Architecture provides the high-level representation of the business strategies, intentions, functions, processes, information, and assets that are crucial to providing citizens, agencies, and criminal justice users with services. The Business Architecture Framework provides the structure for cataloging the interagency business processes in Gwinnett County's justice system. The detail captured in the Business Architecture supports business decision-making by providing documentation of where the enterprise is today and where the enterprise will be in the future.

Business Architecture should be viewed as the foundation or driver for the other components of Enterprise Architecture. There are many definitions for Business Architecture, but for government enterprises, Business Architecture refers to the high-level representation of the vision, mission, goals, objectives, and business strategies that make up the strategic business intent of government. That intent is then enabled through a variety of capabilities such as functions, processes, information, know-how, and technology crucial to providing services to its citizens, agencies, bureaus, departments, businesses, vendors, branches, and others with which the government interacts. Strategic business intent is not necessarily described explicitly. Nevertheless, whether the organization in focus is a state or a County, strategic business intent will drive the development or further leveraging of technology and non-technology capabilities that are required to enable that intent.

Business Architecture must start with an environmental context. That is, a contextual understanding of what is going on economically and, politically as well as with citizens' expectations. This includes identification and understanding of the trends, changes, market forces, fiscal and monetary policies, and their immediate and latent effects on the economy, availability of capital, and labor. These environmental factors are spawning the transformation of government. It is important to realize that information technology is not only a tool for government, but also a driver for transforming the operations of government. Some of the trends in government include an increased

emphasis on performance, accountability, improved financial management, improved service delivery, and collaboration.

This contextual understanding provides the bounding and relevancy required to investigate market opportunities or citizen needs. Those opportunities and needs are then evaluated along with an understanding of who can fill those needs. This evaluation helps determine whether government best serves a particular need or desire.

Performance measures are established as part of the intent to enable performance to be aligned perfectly with intent. That intent is then enabled through capabilities that are delivered through management initiatives, programs, and projects. Information technology is one of those capabilities. In fact, as with other capabilities, information technology can be stratified or broken down into manageable pieces that can be delivered or further leveraged in well-scoped projects. Projects must be managed in portfolios as part of a program management discipline. This will establish proper project-to-project communication and avoid redundant efforts.

It is important to remember many capabilities that enable strategic business intent may not be predominantly on information technology. Capability management, a part of Enterprise Architecture, explores, identifies, stratifies, evaluates, and prioritizes capabilities to determine the best investment path for serving citizens. Business Architecture also must consider interaction with other governments and delivery of services to citizens of other governments. Business Architecture describes government business from an enterprisewide perspective. Strategies, processes, organizations, locations, and information are all documented to show their existing place in the business model and their future significance. For any Enterprise Architecture effort to be successful, it must be linked to the organization's business direction. This linkage is established in the Business Architecture.

Business Architecture serves as the business knowledge base for the Enterprise Architecture Program. It documents what, where, by whom, how, when, and why the organization's business is performed. Essentially, business architecture describes how the business of government fits together. In addition to serving as the focal point for the Enterprise Architecture Program, Business Architecture can serve as a stimulus for developing detailed plans for business, technology, and business contingency. Business Architecture can also be used when performing impact analyses to adapt the organization to changing business needs.

Documenting the Business Architecture provides a clear understanding of the enterprise's current and future direction. The information documented in the Business Architecture supports executives' and managers' decisions in their efforts to meet the business goals and objectives. Business priorities direct allocation of resources when Business Architecture is included in the Enterprise Architecture. Business Architecture provides a demonstrable, repeatable approach for enabling the alignment of business processes, systems, and resources throughout the enterprise. Also, documentation of the Business Architecture provides a valuable tool for illustrating and communicating the business of the enterprise to all stakeholders. One of the benefits of Business Architecture is that it can serve as a vehicle for inclusion of the business side of government into the information technology planning process and for building consensus among groups.

Governments at every level continually face mandates for interagency sharing of information and for providing bundled services. Business Architecture provides a business-based framework for developing solutions that operate across agencies and within the lines of business of federal, state, and local governments. In developing Business Architectures, government organizations look at the architectures of their communicating partners, thereby enhancing opportunities for interoperability between all governmental bodies, both vertically and horizontally. An example is demonstrated with the exchange of criminal justice data in the justice community. This information is shared among law enforcement, courts, corrections, and probation. The CJIS Enterprise Business Architecture will be defined as the SEARCH Justice Information Exchange Model (JIEM).

2.1.1. SEARCH Justice Information Exchange Model (JIEM)

The SEARCH Justice Information Exchange Model project, funded by the Bureau of Justice Assistance at the U.S. Department of Justice, is designed to facilitate the planning and implementation of integrated justice information systems throughout the nation. Integration of justice information systems refers to the justice community's ability to access and share critical information electronically at key decision points throughout the justice process. Through identification of these key decision points, and the information that flows between various justice entities at these crucial exchange points, state and local practitioners are provided with an enterprisewide view of information sharing priorities.

SEARCH developed a conceptual framework to present the flow of justice information among justice agencies, define the key events that trigger the need to share information, identify the agencies involved in the exchange, and describe the nature of the information exchange.

SEARCH developed the JIEM Modeling Tool, a Web-based software application, and a methodology to capture detailed information on the processes, events, agencies, information, and exchange conditions of justice information integration. Also, SEARCH collaborated with the IJIS Institute to develop a certification program. JIEM certification entitles individuals to use the tool to assist justice organizations in state and local jurisdictions with modeling justice system information flow and business rules by identifying, describing, documenting, and defining key interagency information exchanges.

Another primary component of JIEM is the JIEM Reference Model. This business reference model for justice information exchange contains 663 key exchanges common to most jurisdictions. It is a reference manual for analyzing information exchange as a part of an integrated justice initiative, and aids sites in using JIEM effectively and economically.

The Justice Information Exchange Model (JIEM) consists of four components:

1. A conceptual framework for understanding justice system information exchange

2. A methodology for analyzing current information exchange and for reengineering information exchange in an integrated justice environment
3. The JIEM Modeling Tool, a software package to assist justice system practitioners in applying the model to their site
4. The JIEM Reference Model (JRM), a set of information exchanges common to most jurisdictions.

The JIEM conceptual framework for documenting justice system information exchange can be described in five dimensions: process, event, agency, condition, and information. The information dimension may include documents and/or data elements.

The SEARCH Justice Information Exchange Model (JIEM) consists of five dimensions of information exchange that are relevant to research, design, development, and implementation of integrated justice systems. These are:

1. The **Event** that triggers the information exchange, such as an arrest, issuance of a warrant, sentencing, or correctional discharge. The **Subsequent Event** documents the next logical business activity for the receiving agency of the JIEM exchange.
2. The **Process** in which the exchange occurs, such as investigation, detention, predisposition court, post-disposition supervision, or incarceration.
3. The **Agency** involved in the information exchange, such as a local police department, prosecuting attorney, pretrial services agency, trial court, or treatment provider.
4. The **Information** that is actually exchanged between agencies, which may include documents, data sets, and specific data elements.
5. The **Conditions** that are factors of the case, person, or event that govern the exchange of information and define the processing flow between agencies. (Examples of conditions are whether the case is a felony or a misdemeanor, or whether the defendant is an adult or a juvenile, or in custody or on release.)

Taken together, these dimensions constitute business rules for the exchange of information. Business rules define the administrative, statutory, organizational, technical, and procedural practices that govern information exchange between the agencies, given the exchange conditions, for defined events.

With the five dimensions identified, it is possible to provide a definition of information exchange. Information exchange is the transfer of documents and data from one justice organization to another based on a triggering event. The processing stage of the case and defendant, as well as specific conditions associated with the action, determines both the content and the recipient of the exchange. Every information exchange has a unique combination of triggering event, process, sending and receiving agency, and conditions. Gwinnett County will use the JIEM model to capture and analyze the Enterprise Business Architecture of the justice system.

2.1.2. Business Context Scenarios

Gwinnett County's JIEM model will be supplemented by a narrative description of each JIEM exchange. These Business Context Scenarios will provide the background of the underlying business processes that will be facilitated by automating JIEM exchanges. The Business Context Scenarios will enable business analysts and software developers to understand the business environment and conditions of each exchange.

2.1.3. CJIS Policies and Principles

The Gwinnett County CJIS Community of Interest (COI) will implement an integrated justice system based on a foundation of policies and principles that will guide the development of the entire CJIS Project. The CJIS COI will validate and approve each CJIS policy and principle. The following list provides several examples of CJIS policies and principles:

- The goal of the CJIS Project is to consolidate and streamline business processes through the implementation of technology.
- Purposes, missions, and perspectives of local, state, and national agencies must be recognized.
- Justice agencies should retain the right to design, operate and maintain systems to meet their own operational requirements.
- Each agency must be responsible for the maintenance of "its" data.
- The investment in existing technology and systems can be maximized.
- The operational autonomy of each agency will be maintained while the sharing of the interdependence of information can be promoted: "Each agency must be operationally independent, but interdependent in decision-making and information sharing."
- Access to information across CJIS should be transparent to users.
- Information should be captured at the originating point and shared electronically in the justice community.
- Information that was already captured electronically should not be re-keyed downstream in the justice process.
- Security and privacy are the highest priority.
- Establishing and confirming the positive identity of individuals is crucial.
- A neutral agency (CJIS COI) that will serve as the honest broker between justice agencies will manage the CJIS program.
- The role of justice agencies is to adopt standards (standard formatting, such as "parkway" instead of "PWY") that streamline information sharing and limit confusion.

2.2. Information Architecture Framework

The Information Architecture Framework is the compilation of the data requirements for agencies participating in the enterprise. It provides the structure for documenting the detail on the information that is crucial to all agencies in Gwinnett County's justice system, including the baseline and the future target conceptual data models. The detail captured in the Information Architecture clarifies business relationships and enhances understanding of the business rules the enterprise adopted. This understanding forms a baseline for exploring and implementing changes in how business is done and what business rules the enterprise will adopt.

The objective of Information Architecture is to manage the enterprise's information. Information Architecture aligns the business processes with the information systems that support these processes, promotes information sharing, and facilitates information exchange among agencies. Using the set of business processes that provide a view of the enterprise functions, the Information Architecture will provide the organization with a high level model of its crucial information. Information Architecture provides the terminology and definitions for the organization's information assets as well as the processes that affect or are affected by the information. The Information Architecture Framework defines Gwinnett County's enterprise information as JIEM documents for each discrete interagency JIEM transaction. Each JIEM document consists of discrete elements from the Global Justice XML Data Model (GJXDM).

Information Architecture provides a demonstrable, repeatable approach in assuring the alignment of information assets and business processes throughout the enterprise. Documenting the Information Architecture provides enterprise architects with a clear understanding of the enterprise's current and future information needs and insight into the business processes and their associated information. Use of the detail documented in the Information Architecture provides the basis for sharing information throughout the enterprise and across organizational boundaries.

State and local governments continually face mandates for interagency sharing of information and providing bundled services. The focus of the Information Architecture is on shared data elements, or elements that are involved in information exchange, so that information solutions will operate across agencies and within state and local governments' lines of business. Through the Information Architecture, these shared data elements coalesce into the enterprise's metadata. These shared data elements are exposed through examination of the business processes.

Information Architecture differs from Data Architecture because it encompasses both structured information (data marts, databases, database tables, and data exchanges) and unstructured information (Web content, JPEG or video files, and documents). Information Architecture also includes the definition of business functional processes and delineates the relationship of the data element concepts to the processes. In Information Architecture, the relationships between business domains and business processes are documented, as well as the information, business rules, and organizational roles and responsibilities that are part of each process.

The conceptual, logical, and physical models of the Information Architecture are designed to translate business information from the business users' view (conceptual) to the actual physical information objects, such as database tables, Web content, or documents, in the systems where the information resides.

Conceptual Model – The conceptual model defines the information in the language of business or non-technical end users. It is the most abstract model, and its purpose is to define the functional, business view of the data. The Gwinnett County CJIS Strategic Plan will document conceptual Information Architecture through the “Documents” defined in the JIEM model.

Logical Model – The logical model follows the conceptual model. The purpose of the logical model is to depict business information, including business relationships and business semantics adopted in the enterprise. The logical data model should be developed independently of the technical details of how the information is implemented. In this way, the information models are built to address business objectives and requirements.

Physical Model – The physical models are defined and mapped from and to the logical models. At this level, the models are solid; they define tables, document, content, and views that are specific to the implementations of the information for the enterprise. Physical designs are predefined in purchased solutions; therefore, when working with purchased solutions, the physical designs in the purchased solution are mapped to the logical.

For the baseline or current environment, Information Architecture will develop the Process Components and the conceptual, logical, and physical levels of the Information Meta Model Components. For the target or future environment, the Information Architecture will define the Process Components and conceptual level only of the Information Meta Model Components.

By capturing the information for these components in the current information models (baseline) and the proposed information models (target), deficiencies and gaps can be identified. Based on the analysis of the business drivers and the gaps, migration strategies can be developed to bridge the gaps and provide a roadmap for moving to the target information model. Information Architecture clarifies business relationships and enhances understanding of the business rules the enterprise adopted. A government organization may want to use this baseline for exploring and implementing changes for how information is used and what business rules for information the enterprise will adopt. The CJIS Enterprise Information Architecture will be defined in terms of the SEARCH Justice Information Exchange Model (JIEM) through the definition of JIEM Documents in Gwinnett County's JIEM database.

2.2.1. JIEM Documents

Information is defined as the actual data that is exchanged between the sending and receiving agencies. It includes documents – paper, electronic, or other forms of communication. A single information exchange may include multiple documents, but

must contain at least one. When Law Enforcement or the Clerk of Court forwards a case to the District Attorney for the Prosecution Charging Decision, it may send an Arrest Report, Supplemental Reports, and a Warrant. All documents for a single transfer decision should be included in the exchange. A document type is associated with each JIEM document. In the current version of the JIEM Reference Model (JRM), there are two document types, paper and electronic. Historically, paper forms have been the backbone of justice information exchange. With automation and integration, many of these paper forms were replaced with their electronic equivalents. Future versions of the JIEM model may contain additional document types.

Documents consist of one or more data elements, which also are part of the information dimension. Paper and electronic documents usually contain some type of structure in which data elements are related to each another. Complex data elements represent groups of simple data elements. For example, the complex data element Address may consist of the following simple data elements: Street Address, Apartment Number, City, State, and Zip Code. There is no limit to the number of levels of structure that can exist in JIEM, though it seldom should exceed three or four. The CJIS Enterprise Information Architecture will define the JIEM documents associated with each discrete JIEM transaction.

2.3. Technology Architecture Framework

Technology Architecture is a disciplined approach to describing the current and future structure and inter-relationships of the enterprise's technologies to maximize value in those technologies. The Technology Architecture Framework provides a sound set of structured technical standards that support implementation of the CJIS Technology Architecture. Mapping of the technology products and standards to the business drivers is vital to align the overall enterprise direction. Vendors, employees, and business users can benefit from an understanding of what technology standards exist and where these standards can be found. The foundation for the technology architecture framework will be defined in the "Integrated Justice Technical Architecture" section of the Strategic Plan.

3. Architecture Governance Framework

The Architecture Governance Framework addresses the governance roles and processes required for maintaining Enterprise Architecture. It is used to create a sound governance model to support implementation and management of the Enterprise Architecture and to ensure the enterprise objectives are achieved. The architecture governance framework must be resilient enough to allow for those in primary governance roles to learn, adapt, and manage risks to appropriately recognize opportunities and act on them.

Architecture Governance is the responsibility of executives and stakeholders, such as citizens, businesses, employees, and other organizations, throughout the enterprise. Governance consists of the leadership, organizational structures, direction, and processes that ensure Information Technology (IT) sustains and extends the enterprise's mission, strategies, and objectives in a planned way. The purpose of Architecture Governance is to direct or guide initiatives, ensure that performance aligns with the enterprise business by taking advantage of the associated benefits, enable the enterprise business by exploiting opportunities, ensure IT resources are used responsibly, and Technology Architecture-related risks are managed appropriately.

Architecture Governance is typically applied in layers. Strategy and goals are rolled down into the organization. Team leaders report to and receive direction from their managers. Managers, in turn, report to the executive, and the executive reports to the county executives. Deviations from goals and standards are reported, and recommendations for action requiring endorsement by the governing layer are included. The following sections define the current and proposed Gwinnett County Enterprise Architecture Governance.

3.1. CJIS COI Formation

In December 2001, the County issued a formal Enterprise IT Services Delivery Plan. This plan called for the formation of a structured IT governance process empowered through an Enterprise IT Charter (***Appendix A of this document includes the Enterprise IT Charter.***) On September 17, 2002, the County drafted, reviewed, and adopted the County IT Charter as a County Administrator Policy. The IT Charter calls for the establishment of a governance process that includes an IT Executive Council (ITEC), two standing subcommittees, and a set of Community of Interest (COI) teams. These COIs are charged with the sponsorship, business planning, and budget review for their specific area of focus or "interest." As of this writing, 12 COI teams were established by the ITEC and are in full operation.

The CJIS COI was formed to address the special IT needs of the County's Justice System. The CJIS COI Charter was adopted by the COI and approved by the ITEC in September 2003. As with all COIs, this charter provides a scope of operations and general boundaries for the group that include the planning and monitoring of cross-departmental services and interfaces. See Appendix A for the CJIS COI Charter.

3.1.1. CJIS COI Mission, Goals, and Objectives

The CJIS COI recognizes the importance of integrating information systems to share critical data, documents, images and transactions at key points in the justice process at which decisions must be made. Integrated systems improve the quality of information, and thereby the quality of decisions, by eliminating error-prone redundant data entry. Also, by sharing data among systems, integration typically improves timely access to information, a crucial factor at many justice decision points – for example, setting bail. Moreover, integration enables the sharing of crucial information without regard to time or space; multiple users can access the same records simultaneously from remote locations 24 hours a day, 7 days a week.

It is important to realize that integrated justice information sharing is designed not only to meet the operational needs of participating justice agencies, but also to address the increasingly expansive information demands of society. A host of State and federal legislative directives enacted in recent years have triggered the need to share accurate and complete information electronically and in a timely and secure manner. These mandates represent significant new expectations for reporting provisions and information-sharing requirements, which have served as national catalysts to integrated systems development at the State and local levels.

Integration is designed to address the operational needs of justice agencies and a host of outcome-based societal objectives. Despite these varying objectives, several fundamental principles guide the development of integrated justice information systems. Information is captured at the originating point instead of reconstructed later. Information is captured once and reused, instead of recaptured, when needed again. Integrated systems fulfilling these functions consist of, or are derived from, the participating agencies' operational systems; they are not separate from the systems supporting the agencies. With this in mind, the CJIS COI adopted a Mission Statement along with Goals and Objectives based on the above information.

3.1.2. CJIS COI Mission Statement

“Access and share critical information at key decision points throughout the justice enterprise in a timely, accurate and secure manner utilizing existing operational systems wherever possible.”

3.1.3. CJIS COI Goals and Objectives

3.1.3.1 Facilitate Data Sharing

- Provide standard and universal information query capabilities.
- Automatically export or push data to appropriate agencies.
- Provide data import / pull facilities to appropriate agencies.
- Publish / notify capability for key transactions and events.

3.1.3.2 Streamline Processes

- Capture data once at the point of origin for reuse.
- Automate document workflows.
- Provide event calendars.
- Reduce use of hardcopy records.
- Provide electronic signatures where permissible.

3.1.3.3 Establish Standards

- Standard data element names and formats
- Consistent coding structures and naming conventions
- Standard, multiuse forms

3.1.3.4 Improve Accuracy and Timeliness

- Reduce latency of information flow.
- Provide positive identity of record subjects.
- Ensure accuracy of case details.

3.1.3.5 Ensure Security and Control

- Ensure data and infrastructure integrity.
- Maintain privacy of record subjects.
- Preserve agency's ability to meet operational requirements.

3.1.4. CJIS COI Roles and Responsibilities

- Provide a regular forum for CJIS information exchange and knowledge transfer.
- Develop standards and procedures for usage of CJIS technology.
- Provide status reporting to the IT Executive Council and stakeholders as appropriate.
- Develop the CJIS annual capital budget for recommendations to the ITEC budget committee.
- Develop and approve all RFPs for CJIS acquisitions of hardware, software & services.
- Resolve all CJIS issues and communication to ITEC.
- Approve project team membership for all CJIS initiatives.

3.2. CJIS Operational Staff

The CJIS Project will require several full-time staff positions to manage, operate, and maintain the CJIS environment. The CJIS Program Manager will be crucial to the project's initial and ongoing success. The CJIS Program Manager will develop the Request for Proposal (RFP) for the initial CJIS implementation. The current CJIS Project Manager has effectively for the past 30 months and would be an excellent fit for this position. The CJIS Project also will require a CJIS Technical Manager to oversee the technical infrastructure and maintain compliance with national standards such as Justice XML and JIEM. Ideally, the CJIS Technical Manager should participate in the implementation of the initial CJIS Project to receive a transfer of knowledge from the vendor selected to implement Phase 1. Finally, the CJIS Project will require a CJIS Technical Support Specialist who will be responsible for Level 1 maintenance and support of the production system. Once the CJIS Project is fully implemented and in a production mode, the support requirements will exceed the CJIS Technical Manager's capabilities. A CJIS Technical Support Specialist will be required at this point. The full-time CJIS resources will play a leading role in the Enterprise Architecture's organizational structure and should serve on the Enterprise Architecture subcommittees in key management positions.

To provide an example of the scope of the Gwinnett County CJIS Project, one could consider 20 private companies committed to working together and sharing information electronically. The 20 companies together have thousands of employees, 250 discrete business processes, and hundreds of thousands of transactions a year. This group of companies operates a single electronic business process (* below) out of the more than 250 business processes identified. All remaining business processes are done with manual paper processes that require human attention to process interoffice mail to transmit information to the downstream company.

**** Citations are sent electronically from the Police Department to the Recorder's Court***

3.2.1. CJIS Program Manager

The CJIS Program Manager will report directly to the CJIS COI (or member agency) and provide overall guidance and management for the CJIS Projects, including:

- Develop CJIS RFPs and ongoing maintenance and support contracts
- Manage CJIS implementation contracts
- Develop the CJIS Project's annual budget
- Create business case justifications for new projects
- Determine and report performance metrics
- Maintain the risk management plan

- Recommend new functionality
- Maintain project business documentation
- Ensure the adoption of Enterprise Architecture standards
- Provide the CJIS COI and the ITEC with status reports
- Inform the CJIS CIO and agency stakeholders of CJIS Project initiatives.

3.2.2. CJIS Analyst

The CJIS Analyst will report to the CJIS Program Manager and provide overall technical guidance and management for the CJIS Projects, including:

- Manage technical design decisions
- Manage CJIS technical contracts
- Ensure the adoption of technical Enterprise Architecture standards
- Maintain project technical documentation
- Ensure compliance with evolving national standards – GJXDM and JIEM.

3.2.3. CJIS Support Analyst

The CJIS Support Analyst will report to the CJIS Program Manager and provide maintenance and support for the CJIS Projects, including:

- Provide Level 1 help desk support
- Maintain the production CJIS system
- Troubleshoot problems with servers and the message infrastructure
- Manage the implementation vendor's technical staff
- Manage the performance characteristics of the CJIS system
- Coordinate with County IT for technical issues.

3.3. Organizational Structure of Enterprise Architecture

Gwinnett County has begun to organize the governance structure that will allow for the implementation of the Enterprise Architecture. The County has a written charter that defines its policy for approving and implementing the CJIS information technology. The ITEC is a governing body made up of nine members who review and approve changes and additions to the current system. The ITEC includes subcommittees that function as budgetary and regulatory bodies.

Gwinnett County has 12 Communities of Interest (COIs) that are staffed by stakeholders who act as champions for various technologies or disciplines. These COIs make recommendations to ITEC regarding technology requests. The Gwinnett CJIS Community of Interest (COI) promotes, plans, and implements integrated justice projects, including the Enterprise Architecture initiative. The CJIS COI will manage three Enterprise Architecture subcommittees, including:

- Business Architecture (based on the JIEM Exchange Model)
- Information Architecture (based on the JIEM Document Model)
- Technical Architecture (based on the CJIS Technical Architecture).

Associated deliverables from the Strategic Plan will serve as the basis for each Enterprise Architecture subcommittee.

3.3.1. CJIS Community of Interest – Enterprise Architecture Subcommittees

Each Enterprise Architecture subcommittee will report findings and recommendations to the CJIS COI. The CJIS COI will approve the subcommittees' recommendations, which will become the COI's policies and standards. The CJIS COI will ensure that all future proposed projects comply with the Enterprise Architecture policies and standards. The governance structure will include the Chief Information Officer (CIO) and Program Management Office (PMO). The CIO will direct strategic decisions in the CJIS Enterprise Architecture and add the perspective of Gwinnett County's overall Enterprise Architecture.

The Program Management Office (PMO) will ensure that CJIS COI projects comply with countywide project management guidelines and procedures. The CIO's office and PMO are both evolving, and the development of the CJIS Strategic Plan and Enterprise Architecture will help define their ongoing roles and responsibilities. The County's Enterprise IT Department, agency IT personnel, and business stakeholders will staff and support the Enterprise Architecture subcommittees. Figure 3-1 is a diagram of the proposed governance structure for the County's Enterprise Architecture.

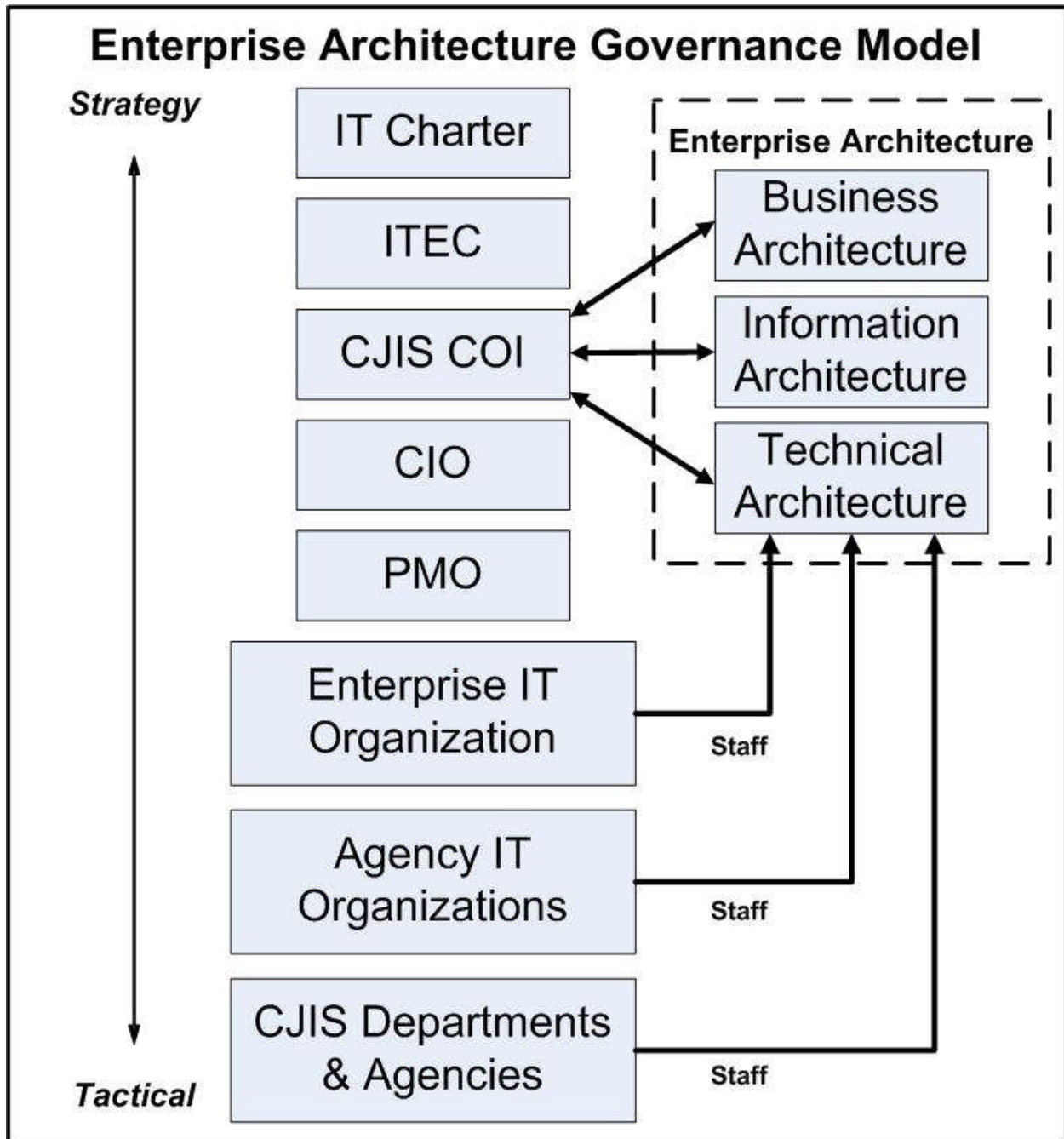


Figure 3-1 Enterprise Architecture Governance Model

3.4. Roles and Responsibilities

The role of Enterprise Architecture is to institutionalize standards and best practices. The Enterprise Architecture’s organizational structure and identified human resources are designed to ensure the Enterprise Architecture is included in every decision the

CJIS CIO makes. The positions identified in the Enterprise Architecture’s organizational structure are designed to be part-time ones that require a limited commitment of time from participants. A typical Enterprise Architecture implementation will require more time in the beginning to set initial standards, best practices, and business processes. Once the initial Enterprise Architecture framework is established, the Enterprise Architecture will reach a baseline. Once the baseline is established, the Enterprise Architecture team will only spend significant time reviewing and determining new or revised standards. The time spent by the Enterprise Architecture team should take only a small fraction of their work; these positions should not be considered full time.

Well-established roles and responsibilities for architecture governance are essential to implementing a successful Enterprise Architecture program. Architecture governance covers responsibility for items such as:

- Ensuring the enterprise elements and the Enterprise Architecture Framework elements represent the enterprise’s needs and wishes effectively
- Defining the Enterprise Architecture Framework and blueprint
- Maintaining the practicality of the Enterprise Architecture Framework.

In Architecture governance, the roles and responsibilities are specific to the function performed. When an organization develops its architecture governance structure, these responsibilities will be distributed among individuals, groups, or committees to best meet the organization’s needs. Various groups or individuals perform governance roles and functions. People who work with the architecture processes, framework, and artifacts consistently are considered to be contributing in a primary role.

3.4.1. Enterprise Architecture Manager

The CJIS Enterprise Architecture consists of three primary subcommittees related to Business Architecture, Information Architecture, and Technical Architecture. Each of these subcommittees will be led by an Enterprise Architecture Manager who will coordinate the overall Enterprise Architecture. The Enterprise Architecture Manager will seek guidance and support from the CJIS COI on Enterprise Architecture-related matters such as selecting contributors to fulfill Enterprise Architecture functions or review items that require executive approval. The Enterprise Architecture Manager will also receive clarity and support from the agency stakeholders in both the business and the IT communities in the enterprise.

Enterprise Architecture Committee	Enterprise Architecture Manager
Business Architecture	To be named later
Information Architecture	To be named later
Technical Architecture	To be named later

3.4.2. Champions

The Enterprise Architecture Champions will support the program by continuously promoting, advertising, marketing, and participating in it. The role of the Champion is held by an executive who ensures that the enterprise’s goals and objectives set out by the Enterprise Architecture efforts are met. Though a Champion does not participate directly in the specific enterprise architecture processes, the Champion provides the cheerleading and public relations that the adaptive Enterprise Architecture effort requires to be successful.

Titles	Enterprise Architecture Champions
CJIS Chairperson	To be named later
Public Information Officer	To be named later
CJIS Program Manager	To be named later

3.4.3. Subject Matter Experts (SMEs)

Subject Matter Experts (SMEs) provide the manager of the Enterprise Architecture subcommittees with clarity and support. Each SME serves as a representative of the agency stakeholders from both the business and the IT communities in the enterprise. The SMEs will guide Enterprise Architecture variance requests from a business and economic perspective. These individuals or groups refer to an internal or external entity that provides expert knowledge on a given subject. SMEs are most effective when implemented as a committee or a group because expert advice must include more than one opinion. CJIS COI members and Enterprise Architecture subcommittee managers will recommend SMEs and assemble them as needed.

3.4.4. CJIS COI Approval

All major Enterprise Architecture decisions will be brought to the CJIS COI for approval. The CJIS COI will lead and direct the manager of the Enterprise Architecture subcommittees. The CJIS COI will serve as a business representative with the understanding of the overall organizational strategies, plan, and directions from both the business and the IT communities in the justice enterprise. The CJIS COI will lead and direct all parties engaged in architecture activities, regardless of their line of business or technical affinities. The CJIS COI will provide final resolution on the approval or rejection of Enterprise Architecture variance requests from a business and economic perspective. The Enterprise Architecture standards and recommendations from the CJIS COI will be presented to the ITEC for final approval. Once the approved Enterprise Architecture receives final approval from the ITEC, it will be institutionalized into Gwinnett County’s standard operating procedures.

This page left blank intentionally.

Appendix A—Gwinnett County CJIS IT Strategic Plan Charter

Mission Statement

Access and share critical information at key decision points throughout the justice enterprise in a complete, timely, accurate and secure manner utilizing existing operational systems wherever possible.

Goals & Objectives

- Facilitate Data Sharing
 - Provide Standard & Universal Information Query Capabilities
 - Automatically Export / Push Data To Appropriate Agencies
 - Provide Data Import / Pull Facilities To Appropriate Agencies
 - Publish / Notify Capability For Key Transactions & Events
- Streamline Processes
 - Capture Data Once At The Point Of Origin For Reuse
 - Automate Document Workflows
 - Provide Event Calendars
 - Reduce Use of Hardcopy Records
 - Provide Electronic Signatures Where Permissible
- Establish Standards
 - Standard Data Element Names & Formats
 - Consistent Coding Structures / Naming Conventions
 - Standard, Multi-use Forms
- Improve Accuracy & Timeliness
 - Reduce Latency of Information Flow
 - Provide Positive Identity Of Record Subjects
 - Ensure Accuracy Of Case Details
 - Eliminate Redundant Data Entry
- Ensure Security & Control
 - Ensure Data & Infrastructure Integrity
 - Maintain Privacy Of Record Subjects
 - Preserve Agency's Ability To Meet Operational Requirements

COI Roles & Responsibilities

- Provide a regular forum for CJIS information exchange & knowledge transfer
- Develop standards & procedures for usage of CJIS technology
- Provide status reporting to the IT Executive Council and stakeholders as appropriate
- Develop the CJIS annual capital budget for recommendations the ITEC budget committee.
- Develop and approve all RFPs for CJIS acquisitions of hardware, software, & services
- Resolution of all CJIS issues and communication to ITEC
- Approval of project team membership for all CJIS initiatives

COI Membership / Chairperson

Member Name	Department	Member Name	Department
<i>Judge Melodie Conner</i>	<i>Superior Court</i>	Jeff Sligar	Corrections
Danny Porter	District Attorney	Judge Joseph Iannazone	State Court
Judge Walter Clarke	Probate Court	Judge Warren Davis	Magistrate Court
Cathy Morris	Support Services/ITS	Libby Blackwell	Recorders Court
Sylvia Black	Sheriff	Hunter Lowry	Clerk Of Courts
Pam Baxter	AOC	Jesse Lawler	Juvenile Court
Rosanna Szabo	Solicitor's Office	Wendy Tullis	Police

Capital Budget Summary – (\$)

Proj. No.	Capital Project Description	ITD Budget	ITD Expenses	CIP	Project Total
	Total CJIS COI				

Project Management Information

Proj. No.	Project Description	Project Manager	Start Date	End Date	Deliverable / Status

Operations & Procedures

- A quorum of two-thirds of the membership must be present to vote on all issues.
- Chairperson will be elected annually among members and is subject to ITEC approval.
- All meeting activities must be documented & distributed to COI & ITEC membership.
- COI members may seat alternates in their absence.

Meetings will be held a minimum of four times per year.

This page left blank intentionally.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Agency Interviews and Assessments

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. INTRODUCTION.....	1
1.1. Purpose of This Document.....	1
2. ADMINISTRATIVE OFFICE OF THE COURTS.....	3
2.1. Overview	3
2.2. AOC General Procedures	3
2.2.1. <i>Indigent Defense Counsel Management</i>	3
2.2.2. <i>Dispute Resolution</i>	4
2.2.3. <i>Drug Court and DUI Court</i>	4
2.3. AOC Statistics.....	5
2.4. Technology Assessment	5
2.5. Recommendations	5
3. DEPARTMENT OF CORRECTIONS	7
3.1. Overview	7
3.2. Corrections Facilities.....	7
3.3. Corrections General Procedures.....	7
3.3.1. <i>Corrections Intake</i>	7
3.3.2. <i>Work Alternative Program</i>	8
3.3.3. <i>Prisoner Transfers</i>	8
3.4. Corrections Statistics	8
3.5. Technology Assessment	8
3.5.1. <i>TAG Jail Management System</i>	8
3.5.2. <i>Work Release Program Biometric Tracking System</i>	9
3.6. Recommendations	9
3.6.1. <i>Sentencing Orders</i>	9
3.6.2. <i>Transfer Request</i>	9
4. DISTRICT ATTORNEY	11
4.1. Overview.....	11
4.2. Role of Law Enforcement Agencies	11
4.3. District Attorney General Procedures	12
4.3.1. <i>Charging Documents</i>	12
4.3.2. <i>Accusation</i>	12
4.3.3. <i>Indictment</i>	12
4.3.4. <i>Dismissal</i>	12
4.3.5. <i>Administrative Dismissal</i>	13
4.3.6. <i>Nolle Prosequi</i>	13

4.3.7. <i>Changes to Charges Through the Adjudication Process</i>	13
4.4. District Attorney Business Process	13
4.4.1. <i>Vertical Prosecution</i>	13
4.4.2. <i>District Attorney Intake Documents</i>	14
4.4.3. <i>District Attorney Criminal Investigations</i>	14
4.4.4. <i>Bond Process</i>	16
4.4.5. <i>1st Appearance Hearing</i>	16
4.4.6. <i>Preliminary Hearing (Committal Hearing)</i>	16
4.4.7. <i>Arraignment</i>	16
4.4.8. <i>Fast Track Pleas</i>	17
4.5. Trial	17
4.5.1. <i>Trial Calendar</i>	17
4.5.2. <i>Disposition</i>	17
4.5.3. <i>Defense Counsel</i>	17
4.5.4. <i>Discovery</i>	18
4.5.5. <i>Offender Based Tracking System (OBTS)</i>	18
4.5.6. <i>Court Calendar</i>	18
4.5.7. <i>Victim Services</i>	19
4.6. Case Number Formats	19
4.7. District Attorney Caseload Statistics	20
4.8. Technology Assessment: New District Attorney System	20
4.9. Recommendations	20
4.9.1. <i>Capture Defendant Information Electronically</i>	20
4.9.2. <i>Use Biometrics Throughout the Justice Process</i>	21
4.9.3. <i>Electronic Booking Information</i>	21
4.9.4. <i>Electronic Filing</i>	21
4.9.5. <i>Synchronize Case Numbers With the Clerk of Court</i>	21
4.9.6. <i>Electronic Chain of Custody Tracking</i>	21
4.9.7. <i>Electronic Unusual Occurrence Report</i>	22
4.9.8. <i>Electronic Search Warrant Applications</i>	22
4.9.9. <i>Automate OBTS Reporting</i>	22
4.9.10. <i>Flag Cases That Require an Interpreter</i>	22
4.9.11. <i>Provide a Consolidated Online Case Calendar</i>	22
4.9.12. <i>Automatic Subpoena for Victims of Domestic Violence</i>	22
4.10. Technology Questionnaire	23
4.10.1. <i>CJIS Policy Survey</i>	23
4.10.2. <i>CJIS Technical Architecture</i>	25
5. FIRE AND ARSON	29
5.1. Overview	29
5.2. Arson General Procedures	29
5.3. Arson Arrest and Prosecution	30
5.4. Dispatch and Emergency Response	30
5.5. Geographical Information System (GIS) Layers	30
5.5.1. <i>Parcel Layer</i>	31

5.5.2.	<i>Street Center Line Layer</i>	31
5.5.3.	<i>Department for Public Utility (DPU) Layer</i>	31
5.5.4.	<i>Lakes and Streams Layer</i>	31
5.5.5.	<i>Other GIS Layers Used by the Fire Department</i>	31
5.5.6.	<i>Arson Case Statistics Reporting</i>	32
5.6.	Fire and Arson Statistics	32
5.7.	Technology Assessment	32
5.8.	Recommendations	33
5.8.1.	<i>Automate OBTS Reporting</i>	33
5.8.2.	<i>Arson System</i>	33
5.8.3.	<i>Limited Access to the Prosecution System</i>	33
6.	GEOGRAPHICAL INFORMATION SYSTEM	35
6.1.	Overview.....	35
6.2.	Criminal Justice Applications.....	35
6.3.	Sex Offenders	36
6.4.	Technology Assessment	36
6.5.	Recommendations	37
6.6.	Technology Questionnaire	38
6.6.1.	<i>CJIS Policy Survey</i>	38
6.6.2.	<i>CJIS Technical Architecture</i>	39
7.	JUVENILE COURT.....	43
7.1.	Overview	43
7.2.	Juvenile Court Business Process	43
7.2.1.	<i>Juvenile Warrants</i>	43
7.2.2.	<i>Juvenile Arrests</i>	43
7.2.3.	<i>Case Initiation</i>	44
7.2.4.	<i>Intake Division</i>	44
7.2.5.	<i>Juvenile Case Processing</i>	44
7.2.6.	<i>Juvenile Court Probation</i>	44
7.2.7.	<i>State of Georgia Juvenile Facility</i>	45
7.3.	Case Number Formats.....	45
7.4.	Juvenile Court Case Load Statistics	45
7.5.	Technology Assessment	46
7.6.	Recommendations	46
7.6.1.	<i>Receive Juvenile Complaint Form Electronically</i>	46
7.6.2.	<i>Juvenile Warrant Synchronization</i>	46
7.7.	Technology Questionnaire	46
7.7.1.	<i>CJIS Policy Survey</i>	46
7.7.2.	<i>CJIS Technical Architecture</i>	48

8. MAGISTRATE COURT.....	51
8.1. Overview	51
8.1.1. Magistrate Court Staff	51
8.1.2. Magistrate Court Schedule.....	51
8.2. Magistrate General Procedures	52
8.2.1. Warrants.....	52
8.2.2. Warrantless Arrests.....	52
8.2.3. Arrest Warrants for Persons not in Custody	53
8.2.4. Electronic Warrant Interchange (EWI®).....	53
8.2.5. Temporary Protection Orders.....	54
8.2.6. Interactive Voice Response (IVR) System.....	54
8.2.7. 1st Appearance Hearings.....	54
8.2.8. Preliminary Hearing (Committal Hearing)	55
8.3. Technology Assessment	56
8.4. Recommendations	56
8.4.1. Magistrate Court Integration With the New Sustain CMS.....	56
8.4.2. Electronic Warrant Interchange (EWI®) With the New Sustain CMS	57
8.4.3. Integrate the Sustain CMS With the Interactive Voice Response (IVR) System	57
8.4.4. Integration With Indigent Defense Counsel Information	57
8.4.5. Access to Probation Information From the Bench	57
8.4.6. Provide Consolidated Online Case Calendar	57
9. POLICE DEPARTMENT	59
9.1. Overview	59
9.2. GCPD General Procedures.....	59
9.2.1. Routine Traffic Stops.....	59
9.2.2. Arrest.....	60
9.2.3. Digital Photographs.....	60
9.2.4. Video Evidence	61
9.2.5. Records.....	61
9.3. GCPD Statistics	62
9.4. Technology Assessment	62
9.4.1. Records Management System (RMS) – CompuDyne	62
9.4.2. Computer Aided Dispatch (CAD).....	62
9.4.3. Radio Communications	62
9.4.4. Document Imaging (FileNet)	63
9.4.5. Mobile Data Terminals (MDTs).....	63
9.4.6. Crime Analysis Unit – CrimeView	63
9.4.7. Red Light Cameras	63
9.5. Recommendations	63
9.5.1. Electronic Data Capture	63
9.5.2. Digital Video and Cameras	64
9.5.3. Access to RMS Data From Other Municipal Police Departments.....	64
9.5.4. Electronic Chain of Custody Tracking	64

9.6. Technology Questionnaire	64
9.6.1. CJIS Technical Architecture.....	66
10. PROBATION (STATE COURT)	69
10.1. Overview	69
10.2. Probation Business Process	69
10.2.1. Intake.....	69
10.2.2. Probation Case Management	69
10.2.3. Probation Warrants	70
10.2.4. Revocation Hearings	70
10.2.5. Termination Orders	70
10.3. Case Number Formats.....	71
10.4. Probation Statistics	71
10.5. Technology Assessment	71
10.6. Recommendations	71
10.6.1. Police Incident Reports	71
10.6.2. Probation View of Jail Management System (JMS).....	72
11. RECORDER’S COURT	73
11.1. Overview	73
11.2. Case Initiation	73
11.3. Recorder’s Court Divisions and Schedule	74
11.4. Recorder’s Court General Procedures	74
11.4.1. Case Processing	74
11.4.2. Non-Arrests	74
11.4.3. Arrest.....	75
11.5. Recorder’s Court Probation (Sentinel Inc.)	75
11.5.1. Bench Warrants	76
11.5.2. Violation of Probation (VoP) Warrants.....	76
11.5.3. Incarceration Orders	76
11.5.4. Bindover (Transfer Case to Another Court)	76
11.6. Technology Assessment	77
11.6.1. Sustain Court Case Management System.....	77
11.6.2. Citation Processing with Law Enforcement.....	77
11.6.3. Integration with Probation (Sentinel).....	77
11.6.4. Recorder’s Court Forms	77
11.6.5. Recorder’s Court Financials.....	77
11.6.6. Integration With Department of Drivers Services (DDS).....	78
11.7. Recorder’s Court Statistics	78
11.8. Recommendations	78
11.8.1. Capture Defendant Information Electronically	78
11.8.2. Electronic Link to Sheriff’s Department.....	78
11.8.3. Electronic Documents	79

11.9. Technology Questionnaire – Recorder’s Court.....	79
11.9.1. CJIS Policy Survey.....	79
11.9.2. CJIS Technical Architecture.....	81
11.10. Technology Questionnaire – Probation (Recorder’s Court)	83
12. SHERIFF’S DEPARTMENT.....	89
12.1. Overview.....	89
12.1.1. Detention Division	89
12.1.2. Court Security Division.....	89
12.1.3. Field Operations Division	90
12.1.4. Civil Division	90
12.1.5. Administrative Division.....	90
12.1.6. Support Services Division	91
12.2. Sheriff’s Department General Procedures	91
12.2.1. Warrants.....	91
12.2.2. Warrant Service	92
12.2.3. Warrant Recall	92
12.2.4. Detention.....	93
12.2.5. Identification Process	93
12.2.6. GCIC Criminal History Names	94
12.2.7. Bond Process	94
12.2.8. Offender Based Tracking System (OBTS) Process.....	95
12.2.9. Extradition Request.....	95
12.2.10. Sex Offender Registry.....	95
12.2.11. Records Department.....	95
12.3. Sheriff’s Department Statistics	96
12.3.1. Inmate Population	96
12.3.2. Inmate Status Snapshot (April 2006)	96
12.3.3. Inmate Legal Status Codes.....	97
12.3.4. Inmate Legal Status Statistics (1999 Through 2006).....	97
12.4. Technology Assessment	98
12.4.1. Victim Information Notification Everyday (VINE).....	98
12.5. Recommendations	98
12.5.1. System Integration	98
12.5.2. Electronic Warrant Interface.....	99
12.5.3. Local Fingerprint Database	99
12.5.4. Electronic OBS Forms.....	99
12.5.5. Sex Offender Registry Accounting.....	99
12.6. Technology Questionnaire	100
12.6.1. CJIS Policy Survey.....	100
12.6.2. CJIS Technical Architecture.....	101
13. SOLICITOR GENERAL’S OFFICE.....	105
13.1. Overview	105

13.2. Solicitor Case Initiation.....	105
13.2.1. Cash Bond.....	105
13.2.2. Non-Cash Bond.....	106
13.2.3. Bind Over	106
13.2.4. Law Enforcement Citation	107
13.2.5. Detention Center Intake	107
13.3. Initial Case Information Data Entry	107
13.4. Initial Case Documents and Data Entry.....	108
13.5. Solicitor Criminal Investigations	108
13.5.1. Law Enforcement Arrest / Incident Report.....	109
13.5.2. Video Recordings from Incident (DUI Videos)	109
13.5.3. Digital Photographs.....	109
13.5.4. Medical Records	109
13.6. Solicitor Charging Procedures.....	110
13.6.1. Administrative Dismissal	110
13.6.2. Accusation.....	110
13.6.3. Notice of Intent Not to Prosecute (NIP) – Administrative Dismissal	111
13.7. Victim Advocate	111
13.8. Court Calendar.....	111
13.9. Arraignment	111
13.9.1. Motions.....	112
13.9.2. Trial (Bench or Jury).....	112
13.10. Solicitor Case Number Formats	113
13.11. Solicitor General Statistics	113
13.12. Technology Assessment: New Solicitor System.....	113
13.13. Solicitor Recommendations	114
13.13.1. Eliminate Redundant Data Entry.....	114
13.13.2. Fast Track Domestic Violence.....	114
13.13.3. Digital Video and Cameras.....	114
13.13.4. Access to Customized Jail System Reports.....	114
13.14. Technology Questionnaire	115
13.14.1. CJIS Policy Survey.....	115
13.14.2. CJIS Technical Architecture	117
14. GWINNETT COUNTY STANDARDS COMMITTEE	121
14.1. Standards General Procedures	121
14.2. Recommendations	121
14.2.1. Data Standards	121
14.2.2. Standard Address	121
15. STATE COURT.....	123
15.1. Overview	123
15.2. State Court General Procedures.....	123

15.2.1. Court Filings	123
15.2.2. Calendars	124
15.2.3. Court Documents	124
15.2.4. Appeals	125
15.2.5. State Court Probation	125
15.3. State Court Statistics	125
15.4. Technology Assessment	125
15.5. Recommendations	126
15.5.1. Sustain Court Case Management System	126
16. SUPERIOR COURT	127
16.1. Overview	127
16.2. Superior Court General Procedures	127
16.2.1. Court Filings	127
16.2.2. Grand Jury Indictments	128
16.2.3. Calendars	128
16.2.4. Waivers	129
16.2.5. Court Documents	129
16.2.6. Appeals and Other Post-Trial Pleadings	130
16.2.7. Superior Court Probation	130
16.3. Superior Court Statistics	130
16.4. Technology Assessment	130
16.5. Recommendations	131
16.5.1. Sustain Court Case Management System	131
17. CLERK OF COURT	133
17.1. Technology Questionnaire	133
17.1.1. CJIS Policy Survey	133
17.1.2. CJIS Technical Architecture	135
APPENDIX A—GEORGIA STATUTE FOR ELECTRONIC SIGNATURES.....	137

Table of Tables

Table 3-1 May 2006 Inmate Statistics	8
Table 4-1 Document Numbering Scheme	20
Table 4-2 District Attorney Caseload Statistics.....	20
Table 5-1 Fire and Arson Statistical Information.....	32
Table 7-1 Document Numbering Scheme	45
Table 7-2 Juvenile Court Case Load Statistics.....	45
Table 9-1 GCPD Statistics	62
Table 10-1 Document Numbering Scheme	71
Table 10-2 Probation Caseload Statistics.....	71
Table 11-1 Recorder’s Court Caseload Statistics.....	78
Table 12-1 Total Inmates Housed at the Detention Center – Yearly.....	96
Table 12-2 Legal Status of Inmates – April 2006.....	97
Table 12-3 Legal Status of Inmates – Yearly.....	98
Table 13-1 Solicitor Case Number Formats	113
Table 13-2 Solicitor Caseload Statistics	113
Table 15-1 State Court Cases in 2005	125
Table 16-1 Superior Court Cases in 2005	130

This page left blank intentionally.

1. Introduction

1.1. Purpose of This Document

As part of the Criminal Justice Information System (CJIS) Integration Strategic Plan Project, Unisys consultants spent 4 weeks interviewing the various agencies in the Gwinnett County Criminal Justice System:

- Administrative Office of the Courts (AOC)
- Clerk of Court
- Corrections
- County Information Technology
- County Probation
- District Attorney's Office
- Fire and Arson
- Geographical Information System (GIS)
- Juvenile Justice
- Magistrate Court
- Police Department
- Recorder's Court
- Sheriff's Department (Detention)
- Solicitor's Department
- Standards Committee
- State Court
- State Probation
- Superior Court.

This document contains the results of those interviews, including an overview of each agency's business process, current and planned technology upgrades, agency policy and technology questionnaires, and recommendations based on each agency's stated needs and desires.

This page left blank intentionally.

2. Administrative Office of the Courts

2.1. Overview

The Administrative Office of the Courts (AOC) was created to manage the planning and business functions as well as the support operations for various trial divisions and limited jurisdiction courts. The AOC reports to individual Judges or the Chief Judges and participates in management meetings. In addition to responsibility for financial planning and controls, personnel administration, systems, and physical facilities, the Court Administrator identifies and plans for the courts' changing needs and contributes to cost-effective management throughout the judicial branch of Gwinnett County government. The AOC manages the planning and business functions for the Gwinnett County Courts, including the Superior Court, the State Court, and the Magistrate Court, and provides services and programs through the following divisions: Court Services, Drug Court, Dispute Resolution, Law Library, and Court Technology.

2.2. AOC General Procedures

2.2.1. Indigent Defense Counsel Management

Gwinnett County does not have a dedicated public defender's office. The County provides qualified defendants with Court-appointed private attorneys. Private attorneys submit applications to a subcommittee of the Indigent Defense Governing Committee to be considered for placement on the Court's appointed list. The defense attorneys charge their services back to the County through the AOC. Attorneys are rated for their experience and assigned cases in accordance with their ratings. The County has 120 private attorneys on its appointed list. To request a Court Appointed Attorney, defendants submit an application to the Court. Judges appoint defense attorneys from the pool of available attorneys. The appointment order is filed with the Clerk of Court (Clerk), and the assignment of the defense attorney is recorded in the Sustain Case Management System (CMS), including the attorney's bar number.

Once a case is disposed, the defense attorney submits an invoice with an itemized list of case hours spent on the case. Defense case hours are divided into "in court" hours and "out of court" hours. Typically, most defense attorneys have more than one defendant and may spend several hours representing several of them in court on a single day. Attorneys are expected to prorate their court time among all defendants they represented in court that day. AOC reviews the invoices and submits them to the Indigent Defense Governing Committee for final approval. The AOC forwards approved invoices to the Gwinnett County Department of Finance for payment. Invoices are processed through the Finance Department's SAP program, which renders payment on a paper check or by Electronic Funds Transfer (EFT). The AOC processes approximately 50 to 200 invoices a week. In 2005, approximately 10,000 cases were

handled by a Court Appointed Attorney. The AOC is required to enter certain data, obtained from the submitted invoices, into the County's financial SAP program and into the Georgia Public Defender Standards Council's CMS.

2.2.2. Dispute Resolution

The AOC's Dispute Resolution Program provides litigants with alternatives to settling their cases that may be preferable to trial, including mediation, arbitration, and case evaluation. Dispute resolution services are available for all County courts. Information on cases processed through the Dispute Resolution Program is gathered from the Clerk's Sustain CMS. All scheduling of cases and notices sent to parties in a case is completed through Sustain. Dispositions of cases also are entered into Sustain. Although statistical information on the number of cases processed through the Dispute Resolution Program and the results are completed manually, the County expects them to be completed through Sustain in the future.

2.2.3. Drug Court and DUI Court

Drug Court and DUI Court are diversion programs used as alternate remedies for qualified defendants. Drug Court is used as a diversion before indictment, and DUI Court is used as diversion after indictment or accusation. The Drug Court Coordinator (Coordinator) supervises both the Drug Court and the DUI Court programs. To track participants and manage the data and records for both programs, the Coordinator uses a system called ADE. To identify potential candidates, the Coordinator reviews cases after formal notification from the District Attorney, the Clerk, or the Defense. Drug Court and DUI Court comprise the same justice officials, including:

- Assistant District Attorney
- Judge
- Defense Attorney
- Treatment Counselor
- Police Officer
- Probation Officer.

Both Drug Court and DUI Court are funded mostly by grants. The County contracts with a private treatment provider to hold meetings, track attendance, oversee drug screenings, and monitor results. The treatment provider provides the Coordinator with written reports that detail each defendant's compliance with the terms of the program. Defendants are charged a monthly administrative fee. The Coordinator provides Drug Court or DUI Court with a weekly status report on each defendant for review. If the defendant completes Drug Court's terms and conditions successfully, the District Attorney files a Nolle Prosequi on the charges.

2.3. AOC Statistics

Gwinnett County has 150 attorneys on its appointed list. Last year, The AOC processed 7,130 invoices for the Superior, State, and Magistrate Courts. They do not include those that the Recorder's and Juvenile Courts processed.

2.4. Technology Assessment

The AOC does not have any dedicated computer application, though it uses the Sustain CMS. AOC uses Sustain only for reviewing invoices for payment to appointed attorneys. The Dispute Resolution Program uses Sustain as its case management tool. Drug Court has a standalone system that it uses to track participants in Drug Court and DUI Court. The AOC employs a Court Technology Officer who maintains the technology in all the courtrooms. Courtroom technology ranges from photocopying machines to desktop computers and wireless networking.

2.5. Recommendations

The AOC requires a computer system that it can use to manage the Court Appointed Attorneys. The AOC would like a system that can track defense attorneys' hours and receive invoices electronically. The AOC would like to be able to electronically transfer State-required data to the State's CMS. The AOC would also like a system that can run reports and compile statistics for the Indigent Defense Governing Committee, which oversees the Court Appointed Attorneys. A CMS for the Indigent Defense Program will enable Gwinnett County to better manage and oversee the Indigent Defense Counsel's finances.

This page left blank intentionally.

3. Department of Corrections

3.1. Overview

The Gwinnett County Department of Corrections is housed at the Comprehensive Correctional Complex, an 800-bed facility in Lawrenceville. The Gwinnett County Department of Corrections (County Corrections) houses prisoners who are post adjudication and sentenced to County incarceration. Inmates are normally held for less than 12 months at a County Corrections facility. Those sentenced to incarceration of longer than 12 months are typically sent to a State of Georgia correctional facility.

3.2. Corrections Facilities

County Corrections has two types of facilities: the Prisoner Work Camp (PWC) and Work Release. Prisoners housed at PWC are minimum- to medium-security inmates sentenced to full-time incarceration. During the day, they are assigned to supervised work crews that perform basic cleanup and maintenance tasks around the County. Work Release prisoners maintain regular employment while serving nonworking hours in custody. They are charged administration and daily housing fees. PWC and Work Release are two different facilities, but they are both part of the same complex that includes the Gwinnett County Detention Center. The Detention Center includes a central hospital facility that all three facilities share.

3.3. Corrections General Procedures

3.3.1. Corrections Intake

All prisoners taken to intake at County Corrections are required to have a valid Sentence Order. A prisoner remains in the holder area until he or she is formally released from detention and the proper paperwork received. County Corrections and Detention use the same TAG Jail Management System. County Corrections can pull up an inmate's record in TAG if the inmate has an existing record. Gwinnett County Detention normally receives Sentence Orders for inmates currently in custody. Detention updates the inmate's TAG record with the sentence information before sending it to County Corrections. On rare occasions, an inmate who is not in custody at Detention is sentenced to County Corrections. For these inmates, County Corrections enters information on the inmate and sentencing into TAG. All changes to a prisoner's correctional status or housing location are made directly in TAG.

3.3.2. Work Alternative Program

Corrections also administers the Work Alternative Program, which allows Judges to sentence offenders convicted of minor crimes to perform community service work instead of incarceration. In contrast to offenders sentenced to full-time incarceration or the Work Release Program, participants in the Work Alternative Program report to the Comprehensive Correctional Complex in the morning and return at the end of the day. To provide government and nonprofit agencies with a supplemental labor force, they perform tasks such as removing trash from roadsides, parks, school stadiums, and park-and-ride lots. To offset the Work Alternative Program's costs, participants must pay a one-time administrative charge and daily fees.

3.3.3. Prisoner Transfers

Inmates may need to be transported back to court if there are other pending cases or if they are victims or witnesses in other criminal matters. Before the court appearance, the Court must send a Transfer Request to County Corrections. Transfer Requests are paper lists of the requested inmates and the court dates.

3.4. Corrections Statistics

The following statistics in Table 3-1 provide an overview of the number of inmates housed by Corrections last month and last year.

Month – May 2006					
<i>State Inmates</i>		<i>County Inmates</i>		<i>Total Inmates</i>	
Received	23	Received	56	Received	79
Released	27	Released	64	Released	91
<i>Daily Average</i>		<i>Escapes</i>		<i>Recaptured</i>	
State	249.2	State	0	State	0
County	258.3	County	0	County	0
Total	507.5				

Table 3-1 May 2006 Inmate Statistics

3.5. Technology Assessment

3.5.1. TAG Jail Management System

To track inmates at the PWC and Work Release facilities, County Corrections uses the TAG Jail Management System (<http://www.syscon.net/index.php>). TAG is also used by the Gwinnett County Detention Center and integrated with County Corrections.

Although the Detention Center and County Corrections use different instances of the system, data can be transferred between the two systems. The County Corrections TAG system does not interact with any other justice systems outside of Detention.

3.5.2. Work Release Program Biometric Tracking System

To manage inmates in the Work Release program, County Corrections uses a fingerprint-based biometric tracking system. Sense Technologies Inc. (<http://www.senseme.com/>) developed the tracking application for Work Release.

3.6. Recommendations

3.6.1. Sentencing Orders

It is not uncommon for offenders to be taken to County Corrections before the sentencing documentation arrives. County Corrections would like to receive Sentencing Orders electronically from the Courts once the sentence is rendered. County Corrections would be able to make arrangements for the new inmates according to their security level and the volume of new inmates entering each facility.

3.6.2. Transfer Request

County Corrections would like to receive electronic notification of inmate Transfer Requests to Court.

This page left blank intentionally.

4. District Attorney

4.1. Overview

In Gwinnett County, Criminal Prosecution is managed by two departments to manage Criminal Prosecution: the Gwinnett County District Attorney Office (District Attorney) and the Gwinnett County Solicitor (Solicitor). The District Attorney has jurisdiction over all criminal matters except for County ordinances. The District Attorney is primarily responsible for prosecuting felony cases. The Solicitor is responsible for misdemeanor prosecution, including County ordinances. Gwinnett County Superior Court (Superior Court) is a court of general jurisdiction for both felonies and misdemeanors. Both the Solicitor and the District Attorney are elected officials. The District Attorney may initiate criminal cases through on-site arrests and review of criminal matters brought from law enforcement. The District Attorney's Office has 36 prosecutors.

Once a criminal matter is brought to the District Attorney, several paths can lead to a criminal case or a dismissal. A formal criminal case does not start until an indictment or an accusation is filed with the Clerk of Court. Except for capital offenses, the District Attorney prosecutes co-defendants in the same criminal court case. If there are strategic legal reasons, the Defense may choose to file a motion to separate co-defendants. The District Attorney may choose to transfer a case to State or Juvenile Court for appropriate legal reasons.

4.2. Role of Law Enforcement Agencies

Many cases begin from an on-site arrest by law enforcement, in which the defendant is arrested on the street. The officer detains the defendant at the County Detention Center and seeks a warrant from the Magistrate Judge. To eliminate any legal liability for detaining the defendant, the Gwinnett County Sheriff's Office (Sheriff) requires law enforcement to obtain a warrant. The law enforcement officer completes a Warrant Application and presents it to the Magistrate Judge for sign-off. An officer typically spends 30 minutes to 2 hours obtaining a warrant. Many law enforcement agencies operate in Gwinnett County, including:

- Sheriff
- Gwinnett County Police Department (GCPD)
- Municipal police departments
- School law enforcement
- Georgia Bureau of Investigation
- Federal agencies (FBI, ATF, and so forth).

4.3. District Attorney General Procedures

4.3.1. Charging Documents

Gwinnett County uses three charging vehicles or documents:

1. Accusations
2. Indictments
3. Uniform Traffic Ticket (for traffic and County ordinances).

4.3.2. Accusation

An accusation occurs when the District Attorney finds probable cause to file charges in a criminal matter, and the defendant waived his or her right to a preliminary hearing. If a defendant bonds out of Detention Center before a Preliminary Hearing, the Preliminary Hearing is waived by default, and the case is filed through an accusation. Once the Preliminary Hearing is waived, the District Attorney does not need to take the matter before the Grand Jury to proceed with the case. In 2005, approximately 30 percent of Superior Court criminal cases were initiated through an accusation.

4.3.3. Indictment

When there is sufficient evidence to move forward with a case, the District Attorney files an indictment with the Clerk of Court. All indictments must be brought to the Grand Jury to decide whether there is enough evidence to justify the indictment and a trial. The Grand Jury is a group of citizens that decides whether there is enough evidence to justify an indictment. The Superior Court organizes Grand Juries through the Clerk of Court. There are two panels of Grand Juries, Panel A and Panel B, which meet every other Wednesday on a rotating basis. During each hearing, the District Attorney typically presents 50 cases before a Grand Jury. The District Attorney presents his or her case directly to the Grand Jury without cross-examination by the Defense. The Grand Jury Hearing determines whether there is enough evidence to justify moving forward with a case based on the existing evidence. After hearing the evidence of the case, the Grand Jury returns either a True Bill or a No Bill. If the Grand Jury returns a True Bill, the case moves forward and has a Grand Jury indictment. A No Bill indicates the District Attorney did not meet the burden of evidence to move forward with the charges. In 2005, approximately 70 percent of Superior Court criminal cases were initiated through an indictment.

4.3.4. Dismissal

Not all cases brought to the District Attorney are prosecuted. There are numerous reasons a criminal matter can be dismissed through an Administrative Dismissal or a Nolle Prosequi if formal charges were filed through an accusation or an indictment.

4.3.5. Administrative Dismissal

An Administrative Dismissal occurs when the District Attorney reviews a criminal matter and determines there is insufficient evidence to move forward with an indictment or an accusation. If the District Attorney acquires new evidence in the future, the matter may be taken up later. In 2005, approximately 28 percent of the criminal matters reviewed were dismissed through Administrative Dismissal. The other 72 percent of criminal matters led to criminal charges through an accusation or an indictment.

4.3.6. Nolle Prosequi

After formal charges are filed through an accusation or indictment, the District Attorney can file a Nolle Prosequi to drop the case. A Nolle Prosequi is a formal filing by the District Attorney in a criminal case that declares the case will not be prosecuted. A Nolle Prosequi filing may be made at any time after charges are brought and before a verdict is returned or a plea entered. The District Attorney may choose to file a Nolle Prosequi for selected charges in a multi-charge accusation or indictment. In 2005, the District Attorney dropped approximately 2 percent of Superior Court criminal charges through the Nolle Prosequi process. A Judge's approval and signature are required for a Nolle Prosequi.

4.3.7. Changes to Charges Through the Adjudication Process

At several points in the process, the charges can be initiated or modified:

- Law enforcement recommends initial charges on the Warrant Application.
- The Judge may modify the officer's original charge on the Warrant Application.
- The Judge can modify the charges at the Preliminary Hearing (Committal Hearing).
- The District Attorney may add, modify, or delete charges on the charging document (accusation or indictment).
- The defendant can plead to a different charge with the approval of the District Attorney and the Judge.
- At trial, the Judge or the jury can find the defendant not guilty or guilty of a lesser included offense.

4.4. District Attorney Business Process

4.4.1. Vertical Prosecution

The District Attorney follows a vertical prosecution process in which prosecution teams are assigned to specific Judges. To provide continuity in the prosecution process,

repeat offenders are assigned to the same Judge where the original case was prosecuted. The District Attorney's office determines whether a defendant is a repeat offender and files a Judicial Assignment Request based on the vertical prosecution process. If the defendant does not have an existing case, they will be assigned by the "wheel" for random assignment of a Judge.

4.4.2. District Attorney Intake Documents

The District Attorney's Office has a dedicated department for intake and case initiation. Depending on whether the defendant is still in custody or bonded out of Detention Center, there are two primary information flows for case initiation. The Sheriff provides the Clerk of Superior Court with the case information when the defendant bonds out of Detention Center. The District Attorney's office picks up the case information from the Clerk of Superior Court and takes it to the Intake Department. If the defendant is still in custody, the District Attorney picks up the case information from the Magistrate Court. Warrant information also is obtained through the Magistrate Court. For either situation, the case information is recorded into the District Attorney's prosecution CMS and the case documents are filed in a case folder with the case number labeled on the outside.

The District Attorney Intake Unit processes an average of 20 to 30 case initiations a day. Before creating a new case, the Intake Clerk performs a simple name search in the prosecution CMS to see if there is already a case in the computer. The Intake Department queries the Georgia Crime Information Center (GCIC) and the National Crime Information Center (NCIC) for a criminal history search of the defendant. The paperwork from the Magistrate typically includes the Book In sheet from the Detention Center, which may also include the State Identification (SID) number assigned through fingerprints. The paperwork from the Clerk of Court typically does not contain the Book In sheet and the SID. Cases involving co-defendants are incorporated into a single case number. If a co-defendant is identified after the initial case is created, the Intake Unit may reassign the defendant to the existing case number with other co-defendants.

The intake process typically includes the following documents:

1. Warrant Application (completed by law enforcement)
2. Warrant (signed by the Magistrate Judge)
3. Victim Information
4. Book In Sheet (created when the defendant is booked into the Detention Center)
5. Special Conditions of Bond.

4.4.3. District Attorney Criminal Investigations

After the Intake Unit creates the file, the Investigative Unit receives it. An investigator makes sure that all of the evidence is collected from various other agencies and sources, including:

- Law enforcement (GCPD or Sheriff)
 - Arrest Reports
 - Supplemental Arrest Reports
 - Detective Investigative Reports
 - Mugshots
 - Digital crime scene photos (Each law enforcement agency has different policies and procedures for handling digital photos.)
 - Warrants
 - Case evidence
 - Information on the evidence's chain of custody.
- Clerk of Court
 - Certified convictions (may be from other counties and states)
- Results from local crime labs
- Results from the GBI's crime lab
- GCIC and NCIC
 - Georgia and national criminal histories.

Also, the investigator conducts outside investigations into criminal matters without law enforcement. The Investigative Unit has electronic access to various other agencies, including:

- Sheriff
- Magistrate
- Water Utility
- Tax Assessor
- Public Utilities.

Many case types, including drug cases, always require the chain of custody tracking form from the GCPD's evidence department. Although investigators can obtain a fax of the document, the quality of the fax may be poor. Most of the time, the investigators visit the GCPD's evidence room to obtain a photocopy. They frequently interview victims and witnesses of crimes before and after indictment. Investigators also track and locate witnesses to ensure they are available for trial.

Once all of the associated evidence and case information are collected, the Investigative Unit presents the Prosecuting Attorney with the case file. In addition to the case file, an investigator prepares a case summation and a witness list. The investigator may be required to get a search warrant to obtain critical documents such as EMS trip sheets or protected material. The investigator obtains certified copies of previous convictions from other jurisdictions in other counties and states. The work

products of the District Attorney are not discoverable, but work products created by the investigators are discoverable.

4.4.4. Bond Process

Normally, a bond schedule or the Magistrate Judge sets the bond amount when the warrant is issued. Defendants can bond out of Detention Center before the 1st Appearance Hearing. If a defendant bonds out of Detention Center, the Preliminary Hearing is waived and the District Attorney proceeds through the accusation process. For serious felony charges, the defendant must appear before a Superior Court Judge for a bond hearing.

4.4.5. 1st Appearance Hearing

The 1st Appearance Hearing takes place within 48 hours of the arrest. At this hearing, the Court informs the defendant of the charges against him or her. The Court may assign Defense Counsel (Defense) to the defendant, modify bond conditions, or do both.

4.4.6. Preliminary Hearing (Committal Hearing)

The Preliminary Hearing takes place within a week of the arrest. In a Preliminary Hearing, the District Attorney presents probable cause to the Judge under cross-examination by the Defense. If a defendant bonds out of Detention Center, he or she waives his or her right to a Preliminary Hearing automatically. The District Attorney typically does not get case files until a couple of days before a Preliminary Hearing. If the Judge finds probable cause, the case is bound over to the appropriate Court. Before the hearing, the District Attorney generates a Magistrate Court Worksheet. This worksheet provides a concise view of all charges pending against the defendant. To document the Preliminary Hearing's results, the Court issues a Committal Hearing Order.

4.4.7. Arraignment

In an Arraignment, a defendant issues a plea in the case. Most defendants who attend a formal Arraignment plead "not guilty." (Those who plead guilty usually entered a plea before the formal Arraignment hearing.) If a defendant bonds out of Detention Center, the Arraignment Hearing becomes the next formal proceeding in the justice process. The Judge may assign publicly provided defense counsel at Arraignment. The Court provides the District Attorney with blocks of court time for Arraignment proceedings. The District Attorney schedules specific individuals into those blocks of time. The District Attorney creates Arraignment Hearing notices through Gwinnett County Information Technology (County IT) in a batch printing process.

A defendant may choose to plead guilty to pending charges any time after an accusation or a Grand Jury indictment is filed. To promote speedy disposition of a

case, the District Attorney may modify the original charges. The Judge approves the plea agreement, and the defendant pleads guilty in open court. The defendant, Prosecuting Attorney, and Judge sign the charging document and the plea.

4.4.8. Fast Track Pleas

If a defendant chooses to enter a plea of guilty without delay from Grand Jury and Arraignment, the case is placed on a fast track plea calendar presided over by a designated senior Judge or Magistrate (DM).

4.5. Trial

4.5.1. Trial Calendar

If a case proceeds after Arraignment, the District Attorney schedules the case on the Trial Calendar anywhere from 1 month to 1 year in the future, depending on the circumstances of the case. Several rules govern the sequence of the Trial Calendar, including:

- The case must be scheduled by indictment number.
- The Defense can file a Speedy Trial motion to expedite a trial.
- The Defense may file a continuance.
- Special consideration is given if a defendant is in custody.
- Special consideration is given if there is a problem locating witnesses.

4.5.2. Disposition

The District Attorney must document the disposition and sentence on the original accusation or indictment after the case is adjudicated. The disposition and sentence can be created directly in the courtroom or sent to the Judge after the trial. The Judge signs the original copy of the original accusation or indictment that will be filed with the Clerk of Court. Copies of the sentence are sent to the Detention Center, the District Attorney, and Probation.

4.5.3. Defense Counsel

Gwinnett County does not have a dedicated public defender's office with full-time staff. The County provides indigent defense counsel through a pool of private attorneys who register with the County to represent indigent defendants. Defense Counsel can be appointed at 1st Appearance if a defendant is in custody. If a defendant bonded out before 1st Appearance, the defendant can be assigned Defense Counsel at

Arraignment. Prosecutors then send a motion for discovery to Defense Counsel and file it in the Clerk's Office.

4.5.4. Discovery

The Defense files a motion of discovery with the Court and sends a copy of the motion to the District Attorney. The District Attorney prepares and sends a case package for the Defense that includes all of the case documentation and a Certificate of Discovery that itemizes all of the discoverable case documents. The District Attorney is not obligated to file Discovery with the Clerk of Court. However, the District Attorney may choose to file a Certificate of Service with the Clerk of Court; the package includes all of the discoverable case documents. The Certificate of Service ensures that the discoverable case documents become part of the official Court record.

4.5.5. Offender Based Tracking System (OBTS)

The County must report the disposition of every arrest through the Offender Based Tracking System (OBTS) from the Georgia Bureau of Investigation (GBI). The District Attorney must submit the OBTS form when charges are dismissed or a Nolle Prosequi is filed. The Clerk of Court must submit the OBTS form when a defendant is convicted and sentenced. The OBTS form starts at the Detention Center at the time of arrest, when initial defendant information is captured. As the case is processed, the District Attorney must add the charges and the disposition to the case record. The District Attorney mails completed OBTS forms to GBI each week.

4.5.6. Court Calendar

The District Attorney and the Court can schedule Court proceedings. Either agency that schedules the proceeding must send notice to the appropriate case parties. There is no single unified electronic repository for required case appointments. The following stakeholders need a concise view of the overall case calendar, including all hearings and trial dates:

- Defense Counsel
- Defendant
- Bondsman
- Victim
- Judges
- Sheriff
- Witness
- Probation
- Local law enforcement
- Interpreters through the AOC.

The CJIS initiative should determine an electronic method to provide a consolidated online access of the entire case calendar. Also, certain users may want to subscribe to real-time notifications of changes to the calendar.

4.5.7. Victim Services

The Sheriff's Department must inform victims of a defendant's release from Detention Center. All other victim notifications of felony status offenses are the responsibility of the District Attorney's Office. These notifications include those for all hearings, notices, case statuses, trials, pleas, and dispositions including available inmate information that the Georgia Department of Corrections and the Georgia Department of Pardons and Parole may supply. The District Attorney's Office also must notify victims of compensation and victim impact information. The District Attorney's Office works together with the Child Protocol Committee, the Child Fatality Review Committee, and the Domestic Violence Task Force to provide them with information on certain cases. The Victim Witness Unit is the primary division of the District Attorney's Office that facilitates these victim contacts.

4.6. Case Number Formats

The primary identification numbers the District Attorney uses are the Warrant Number, the District Attorney Number, and the Superior Court Criminal Case Number. Table 4-1 provides the numbering scheme for these data elements. For each unique individual, there is always a one-to-one relationship between charges and warrants. The District Attorney number is used to track criminal matters that were not formally charged through an accusation or an indictment. Multiple defendants, multiple charges, and multiple warrants may be associated with a single District Attorney Number and case file. Once the District Attorney formally charges the individuals through an accusation or an indictment, the Clerk of Court generates an official Court Case Number. Similar to the District Attorney file, a single court case may contain multiple defendants and multiple charges.

Document	Number Format
Warrant Number	[2-digit YR] – [W] – [6-digit sequence] – [Judge # (1 – 9)] Example: 06 – W – 123456 – 9
District Attorney Number (Internal DA Number)	[2-digit YR] – [4-digit sequence] – [Defendant Alpha Letter (A – Z)] – [Judge # (1 – 9)] An alpha letter is not used if there is only one defendant. Example Single Defendant: 06 – 1234 – 9 Example Multiple Defendants: 06 – 1234 – C – 9
Superior Court Civil Case Number	[2-digit YR] – [A] – [6-digit sequence] – [Judge # (1 – 9)] Example: 06 – A – 123456 – 9

Document	Number Format
Superior Court Criminal Case Number (Felony)	[2-digit YR] – [B] – [6-digit sequence] – [Judge # (1 – 9)] Example: 06 – B – 123456 – 9
State Court Civil Case	[2-digit YR] – [C] – [6-digit sequence] – [Judge # (1 – 5)] Example: 06 – C – 123456 – 9
State Court Criminal Case (Misdemeanor)	[2-digit YR] – [D] – [6-digit sequence] – [Judge # (1 – 5)] Example: 06 – D – 123456 – 9

Table 4-1 Document Numbering Scheme

4.7. District Attorney Caseload Statistics

Table 4-2 shows the statistics for District Attorney caseload in 2005.

District Attorney Caseload Statistics	
Warrants reviewed (felony and misdemeanor)	14,114
Cases filed	6,635
Counts filed	10,052
Individuals prosecuted	4,872
Indictments filed	4,872
Annual percent increase in caseloads	10%
Defendants disposed	5,420

Table 4-2 District Attorney Caseload Statistics

4.8. Technology Assessment: New District Attorney System

The District Attorney and the Solicitor has selected a new prosecution CMS. The District Attorney's goal is to have the new prosecution system operational by the end of 2006. The new system's specifications include compatibility with the Global Justice XML Data Model (GJXDM).

4.9. Recommendations

4.9.1. Capture Defendant Information Electronically

The GCPD is upgrading its primary Record Management System (RMS) and wireless network. The GCPD intends to have its new systems online in the next 12 to 18 months. The new systems will be able to capture information on a defendant and the Arrest Report or Citation electronically in the field. The District Attorney would like to receive an electronic Arrest Report or Citation directly from law enforcement when possible. Once the Arrest Report or Citation is captured electronically, the information can be pushed or pulled to the downstream agencies without the need to re-key it.

There will always be situations that require paper forms. However, the Gwinnett County CJIS COI should make the distribution of electronic Arrest Reports a high priority.

4.9.2. Use Biometrics Throughout the Justice Process

Gwinnett County captures two primary biometric identifiers: fingerprints and mugshots. Typically, AFIS uses the fingerprints to conduct the primary identification of a defendant through integration with GCIC and NCIC. Mugshots are used as a secondary identification method and are printed onto some documents, including the 1st Appearance Order. There is an opportunity to leverage these existing biometric identifiers by incorporating inexpensive single-digit fingerprint readers and facial recognition software. To enable reliable one-to-one positive identification, both technologies require a relatively inexpensive hardware and software package.

4.9.3. Electronic Booking Information

The District Attorney would like to access booking data electronically from the Detention Center in structured reports formatted for the District Attorney. To eliminate re-keying of information by the District Attorney's Office, the District Attorney would like to import booking data automatically into its prosecution CMS.

4.9.4. Electronic Filing

To enable court documents to be filed directly to and from the Clerk of Court, the District Attorney would like to develop an electronic filing system. This eFiling System would enable both data elements and document images to be sent electronically to the Clerk of Court, which will use the data elements to populate the Court CMS with case data and the document image. To save the District Attorney and the Clerk of Court time, the eFiling System will eliminate the need to transfer paper documents. The system can be set up so that the Clerk of Court can review the electronic document submission before it is entered into the Court record. Also, the Court documents can be disseminated to the Defense Counsel or other agencies electronically.

4.9.5. Synchronize Case Numbers With the Clerk of Court

When co-defendants or vertical prosecution situations are determined, the District Attorney would like to synchronize case numbers electronically with the Clerk of Court.

4.9.6. Electronic Chain of Custody Tracking

The District Attorney would like to access and receive electronic copies of the chain of custody tracking sheets from the GCPD. The District Attorney often needs to provide a copy of the custody tracking sheets for court cases involving drugs or other crucial evidence.

4.9.7. Electronic Unusual Occurrence Report

The District Attorney would like to receive the Detention Center's Unusual Occurrence Report from the Detention System for activity that occurred while a defendant was in custody. These types of in-custody events may be important for a defendant's pending case.

4.9.8. Electronic Search Warrant Applications

The District Attorney would like to submit an electronic Search Warrant Application to the Magistrate Judge directly from its prosecution CMS.

4.9.9. Automate OBTS Reporting

To automate the OBTS, the District Attorney would like to track the required data elements electronically across agencies until a case is dismissed or adjudicated. Ideally, the system would be able to send an electronic OBTS submission to the GBI and the GCIC.

4.9.10. Flag Cases That Require an Interpreter

The CJIS should flag cases that require an interpreter so that downstream agencies can be notified ahead of time.

4.9.11. Provide a Consolidated Online Case Calendar

Several agencies provide court case calendar data across Gwinnett County. The CJIS should consolidate all of this case calendar data into a unified report that can be accessed online.

4.9.12. Automatic Subpoena for Victims of Domestic Violence

Cases involving domestic violence need to automatically flag a subpoena for the victim to appear at the Preliminary Hearing. This requirement can be implemented through workflow built into system requirements in the new prosecution CMS.

4.10. Technology Questionnaire

4.10.1. CJIS Policy Survey

#	Question:	
1	<p><i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i></p> <p>Frank Cepela frank.cepela@gwinnettcountry.com</p>	
2	<p><i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> The District Attorney's Office (DA), together with the Solicitor General's office, procured a new prosecutor case management system to replace Prosecutor Dialog with implementation to begin in July 2006. The system is CRIMES, produced by Ciber, Inc.</p>	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i></p>	1
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i> Investigators and attorneys use a few Access applications to log and track their individual cases. There is also a telephone subpoena log written in Access.</p>	Yes
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i> At this time, monthly statistical reports are generated from data stored in Prosecutor Dialog.</p>	NA
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i></p> <ul style="list-style-type: none"> • Georgia Department of Labor • Georgia Secretary of State 	Yes

#	Question:
	<ul style="list-style-type: none"> • Gwinnett County Real Estate Records • Gwinnett County Business License • Gwinnett County Public Utilities • Law Enforcement Agencies • City Utilities Systems • Municipal Courts • Recorder's Court • Georgia GBI Crime Lab • Lexus / Nexus • GCIC / NCIC • Pictometry • Juvenile Court Activity Tracking System • Inmate Tracking System • Georgia Department of Corrections • Business Permits • Georgia Bar Associations • Prosecuting Attorney Association • Public Defenders Association
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i> Yes</p> <p><i>If yes, please list and explain:</i> Victim / Witness applied for and received grant money.</p>
8	<p><i>Does your agency have a data standards policy?</i> Yes</p> <p><i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain:</i> The DA will enforce data standards in its new case management system.</p>
9	<p><i>Does your agency have a documented disaster recovery plan?</i> No</p> <p><i>If yes, please explain:</i> County IT will manage disaster recovery.</p>

#	Question:	
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain:</i> County IT will manage the hardware.</p>	Yes
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i> On implementation of CRIMES, agency business needs will be met.</p>	No
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i> The law prohibits sharing GCIC and juvenile data.</p>	Yes
13	<p><i>Does the Application provide internet access to public?</i></p> <p>CRIMES is a Web-based application, and Internet access will be available on a limited basis.</p>	Yes

4.10.2. CJIS Technical Architecture

#	Question:	
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i></p> <p>County IT</p>	
2	<p><i>Is the application hosted offsite?</i></p>	No
3	<p><i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i></p> <p>County IT</p>	
4	<p><i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i></p> <p>The DA's IT staff provides help desk support in house.</p>	

#	Question:	
5	<p><i>Does the application receive a feed from GIS data/info layers?</i></p> <p>We are looking at the possibility of integrating Pictometry with CRIMES.</p>	Yes
6	<p><i>Can the application be accessed remotely via wireless connection?</i></p> <p><i>Comment:</i> Wireless access is limited to specific areas of GJAC and by cellular air card.</p>	Yes
7	<p><i>Do you have any future plans to implement new wireless capabilities?</i></p> <p><i>If yes, please explain:</i></p> <p><i>If yes, please explain:</i> If and when Gwinnett County completes its countywide wireless network, DA staff will have access to CRIMES when conducting interviews and during field investigations.</p>	Yes
8	<p><i>Does Application support GJXDM or XML for external integration?</i></p> <p><i>If yes, please explain:</i> CRIMES supports the GJXDM and XML.</p>	Yes
9	<p><i>Does the application have a production environment and a separate test environment?</i></p> <p><i>If no, please explain:</i></p>	Yes
10	<p><i>Does the Application have documented database schema (Entity Relationship Diagram)</i></p> <p><i>If yes, please explain:</i> CRIMES has a database schema available. Also, we have an ER diagram of all key and important tables of the application. We can provide them to you, if needed. We may require a few schema changes when we finish our gap analysis.</p>	YES
11	<p><i>What is the age of the application in years?</i></p> <p><i>Comment:</i> CRIMES, the case management system replacing Prosecutor Dialog, is being implemented. Implementation is scheduled to be completed by the end of 2006.</p>	<1

#	Question:	
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain:</i> CRIMES is covered by a software maintenance agreement that is renewed annually.</p>	YES
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i> CRIMES uses about three APIs. These are Web interfaces that CRIMES uses as an external source of data.</p>	YES
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i> As the implementation of CRIMES progresses, discussions on integration with the County's CJIS project will be held.</p>	NA
15	<p><i>Application Software Vendor:</i> Ciber, Inc.</p> <p><i>Software Name:</i> CRIMES</p> <p><i>Software Version Number:</i> 6.1 (.net version)</p> <p><i>Application Hardware Manufacturer:</i> Hewlett-Packard</p> <p><i>Hardware model number:</i> HP ProLiant DL380 and ML570</p> <p><i>Hardware Operating System & Version:</i> Windows Server 2003</p> <p><i>Relational Database Software:</i> Microsoft SQL Server 2000</p> <p><i>Database Software Version #:</i> Microsoft SQL Server 2000</p> <p><i>Total Application Database Size in MB:</i> Will not know until conversion from Prosecutor Dialog is complete.</p> <p><i>Growth rate:</i> Projected at 12 percent per year.</p>	

This page left blank intentionally.

5. Fire and Arson

5.1. Overview

The Gwinnett County Fire Department has 25 fire stations and 850 firefighters. The Fire Department will add two new stations soon. As well as the firefighters, the Fire Department includes Emergency Medical Technician (EMT) units and an Arson Unit. Criminal Arson was the main focus of the analysis for the CJIS Strategic Plan. The Arson Investigative Unit (Arson) consists of five investigators. Although Arson is a unit of the Fire Department, all investigators are certified peace officers, and Arson works closely with Gwinnett County law enforcement agencies. The Fire Department answers all Emergency Medical Service (EMS) calls in Gwinnett County. The Fire Department receives 60,000 calls a year, of which 80 percent are medically related and 20 percent fire related.

5.2. Arson General Procedures

An investigator from the Arson Unit is not dispatched with each fire call; firefighters at the scene usually notify an investigator of a suspicious fire. An Arson investigator typically arrives at the scene while the fire is still in progress. A police incident report can also initiate an Arson investigation. Paper police incident reports are sent to Arson approximately 5 days after an incident. Arson responds to approximately 300 calls a year, 50 percent of them become active investigations. Approximately 70 percent of active investigations become criminal investigations, leading to about 30 arrests a year.

Any time there injuries are associated with a fire, an Arson investigation is triggered automatically. The investigative information is obtained from Patient Care Reports (PCRs) generated by EMTs. EMTs can now submit ePCRs – electronic patient care reports. The ePCRs are electronic reports that are completed en route and transmitted to the server over a wireless connection automatically once the unit returns to the station. PCRs and ePCRS fall under HIPAA policies and restrictions. Once submitted, they cannot be viewed by anyone, even the original reporter. If the District Attorney’s Office needs a report, it must file a subpoena. However, Arson and the GCPD’s Accident Investigation Unit (AIU) are allowed to view these reports without a subpoena.

Arson-related forms, including Arson Investigation Forms, are Microsoft Word documents. Arson sends copies of the Arson Investigation Form are sent to the GCPD for entry into the Tiburon Records Management System (RMS). All Arson investigators are certified to query the GCIC for criminal histories. Criminal History reports are included in the Arson investigation file. To maintain the chain of evidence, the GCPD retains any evidence. Once Arson completes its criminal investigation, it makes three copies of the case folder and sends them to the following:

- Arson Investigator Case File
- GCPD
- Fire Department Log Book File.

5.3. Arson Arrest and Prosecution

The Arson investigators can submit a standard Arrest Warrant Application for review by the Magistrate Judge. Active warrants are sent to the Sheriff for entry into the warrant system and the GCIC. An Arson investigator may also complete a Victim / Witness form. If the District Attorney or the Solicitor prosecutes the case, the Prosecuting Attorney may serve the Arson investigator with a subpoena to notify him or her of the court date. The attorney may also subpoena training records to establish the investigator as an expert witness or in cases of negligence. The Prosecuting Attorney will also often ask for fire reports from the National Fire Reporting System (NFIRS).

5.4. Dispatch and Emergency Response

The Tiburon CAD system handles 911 and radio calls for all emergency responders in Gwinnett County. If 911 operators do not enter the full address into the CAD system, problems with dispatching can arise. Some 911 operators use nonstandard abbreviations, including several common abbreviations for the same address type (for example, Point, Pointe, and PT or Parkway, PKY, and PK). To locate the scene of the emergency, the CAD system feeds addresses into the Group1 (www.group1inc.com) Fire Department System. For addresses submitted through the 911 system, the Fire Department experiences an automated hit rate of 83 percent. Manual intervention to edit an address can increase the hit rate to more than 90 percent.

The Fire Department uses mobile laptop PCs that have Remote Access. The laptops also include several other applications, including GIS and Pictometry (www.pictometry.com). Pictometry provides a multidimensional view of an address or a map area. Pictometry includes up to three altitudes, all four sides of a building, and photos with embedded GIS layers (elevation, hydrants, and so forth).

5.5. Geographical Information System (GIS) Layers

To find locations and evaluate the emergency scene for hydrant locations and utilities, the Fire Department uses several Gwinnett County GIS layers. Each layer provides different information and contains various limitations due to the structure of the underlying data. Moreover, there is a delay from when new information is obtained and when it is updated in the GIS layers. This situation can be prevalent at new housing developments that are under construction. For preliminary and private streets, GIS also provides street names and address block ranges.

5.5.1. Parcel Layer

The GIS Parcel layer (Cadastral data) contains the addresses to which the County sends tax bills. The GIS creates and maintains the Parcel, and the County Tax Assessor maintains parcel attributes such as ownership and assessment. Some addresses contain typographical errors and nonstandard abbreviations. Some locations can include two addresses – a physical address and a mailing address. Certain locations can have different street names or abbreviations based on the logical tax unit.

5.5.2. Street Center Line Layer

The GIS Street Center Line layer contains a matrix of street center lines organized by address numbers between street intersections that include address ranges and other relevant attribute information; this enterprise data set includes data tailored for use by multiple agencies. The Post Office created virtual “buffer zones” around the end of some street addresses that are now populated owing to growth in the County. There are issues with identifying some locations that fall into these zones.

5.5.3. Department for Public Utility (DPU) Layer

The GIS DPU layer contains data on the locations of fire hydrants, water meters, water lines, sewer lines, storm water lines, and associated network information. The DPU layer also contains data from the County, but many of the incorporated cities operate their own water departments and are not included in the DPU layer. The County GIS department hired summer interns to document the fire hydrant and water meter locations in these areas – this process continues.

5.5.4. Lakes and Streams Layer

The GIS Lakes and Streams layer contains locations of lakes and streams. The updated lakes and streams data from the annual base map update program supplies the information in this layer. GIS does not use U.S. Geological Survey (USGS)-maintained data because it is not current, or it does not comply with its standards for accuracy. Much of the information the USGS provides dates back to a survey from 1967; the USGS is updating this information with information from 2000.

5.5.5. Other GIS Layers Used by the Fire Department

- Gas Valve: Controlled by the gas company; the Fire Department has limited access.
- Railroad: Much of this information contains crypt codes.
- Major Roads
- Sewer and Manhole Cover

- Business License
- Alcohol License
- Public Utility Billing.

5.5.6. Arson Case Statistics Reporting

Each month, Arson investigators must complete a report for the GCPD that is transmitted to the FBI. This statistical report includes the disposition of any Arson prosecution. To review the dispositions and statuses of cases, Arson needs to have limited access to the prosecution system.

5.6. Fire and Arson Statistics

Table 5-1 shows the statistics for Fire and Arson in 2005.

Fire and Arson Statistical Information	
Total Fire calls per year	50,000 to 60,000
Percentage of Fire calls that are medical	80%
Number of Arson calls per year	300
Percentage of Arson calls that become Arson investigations	50%
Percentage of Investigations that become criminal cases	70%
Number of arrests per year	Approximately 30

Table 5-1 Fire and Arson Statistical Information

5.7. Technology Assessment

The Fire Department (including Arson Investigators) uses the GCPD Tiburon RMS. The Fire Department uses the Fire Module of the GCPD Tiburon RMS. The Tiburon RMS does not have a dedicated Arson module. Arson investigators enter standard police incident report data into the RMS. All other Arson forms and reports are created as Microsoft Word documents. Fire and Arson reports generated from the Tiburon RMS contain cryptic codes that firefighters use to document incidents. The Fire Department is looking at implementing a new system designed specifically for the Fire Department. The Fire Department is evaluating the following systems:

- **Bomb Arson Tracking System (BATS)** – This is an Alcohol, Tobacco, Firearms and Explosives (ATF) system that shares information among different agencies. BATS is a data repository and not designed to be a CMS.
- **Firehouse** – This is a CMS designed specifically for fire departments. The system provides a dedicated Arson module. The Firehouse System may require integration with Tiburon RMS.

5.8. Recommendations

5.8.1. Automate OBTS Reporting

To automate the OBTS, the District Attorney would like the required data elements electronically across agencies until the case is dismissed or adjudicated. Ideally, the system would be able to send an electronic OBTS submission to the GBI and the GCIC.

5.8.2. Arson System

The Arson unit is unique because it is part of the Fire Department; however, its staff functions as police investigators and uses many of the same tools. Although the Arson unit has access to the GCPD's system, it does not provide Arson investigators with the tools they need, and they do not have an electronic system of their own.

The Fire Department's new system should include a module for Arson investigations, or the Fire Department should invest in a separate Arson system that could be integrated with the Fire system. The Arson system should allow arson investigators access to the same systems and information as other law enforcement investigators (fingerprints, mugshots, GCIC, and so forth), and should allow Arson investigators to send and receive information on suspects and witnesses electronically.

5.8.3. Limited Access to the Prosecution System

To look up the statuses of cases to prepare Arson statistics for the GBI and the FBI, Arson would like to have limited access to the Prosecution system. Arson investigators do not have direct access to the District Attorney's CMS. Therefore, they must call the District Attorney to request information on the dispositions and statuses of cases. Arson would like a custom report that could be filtered on Arson-related cases.

This page left blank intentionally.

6. Geographical Information System

6.1. Overview

Geographical Information Systems (GIS) manages a central database of information used for mapping and integration with other systems. The information stored in the database comes from multiple sources, including deeds, plats, and other legal and engineering data from the Georgia Department of Transportation (DOT) for highway mapping and from the Tax Assessor for property and address mapping. GIS receives new and revised data from various sources, including the Clerk of Court, Planning, Georgia DOT, public utilities, and external data providers. Information is sent to GIS on paper copies of Warranty Deeds and Land Plots that must be keyed manually into the GIS. The GIS information is used to create mapping layers in an enterprise GIS program that is used by law enforcement, fire, and other emergency personnel as well as non-public safety entities such as DOT, the Georgia Department of Water Resources (DWR), and Planning & Development. The public can access the GIS database can over the Internet and the intranet at no charge, or it can purchase copies of various layers of the database. GIS provides six data sets on CD; the most popular is the Cadastral data. GIS layers used by the Gwinnett County justice system include:

- Parcel (Cadastral)
- Street Center Line
- Department for Public Utility (DPU) Layer
- Lakes and Streams
- Railroad
- Major Roads
- Sewer and Manhole Cover
- Business License
- Alcohol License
- Public Utility Billing.

6.2. Criminal Justice Applications

GIS feeds data into several other applications, including CrimeView, FireView, and Pictometry. GIS information also is used to assist Georgia DOT with collision diagramming. Any time there is a traffic accident in the County, the GCPD report includes a separate Accident Report. This report has a place for the officer to diagram where and how the accident occurred. The GCPD sends the Accident Report to the DOT; DOT keys the information into its database and uses the accident information to

determine whether the location of the accident requires a road improvement (such as adding a traffic light or a pedestrian crossing) to improve safety. When GIS updates its database with the DOT upload, the information becomes part of the GIS database also.

Remote Access is a software application that public safety agencies use to locate addresses entered into the Computer Aided Dispatch (CAD / 911) system. GIS information in Remote Access comes from several different sources, including:

- **Street Center Line GIS Layer** – Narrows the location according to street coordinates; used if the exact physical location cannot be identified
- **Geo Form Processing** – Converts street center line to latitude / longitude and breaks the area into zones that allows 911 to transfer emergency calls to municipalities in accordance with the location
- **Arial photos** – Updated annually
- **Pictometry** – Includes information from SAP CRM, Permits, Tax (Manatron), and public utilities, which is updated annually
- **Asset Tracking**
- **Data Browser** – Provides Internet and intranet access to the GIS
- **County Owner Real Property**
- **Political Districts**
- **County Parks.**

6.3. Sex Offenders

All sex offenders must register their work and home locations with the local Sheriff's Office. Sex Offender information is available to the public on a list, but the County will be implementing a sex offender mapping application soon. This application will be available on the Internet and show where sex offenders live and work in Gwinnett County. GIS will be working with the Sheriff's Department to link the Sheriff's Sex Offender database with the GIS for mapping.

6.4. Technology Assessment

The only application or system that GIS maintains is ArcGIS from ESRI (<http://www.esri.com/>). ArcGIS is the system that GIS uses to convert the information it collects from all its various sources to maps and map layers. Although GIS maintains and updates ArcGIS, other agencies and the public can query it. ArcGIS is an enterprise suite with multiple products. GIS uses the full suite of products, including:

- ArcGIS
- ArcSDE
- ArcIMS

- Data Reviewer
- JTX
- PLTS
- ArcHydrology
- ArcSchmatics.

Although ArcGIS is the only system that GIS maintains, it uses data or information collected by other County agencies. For example, the Clerk of Court scans the land plats submitted to Planning and Development; GIS then downloads the files. Also, almost every County agency has its own database, and many maintain addresses in the County, such as those for the Tax Assessor and the various public utilities. GIS maintains an enterprise database that everyone uses, and it is populated with the data from the other agencies. Although the agencies that maintain these databases consider them accurate, the information does not always match; when this information is sent to GIS, it can cause discrepancies in the data. No other data set in Gwinnett County is subject to the same quality control as GIS data.

6.5. Recommendations

The GIS is integrated with many other systems, including:

- Tax
- Permits
- SAP
- FileNet.

These systems all feed the GIS enterprise database. However, GIS receives little, if any, information from the various agencies in the County's criminal justice system. The relationship between the GIS and the CJIS is mainly that of enabling the CJIS to query the GIS database. Therefore, the CJIS portal must include the ability to query the GIS database, but there is limited need for CJIS agencies to send data to GIS. Any agency that sends data to GIS notifies GIS automatically when data is added, updated, or deleted. However, GIS must also have confidence that the information added to its system is accurate and in the correct format. GIS may require an approval mechanism to accept the new data and edit it if necessary before it becomes a part of the GIS.

6.6. Technology Questionnaire

6.6.1. CJIS Policy Survey

#	Question:	
1	<p><i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i></p> <p>Barry Puckett barry.pucket@gwinnettcountry.com 770-822-8031 (office)</p>	
2	<p><i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> GIS has an internal strategic plan that includes new applications.</p>	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i> GIS has 10 staff members; all are IT professionals.</p>	10
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i> GIS uses an out-of-the-box application that they customize themselves.</p>	No
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i> GIS receives information on property addresses from the Tax Assessor.</p>	Yes
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i> All other County agencies and some State agencies and municipal agencies query against the GIS application or receive updates from the GIS system.</p>	Yes

#	Question:	
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i></p>	No
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain: GIS uses mapping standards and GeoMapping (data model more than standards).</i></p>	Yes
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i></p>	No
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain: GIS has a documented hardware replacement plan and is on software maintenance that includes automatic upgrades.</i></p>	Yes
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i></p>	No
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i></p>	No
13	<p><i>Does the Application provide internet access to public?</i></p>	Yes

6.6.2. CJIS Technical Architecture

#	Question:
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i></p> <p>County IT</p>

#	Question:	
2	<i>Is the application hosted offsite?</i>	No
3	<i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i> County IT	
4	<i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i> County IT	
5	<i>Does the application receive a feed from GIS data/info layers?</i>	Yes
6	<i>Can the application be accessed remotely via wireless connection?</i> <i>Comment: The GIS application can be accessed remotely over a wireless connection, but it is not practical because of the size of the data stream.</i>	Yes
7	<i>Do you have any future plans to implement new wireless capabilities?</i> <i>If yes, please explain:</i> <i>If yes, please explain:</i>	No
8	<i>Does Application support GJXDM or XML for external integration?</i> <i>If yes, please explain:</i>	Yes
9	<i>Does the application have production environment and a separate test environment?</i>	Yes
10	<i>Does the Application have documented database schema (Entity Relationship Diagram)</i> <i>If yes, please explain:</i>	Yes
11	<i>What is the age of the application in years?</i> <i>Comment: The core system is 17 years old. The part of the system that provides public access is only 1 year old.</i>	17

#	Question:	
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain:</i> GIS has a software maintenance agreement with ESRI.</p>	Yes
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i> The application includes APIs, but GIS has no need to use them.</p>	Yes
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i></p>	No
15	<p><i>Application Software Vendor:</i> ESRI</p> <p><i>Software Name:</i> ArcGIS</p> <p><i>Software Version Number:</i> 9.1</p> <p><i>Application Hardware Manufacturer:</i> Hewlett-Packard</p> <p><i>Hardware model number:</i> DL380</p> <p><i>Hardware Operating System & Version:</i> Windows 2000 and Windows 2003</p> <p><i>Relational Database Software:</i> Oracle</p> <p><i>Database Software Version #:</i> 9i</p> <p><i>Total Application Database Size in MB:</i> 4.7 TB</p> <p><i>Growth rate:</i></p>	

This page left blank intentionally.

7. Juvenile Court

7.1. Overview

The Juvenile Court exercises jurisdiction in cases involving delinquent, unruly, and deprived children under 17. Juvenile Court has concurrent jurisdiction with the Superior Court in capital offenses, custody, child support cases, and termination of parental rights. The District Attorney prosecutes Juvenile Court cases. The Juvenile Court has three Judges who represent their respective Court divisions. The Juvenile Court uses the Juvenile Court Activity Tracking System (JCATS) from Canyon Solutions.

7.2. Juvenile Court Business Process

7.2.1. Juvenile Warrants

A Juvenile Court Judge issues Juvenile Warrants. To initiate a warrant, the Judge completes a Juvenile Complaint Form and a Warrant Application. The original warrant is generated directly from JCATS and signed by the Judge. The signed warrants are sent to the Sheriff for entry into the local Warrant file and the GCIC (if appropriate). The Juvenile Court and the Sheriff manage Juvenile Warrants on a spreadsheet. The Juvenile Court and the Sheriff take great care to ensure they manage active Juvenile Warrants properly. The warrants process could be automated through an electronic interface between the Sheriff and JCATS.

Juvenile Warrants are initiated as follows:

- 90 percent for runaway cases
- 8 percent for violation of juvenile probation
- 2 percent by law enforcement for criminal matters.

7.2.2. Juvenile Arrests

Law enforcement may arrest a juvenile and detain him or her at a juvenile detention facility. Juvenile detention cases are filed “red” and prioritized for immediate attention. The District Attorney is provided with the case folder as soon as it is available. The case moves to a Detention Hearing, in which the juvenile can plead to the charges. The District Attorney has 72 hours to file formal charges, and a trial must be scheduled within 10 days unless the Defense files a continuance.

7.2.3. Case Initiation

Juvenile Court cases are initiated through a Juvenile Complaint Form that can be submitted from several agencies or private citizens who are typically related to the juvenile, including:

1. Law enforcement agencies: the GCPD, municipal police departments, and the Gwinnett County School Police Department
2. State of Georgia: Department of Family and Children Services (DFACS)
3. School social workers and counselors
4. Private citizens (parents and relatives).

The Juvenile Court processes approximately 11,000 Juvenile Complaint Forms a year.

7.2.4. Intake Division

The Intake Division receives, screens, and processes all incoming juvenile cases submitted on a Juvenile Complaint Form. Several case documents can be sent to the Juvenile Court to initiate a criminal matter, including:

- Juvenile Complaint Form
- Law Enforcement Incident / Arrest Report
- Law Enforcement Investigation Report.

The initial case information is keyed into JCATS. The District Attorney has access to JCATS and uses the system to track and manage cases in Juvenile Court. The Intake Unit makes several copies of the case file and retains the originals. The Intake Unit includes many former law enforcement officers who review case information. Many informal methods for handling a juvenile case do not require the matter to be processed through the Court. Informal methods are typically used for first-time offenders or for minor offenses that can be handled through the juvenile's family.

7.2.5. Juvenile Case Processing

Juvenile cases that are petitioned to the Court are sent to Arraignment. The District Attorney typically receives the folder several days before the Arraignment. Arraignment is the first formal proceeding for the District Attorney in a juvenile case. Typically, 95 percent of juvenile cases lead to a plea agreement, and the remaining 5 percent go to trial.

7.2.6. Juvenile Court Probation

The Juvenile Court Probation Unit has 15 Probation Officers and typically manages approximately 500 juveniles at any time. Probation Officers use JCATS to manage and record information on probation cases.

7.2.7. State of Georgia Juvenile Facility

Juvenile Court sends a Screening Package for juveniles sentenced to a State of Georgia juvenile facility. This package contains the following documents:

- Juvenile Complaint Form
- Family History Information
- Case Notes and History
- Probation Information and Case Notes
- Mental Health Information.

7.3. Case Number Formats

The Juvenile Court Referral Number is the primary case number that the Juvenile Court uses at the referral level. The primary number used at the child level is the Juvenile Court File Number. This number is used to maintain the child’s history, probation, restitution, fines, and fees and to group families or siblings together. Table 7-1 provides the numbering scheme for these data elements.

Document	Number Format
Juvenile Court Referral Number	[2-digit YR] – [5-digit sequence] – [Judge # (1 – 3)] Example: 06-01234-1
Juvenile Court File Number	[7-digit sequence] Example: 0123456

Table 7-1 Document Numbering Scheme

7.4. Juvenile Court Case Load Statistics

Juvenile Court Case Load Statistics	
Juvenile Complaint Form Processed	8,219
Cases Filed	11,372
Cases Disposed	10,086
Hearings Scheduled	11,366
Annual Percent Increase in Caseload	-.043%

Table 7-2 Juvenile Court Case Load Statistics

7.5. Technology Assessment

The Juvenile Court uses JCATS from Canyon Solutions. JCATS is a Web-based application that can be accessed remotely through strong encryption over the Internet. JCATS does not provide any type of public access over the Internet. The Juvenile Court is implementing an imaging system that will be linked directly to JCATS.

7.6. Recommendations

7.6.1. Receive Juvenile Complaint Form Electronically

The Juvenile Court would like to receive the Juvenile Complaint Form electronically from initiating agencies, including:

- Law enforcement agencies: the GCPD, municipal police departments, and the Gwinnett County School Police Department
- State of Georgia: Department of Family and Children Services (DFACS)
- School social workers and counselors
- Private citizens (parents and relatives).

7.6.2. Juvenile Warrant Synchronization

The Juvenile Court would like to synchronize JCATS electronically with the Sheriff's juvenile warrant tracking system.

7.7. Technology Questionnaire

7.7.1. CJIS Policy Survey

#	Question:
1	<p><i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i></p> <p>Jesse Lawler jesse.lawler@gwinnettcounty.com 770-619-6351</p> <p>Rich Rosser richard.rosser@gwinnettcounty.com 770-822-7368</p>

#	Question:	
2	<i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> Juvenile Court is looking to execute an addendum to the original contract that will add imaging capability.	
3	<i>How many dedicated IT personnel work in your agency?</i> <i>Comment:</i>	0
4	<i>Does your agency develop applications internally?</i> <i>If yes, what are development tools, languages and methodology:</i>	NA
5	<i>Does your agency have electronic reporting needs that require data from other agencies?</i> <i>Please itemize any inter-agency reporting requirements:</i>	NA
6	<i>Does your agency have electronic query needs that require data from other agencies?</i> <i>Please itemize any inter-agency query requirements:</i>	NA
7	<i>Is your agency currently seeking grant funding for any IT projects?</i> <i>If yes, please list and explain:</i>	No
8	<i>Does your agency have a data standards policy?</i> <i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain:</i> Juvenile Court would be willing to follow documented County standards.	No
9	<i>Does your agency have a documented disaster recovery plan?</i> <i>If yes, please explain:</i> County IT will manage disaster recovery.	No
10	<i>Does your agency have a documented hardware and software lifecycle plan?</i> <i>If yes, please explain:</i> County IT will manage the hardware.	Yes

#	Question:	
11	Are there current business needs that currently do NOT have a software application? If yes, please explain:	No
12	Does the application have statutory and legal constraints around sharing of data? If yes, please explain: The law prohibits sharing juvenile data.	Yes
13	Does the Application provide internet access to public?	No

7.7.2. CJIS Technical Architecture

#	Question:	
1	Where does the hardware for your application reside? (Example: County IT / Agency / Contractor): County IT	
2	Is the application hosted offsite?	No
3	Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor): County IT	
4	Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor): Canyon Solutions	
5	Does the application receive a feed from GIS data/info layers?	No
6	Can the application be accessed remotely via wireless connection? Comment:	Yes

#	Question:	
7	<p><i>Do you have any future plans to implement new wireless capabilities?</i></p> <p><i>If yes, please explain:</i> Juvenile Court would like wireless connectivity to its application over laptops for Probation Officers and Intake in the Court Building. Juvenile Court has nine laptops.</p>	
8	<p><i>Does Application support GJXDM or XML for external integration?</i></p> <p><i>If yes, please explain:</i> Canyon Solutions product JCATS Public Defender is currently pushing and pulling data using GJXDM in the Cordele Circuit – Data Sharing Project. The same is possible using the Juvenile Application.</p>	Yes
9	<p><i>Does the application have production environment and a separate test environment?</i></p> <p><i>If no, please explain:</i> Vendor only</p>	No
10	<p><i>Does the Application have documented database schema (Entity Relationship Diagram)</i></p> <p><i>If yes, please explain:</i> See Vendor.</p>	NA
11	<p><i>What is the age of the application in years?</i></p> <p><i>Comment:</i></p>	1
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain:</i> Canyon Solutions provides new releases under the software maintenance agreement.</p>	Yes
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i> See Vendor.</p>	Yes
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i> Using JACTS to share data with other agencies within the County.</p>	Yes

Question:

15 Application Software Vendor: Canyon Solutions

Software Name: JCATS

Software Version Number: 3.0.0.1

Application Hardware Manufacturer: Hewlett-Packard

Hardware model number: Compaq DL380 and ML530

Hardware Operating System & Version: Windows 2000

Relational Database Software: Microsoft SQL Server

Database Software Version #: No version number

Total Application Database Size in MB:

Growth rate: If the number of cases can be used for the growth rate, there is a potential for approximately 15 percent growth per year. In 2004, there were 7,200 cases. In 2004 and 2005, there were 8,300 cases per year.

8. Magistrate Court

8.1. Overview

The Magistrate Court's jurisdiction encompasses civil claims of \$15,000 or less, County ordinance violations, applications for and issuance of arrest and search warrants, preliminary hearings, dispossessory writs, and distress warrants. This Court does not hold jury trials. The Magistrate Court holds all day sessions at the Gwinnett County Justice and Administration (GJAC) building, and around-the-clock sessions at the Gwinnett County Detention Center 365 days a year. The Magistrate Court recently moved its criminal division to the Court facility connected to the Detention Center. The move to this facility should help streamline the Magistrate Court's process; this Court would like to decrease the hours required to process a typical defendant from 96 to 72.

8.1.1. Magistrate Court Staff

The Magistrate Court has the following judicial staff:

- 5 full-time Judges
- 4 permanent part-time Judges – Each works at least 30 hours a week and is eligible for County health benefits.
- 16 part-time Judges – Each works 10 to 12 hours a week.

8.1.2. Magistrate Court Schedule

The Magistrate Court uses multiple courtrooms – up to 10 for some sessions. Statutory guidelines determine the timeframe of hearings.

- Monday: 1st Appearance – landlord-tenant, civil, or on-duty
- Tuesday: 1st Appearance – on-duty or Preliminary Hearing
- Wednesday: 1st Appearance – Warrant Application, on-duty, or Preliminary Hearing
- Thursday: 1st Appearance – on-duty, civil, or Preliminary Hearing
- Friday: on-duty or preliminary hearing
- Saturday or Sunday morning: 1st Appearance – on-duty.

The Magistrate Court also uses multiple courtrooms to the State and the Superior Courts with judicial assistance:

- Superior Court – Family Violence
 - Initial protective order hearings – Monday through Friday

- Trials and motion hearings – Tuesday, Wednesday, Thursday, and Friday
- State Court – In-Custody pleas at the Detention Center
 - Monday through Friday.

8.2. Magistrate General Procedures

8.2.1. Warrants

Magistrate Court receives requests for Arrest, Search, and Fugitive Warrants. The Superior, State, and Recorder's Courts typically issue Bench Warrants for failure to appear for Court. Any number of individuals can initiate Arrest Warrants, including law enforcement officers, the prosecution, and civilians. Victims may initiate warrants for misdemeanor offenses that do not occur in the presence of a law enforcement officer. Usually, officers act as the arresting officer. The Magistrate Court sets special hearings for Warrant Applications for both officers and civilians. The Magistrate Court grants requests for arrest warrants to most arresting officers. Substantially fewer civilian warrants than officer warrants are requested; many Citizen Warrants are resolved through mediation. Warrant hearings are held once a week on Wednesday afternoons for officers who request this type of hearing and on Wednesday nights for civilian applicants.

8.2.2. Warrantless Arrests

When law enforcement officers make on-site misdemeanor or felony warrantless arrests, they request an Arrest Warrant. An Arrest Warrant also is required when a law enforcement officer makes a non-traffic offense arrest for a misdemeanor or a felony offense and there is no pre-existing warrant. The Gwinnett County Sheriff (the Sheriff) requires an arrest warrant to hold a suspect for more than 8 hours; the warrants are required to provide a legal mechanism to hold the defendant in Detention Center. After delivering the suspect to the Detention Center for detention, the officer initiates the warrant process with the Magistrate. The arresting officer can request the warrant through a preprinted paper Warrant Application or through the Electronic Warrant Interchange (EWI) system.

The paper application is brought before the Judge, who hears sworn testimony. The arrest warrant is either issued or denied. If the warrant is issued, it is assigned a Clerk's office case number. Also, the warrant includes the case number of the arresting officer's agency. When an Arrest Warrant is issued, the officer takes it back to the Detention Center, and the suspect is booked on each charge listed on the warrant. If the Arrest Warrant is not granted, the suspect is released from the Detention Center. If the officer requests a warrant from the Magistrate Judge at the Detention Center, it takes about 50 minutes to complete the process. If the officer must drive to the GJAC, it takes about 1 to 2 hours to complete the process. The Court has blank copies of various warrants based on offense available at Magistrate Court and various law enforcement agency precincts. Most warrants are completed by hand, though some

agencies converted the preprinted forms to electronic forms with drop-down fields of standard language. Except for traffic or family violence offenses, officers can only make arrests and request arrest warrants for misdemeanors if a crime occurred in their presence. If a suspect is arrested for shoplifting, the officer delivers the suspect to the Detention Center. The civilian who makes the complaint (typically a store detective) must request a warrant from the Magistrate Court. The civilian follows the same process as law enforcement officers. If the civilian does not provide the Detention Center with the warrant within 8 hours, the Detention Center releases the suspect.

8.2.3. Arrest Warrants for Persons not in Custody

When law enforcement officers determine probable cause that a crime not typically handled by a traffic citation occurs, they request an Arrest Warrant. The officer completes the warrant application on a paper application or through the EWI process, similarly to a warrantless arrest. The officer or the Magistrate normally sends a warrant that is issued to the Sheriff for entry into the warrant system and the GCIC. The original paper warrant is kept on file in the Sheriff's Office. However, the investigating officer may choose to keep the original warrant if the officer believes that he or she can serve it. Once the suspect is arrested on the warrant, it is delivered to the booking section of the Detention Center.

8.2.4. Electronic Warrant Interchange (EWI®)

The Gwinnett County Magistrate uses a video warrant system designed by Palatine Systems Corporation called Electronic Warrant Interchange (EWI®) (<http://www.palasy.com/products.htm>). The EWI system integrates videoconferencing with an electronic Warrant Application form and digital signatures of both the Judge and the officer. EWI enables law enforcement officers to complete the warrant application electronically from a kiosk at the Detention Center or some police precincts. Using the EWI kiosk, an officer can make a video call to a Magistrate Judge for a warrant hearing. The on-duty Judge can remotely hear the officer's sworn testimony, view case documents the officer created and signed electronically, and issue or deny the warrant. If both the arresting officer and the Judge sign the warrant electronically, the Judge or arresting officer prints an original and several copies. The original warrant either is retained by the investigating officer or delivered to the Sheriff as described in Section 8.2.3. Original warrants are on yellow paper; copies contain a watermark indicating "Copy."

Law enforcement officers are apprehensive to use the EWI system because they fear new technology. They would like to receive additional training on the system. Moreover, the EWI system can produce data entry errors when Warrant Applications are submitted; the officer must resubmit the information to EWI. These errors also discourage use of the system. Approximately 25 percent of law enforcement officers use the EWI system regularly. The Magistrate Court does not have any EWI kiosks at the local municipal police agencies (such as those in Duluth, Norcross, and Lawrenceville).

8.2.5. Temporary Protection Orders

Unless the subject violates the terms of a Temporary Protection Order (TPO), this order is a civil case. Citizens who seek Court-ordered protection request TPOs. A petition for relief under the Family Violence Act is filed with the Clerk of Superior Court (the Clerk) with any supplemental information (divorce decrees, copies of police reports, and so forth). The petitioner appears before the Judge, who considers the petition and hears sworn testimony. The Judge may grant or deny the issuance of a TPO. If the TPO is granted, a clerk in the Judge's office schedules a hearing date when both parties appear. Also, when a Judge grants a TPO, the Sheriff enters the TPO into the warrant system and serves it. The Superior Court Clerk must transmit the TPO data to the Family Violence Registry, which the State administers. A TPO cannot be enforced until it is served on the subject. After the TPO is served, the Sheriff files the Entry of Service with the Clerk. The Clerk enters the TPO information into the Sustain CMS.

8.2.6. Interactive Voice Response (IVR) System

The Clerk maintains an Interactive Voice Response (IVR) telephone system that is used to provide information on scheduled preliminary hearings. Participants (officers, attorneys, witnesses, and defendants) can call the IVR telephone number to check the status of a hearing. The IVR system is not integrated with the CMS and must be updated manually with a recorded message read off by case number. A caller must listen to the information on all cases until the recording gets to the one he or she is inquiring about. The IVR system is normally updated around 2:00 p.m. the day before the hearing. Any case activity that occurs after this time is reflected inaccurately in the IVR system.

8.2.7. 1st Appearance Hearings

The Sheriff schedules 1st Appearance hearings. The Jail Management System, TAG, performs a daily analysis of the roster of inmates who were booked into the County Detention Center. Inmates who did not post bond by this analysis deadline are scheduled for 1st Appearance hearings. TAG generates the 1st Appearance hearing order, the list of charges, and warrant or citation numbers, and inserts a photo ID of the defendant. TAG generates 1st Appearance Orders through a batch process.

The 1st Appearance Hearing is a non-adversarial hearing in which the Judge, the defendant, and the On-Duty Attorney are present. To guide the defendant through the 1st Appearance Hearing, the Court provides an On-Duty Attorney; the Prosecution does not attend. Unless a bond is posted, the defendant appears before a Magistrate Judge at the 1st Appearance Hearing within 24 to 36 hours of arrest. Before the 1st Appearance Hearing, the Magistrate Court receives the following documentation:

- Police report
- OBTS information
- Booking

- Warrant Application
- Warrant
- Acknowledgement of Court Date – used only if the defendant was in custody when the warrant was issued and signed by the officer acknowledging that he or she is aware of the court date also
- 1st Appearance Order.

At the 1st Appearance Hearing, the defendant is notified of the charges against him or her. The bond may also be set or revised, and the preliminary hearing date is set. If a warrantless arrest of the accused was made, it is most likely that the arresting officer already used the Acknowledgement of Court Date (MAG 20-16) form to select a date for the Preliminary Hearing. The defendant can also request a court appointed attorney at this time; the Detention Center provides the defendant with an Indigent Counsel Application Form before the hearing. Although this form is added to the case file, the information on it is not captured or retained electronically. The Judge notifies the Court Appointed Attorney of the appointment. At the end of the 1st Appearance Hearing, the 1st Appearance Hearing Order is distributed to the defendant, the Clerk of Court, and the Sheriff. The Clerk retains the original 1st Appearance Order and enters the information into the Sustain CMS. The Clerk then distributes the 1st Appearance Hearing order to the Prosecutor's office, the District Attorney, and the Solicitor.

If a defendant bonds out of Detention Center before the hearing, he or she automatically waives his or her right to a 1st Appearance Hearing and a Preliminary Hearing. The arresting officer does not have to appear.

8.2.8. Preliminary Hearing (Committal Hearing)

The Preliminary Hearing, or Committal Hearing, takes place within 5 to 8 days of booking the defendant into Detention Center. At the Preliminary Hearing, the Prosecution presents probable cause to the Judge under cross-examination by the defense; the defendant automatically waives his or her right to a Preliminary Hearing if he or she bonds out of Detention Center. The officer who applied for the warrant is required to attend the Preliminary Hearing. Officers seeking arrest warrants when the accused is in custody are required to complete a form MAG 20-16 that includes the date of the Preliminary Hearing. The form provides a section that lists pre-existing court dates for the Preliminary Hearing. The officer can select a date that is the most convenient and within the range of dates permitted on form MAG 20-16. If the arrest was made through a Non-Custodial Arrest Warrant, the officer is sent a subpoena to attend the Preliminary Hearing.

Before the Preliminary Hearing, the Court receives the following documents:

- Warrant Application
- Warrants
- Original 1st Appearance Hearing Order

- Victim Identification form, which is transferred to the Prosecuting Attorney's office and not retained by the Clerk of Court.
- Acknowledgement of Court Date form (MAG 20-16) – if applicable
- Special Conditions of Bond
- Application for Court Appointed Attorney
- Separate Bond Order
- Day's Court Calendar from the Sustain CMS.

If the Judge finds probable cause, the case is bound over to the appropriate Court. To document the results of the Preliminary Hearing, the Court issues a Preliminary Hearing Order. The presiding Judge can also alter the bond conditions or rule that the bond is outside the Magistrate Court's jurisdiction, and bind the case over accordingly. The Court sends a copy of the Commitment Order to the Sheriff, the Prosecution, and the Defense (if requested).

8.3. Technology Assessment

The Magistrate Court uses the Clerk's Sustain CMS. After Court proceedings or cases, The Clerk's staff enters case information into Sustain. Although Magistrate Judges can access information on Sustain, they typically rely on the Clerk's staff for interaction with the system. The Magistrate Judges use WordPerfect or Word to create court documents. The Magistrate Court operates and maintains the EWI video warrant system. The EWI video warrant operates as a standalone system and is not integrated into the Sustain CMS.

8.4. Recommendations

8.4.1. Magistrate Court Integration With the New Sustain CMS

The Magistrate Court should be integrated more tightly with the Clerk when the new version of Sustain is implemented soon. Integration with the Clerk can provide the Gwinnett County justice system with a unified master Court Calendar that manages all Court proceedings in the Magistrate, State, and Superior Courts. The Magistrate Court will also benefit from automatic document generation from the CMS instead of the use of WordPerfect templates. The CMS-generated forms will allow the Court to populate them automatically with data elements in the system. Because data for the 1st Appearance Hearings comes from the TAG system, this integration will be crucial. Currently, the Sheriff, Prosecutor, and Court enter information from the 1st Appearance Order into Sustain.

8.4.2. Electronic Warrant Interchange (EWI[®]) With the New Sustain CMS

The EWI system captures information electronically but is not integrated with the Clerk's CMS. To provide the Clerk and other downstream justice agencies with real-time warrant information, the EWI system should be fully integrated into the new Sustain CMS. For example, warrant information could be sent to the Sheriff for immediate entry into the Warrant file and the GCIC. Moreover, the EWI system should be upgraded to be compatible with the latest GJXDM warrant specifications. The National Center for State Courts (NCSC) developed Information Exchange Package Documentation (IEPD) for warrants. The Warrant IEPD describes a nationally vetted justice XML schema for warrant interoperability. The IEPD information can be downloaded from the NCSC Web site at http://www.ncsconline.org/D_Tech/gjxdm/#ArrestWarrant. The Magistrate Court could accept warrant applications from any authorized agency that follows this data exchange standard, including any municipal police department in the County.

8.4.3. Integrate the Sustain CMS With the Interactive Voice Response (IVR) System

To retrieve real-time information on cases and calendars, the IVR System should be fully integrated with the new Sustain CMS. The system will provide all parties, including officers, attorneys, victims, witnesses, and defendants, with updated case information from any touch-tone telephone.

8.4.4. Integration With Indigent Defense Counsel Information

The Magistrate Court would like to integrate with any future Indigent Defense Counsel management system to view contact information and assign cases.

8.4.5. Access to Probation Information From the Bench

The Magistrate Judges would like to have access to the defendant's probation information on the bench before making a decision on the bond.

8.4.6. Provide Consolidated Online Case Calendar

Several agencies provide data on court case calendars across Gwinnett County. The CJIS should consolidate all of this data into a unified report that can be accessed online.

This page left blank intentionally.

9. Police Department

9.1. Overview

The Gwinnett County Police Department (GCPD) is a nationally accredited and rapidly growing police agency in the northeastern quadrant of the Atlanta metropolitan area. The GCPD provides more than 700,000 residents in all 436 square miles of Gwinnett County with law enforcement services. The GCPD is organized into five divisions: Administrative Services, Criminal Investigations, Uniform, Support Operations, and Business Services. The GCPD divided the County into five precincts; each has its own station. The GCPD has 656 sworn officers and 266 non-sworn employees. Approximately 150 marked patrol cars are on each shift; all uniform officers are assigned their own marked car. The GCPD Criminal Investigative Division (CID) has several units, including:

- Special Victims
- Robbery
- Special Investigations Section (Narcotics, Intelligence, and Vice)
- White Collar
- Homicide
- Auto Theft.

9.2. GCPD General Procedures

9.2.1. Routine Traffic Stops

Routine traffic stops are a common task the GCPD performs. When an individual is pulled over for a traffic violation, the officer runs the car's license plate (tag) through the GCIC to determine the owner of the vehicle. The officer then performs a criminal justice query on the owner. If the officer receives a "hit," he or she radios the information in to a dispatch operator to get more information on the subject and confirm the information. The dispatch operator sends a query to the requesting agency for further instructions and to verify extradition parameters. The officer requests the suspect's driver's license and runs a second check if the driver is not the registered owner of the vehicle. The radio check with the district operator takes an average of 10 to 20 minutes. If the traffic stop leads to an arrest, the officer may impound the vehicle by calling a towing company and completing a Vehicle Impound Form.

9.2.2. Arrest

Suspects arrested by GCPD officers are transported to the Gwinnett County Detention Center (Jail) for booking. The dispatch center will fax the Detention Center any previously queried GCIC messages for their records. If there is no a pre-existing arrest warrant (or suitable Uniform Traffic Citation), the officer drops the suspect off at the Detention Center for holding and obtains a Warrant through a paper Arrest Warrant Application or the Electronic Warrant Interchange (EWI) process. The Warrant Application Package includes:

- Arrest / Incident Report
- Arrest Warrant Application
- Arrest Warrant (to be signed by the Judge)
- Acknowledgement of Commitment / Bond Hearing Scheduling
- Victim Information
- Special Conditions of Bond.

For the Detention Center to formally book a suspect, an officer must have a paper warrant signed by a Judge. The officer completes the Acknowledgement of Commitment / Bond Hearing Scheduling Form and selects one of the predetermined days for the Committal Hearing from the options provided on the form. The form serves as the formal notice of the Court hearing for both the officer and the suspect. For each charge, the officer generates a separate warrant or citation.

Once the suspect is in custody, the officer takes any evidence or property to the GCPD Evidence Department at headquarters, where the evidence or property is inventoried, hand labeled, and logged. Some local precincts have temporary storage for minor evidence (no cash, no drugs, no guns, and no bodily fluids) at their stations. All paperwork related to evidence also is completed at this time.

An officer normally completes the Arrest / Incident Report and any other supplemental reports after a suspect is in custody or at the end of the officer's shift. The Arrest / Incident Reports are normally generated with templates on the officer's MDTs. The Arrest / Incident Reports are printed and dropped off at the precinct station, where they are delivered to CrimeView for input. Handwritten citations are dropped off at the precinct station, where they are delivered daily to the Records Department at GCPD headquarters. The Records Department inputs the citation data into the Record Management System (RMS). The citation data is sent to Recorder's Court automatically through an electronic interface.

9.2.3. Digital Photographs

The GCPD is equipped with several hundred digital cameras used to record the crime scene. The photographs are downloaded from the cameras once the officer returns to the precinct station. The photographs are typically printed immediately and attached to the incident report. There is no standard operating procedure for officers to download

and maintain digital photos for electronic dissemination to other justice agencies. Because of the widespread ability to manipulate and alter the photographs, there are security and integrity issues with the maintenance of the digital photographs. A committee is looking into establishing standards for maintenance and dissemination of digital photos.

9.2.4. Video Evidence

Many law enforcement vehicles are equipped with video cameras mounted for use in recording DUI and traffic stops. The cameras used are analog VHS machines that can have maintenance and support problems. The analog VHS tapes can break or become unusable while recording, in storage, or during copying. The VHS tapes typically record multiple incidents on a single tape, making it difficult and time consuming for investigators to identify an incident. When funds are available, the GCPD would like to replace the analog cameras with digital video recorders. The Fire Department is piloting a similar video system that includes a wireless capability on each camera. The wireless digital video system is designed to download the video when the unit comes within the range of a GCPD secure wireless network hub. The recordings are automatically and stored on a server for backup and distribution.

9.2.5. Records

The GCPD Records Unit is housed at the main GCPD headquarters facility. The Records Unit has a staff of 36, including 10 people per shift and staff at four at the precinct stations. All field documentation generated by the GCPD goes to the Records Department for data entry, storage, distribution, retention, and destruction. The Records Department provides the following agencies or divisions with copies, originals, or both of reports:

- District Attorney
- Sheriff's Office
- Law enforcement agencies and officers
- Gwinnett Department of Transportation
- Georgia Driver's Services
- GCIC
- Department of Engineering
- Open Records
- Hit and Run
- Probation
- The public

- Georgia Department of Public Safety
- Solicitors
- Georgia Department of Family and Children’s Services.

9.3. GCPD Statistics

The following (Table 9-1) are unofficial numbers for 2005:

GCPD Statistics	
Number of 911 Calls	521,083
Incident/Accident Reports	139,971
Citations	88,556

Table 9-1 GCPD Statistics

9.4. Technology Assessment

9.4.1. Records Management System (RMS) – CompuDyne

The Police Records Management System (RMS) is a commercial product developed by CompuDyne (formerly Tiburon). The system runs on a UNIX server and has a Windows user interface. The GCPD is working with CompuDyne (<http://www.compudyne.com/>) to upgrade the system over the next 12 months. The upgrade will mainly unify the operating systems of the CAD and the RMS to a Windows-based system. The next version of the RMS also includes some new features. During the contract phase of this project, the GCPD will have a separate project for installing wireless access points at each of its facilities. This process is necessary to submit reports for supervisor approval. On approval, the reports will be transferred wirelessly to the Field Reporting database.

9.4.2. Computer Aided Dispatch (CAD)

The Computer Aided Dispatch (CAD) system is a separate module in the CompuDyne system that was recently upgraded to the current version.

9.4.3. Radio Communications

The GCPD just released an RFP to upgrade or replace its existing radio system. The wireless upgrade is expected to be procured and implemented over the next 14 to 18 months.

9.4.4. Document Imaging (FileNet)

The GCPD uses FileNet to image archived incident reports. The FileNet solution is an intermediate step until the new RMS provides ARS to capture arrest and incident information directly in the RMS; the Records Department may use FileNet in the future to scan and index paper documents as digital images. Panagon e-forms serve as the intermediate solution until Automated Field Reporting (ARS) is implemented. ARS is a true field-based reporting application that will allow an officer to populate an electronic form. The wireless access points at each GCPD facility will provide the ability to submit reports car to car for supervisor approval. On approval, reports can be transferred to the ARS database. An interface will be created in ARS to the incident reports and supplementals in PDF format and to RMS; ARS will populate several fields in the RMS incident, persons, and property modules. GCPD will also create an extract for FileNet that contains the incident forms in PDF format. The original paper document can be destroyed unless the original needs to be returned to another agency.

9.4.5. Mobile Data Terminals (MDTs)

GCPD patrol cars are equipped with MDTs that provide wireless access to GCIC queries in the field. The MDT will be used in the future to capture Arrest / Incident Reports electronically through the ARS module of the new CompuDyne RMS.

9.4.6. Crime Analysis Unit – CrimeView

The GCPD uses the CrimeView application from GeoSmart.net Smart Solutions (<http://www.geosmart.net/solutions/crimeview.asp>) for crime analysis and mapping. CrimeView can pull information directly from the RMS.

9.4.7. Red Light Cameras

The County installed red light cameras at three locations that feed information directly into the RMS.

9.5. Recommendations

9.5.1. Electronic Data Capture

The GCPD is upgrading its primary Record Management System (RMS) and wireless network. The GCPD intends to have its new systems online in the next 12 to 18 months. The new systems will be able to capture defendant and Arrest Report / Citation information electronically in the field. The other downstream agencies would like to receive an electronic Arrest Report / Citation directly from law enforcement

when possible. Once the Arrest Report / Citation is captured electronically, the information can be pushed or pulled to the downstream agencies without the need to re-key the information.

9.5.2. Digital Video and Cameras

The GCPD and other County investigative departments would find it beneficial to catalog and index the original digital photographs so that the images can be accessed electronically. This solution would require proper electronic security on the images to prevent them from being altered. A file server could be set up to catalog and index the images by warrant number. To provide the proper security, the server could limit investigators to read-only access and audit all access to the images.

9.5.3. Access to RMS Data From Other Municipal Police Departments

The GCPD would like to receive access to RMS data from other municipal police departments in the County. Each municipal police department in the County operates its own RMS, which is not connected to the GCPD or any other department. The GCPD believes there is great value in providing an information sharing capability across the various RMSs in the County.

9.5.4. Electronic Chain of Custody Tracking

The GCPD would like to provide access to the chain of custody tracking sheets from the Evidence Department. The Prosecuting Attorney and other investigators often need to receive a copy of the custody tracking sheets for court cases involving drugs or other critical evidence.

9.6. Technology Questionnaire

#	Question:
1	<p><i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i></p> <p>Paula Chriss paula@chriss@gwinnettcountry.com 770-513-5012</p>
2	<p><i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i></p> <p>Upgrade Records Management System (RMS) version 7.5.1 and convert it from the UNIX platform to Windows.</p>

#	Question:	
	<p>Implement a Wireless Automated Field Reporting System.</p> <p>Upgrade the Radio System to Digital Platform 800 MHz Voice and Data APCO 25 that is phase 1 compliant.</p> <p>Upgrade Computerized Aided Dispatch (CAD) to version 2.3.</p>	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i></p>	9
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i></p>	Yes Rarely
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i></p>	No
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i></p>	No
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i> Electronic Ticketing / Governor's Office of Highway Safety</p>	Yes
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy?</i></p> <p><i>Please explain:</i> Following Gwinnett County standards</p>	Yes
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i> This document is on file at Gwinnett County IT.</p>	Yes

#	Question:	
10	<i>Does your agency have a documented hardware and software lifecycle plan?</i> <i>If yes, please explain:</i> This agency complies with Gwinnett County standards.	Yes
11	<i>Are there current business needs that currently do NOT have a software application?</i> <i>If yes, please explain:</i>	No
12	<i>Does the application have statutory and legal constraints around sharing of data?</i> <i>If yes, please explain:</i>	No
13	<i>Does the Application provide internet access to public?</i>	No

9.6.1. CJIS Technical Architecture

#	Question:	
1	<i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i> Gwinnett County Police Department	
2	<i>Is the application hosted offsite?</i>	No
3	<i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i> Gwinnett County Police Department Technical Support Services	
4	<i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i> Gwinnett County Police Technical Support Services personnel	
5	<i>Does the application receive a feed from GIS data/info layers?</i>	Yes
6	<i>Can the application be accessed remotely via wireless connection?</i>	Yes

#	Question:	
7	<p><i>Do you have any future plans to implement new wireless capabilities?</i></p> <p><i>If yes, please explain:</i></p>	Yes
8	<p><i>Does Application support GJXDM or XML for external integration?</i></p> <p><i>If yes, please explain: Version 7.5.1</i></p>	Yes
9	<p><i>Does the application have a production environment and a separate test environment?</i></p> <p><i>If no, please explain:</i></p>	Yes
10	<p><i>Does the Application have documented database schema (Entity Relationship Diagram)</i></p> <p><i>If yes, please explain:</i></p>	No
11	<p><i>What is the age of the application in years?</i></p> <p><i>Comment: The current platform of CAD was implemented in 2002 and RMS in 2004.</i></p>	
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain: CompuDyne</i></p>	Yes
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i></p>	Yes
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i></p>	Yes

Question:

15 *Application Software Vendor:* CompuDyne
Software Name: Police Records Management System
Software Version Number: 7.3
Application Hardware Manufacturer: IBM
Hardware model number: 10-C808F
Hardware Operating System & Version: UNIX and AIX
Relational Database Software: Oracle
Database Software Version #: 8i
Total Application Database Size in MB: 34,688
Growth rate: Unknown

10. Probation (State Court)

10.1. Overview

State Court Probation (Probation) is managed by Professional Probation Service Inc., a private probation company. Probation is staffed by a supervisor, 15 probation officers, three intake staff, and six support staff. Probation receives approximately 460 new cases a month on average. Also, Probation prepares several hundred Probation Warrants a month.

10.2. Probation Business Process

10.2.1. Intake

Probation receives the case once an offender is sentenced to probation in State Court. At the end of the Court proceedings, the Probation intake person receives the Sentence Sheet and any Special Conditions Supplemental documentation. The offender then is taken to an office where a paper Probation Intake Form is completed. Once back at the office, the Probation officer keys the information into the Offender Tracking System (OTS).

10.2.2. Probation Case Management

Probation supervises defendants sentenced to probation through State Court; responsibilities include:

- Supervise probation
- Collect fees and restitution
- Refer defendants for treatment.

Offenders are charged \$30 a month for probation supervision. Probation disperses fines to the Clerk of Court once a month and disperses restitution directly to victims. The Clerk of Court receives a physical check and an electronic PDF file from Probation that itemizes the transaction and payments.

Offenders who do not pay their fines to the Court within 30 days may be assigned to set up a payment plan with Probation. To supervise the payment plan, Probation charges \$25 a month. The offender is given 4 months to pay the fine, or he or she is ordered to appear before the Judge. The defendant is typically given 90 more days to make payment, though the remedy is at the Judge's discretion. Although 89 percent of offenders eventually pay in full, most take advantage of the payment plans – either supervised or unsupervised.

10.2.3. Probation Warrants

If an offender does not meet the terms and conditions of his or her probation, Probation generates a Probation warrant. To generate an unsigned warrant, Probation uses a Microsoft Word template. The Probation Warrant contains a picture for the offender that is downloaded from the Sheriff's Web site. Probation takes the warrant before the Judge and receives his or her signature. The warrant is filed with the Clerk of Court, and Probation receives a certified copy. The original Probation Warrant is taken to the Sheriff for entry into the Warrant file and the GCIC, if appropriate. Probation does *not* track down fugitive probationers. When an offender is arrested on the Probation Warrant, the Sheriff sends Probation a paper copy of the Booking Sheet. Probation then pulls the Offender's file and schedules a Probation Revocation Hearing with the Court.

10.2.4. Revocation Hearings

If a defendant is in custody, Probation receives a Booking Sheet from the Detention Center. This sheet notifies Probation that the defendant is in custody on a probation warrant. (If a defendant needs a walk-in hearing, the Probation officer determines it.) The probation officer writes a list of all defendants going to court on a day specified by the Judge's office. The list is faxed to the following agencies:

- Solicitor General
- Sheriff – Transportation
- Sheriff – Admissions
- Clerk of Court
- Judge's office
- Magistrate Court.

At the hearing, the Judge determines whether to continue the defendant on probation or to revoke his or her probation. The Revocation Order also serves as the disposition document. Therefore, the outcome of the hearing is noted on the order, and the Judge signs it. The Probation officer then takes the Revocation Order to the Clerk to be filed. A filed copy is also placed in the probationer's file at the Probation office.

10.2.5. Termination Orders

Probation generates the Termination Order, and forwards it to the Judge's office for his or her signature. Once the Judge signs the Termination Order, it is filed with the Clerk of Court; the Clerk then sends Probation a copy of the signed order.

10.3. Case Number Formats

The primary identification numbers that Probation uses are the State Court Case Number and the Professional Probation Information System Number (PPIS #) created by its Offender Tracking System (OTS). Once the Solicitor formally charges the defendant through an accusation, the Clerk of Court generates an official Court Case Number. Table 10-1 provides the numbering scheme for these data elements.

Document	Number Format
Professional Probation Information System Number (PPIS #)	[Court (21–23*)] [2-digit YR] [G for Gwinnett] – [6-digit sequence] Example: 21 – 06 – G – 123456
State Court Criminal Case (Misdemeanor)	[2-digit YR] – [D] – [6-digit sequence] – [Judge # (1 – 5)] Example: 06 – D – 123456 – 9

**State Court = 21, Superior Court = 22, and Magistrate Court = 23*

Table 10-1 Document Numbering Scheme

10.4. Probation Statistics

Table 10-2 shows the statistics for Probation caseloads in 2005.

Probation Caseload Statistics	
Annual probation cases	5,520

Table 10-2 Probation Caseload Statistics

10.5. Technology Assessment

Professional Probation Services uses its Web-based Offender Tracking System (OTS) for case management. Judges in the County can access probation records, including case notes, treatment history, and payments directly over Internet. Professional Probation Services also uses OTS for all of its clients.

10.6. Recommendations

10.6.1. Police Incident Reports

Probation needs to receive Police Incident reports from the GCPD. To obtain them, Probation faxes an Incident Request Form to the GCPD; this process can take several days and may require a follow-up fax. Probation would like to be able to download the reports electronically or receive a report automatically when an active probationer is arrested. Also, Probation would like to receive limited access to the RMS.

10.6.2. Probation View of Jail Management System (JMS)

Probation would like a flag in the JMS to indicate offenders who have an active probation case. The probation flag would enable Probation to run custom reports that sort for their cases. When an offender has an active case or an outstanding probation warrant, the CJIS may also provide an automatic notification of an arrest.

11. Recorder's Court

11.1. Overview

The Gwinnett County Recorder's Court adjudicates traffic offenses found in Title 40 of the Official Code of Georgia Annotated, Gwinnett County code ordinance violations, and red light camera offenses. The Clerk of Court and 15 administrative employees staff the Recorder's Court. The State and Superior Court Chief Justices of Gwinnett County appoint the three Recorder's Court Judges and the Clerk of Court. The elected Solicitor of Gwinnett County appoints the Chief Solicitor of Recorder's Court. The appointed positions are for 4 years, which is the same as for the elected terms.

11.2. Case Initiation

The GCPD enters all traffic citations it issues manually and sends them directly over an electronic link to the Recorder's Court system for processing. The Recorder's Court does not have to rekey the citation information the GCPD submitted. Red light camera citations are also part of the electronic link. Citations submitted by other law enforcement agencies and County departments must be entered manually into this system. Citations sent to the Recorder's Court can come from any of the following sources:

- GCPD
- Gwinnett County Sheriff
- Georgia State Patrol
- Georgia Department of Environmental Health
- Georgia Department of Motor Vehicle Safety
- Georgia Department of Transportation
- Gwinnett County Animal Control
- Gwinnett County Fire Department
- Gwinnett County Planning and Development
- Gwinnett County Public Utilities
- Gwinnett County School Police
- Gwinnett County Tax Commission
- Transfers from other Courts.

11.3. Recorder's Court Divisions and Schedule

The Recorder's Court has three divisions; each has an assigned Judge and Solicitor. Typically, each division holds court twice a day: in the morning and in the afternoon. The Recorder's Court schedule is as follows:

- Monday through Thursday mornings – Arraignments
- Monday through Thursday afternoons – trials and pleas
- Monday through Friday – Detention Center cases
- Friday – Trials for environmental cases.

The Recorder's Court allows private attorneys to schedule their clients in groups on the same day.

11.4. Recorder's Court General Procedures

11.4.1. Case Processing

Most cases are initiated through the Standard State of Georgia Uniform Traffic Citation (citation). Law enforcement officers write one paper citation for each offense. The citation serves as a charging document and can be used to arrest an individual on appropriate charges. When an officer makes an arrest, the defendant is taken to the holding area at the Gwinnett County Detention Center, and a certified copy of the citation is given to the Detention Center. All Recorder's Court offenses have a standard predetermined bond amount. All bonds are posted at the Detention Center, and the paperwork is sent to the Recorder's Court (25 bonds a day). Once a week, the Recorder's Court receives money from cash bonds (100 bonds a month). Bonds are posted for each citation (charge). Every day, the Recorder's Court receives non-cash bonds (150 a week). Some citations can be paid by mail or in person. The Recorder's Court accepts payments by money order, cashier's check, and cash. Credit and debit card payments are accepted only in person. The Recorder's Court does not conduct trials by jury; defendants who request jury trials are transferred to State Court. For all fingerprintable offenses, the Recorder's Court sends OTBS information to the Georgia Bureau of Investigation (GBI).

11.4.2. Non-Arrests

Law enforcement officers issue a citation and release the defendant for most traffic and County code or ordinance offenses. Court dates are pre-assigned to the officers for "cite and release" matters. The Chief Recorder's Court Judge predetermined which offenses can be paid by bond forfeiture. If an offense can be paid by bond forfeiture, a defendant can either pay the ticket amount or choose to appear on the assigned court date. The GCPD records the citation information in the Records Management System (RMS) and sends the information to Recorder's Court electronically. The standard citation is a carbon copy form that contains multiple copies. Once the information is

entered into RMS (typically 2 to 3 weeks), the Recorder's Court receives the original paper citation. The GCPD keeps the original until the information is entered into RMS because the carbon copies can be difficult to read.

11.4.3. Arrest

Law enforcement officers issue a citation and take the defendant into custody for DUI and other serious offenses. A defendant can post bond at any time while in custody. If the defendant remains in Detention Center after midnight, he or she is transported automatically to the Recorder's Court the morning of the next business day along with the paper citation. The Solicitor also receives a copy of the citation at this time. All defendants in custody on misdemeanor (Recorder's Court) offenses are automatically to the Court every working day. If a defendant pleads not guilty, the Judge reviews the bond and assigns a court date. The Bond Order is faxed to the Detention Center after Court, and the original certified copy is delivered to the Detention Center. Before the defendant can be released, he or she is required to return to the Detention Center to process the bond paperwork.

If multiple citations that arise from the same event are issued to a defendant, they are combined into a single case. If the defendant pleads guilty, the Judge writes the disposition by hand on the back of the citation. The Judge's staff completes all court forms, which are prepared manually on a paper form. When the defendant is sentenced and placed on probation, a Probation Intake officer reviews the sentence with the offender and records the demographic and case information. The sentence also is faxed to the Detention Center.

If the case is not disposed at the initial Court appearance, the defendant is transported back to the Detention Center, where he or she is provided with the opportunity to post bond. If bond is not made, the defendant is booked into the Detention Center. The defendant is brought back to Recorder's Court automatically the next day. Georgia law states that misdemeanor defendants must be released after 48 hours in custody. If a defendant does not bond out within 48 hours, the Detention Center releases the defendant automatically on his or her own recognizance.

11.5. Recorder's Court Probation (Sentinel Inc.)

Recorder's Court Probation is managed by Sentinel Inc., a private probation company. Probation is staffed by a supervisor, five probation officers, and four administrative staff. Sentinel supervises defendants sentenced to probation through Recorder's Court. Its responsibilities include:

- Supervise probation
- Collect fees
- Refer defendants for treatment
- Oversee community service and work release

- Monitor home confinement
- GPS Tracking.

Offenders are charged \$32 a month for probation supervision. A separate service provided by Sentinel is the payment plan option. Offenders who cannot pay their fines to the Court may be set up on a payment plan with Probation. To supervise the payment plan, Probation charges \$25 a month for an administration fee. The offender is given 4 months to pay the fine, or he or she is ordered to appear before the Judge. The defendant is typically given 90 more days to make payment, though the remedy is at the Judge's discretion. Eighty-nine percent of offenders placed on the payment plan option complete the program successfully.

11.5.1. Bench Warrants

The Judge will issue a Bench Warrant if a defendant fails to appear in Court. The signed Bench Warrant is sent to the Sheriff for entry into the warrant system. The Recorder's Court typically issues 30 and recalls 20 Bench Warrants a day.

11.5.2. Violation of Probation (VoP) Warrants

When an offender fails to comply with the terms of his or her probation, Probation prepares a Probation Violation Warrant. The Probation officer schedules a VoP Hearing with the Judge.

11.5.3. Incarceration Orders

When an offender fails to comply with a Sentence Order, Incarceration Orders (IOs) are issued. Approximately ninety percent are issued for nonpayment. The other 10 percent are issued for failure to comply with other sentence conditions, such as completing a defensive driving class. The Judge issues an IO when a defendant fails to pay his or her fine after the specified time limit. Defendants who are incarcerated because of an IO are brought to Court the next court session. The Judge decides whether a defendant is to remain in custody or be released.

11.5.4. Bindover (Transfer Case to Another Court)

Recorder's Court cases can be transferred (bound over) to either the State Court or the Superior Court. All information (citations, bonds, and so forth) is transferred to the respective Court. Standard Jury Demand cases are transferred to State Court. Sometimes, an officer forwards a citation to the Recorder's Court when the defendant is only 16. These citations are forwarded to the Juvenile Court for disposition.

11.6. Technology Assessment

11.6.1. Sustain Court Case Management System

The Recorder's Court uses the State of Georgia's version of Sustain. There is no link between the Recorder's Court and the Clerk of Court for State and Superior Courts. Therefore, it is impossible to transfer cases or information electronically between the two systems when cases are transferred. The Solicitor uses the Recorder's Court system to track and manage its cases. Although the Solicitor has full access to the system, it cannot delete information and has limited capability to add information.

11.6.2. Citation Processing with Law Enforcement

There is a link between Recorder's Court and the GCPD that allows information from citations to be transferred electronically. Although the Recorder's Court must have a paper citation to process, it receives the information electronically through the interface with the GCPD. There is no similar interface to any other law enforcement agency or Gwinnett County department.

11.6.3. Integration with Probation (Sentinel)

The Recorder's Court and Probation (Sentinel) are beginning to develop an electronic interface to transfer case intake information directly into Sentinel's CMS and then to return payment information to the Court.

11.6.4. Recorder's Court Forms

Most Recorder's Court forms can be generated electronically from Sustain. The Recorder's Court would like to implement the final 10 forms by the end of 2006. To create Court documents, the Judges and their staff all use Corel WordPerfect. Except for scheduling, all paperwork is in WordPerfect and cannot be imported into Sustain. The WordPerfect forms must be preprinted and handwritten.

11.6.5. Recorder's Court Financials

To manage financials, The Recorder's Court uses Sustain and Quicken. Each month, the Recorder's Court runs a cost sheet from Sustain that shows dispersal to each agency based on fines paid that month. A check is then written manually and sent to the appropriate agency. By law, the Recorder's Court must disperse fines monthly, instead of when a fine is paid out or closed. To balance its checkbook, the Recorder's Court also uses Quicken.

11.6.6. Integration With Department of Drivers Services (DDS)

The Recorder's Court has an electronic interface to the Department of Drivers Services (DDS) that allows traffic dispositions to be sent electronically.

11.7. Recorder's Court Statistics

Gwinnett County has 150 attorneys on its appointed list.

Last year, AOC processed 7,130 invoices for the Superior, State, and Magistrate Courts. They do not include those that the Recorder's and Juvenile Courts processed.

Table 11-1 shows the statistics for court cases heard in the Recorder's Court in 2005.

Recorder's Court Caseload Statistics	
Traffic citations processed	91,069
Environmental citations processed	2,158
Red light camera citations processed	7,380
Telephone calls answered	87,504
Bench Warrants and Incarceration Orders issued	6,591
Money collected	\$9,881,984.67
Number of cases handled	119,968

Table 11-1 Recorder's Court Caseload Statistics

11.8. Recommendations

11.8.1. Capture Defendant Information Electronically

The GCPD is upgrading its primary Record Management System (RMS) and wireless network. The GCPD intends to have its new systems online in the next 12 to 18 months. The new systems will be able to capture defendant and Arrest Report / Citation information electronically in the car and send it to the Recorder's Court automatically. Although the Recorder's Court receives the ticket information from the GCPD electronically, it would like to see the GCPD use an electronic Arrest Report / Citation. Once the Arrest Report / Citation is captured electronically, the information can be pushed or pulled to downstream agencies without the need to re-key it. There are always going to be situations that require paper forms. However, the County's CJIS COI should make the distribution of electronic Arrest / Citation Reports a high priority.

11.8.2. Electronic Link to Sheriff's Department

The Recorder's Court would like a link to the Sheriff's Department to provide accurate and up-to-date statuses of all Bench, Probation, and Incarceration Warrants. The

Recorder's Court would like to synchronize the status of all issued, served, and recalled warrants with the Sheriff. All warrants are on paper, and there are delays in recording their statuses with the Sheriff. To verify outstanding warrants, the Recorder's Court receives a warrant validation report from the Sheriff. The report is sent as a paper document, and the names are in random order. To perform this validation automatically, the Recorder's Court would like to use an electronic interface with the Sheriff. The Recorder's Court would like the ability to send and receive bond and sentence information to and from the Sheriff electronically. The Recorder's Court would also like the ability to query the Jail Management System on the status of its inmates only.

11.8.3. Electronic Documents

The Recorder's Court converted most of its documents to electronic formats that allow staff to enter data electronically and generate the documents automatically. The Recorder's Court is completing the 10 remaining documents.

11.9. Technology Questionnaire – Recorder's Court

11.9.1. CJIS Policy Survey

#	Question:
1	<p><i>Please provide primary contact for IT related follow up questions (Name, Email, Phone number)</i></p> <p>Libby Blackwell – Recorder's Court Business Policies and Procedure libby.blackwell@gwinnettcounty.com 770-619-6115</p> <p>Eddie Barker – County IT for Sustain questions eddie.barker@gwinnettcounty.com 770-822-8931</p>
2	<p><i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> The County has an IVR system already. Recorder's Court intends to implement IVR to query payment information in 2006; the Court will implement payment capabilities over the telephone in 2008. The Court also plans to implement a new interface to Probation (Sentinel) to allow it to send case data to Sentinel and Sentinel to send payment information to the Court.</p>

#	Question:	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i></p>	0
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i> Recorder's Court develops Microsoft Word merge forms from the Sustain case management system. County IT develops Crystal Reports and complex merge forms from the Sustain case management system. Randy Rowe, a Recorder's Court Supervisor, handles all in-house program modifications.</p>	Yes
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i> GBI and the Sheriff request the Court to validate warrants against a warrant report generated from a GCIC and NCIC report. The Court would like to automate the validation process through an enterprise report that compares the differences in the two systems. Also, Recorder's Court would like to have an interface with GCIC for citation disposition.</p>	Yes
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i> Recorder's Court already has query access to the Sheriff's system.</p>	Yes
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i></p>	No
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy? Please explain:</i> The Department of Driver Services (DDS) provides a list of standard codes. DDS has a documented data standards policy.</p>	Yes

#	Question:	
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i> Recorder's Court depends on Gwinnett County IT for a disaster recovery plan for the Sustain application.</p>	No
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain:</i> Recorder's Court has Sustain license through the Georgia Administrative Office of the Courts (AOC); AOC keeps up with the current version of Sustain.</p>	Yes
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i> Recorder's Court is considering developing an enhanced Web Site with the ability to view citations and take online payments.</p>	Yes
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i> Recorder's Court would like to archive data after 6 years.</p>	Yes
13	<p><i>Does the Application provide internet access to public?</i></p> <p>See the response to Question 11.</p>	No

11.9.2. CJIS Technical Architecture

#	Question:	
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i> County IT</p>	
2	<p><i>Is the application hosted offsite?</i></p>	No
3	<p><i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i> County IT</p>	

#	Question:	
4	<i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i> Georgia AOC	
5	<i>Does the application receive a feed from GIS data/info layers?</i>	No
6	<i>Can the application be accessed remotely via wireless connection?</i> <i>Comment:</i>	No
7	<i>Do you have any future plans to implement new wireless capabilities?</i> <i>If yes, please explain:</i>	No
8	<i>Does Application support GJXDM or XML for external integration?</i> <i>If yes, please explain:</i> The Administrative Office of Courts has the XML specifications for the Sustain system.	Yes
9	<i>Does the application have production environment and a separate test environment?</i> <i>If no, please explain:</i> Gwinnett County IT provides a test database and application for testing.	YES
10	<i>Does the Application have documented database schema (Entity Relationship Diagram)</i> <i>If yes, please explain:</i> The Georgia AOC has the technical specifications for the Sustain application.	Yes
11	<i>What is the age of the application in years?</i> <i>Comment:</i>	1
12	<i>Is the application currently under a software maintenance agreement?</i> <i>If yes, please explain:</i> The Georgia AOC manages the software maintenance agreement.	YES

#	Question:	
13	<i>Does the application have a documented Application Programming Interface (API)?</i>	Yes
	<i>If yes, please explain:</i> API specifications can be obtained through the Georgia AOC.	
14	<i>Have you discussed potential interface technical specifications with your software vendor?</i>	Yes
	<i>If yes, please explain:</i> Recorder's Court is working with Sentinel to develop an interface for case information and financial data.	
15	<i>Application Software Vendor:</i>	
	<i>Software Name:</i> Sustain Technologies	
	<i>Software Version Number:</i> 1.25.03	
	<i>Application Hardware Manufacturer:</i> Hewlett-Packard	
	<i>Hardware model number:</i> ProLiant DL380 R04 X3.4 / 800-1M HPM	
	<i>Hardware Operating System & Version:</i> Windows Server 2003 Standard	
	<i>Relational Database Software:</i> Pervasive	
	<i>Database Software Version #:</i> V8 Server for Windows (v8.6)	
	Version: 8.60.192.033	
	<i>Total Application Database Size in MB:</i> 20654.08 MB	
	<i>Growth rate:</i> In 3 months, growth has been approximately 250 MB = 1/4 GB average.	

11.10. Technology Questionnaire – Probation (Recorder's Court)

#	Question:
1	<i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i>
	Jason Wood
2	<i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> Sentinel is upgrading to a newer version of its offender management application.

#	Question:	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i></p>	2
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i> Sentinel wrote the offender management application in house.</p>	Yes
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i> Recorder's Court (Sustain)</p>	Yes
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i> Recorder's Court (Sustain)</p>	Yes
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i></p>	No
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain:</i> Sentinel follows the policies, procedures, and rules of the Georgia AOC.</p>	Yes
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i> Sentinel manages disaster recovery internally at its corporate office.</p>	No
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain:</i> Sentinel manages the software life cycle plan internally by Sentinel at its corporate office.</p>	Yes

#	Question:	
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i></p>	No
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i> Sentinel follows the policies, procedures, and rules of the Georgia AOC.</p>	Yes
13	<p><i>Does the Application provide internet access to public?</i></p>	No

11.10.1.1 CJIS Technical Architecture

#	Question:	
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i> At the Sentinel corporate offices</p>	
2	<p><i>Is the application hosted offsite?</i></p>	Yes
3	<p><i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i></p> <p>Sentinel</p>	
4	<p><i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i></p> <p>Sentinel</p>	
5	<p><i>Does the application receive a feed from GIS data/info layers?</i></p>	No
6	<p><i>Can the application be accessed remotely via wireless connection?</i></p> <p><i>Comment:</i></p>	No

#	Question:	
7	<p><i>Do you have any future plans to implement new wireless capabilities?</i></p> <p><i>If yes, please explain:</i></p>	No
8	<p><i>Does Application support GJXDM or XML for external integration?</i></p> <p><i>If yes, please explain:</i> The AOC has the XML specifications for the Sustain system.</p>	Yes
9	<p><i>Does the application have a production environment and a separate test environment?</i></p> <p><i>If no, please explain:</i> Sentinel created the application in house with Microsoft .NET.</p>	No
10	<p><i>Does the Application have documented database schema (Entity Relationship Diagram)</i></p> <p><i>If yes, please explain:</i></p>	Yes
11	<p><i>What is the age of the application in years?</i></p> <p><i>Comment:</i></p>	1
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain:</i> Sentinel owns and operates the application.</p>	No
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i></p>	Yes
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i> Sentinel is working with Recorder's Court to develop an interface for case information and financial data.</p>	Yes

#	Question:
---	-----------

15 *Application Software Vendor:* Sentinel

Software Name: Sentrak

Software Version Number: 3.0.0.1

Application Hardware Manufacturer: Comp USA PC

Hardware model number: Compaq DL380 and ML530

Hardware Operating System & Version: Windows 1998

Relational Database Software: Microsoft SQL Server

Database Software Version #:

Total Application Database Size in MB:

Growth rate:

This page left blank intentionally.

12. Sheriff's Department

12.1. Overview

The Gwinnett County Sheriff's Department provides the citizens of Gwinnett County with detention services, law enforcement, court security, and community service. The following divisions of the Sheriff's Department handle these services:

- Detention
- Court Security
- Field Operations
- Civil
- Administrative
- Support Services.

12.1.1. Detention Division

The Gwinnett County Detention Center is a direct supervision pretrial detention facility; it is the County's only pretrial detention center and is used by all law enforcement agencies in the County. The Detention Center was constructed in 1991 and replaced the previous Detention Center, which was in use since 1974. In 1991, the Detention Center's maximum inmate capacity was 576. In 1997, because of the growth of the inmate population, the inmate cells were double-bunked, which allowed more inmates to be housed in each cell. By 2002, the gymnasium was renovated to house an additional 235 inmates, which increased the center's maximum inmate capacity to 1,200. The inmate population now exceeds 2,000. To help alleviate overcrowding, inmates are housed at other detention facilities throughout Georgia. Recently, voters approved a \$75 million expansion of the Detention Center; the first phase is scheduled to be completed in the fall of 2006.

12.1.2. Court Security Division

The Court Security Division provides 24-hour security for the Gwinnett Justice and Administration Center (GJAC). During normal business hours, it also provides security for the new Recorder's Court and Juvenile Court Courthouse, which opened in February 2006.

The deputies of the Court Security Division provide security for the Superior, State, Magistrate, Probate, Recorder's, and Juvenile Courts as well as to all full- and part-time Judges and their staff. When Court is in session, at least one deputy is stationed inside the courtroom. A secured holding area inside each building is used to detain in-custody

defendants waiting to appear before a Judge. Court security deputies for transport these defendants to the appropriate hearings.

There are three security checkpoints in GJAC and one security checkpoint in the Recorder's Court and Juvenile Court Courthouse. The deputies assigned to these checkpoints screen each visitor who enters these buildings. Visitors are screened for weapons and other items that might pose a danger to the public and the staff. Deputies screen more than 1 million visitors a year.

12.1.3. Field Operations Division

The Field Operations Division processes and serves criminal warrants and service requests made by other agencies or jurisdictions. This division also executes probate orders. Another responsibility of Field Division deputies is to transport mental patients to various locations.

The Field Operations Division Fugitive Unit locates dangerous, high-profile fugitives. In addition to the Fugitive Unit, this division also includes a K-9 Unit and a Special Warrant Service (SWS) Unit. One deputy with a fully trained German shepherd staffs the K-9 Unit; this unit supports field units in the apprehension of criminals and the detection of concealed drugs and narcotics. Members of the SWS Unit are highly trained in special weapons and tactics, explosive entries, search techniques, and woodland operations. This unit apprehends dangerous defendants and fugitives. The SWS Unit also makes high-risk entries when warrants are served. Team members are assigned to other duties full time and activated when needed.

12.1.4. Civil Division

The Civil Division serves civil process papers, including summonses, dispossessories, subpoenas, bad check citations, evictions, probate orders, property seizures, condemnations, and civil warrants.

The Family Violence Unit is also part of this division. This unit serves all temporary protective orders and investigates misconduct related to these orders. The Family Violence Unit attends court hearings and warrant application hearings on domestic violence and serves all domestic violence warrants.

12.1.5. Administrative Division

The Administrative Division manages finances, human resources, policies, procedures, public relations, and other duties as required for the Sheriff's Department's entire operation.

The Administrative Division has two units: Technical Services and Professional Standards. The Technical Services Unit was established to provide Sheriff's Department staff with telecommunication services, computer-related services, and support. The Professional Standards Unit, or Internal Affairs, ensures that the Sheriff's Department's integrity is maintained through an internal system in which an impartial

investigation and review ensure objectivity, fairness, and justice. This unit also performs background investigations when processing all applicants for employment in the department.

12.1.6. Support Services Division

The Support Services Division of the Gwinnett County Sheriff's Department consists of many specialized sections and units designed to support the other divisions and provide community education and youth programs. The Support Services Division includes the following sections, units, and programs:

- **Training Section** – A full-time staff, supplemented by additional training instructors from other divisions and agencies when needed, that provides all employees with the latest in law enforcement training
- **Public Safety Education Unit** – Oversees ADVANCE (Avoiding Drugs Violence and Negative Choices Early), a program offered to all fifth-grade students in Gwinnett County to teach them about alcohol, tobacco, drugs, understanding and avoiding violence, gangs, peer pressure, life skills, and how the media influences people
- **Property and Evidence Unit** – Manages and coordinates the safe and secure inventory, storage, and disposal of all contraband, as well as storing and maintaining evidence and property that deputies recover and acquire. The property is stored until released to the proper owner or disposed of pursuant to Georgia law.
- **Sheriff's Reserve Program** – Staffed with retired and other Georgia law enforcement officers who volunteer their services at almost no cost to the County. Members supplement the Sheriff's sworn personnel in warrant service, transportation duties, court security, service of civil papers, and special functions.
- **Explorer's Program** – With the Boy Scouts of America, this coeducational program was developed to provide young adults with opportunities to explore law enforcement. The Sheriff uses Explorers as volunteers in non-sworn, non-law enforcement roles. Explorers help control parking lots and staff information booths at large public functions.

12.2. Sheriff's Department General Procedures

12.2.1. Warrants

The Sheriff's Department manages the Warrants database and enters warrant information into the Georgia Crime Information Center (GCIC) system for all wanted individuals in the County. After a Judge approves and signs a warrant, the Sheriff receives it as a paper document. The Sheriff does not enter warrant information into its warrant database until it receives a hard copy of the warrant, which ensures the warrant

is active. Depending on the urgency of a warrant, it is sent to the Sheriff through various processes. The requesting officer delivers some warrants; the Sheriff collects others, such as Bench Warrants, in batches. The Sheriff files and maintains paper warrants.

A warrant package consists of multiple documents bundled into a single package, including:

- Warrant Application
- Warrant
- Special Conditions of Bond
- Victim Information.

Each warrant can contain only one charge; multiple charges require an additional warrant for each charge. Any number of individuals can initiate Arrest Warrants, including law enforcement officers, the Prosecution, and civilians. After the Court issues a warrant, it is filed with the Clerk of Court.

12.2.2. Warrant Service

Although any peace officer can serve a warrant, in Gwinnett County, the Sheriff's Department actively serves outstanding warrants. Approximately 2,000 warrants are served a month. Once warrant information is entered into the Warrant system, it is "zoned out" to uniformed deputies or fugitive investigators (plainclothes officers). At the beginning of their shifts, uniformed deputies are given a service packet that includes:

- The warrant application
- The original warrant
- Field notes
- Telephone contacts for warrant clerks (similar to field notes).

At the end of each shift, the packet is returned to the zone file. If the uniformed deputies did not serve a warrant successfully after several shifts, they file the warrant packet in a pending file. It is standard operating practice for the Fugitive Unit to keep a service packet much longer than the uniformed deputies, sometimes for several months. The service packet for the Fugitive Unit contains a copy of the warrant instead of an original.

12.2.3. Warrant Recall

Warrants can be recalled for any number of reasons, and can be recalled in one of two ways. The District Attorney may recall its warrants, or an agency can request permission from a Judge of the responsible Court to recall a warrant. Once approved, the warrant recall notice is sent to the Sheriff so that the warrant information can be removed from the Sheriff's active file and from the GCIC.

12.2.4. Detention

The Sheriff staffs and manages the Detention Center. The Detention Center is the only pre-sentencing detention facility in the County; all law enforcement agencies use it to detain defendants before adjudication. The Detention Center also houses a variety of defendants after sentencing, including those:

- Sentenced by the County Court to the Detention Center
- Sentenced by a City Court to the Detention Center
- Awaiting transfer to the Gwinnett County Correctional Institute
- Awaiting transfer to Gwinnett County Work Release
- Awaiting transfer to Georgia State Corrections
- Sentenced to Georgia State Corrections and awaiting court documentation
- Awaiting transfer to a State boot camp
- Housed for another agency
- Awaiting return to another agency after Court
- Sentenced on some charges and awaiting trial on other charges
- With parole violations
- With civil Incarceration Orders.

When a defendant is delivered to the Detention Center without an Arrest Warrant, the defendant is pre-booked and held until the original warrant is received. Georgia law permits defendants to be held up to 48 hours without a warrant; in Gwinnett County, defendants are held for up to 8 hours without a warrant.

When a defendant is pre-booked, basic information such as name, address, and gender is entered into TAG, the Jail Management System. A digital photograph of the defendant is taken and stored in TAG also. If the defendant was arrested previously, and his or her information is in the TAG database, the data is retrieved and updated during pre-booking. All personal property is inventoried and listed on a property sheet, which the defendant signs after verifying the information. Once the Detention Center receives the original warrant, the defendant is formally booked. If TAG retrieved the defendant's information, the new charge and warrant number are added with the new booking number. If the defendant was never booked into the Gwinnett County Detention Center, all information must be entered into TAG. The defendant is put into a holding cell and waits to be fingerprinted. If a defendant is on an ID hold, nothing is done until the ID is verified.

12.2.5. Identification Process

A deputy completes a preprinted paper Offender Based Tracking System (OBTS) form with all the charging information. The defendant is taken from holding to the ID station

for fingerprinting on the Automated Fingerprint Identification System (AFIS) LiveScan. The charges and known demographic information are entered into AFIS, and the fingerprints are scanned and sent to the Georgia Bureau of Investigation (GBI). After the ID process is completed with the GBI, a fingerprint card is printed from LiveScan. After booking is complete, the name, sex, race, picture, and inmate ID are printed on an arm band, which also has a bar code. The arm band is then put on the defendant. Detention Center staff compiles the defendant's inmate file, which includes:

- Warrant
- OBTS form
- Citation
- Fingerprint card
- Book In Sheet.

The inmate file is stored in the Active Records area of the Detention Center until further processing is required. Although an inmate is assigned a unique Inmate Number, the inmate receives a new Booking Number each time he or she is arrested or taken to the Detention Center.

12.2.6. GCIC Criminal History Names

The GCIC Criminal History system uniquely identifies individuals through fingerprints and arrest events. Detention Center staff perform an AFIS search through GCIC to see whether a defendant has a pre-existing record in the Georgia Criminal History system. For defendants who do not have a pre-existing record in the GCIC, the AFIS LiveScan requires an operator to enter a full name. If a defendant was arrested for the first time, the operator must be careful when entering the defendant's name into the Georgia Criminal History system through AFIS. The name entered for the first record becomes the defendant's permanent name in the system. If the defendant's legal name is different from the name on the original arrest record, the legal name becomes an alias in the Georgia Criminal History system. The original name entered into the system remains the primary name on the record.

12.2.7. Bond Process

The bond clerk generates a Bond Sheet from TAG, which populates the sheet automatically with the defendant's information. When a bond is posted, the defendant receives a handwritten receipt. The defendant, the bonding agent, and the Detention Center staff are all required to sign this sheet. All parties also must sign the Special Conditions of Bond form, if applicable. After the paperwork for the bond is completed, the paperwork and the defendant are sent to the Release area for release processing. The defendant is required to sign for his or her property and the bond paperwork. The release clerk makes three copies of the original bond. The original paperwork and one copy are sent to the Clerk of Court. The defendant is given the second copy, and the Detention Center keeps a copy in the inmate's file. The bonds are sorted by type:

Felony (Superior Court), Misdemeanor (State Court), and Recorder's Court. The checks and the bond paperwork for cash bonds are separated by Court (Superior, State, Magistrate, or Recorder's Court) and distributed to the Clerk of Court (Superior, State, or Magistrate Court) or the Clerk of Recorder's Court once a week. Defendants who do not make bond or are held on a non-bondable offense remain in custody until the case is adjudicated.

12.2.8. Offender Based Tracking System (OBTS) Process

The OBTS Form is a preprinted form initiated at the Detention Center when the charges and identification information are entered into the AFIS LiveScan. OBTS Forms include a preprinted OBTS number that is used to track each unique arrest and associated charges. The Clerk of Court completes the OBTS Form when the case is adjudicated through the Court; the Prosecutor completes the OBTS Form when charges are dismissed before trial.

12.2.9. Extradition Request

An officer may arrest a defendant in accordance with an extradition request in the GCIC or the National Crime Information Center (NCIC). Once the defendant is taken into custody, the Detention Center contacts the Prosecutor from the requesting jurisdiction to confirm that extradition is still desired. The requesting jurisdiction faxes a copy of the warrant to the Detention Center, and the extradition is processed.

12.2.10. Sex Offender Registry

The Sheriff tracks all sex offenders living and working in Gwinnett County. Within 10 days of release from confinement, convicted sex offenders must register with the Sheriff; they must register both where they live and where they work. If they are sentenced in Gwinnett County, the Sheriff has the information before the offender registers. If a sex offender moves or changes job locations, he or she must inform the Sheriff. If a sex offender's home or job location moves out of the County, he or she is required to notify the Sheriff; the sex offender is also required to notify the Sheriff of the county to which he or she is moving. Sex Offender registration is a paper-based process that requires an offender to fill out a Sex Offender Information Sheet and have a photograph taken. Sex offenders must renew their registration regularly; the frequency is based on the crime. As of July 1, 2006, sex offenders must pay an administration fee; the Sheriff is required to track and account for these payments and to provide receipts.

12.2.11. Records Department

The Records Department is the repository for all records the Sheriff's Department maintains; it includes a unit that updates the GCIC. The Records Department uses the Warrant Number and the OBTS Number (or the OTN Number) as its primary

identification fields. The Records Department updates case information with paperwork received from many sources. Many agencies fax case documentation to the Records Department. Although the Records Department accepts only certified copies of official paperwork, it accepts faxed certified copies of paperwork. To determine whether a document was already entered into the case file or to see whether information changed, clerks at the Records Department often must compare multiple copies of various documents.

When the Court sends a disposition to the Sheriff to enter into the GCIC, the Records Department needs all OTNs for that case.

12.3. Sheriff's Department Statistics

12.3.1. Inmate Population

The inmate population at the Gwinnett County Detention Center has increased steadily over the past 10 years. Table 12-1 presents inmate statistics for the past 10 years.

Year	Total Admissions	Total Releases	Average Inmate Population
2006*	13,964	13,484	2,264
2005	33,733	32,600	2,178
2004	32,907	31,657	1,867
2003	30,122	29,079	1,639
2002	29,213	28,284	1,486
2001	28,496	27,688	1,299
2000	27,051	26,781	1,271
1999	26,676	25,972	1,201
1998	24,827	23,445	1,164
1997	20,657	18,920	952
1996	16,865	16,820	792

*Year to Date

Table 12-1 Total Inmates Housed at the Detention Center – Yearly

12.3.2. Inmate Status Snapshot (April 2006)

Table 12-2 provides a snapshot of the inmates housed at the Detention Center in April 2006 by legal status.

Legal Status of Inmates – April 2006	
State sentenced	98
Pre-Trial	859

Legal Status of Inmates – April 2006	
County sentenced	238
Other legal status	494
NO status determined	130
Total in-Detention Center count	1,766

Table 12-2 Legal Status of Inmates – April 2006

12.3.3. Inmate Legal Status Codes

The following list provides legal status codes for defendants held at the Detention Center:

- **City Sent** – Sentenced by the City Court to the County Detention Center
- **Awt Tran** – Awaiting transfer to Georgia State Corrections
- **Civ Ord** – Civil Incarceration Order
- **Housed** – Housed for another agency
- **City PT** – City inmates held awaiting trial (Pre-Trial)
- **Parole** – Parole violations
- **Pre-Trial** – Held awaiting trial
- **Return to Lend Agy** – Awaiting return to another agency after Court
- **Boot Camp** – Awaiting transfer to the State Boot Camp
- **County Felon** – Sentenced by the County Court to the County Detention Center
- **County Misd** – Sentenced by the County Court to the County Detention Center
- **Sent Plus** – Sentenced on some charges and awaiting trial on other charges
- **Sent GCCI** – Awaiting transfer to the Gwinnett County Correctional Institute
- **State Felon** – Sentenced to Georgia State Corrections and awaiting court documentation
- **Work Release** – Awaiting transfer to Gwinnett County Work Release.

12.3.4. Inmate Legal Status Statistics (1999 Through 2006)

Table 12-3 provides a breakdown of the inmates by legal status for each year since 1999.

Year	City Sent	Awt Tran	Civ Ord	Housed	City PT	Parole	Pre-Trial	Return to Lend Agy	Boot Camp	County Felon	County Misd	Sent Plus	Sent GCCI	State Felon	Work Release
2006	44	38	13	7	20	31	1071	3	13	87	64	137	67	98	10
2005	36	130	24	7	14	35	981	3	10	104	63	105	45	148	4
2004	32	109	22	5	12	35	797	5	15	82	57	72	59	151	4
2003	34	67	21	4	11	32	721	4	13	71	70	65	43	174	4
2002	32	62	19	12	22	25	653	4	18	76	85	70	92	155	8
2001	28	62	14	17	14	30	625	5	11	50	77	60	34	123	10
2000	23	33	19	8	18	45	794	5	11	47	67	75	19	96	17
1999	20	52	16	7	14	28	651	6	11	49	69	56	21	91	18

Table 12-3 Legal Status of Inmates – Yearly

12.4. Technology Assessment

The Sheriff's Department has two primary computer systems, the TAG Jail Management System (<http://www.syscon.net/index.php>) and the warrant system. The Gwinnett County Department of Corrections (Corrections) also uses TAG. The Detention Center and Corrections can transfer information between departments. The Sheriff also maintains several smaller systems to track and manage internal business processes. To create and maintain its internal systems and the Warrant file, the Sheriff uses the Oracle Forms suite of software development products. All Sheriff's systems use the Oracle Database Management System. The Sheriff uses FileNet for imaging and archiving documents.

12.4.1. Victim Information Notification Everyday (VINE)

The Sheriff maintains the Victim Information Notification Everyday (VINE) system, which notifies victims of the statuses of inmates. For example, if an inmate is released, the victim is notified. VINE requires victims to register with their contact information to be notified. VINE notifies victims when defendants are released, transferred, or escape.

12.5. Recommendations

12.5.1. System Integration

The information exchange mechanism for information received and sent to the Sheriff is hard copy documents. To eliminate redundant data, the Sheriff would like to incorporate electronic information exchanges for each primary document. Each information exchange event will be documented in the Justice Information Exchange Model (JIEM) online tool and database.

12.5.2. Electronic Warrant Interface

The Sheriff would like an electronic interface with the Courts to provide accurate and up-to-date statuses of all Bench, Probation, and Incarceration Warrants. For all warrants that are issued, served, and recalled, the Sheriff would like to synchronize their status with the Courts. Currently, all warrants are on paper, and there a delay in recording their statuses with the Sheriff.

12.5.3. Local Fingerprint Database

Gwinnett County does not store fingerprints electronically in a local database. The GCIC process all fingerprint identification through AFIS and integrated Criminal History. To expand its identification capabilities, the Sheriff would like to operate its own AFIS database and fingerprint matching system.

12.5.4. Electronic OBS Forms

The Sheriff's Department would like the ability to generate its own OBTS Forms from information captured in TAG or the AFIS LiveScan. Computer-generated OBTS Forms would eliminate another paper-based process that can lead to typographical errors. The OBTS Number (OTN Number) could be sent electronically from the GCIC, or the County could be assigned a block of OBTS numbers.

12.5.5. Sex Offender Registry Accounting

The Sheriff's Department tracks the sex offenders registered in the County. As of July 1, 2006, convicted sex offenders are required to pay administration fees to the State of Georgia. The Sheriff will oversee the accounting for these fees. The Sheriff will require a database and an accounting application to allow it to capture required information from sex offenders. Also, the County would like to create a Web-based application to map the location of any sex offender in the County by his or her registered home address, work location, or both. To automate this process, the sex offender mapping application will need to extract information from the Sheriff's database.

12.6. Technology Questionnaire

12.6.1. CJIS Policy Survey

#	Question:	
1	<p><i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i></p> <p>Sylvia Black – IT Director sylvia.black@gwinnettcountry.com</p>	
2	<p><i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> The Sheriff's Office (Sheriff) will be upgrading the Syscon TAG Offender Management System (TAG) to the latest version, which will include an upgrade to Oracle 10g.</p>	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i></p>	4
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i> Oracle Forms and Oracle Application Server</p>	Yes
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i> Investigative query and CJIS applications</p>	Yes
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i></p>	
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i></p>	No

#	Question:	
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain:</i></p>	No
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i></p>	Yes
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain:</i> The Sheriff must stay within a budgetary life cycle, and it works with County IT when acquiring hardware and software.</p>	Yes
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i></p>	
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i> Yes</p>	Yes
13	<p><i>Does the Application provide internet access to public?</i></p>	Yes

12.6.2. CJIS Technical Architecture

#	Question:	
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i> The TAG servers reside at the Sheriff's headquarters.</p>	
2	<p><i>Is the application hosted offsite?</i></p>	No
3	<p><i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i></p>	

#	Question:	
	The Sheriff's IT staff manages and administers TAG.	
4	<i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i> The Sheriff's IT staff provides help desk support.	
5	<i>Does the application receive a feed from GIS data/info layers?</i>	Yes
6	<i>Can the application be accessed remotely via wireless connection?</i> <i>Comment:</i>	Yes
7	<i>Do you have any future plans to implement new wireless capabilities?</i> <i>If yes, please explain:</i> Sheriff's officers use mobile data terminals (MDTs) for access to TAG.	Yes
8	<i>Does Application support GJXDM or XML for external integration?</i> <i>If yes, please explain:</i> According to Syscon, they have developed a pluggable component called xTAG that supports XML. xTAG is a JXML-compliant messaging system that acts as a common information space for message transfer between information systems. Built on the proven secure and reliable J2EE platform, xTAG is implemented as a Java messaging service (JMS) and document-style Web services. It enables applications to transfer XML messages following Simple Object Access Protocol (SOAP) over HTTP.	Yes
9	<i>Does the application have production environment and a separate test environment?</i> <i>If no, please explain:</i> Oracle development environment	No
10	<i>Does the Application have documented database schema (Entity Relationship Diagram)</i> <i>If yes, please explain:</i>	Yes
11	<i>What is the age of the application in years?</i> <i>Comment:</i>	7

#	Question:	
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain:</i></p>	Yes
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i> Oracle Application Server J2EE</p>	Yes
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i> Oracle Application Server J2EE</p>	Yes
15	<p><i>Application Software Vendor:</i> Syscon Justice Systems</p> <p><i>Software Name:</i> TAG</p> <p><i>Software Version Number:</i></p> <p><i>Application Hardware Manufacturer:</i> Hewlett-Packard</p> <p><i>Hardware model number:</i> ML 570</p> <p><i>Hardware Operating System & Version:</i> Windows 2003</p> <p><i>Relational Database Software:</i> Oracle</p> <p><i>Database Software Version #:</i> TAG runs on 9i, but the new version runs on 10g.</p> <p><i>Total Application Database Size in MB:</i> 600 GB</p> <p><i>Growth rate:</i></p>	

This page left blank intentionally.

13. Solicitor General's Office

13.1. Overview

In Gwinnett County, two departments manage criminal prosecution: the Gwinnett County District Attorney Office (District Attorney) and the Gwinnett County Solicitor General (Solicitor). The District Attorney mainly prosecutes felony cases in the Superior Court and juvenile complaints in the Juvenile Court. The Solicitor prosecutes misdemeanor cases in the State Court and County ordinance violations in the Recorder's Court. Both the Solicitor and the District Attorney are elected officials. The Solicitor's office consists of five State Court divisions, three Recorder's Court divisions, and associated staff. A criminal case does not formally begin until an accusation or citation is filed with the Clerk of Court. The Solicitor may choose to transfer a case to another Court for appropriate legal and jurisdictional reasons.

13.2. Solicitor Case Initiation

The Solicitor's Office receives criminal cases from several different sources depending on whether the defendant is in custody and the bond type. For every case, the original case documentation is transferred through interoffice mail or the U.S. Mail, or picked up daily by the staff.

13.2.1. Cash Bond

When a defendant posts a cash bond, the Solicitor receives the initial case information from the Clerk of Court. To receipt and record the cash bond, the original paperwork is directed to the Clerk of Court first. To initiate a criminal matter when there is a cash bond, several case documents can be sent to the Solicitor, including:

- Warrant Application
- Warrant
- Citations
- 1st Appearance Order
- OBTS
- Cash Bond Paperwork
- Special Conditions of Bond (if applicable)
- Victim / Witness Sheet.

13.2.2. Non-Cash Bond

The Solicitor receives the initial case information directly from the Detention Center when a defendant posts a non-cash bond, including surety, property, or the defendant's own recognizance. The Clerk of Court does not receive any case information until the Solicitor files a formal accusation with the Court. To initiate a criminal matter when there is a non-cash bond, several case documents can be sent to the Solicitor, including:

- Warrant Application
- Warrant
- Citations
- Bond Paperwork: Surety, Property, or Recognizance
- Special Conditions of Bond (if applicable)
- Victim / Witness Sheet
- Offender Based Tracking System (OBTS).

13.2.3. Bind Over

The Solicitor may receive a case bound over from the municipal courts, the Recorder's Court, or the District Attorney (the Superior Court). All requests for jury trials involving misdemeanor charges are transferred to the State Court and the Solicitor because municipal courts do not conduct jury trials. For each case, the sending agency provides the Solicitor with a paper file that contains all associated case documents. To initiate a criminal matter bond over from another court, several case documents can be sent to the Solicitor, including:

- Warrant Application
- Warrant
- Citations
- Bind Over Form
- Memo of Bind Over
- Jury Demand Form
- Bond Paperwork: Cash, Surety, Property, or Recognizance
- Special Conditions of Bond
- Offender Based Tracking System (OBTS)
- Victim / Witness Sheet
- Police Incident Reports
- Criminal History Report.

13.2.4. Law Enforcement Citation

Law enforcement can issue a defendant a citation and release the defendant. Although this is still technically an arrest, the defendant is never brought into custody. The Solicitor receives non-arrest-related citations and associated case documents directly from law enforcement agencies, including:

- GCPD
- Gwinnett County Sheriff's Department
- Department of Natural Resources (DNR)
- Department of Public Safety (DPS)
- Georgia State Patrol.

To initiate a criminal matter from law enforcement, several case documents can be sent to the Solicitor, including Citations.

13.2.5. Detention Center Intake

When a defendant cannot bond out, the Solicitor receives the initial case information directly from the Magistrate. To initiate a case directly at the Detention Center, the Solicitor typically files a formal accusation with the Clerk of Court. The Magistrate Court is moving to a location at the Detention Center. To initiate a criminal matter at the Detention Center, several case documents can be sent to the Solicitor, including:

- Warrant Application
- Warrant
- Citations
- Special Conditions of Bond
- Offender Based Tracking System (OBTS)
- Victim / Witness Sheet
- Book In Sheet.

13.3. Initial Case Information Data Entry

To create a new case in the prosecution system, the Solicitor enters defendant, bond, and victim / witness information. As paper documents are generated and received through the adjudication process, the prosecution system is updated with case information. The Solicitor also records the Defense Attorney information either from the 1st Appearance Form or through a notice from a private attorney.

13.4. Initial Case Documents and Data Entry

The case documents are collected and organized into a hard copy case folder. To ensure the Solicitor does not open a duplicate file or work on a case that was already adjudicated, the Solicitor normally does not open a case file until it receives the original warrant and bond. The Solicitor keys the defendant's demographic information, bond information, and victim / witness information into the prosecution CMS.

13.5. Solicitor Criminal Investigations

Once the case is initiated, the case folder is sent to the Solicitor's Investigative Unit. After the Intake Unit creates the file, the Investigative Unit receives the case file. The investigator makes sure that all of the evidence is collected from various other agencies, including:

- Law enforcement (the GCPD and the Sheriff)
 - Arrest Reports
 - Supplemental Arrest Reports
 - Detective Investigative Reports
 - Mugshots
 - Digital crime scene photos (Each law enforcement agency has different policies and procedures for handling digital photos.)
 - Warrants
 - Evidence Department
 - Information on the evidence's chain of custody
 - Video recordings of incidents (DUI videos)
- Clerk of Court
 - Certified convictions (may be from other counties and states)
- Local crime lab results
- Medical records
- GBI Crime Lab results
- GCIC and NCIC
 - Georgia and National criminal histories.

Also, the investigator conducts outside investigations into criminal matters without law enforcement. The Investigative Unit has electronic access to various other agencies, including:

- Sheriff
- Magistrate

- Water Utility
- Tax Assessor
- Public Utilities.

13.5.1. Law Enforcement Arrest / Incident Report

The Investigative Unit obtains arrest / incident reports from law enforcement agencies. Formal requests to law enforcement agencies for arrest / incident, CAD, and 911 recordings and reports are routinely sent by fax and e-mail in groups of 20 to 30. Law enforcement agencies respond to these requests through interoffice mail and, occasionally, e-mail. The Solicitor typically receives the law enforcement information 3 to 4 weeks after the incident. The Solicitor would like to receive electronic images, data, and photographs associated with the law enforcement reports. The Solicitor has direct access to the Gwinnett County Police Record Management System (RMS). The Solicitor also has approximately 10 people who are certified to access State of Georgia criminal histories through the GCIC.

13.5.2. Video Recordings from Incident (DUI Videos)

The Solicitor often needs to have copies of videotape recorded at the scene of the incident. Obtaining the videos is a complicated, time consuming process that requires investigators to obtain the original videotape to create a copy of the incident. They spend much time locating and reproducing the exact section of the 8-hour tape that contains the incident.

13.5.3. Digital Photographs

To photograph crime scenes, all uniformed GCPD officers and many municipal police officers use digital cameras. The standard operating procedure is to create hard copy printouts of the photographs and submit them to the Evidence Unit at the GCPD. Once the photographs are submitted, the officer typically deletes the electronic images to make room for new photographs. The Investigators at the Solicitor's office often check out the photographs to make copies for their case files.

13.5.4. Medical Records

The Solicitor often needs to obtain medical records for cases involving battery or DUI injury. Investigators use a Microsoft Word template to create Affidavit, Search Warrant, and Return of Service documents and have a Judge sign them. Investigators then return the Return of Service to the Court to document what was obtained. The Search Warrant process is completely paper based and manual.

13.6. Solicitor Charging Procedures

After investigation, the case is transferred to an Assistant Solicitor (Intake Attorney) for review and to determine the charging decision. The Assistant Solicitor can take several different actions in accordance with the facts of the case:

1. Accusation (formal charges filed)
2. Administrative Dismissal (before formal charges are filed) – Notice of Intent Not to Prosecute (NIP)
3. Pre-Trial (Diversion Program)
4. Send back to investigation for further review
5. Transfer the case to another Court.

All charges brought by the Solicitor are brought through an accusation filed with the Clerk of Court. The Solicitor has up to 2 years to file an accusation on a criminal matter. When charges are filed, the Solicitor may file original copies of the following documents:

1. Accusation
2. Offender Based Tracking System (OBTS) Form
3. Warrant
4. Citations
5. Special Conditions of Bond.

The Clerk of Court assigns a State Court Case Number. The Solicitor records the case number and date filed into prosecution RMS and on the paper case folder.

13.6.1. Administrative Dismissal

An Administrative Dismissal occurs when the Solicitor reviews a criminal matter and determines there is insufficient evidence to move forward with a case. If the Solicitor acquires new evidence in the future, the matter may be taken up later. In 2005, approximately 10 percent of the criminal matters reviewed were dismissed through Administrative Dismissal.

13.6.2. Accusation

An accusation occurs when a Solicitor finds probable cause to file charges in a criminal matter. Unlike felony cases, misdemeanor cases do not require a Preliminary Hearing because the Solicitor files an accusation at the Detention Center. In 2005, the Solicitor filed an accusation in 90 percent of the criminal matters reviewed. The remaining 10 percent were dismissed through Administrative Dismissal.

13.6.3. Notice of Intent Not to Prosecute (NIP) – Administrative Dismissal

In cases with a cash bond, the Notice of Intent Not to Prosecute (NIP) is filed with the Clerk of Court. In cases without a cash bond, the NIP is sent to the defendant, the Attorney, and the bondsman. A NIP is an administrative dismissal before formal charges are filed.

13.7. Victim Advocate

Each Solicitor division has a Victim Advocate who is responsible for all communication with the victim (if the case includes a victim). The Victim Advocate notifies victims of their rights, the case calendar, and where to contact the Solicitor if there are questions on the case. The notices are generated through the prosecution CMS, and copies are kept in the case folder. To check consistency, the Victim Advocate may also review the case file against the prosecution system. The case folder is then filed as pending arraignment.

13.8. Court Calendar

The Court provides the Solicitor with a calendar of dates for each type of Court proceeding. The Solicitor must schedule the specific cases into the blocks of time the Court provides. As cases progress through the system, the Clerk of Court and the Solicitor spend considerable time synchronizing their calendars. Unless there are special circumstances, the oldest cases are scheduled first. The Solicitor must notify all parties to the case, including the defendant, Defense Attorney, bondsman, witnesses, and victim, of the Court calendar.

13.9. Arraignment

The Solicitor prepares a notice of arraignment for all parties to the case and delivers them to the Clerk of Court for mailing, including:

1. Defendant
2. Defense Attorney
3. Bondsman
4. Victim.

Arraignments are scheduled on selected days; 50 cases are scheduled in the morning and 50 in the afternoon. Many defendants scheduled for arraignment waive their right to Arraignment, and a plea of not guilty is recorded automatically. When defendants waive an Arraignment, the Solicitor would like to be notified electronically by the Clerk of Court.

The defendant pleads to the charges in open Court. The defendant's plea is recorded directly on the original accusation. Before the hearing, the Solicitor generates a multi-

page carbon copy of the sentence or disposition through the prosecution CMS and County IT's tractor-feed printer. A Judge or a Judicial Assistant completes the Sentence or Disposition in open court. The original copy of the Sentence or Disposition is given to the Clerk of Court, and copies are provided to the Solicitor, Probation, the Defense Attorney, and the defendant.

If the defendant pleads not guilty, the plea is recorded on the original accusation and returned to the Clerk of Court. The Defendant can have a private attorney at the Arraignment Hearing, but Arraignment is the first opportunity to request indigent Defense Counsel. The Court usually assigns a named indigent Defense Attorney at arraignment, but it can also assign an attorney after the hearing. The Solicitor records the Arraignment's results in the paper case file, and the prosecution system is updated at the office after the Arraignment Hearing. At this hearing, the defendant also can request a bench or a jury trial.

13.9.1. Motions

The Solicitor or the Defense may file motions with the Court, the party submitting the motion must serve the opposing counsel with copies. The Court assigns blocks of Court time or specific dates that are dedicated to hear motions. The Clerk of Court forwards the motions to the presiding Judge. The Solicitor schedules the motion hearing, files the calendar with the Clerk of Court, and sends notices to the Defense. The Solicitor also subpoenas any required witnesses.

13.9.2. Trial (Bench or Jury)

If a case is not pled or otherwise dismissed, it proceeds to trial. After the trial, the verdict is recorded on the Sentence / Disposition Form the Solicitor provides, and the original is filed with the Clerk of Court. Depending on the sentence, The Clerk of Court may provide copies of the Sentence / Disposition Form to the following agencies:

1. Detention
2. Corrections
3. Probation
4. Defendant
5. Defense Attorney
6. Bondsman
7. Victim.

If a defendant does not appear for the trial, the Solicitor uses a Microsoft Word template to generate a Bench Warrant. The Judge signs the warrant and sends it to the Sheriff for entry into the local warrant file and the GCIC (if appropriate). If there was an outstanding bond, a Bond Forfeiture Order is generated. If the bond was a surety bond, the Solicitor sends a copy of this order to the Bondsman. The Motion for Bond Forfeiture orders an Execution Hearing within 120 to 150 days. The Bondsman has

120 days to locate the defendant before the bond is forfeited. At the Execution Hearing, the Court issues a judgment that either forfeits or does not forfeit the bond. If the bond is forfeited, the Clerk of Court files a FiFa Order in Superior Court against the property. The Clerk of Court also notifies the Tax Commissioner's Office that a lien was filed against the property.

13.10. Solicitor Case Number Formats

The primary identification numbers the Solicitor uses are the Solicitor File Number and the Accusation Number (State Court Case Number). Table 13-1 provides the numbering scheme for these data elements. For each individual, there is always a one-to-one relationship between charges and warrants. The Solicitor File Number is used to track criminal matters that were not formally charged through an accusation or an indictment. Once the Solicitor files an accusation to formally charge the defendant, the Clerk of Court generates an official Accusation Number (Court Case Number).

Document	Number Format
Solicitor File Number	[2 digit YR] – [S0] – [5-digit sequence] Example: 06S012345
Accusation Number (State Court Case Number)	[2 digit YR] – [D] – [5-digit sequence] – [Judge # (S1 – 5)] Example: 06D12345S5

Table 13-1 Solicitor Case Number Formats

13.11. Solicitor General Statistics

Table 13-2 shows the statistics for Solicitor caseloads in 2005.

Solicitor Caseload Statistics	
Cases received in State Court	8,300
Cases filed in State Court	6,640
Counts filed in State Court	10,052
Individuals prosecuted in State Court	6,640
Accusations filed in State Court	6,640
Annual percent increase in caseloads	10%
Defendants disposed in State Court	5,739

Table 13-2 Solicitor Caseload Statistics

13.12. Technology Assessment: New Solicitor System

The District Attorney and Solicitor has selected a new prosecution CMS. The Solicitor intends to have the new prosecution system operational by the end of 2006. The

District Attorney and the Solicitor will use the same software application and operate two separate instances of the application. The specifications for the new system include compatibility with the Global Justice XML Data Model (GJXDM).

13.13. Solicitor Recommendations

13.13.1. Eliminate Redundant Data Entry

The information exchange mechanism for information received and sent to the Solicitor is hard copy documents. To eliminate redundant data, the Solicitor would like to incorporate electronic information exchanges for each primary document in the business process. Each of the information exchange events will be documented in the Justice Information Exchange Model (JIEM) online tool and database.

13.13.2. Fast Track Domestic Violence

Many domestic violence matters do not move forward in the justice system because the victim refuses to testify against a family member. To begin a case before the victim has a chance to reconsider his or her willingness to participate in the prosecution, the Solicitor would like to fast track domestic violence cases.

13.13.3. Digital Video and Cameras

The Solicitor and other investigative departments in the County would find it beneficial to catalog and index the original digital photographs so that the images can be accessed electronically. To prevent the images from being altered, this solution would require proper electronic security on them. A file server could be set up to catalog and index the images by warrant number. To provide the proper security, the server could limit investigators to read-only access and audit all access to the images.

13.13.4. Access to Customized Jail System Reports

The Solicitor would like have a custom report from the Jail system that would itemize all defendants held in custody on misdemeanor offenses. The Jail report would sort on the length of time in custody and provide the reason the defendant is still in custody, including probation status.

13.14. Technology Questionnaire

13.14.1. CJIS Policy Survey

#	Question:	
1	<p><i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i></p> <p>Donna English donna.english@gwinnettcounty.com (office) 770-822-8593 (cell) 770-883-3419</p>	
2	<p><i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> The Solicitor General's office, together with the District Attorney's office, is procuring a new prosecutor case management system. This system will replace the current system – Prosecutor Dialogue. The new system was selected, and implementation should be concluded by the end of the year.</p>	
3	<p><i>How many dedicated IT personnel work in your agency?</i></p> <p><i>Comment:</i></p>	1
4	<p><i>Does your agency develop applications internally?</i></p> <p><i>If yes, what are development tools, languages and methodology:</i></p>	No
5	<p><i>Does your agency have electronic reporting needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency reporting requirements:</i> Most of the reporting the Solicitor General does comes from the case management system; the Solicitor General can design, generate, and run these reports through Crystal Reports. The other <i>major</i> reporting needs it has are batch print jobs that are run from the case management system to print subpoenas and victim/witness letters. All of these are generated and run from the case management system.</p>	No

#	Question:	
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements:</i></p> <ul style="list-style-type: none"> • Georgia Department of Labor • Georgia Secretary of State • Gwinnett County Real Estate Records • Gwinnett County Business License • Gwinnett County Public Utilities • Law Enforcement Agencies • City Utilities Systems • Municipal Courts • Recorder's Court • GBI Crime Lab • Lexus / Nexus • GCIC / NCIC • Pictometry • Juvenile Court Activity Tracking System • Inmate Tracking System • Georgia Department of Corrections • Business Permits • Georgia Bar Associations • Prosecuting Attorney Association • Public Defenders Association 	Yes
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i></p>	No
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain:</i> The only data standards that the Solicitor must adhere to are for GCIC and its compliance issues.</p>	Yes
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i> The Solicitor depends on Gwinnett County IT for disaster recovery.</p>	No

#	Question:	
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain:</i> The Solicitor follows Gwinnett County IT policies.</p>	Yes
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i> The Solicitor is procuring a new prosecution case management system that will meet its business needs.</p>	No
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i> The law prohibits sharing GCIC and juvenile data.</p>	Yes
13	<p><i>Does the Application provide internet access to public?</i></p>	No

13.14.2. CJIS Technical Architecture

#	Question:	
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i></p> <p>County IT</p>	
2	<p><i>Is the application hosted offsite?</i></p>	No
3	<p><i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor)</i></p> <p>County IT</p>	
4	<p><i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i></p> <p>The Solicitor's IT staff provides help desk support in house.</p>	

#	Question:	
5	<i>Does the application receive a feed from GIS data/info layers?</i>	No
6	<i>Can the application be accessed remotely via wireless connection?</i> <i>Comment:</i>	Yes
7	<i>Do you have any future plans to implement new wireless capabilities?</i> <i>If yes, please explain:</i>	TBD
8	<i>Does Application support GJXDM or XML for external integration?</i> <i>If yes, please explain:</i> The new prosecution case management system is required to support XML.	Yes
9	<i>Does the application have a production environment and a separate test environment?</i> <i>If no, please explain:</i> The new prosecution case management system is a COTS product (commercial off the shelf). It will need to be configured, but no new functions will be coded for customization.	No
10	<i>Does the Application have documented database schema (Entity Relationship Diagram)</i> <i>If yes, please explain:</i>	NA
11	<i>What is the age of the application in years?</i> <i>Comment:</i> The Solicitor General's office, together with the District Attorney's office, is procuring a new prosecutor case management system. This system will replace the current system, Prosecutor Dialogue. The new system was selected and implementation should be concluded by the end of the year.	0
12	<i>Is the application currently under a software maintenance agreement?</i> <i>If yes, please explain:</i> The new system will be covered by a software maintenance agreement.	Yes

#	Question:	
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i></p>	NA
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i></p>	NA
15	<p><i>Application Software Vendor:</i> Ciber, Inc.</p> <p><i>Software Name:</i> CRIMES</p> <p><i>Software Version Number:</i> 6.1 (.net version)</p> <p><i>Application Hardware Manufacturer:</i> Hewlett-Packard</p> <p><i>Hardware model number:</i> HP ProLiant DL380 and ML570</p> <p><i>Hardware Operating System & Version:</i> Windows Server 2003</p> <p><i>Relational Database Software:</i> Microsoft SQL Server 2000</p> <p><i>Database Software Version #:</i> MS SQL Server 2000</p> <p><i>Total Application Database Size in MB:</i> Will not know until conversion from Prosecutor Dialog is complete.</p> <p><i>Growth rate:</i> Projected at 12 percent per year.</p>	

This page left blank intentionally.

14. Gwinnett County Standards Committee

14.1. Standards General Procedures

The Standards Committee is a countywide committee made up of information technology professionals from all County IT groups. This committee consists of a representative of each information technology group. It is an architecture committee that focuses on hardware standards for Gwinnett County, including:

- Servers
- Naming conventions
- Desktops
- IP addresses
- Networking.

Because all agencies are represented, and all members must agree on a standard to be adopted, compliance with technical standards is high. Once a hardware standard is adopted, it is added to the County's purchase contract. The County requires all its departments to buy from this contract.

14.2. Recommendations

14.2.1. Data Standards

The Standards Committee restricted itself to setting standards for hardware. However, it would be beneficial to address data standards together with the Enterprise Architecture committees. Having a basic data standard would aid countywide information sharing. For example, mandating the use of GJXML-compliant applications and databases will provide a common dictionary for sharing information across the County's justice applications.

14.2.2. Standard Address

To define geographical locations, the various County justice agencies use several address formats. Standardizing address formats and naming conventions will greatly simplify the exchange of location information between justice and emergency response agencies. The County maintains several GIS layers that may contain typographical errors, nonstandard abbreviations, or both. Nonstandard abbreviations include the use of several common abbreviations for the same address type (for example, Point, Pointe, and PT and Parkway, PKY, and PK). Unisys recommends that the County standardize address naming conventions based on the GIS Street Name and Address database.

This page left blank intentionally.

15. State Court

15.1. Overview

The State Court is a trial court with limited jurisdiction that covers misdemeanor and traffic violations prosecuted by the Solicitor's Office and all civil actions, regardless of the amount, unless the Superior Court has exclusive jurisdiction. The State Court has five divisions; a sixth will be added soon. One Judge and associated staff are assigned to each division; each division is assigned to a specific courtroom, though courtrooms may be changed according to the need for criminal holding cells or space. The Solicitor assigns a team of staff members to each division. The Clerk of Court (Clerk) distributes the caseload evenly among the five divisions. The requesting agency or attorney produces most documents that require a Judge's signature (warrants, motions, sentence orders, and so forth). The Clerk is the Court's official record keeper and repository. All documents signed by a Judge are filed with the Clerk. Documents filed with the Clerk are kept in a paper file; unless they are sealed by the Court, they are considered public record at the end of a case. A member of the Clerk's staff is present when pleas are entered and sentencing imposed and may also be present during trials or other hearings.

15.2. State Court General Procedures

15.2.1. Court Filings

To enter and track documents, the Clerk's Sustain CMS must have a case number; court case numbers are assigned after the prosecutor files formal charges. If case documents are filed before formal charges (motion hearing requests), the Clerk assigns a quasi-number, or Q number, and assigns the case to a division. Motion hearings are usually requested by defense attorneys and scheduled by the Judge's staff. Before accusation, the Court may receive requests for various hearings, including motions for bail, psychiatric evaluations, continuances, bond revocations, or warrant hearings. All motions must be filed with the Clerk's office. After recording the documents in Sustain, the Clerk adds the document to the case file and deposits the file in the appropriate Judge's box. The Judges' staff checks the boxes daily.

Because of vertical prosecution, hearings are often reassigned when it is determined that a defendant already has a case pending before a previously assigned Judge. Once the warrant is received, the Solicitor usually recommends judicial reassignment during intake. The Judge's staff may also look up a defendant's pre-existing cases in Sustain to see whether the defendant already has an active case. When pre-existing cases are determined, the defendant is transferred to the appropriate Judge before scheduling the hearing in front of the assigned Judge. When a motion is filed with the Court, the Judge's staff adds the hearing to the Court calendar. The Judge's staff creates hearing

notices in Word or WordPerfect or runs a report in Sustain. The hearing notices are filed with the Clerk, and the Clerk mails them to the Defense Attorney and other interested parties. The Judge's staff would like to have a mechanism to send electronic notifications to the parties in a case and to notify the Detention Center to transport the defendant if required.

15.2.2. Calendars

Each judicial division provides the prosecuting attorney's office with a Court planning calendar. The Court Calendar is a block of court dates that the Solicitor can use to schedule various types of hearings and trial dates. The Calendars are for a 6- to 12-month period and are divided by specific court procedures:

- Criminal motions
- Jury and bench trials
- Arraignments
- Pleas
- Probation revocations.

To schedule specific cases on the Court Calendar, the Solicitor assigns cases by case number and hearing or trial type. The Solicitor files the case calendar with the Clerk of Court and sends notices and subpoenas to the appropriate parties of the case. Each judicial division is sent a copy of the Court Calendar after it is filed with the Clerk, usually 2 to 3 weeks before the trial date. The Judges' office is notified after the Calendar is filed with the Clerk. The Clerk's office enters court dates for arraignment calendars only; the Judge's staff inputs all other calendars. All Court personnel and the public can access the Court Calendar over the Internet.

15.2.3. Court Documents

The Solicitor and the Defense file case documents through the Clerk. Many Court orders are announced in open court; the paper document is generated by the Solicitor and signed by the Judge before being filed with the Clerk. Court orders submitted by the Judge are created in Word or WordPerfect. Dispositions are generated by the Judge's staff and filed with the Clerk after the Judge signs them. At the end of the Court proceedings, Final Disposition and Sentence Orders are handwritten on forms generated from the prosecution CMS and distributed to:

- The Clerk
- The Solicitor
- Probation
- The Defendant
- The Defense Attorney.

Case numbers and basic information on a case (defendant name, address, warrant number, indictment or accusation number, and Defense Attorney bar number) are stored in Sustain.

15.2.4. Appeals

To file an appeal on guilty verdicts, the Defense can file a Notice of Appeal with the Clerk. If the verdict is not guilty, the Prosecutor is not permitted to file an appeal. However, either the Defense or the Prosecution can appeal the result of a pretrial motion. Appeals are filed with the Clerk, which files the request for appeal to the Appellate Court. The Clerk sends the case file to the Appellate Court. The Prosecution and the Defense file briefs with the Appellate Court. Once the Appellate Court makes a decision, it returns a remittitur to the Clerk. The Clerk forwards the remittitur to the assigned Judge for his or her signature. The remittitur is filed with the Clerk and adopted as part of the case file. The Clerk receives approximately 10 appeals a year.

15.2.5. State Court Probation

For all State Court offenders, State Court Probation is managed by Professional Probation Services (PPS), a private probation company. If an offender violates the terms of his or her probation, Probation requests an Arrest Warrant or a probation revocation hearing.

15.3. State Court Statistics

Table 15-1 shows the statistics for court cases heard in the State Court in 2005.

State Court Cases in 2005	
Criminal cases	6,805
Civil cases	17,036

Table 15-1 State Court Cases in 2005

Approximately 100 bench trials and 100 jury trials are heard each year.

15.4. Technology Assessment

Judges and staff do not have a computer system specifically to manage their cases. The Judge's staff needs to interact with the Clerk of Court's Sustain CMS. Case documents the Court generates are created in Word or WordPerfect or consist of reports generated from Sustain. Except for arraignment calendars, the Judge's staff enters all civil calendar information and criminal calendars. The Judge's staff inputs all court results.

15.5. Recommendations

15.5.1. Sustain Court Case Management System

The Judges and staff would like greater integration with the Court CMS to provide access to case documents and event notifications. The Clerk of Court is moving to the next generation of Sustain CMS, which will include a component for imaging and managing documents. When developing the system requirement specification for the new CMS, the Clerk's IT Department should consider business needs of the Judges and their staff. Considerations should be given to electronic document management, workflow with the Prosecutor, and integrated courtroom business processes.

16. Superior Court

16.1. Overview

The Superior Court is a trial court of general jurisdiction. The Superior Court has exclusive, constitutional authority over felony cases, which the District Attorney's Office prosecutes, as well as cases over titles to land, equity, declaratory judgments, habeas corpus, mandamus, quo warranto, prohibition, adoptions, and divorce. To correct errors made by lower courts, the Superior Court is authorized to issue certiorari; for some lower courts, the right to direct review by this court applies. Superior Court has nine divisions; one Judge and associated staff are assigned to each division. The District Attorney's office also assigns a team of staff members to each division for prosecution of criminal cases. The Clerk of Court (Clerk) distributes the caseload evenly among the nine divisions.

In criminal cases, the requesting agency or the prosecuting attorney produce most documents that require a Judge's signature (warrants, motions, sentence orders, and so forth). The Clerk is the official record keeper and repository for the Court, and all documents signed by a Judge are filed with the Clerk. Documents filed with the Clerk are kept in a paper file; at the end of a case, they are considered public record unless sealed by the Court.

16.2. Superior Court General Procedures

16.2.1. Court Filings

To enter and track documents, the Clerk's Sustain CMS must have a case number. Criminal Case numbers are assigned after the prosecutor files either an indictment or an accusation. The Court may receive various types of pleadings or motions, including requests for bond; psychiatric or psychological evaluations; or funds to hire experts; and various requests for hearings before indictment, including motion hearings for bail, psychiatric evaluations, continuances, revocations, or warrant hearings. The Judge's staff usually requests pre-indictment motion hearings and assigns dates; the Judge's staff then assembles the notices and sends them to all parties. All motion hearing requests must be filed with the Clerk's office. If the case documents for these pleadings are filed before formal charges (motions or hearing requests), the Clerk assigns a case a quasi-number, or Q number, and assigns the case to a judicial division. After recording the documents in Sustain, the Clerk adds the document to the case file and deposits the file in the appropriate Judge's box. The Judges' staff checks the boxes daily.

Because of vertical prosecution, pre-indictment hearings are often postponed and cases reassigned when it is determined that the warrants are assigned to a different Judge and judicial division. The Judge's staff may look up the warrants in Sustain to see

whether they are already assigned. When it is determined that the warrants are assigned to a different judicial division, the case is transferred to the appropriate Judge before scheduling a hearing; cases are transferred with an order prepared by the Judge's staff and filed with the Clerk of Court. Some warrants have to be assigned to a specific Judge because a defendant already has a case pending before that Judge. During intake, the District Attorney determines the judicial assignment once the warrant is received in the District Attorney's office; ideally, the Clerk's CMS should handle this task. When a motion that requires a hearing is filed with the Court, the Judge's staff adds the hearing to the Court Calendar. The Judge's staff creates hearing notices in WordPerfect or runs a report in Sustain. The hearing notices are filed with the Clerk, and the Judge's staff mails them to the District Attorney, the Defense Counsel, and other interested parties. The Judge's staff would like to have a mechanism to send electronic notifications to the District Attorney, Defense Counsel, and other interested parties and to notify the Detention Center to transport the defendant if required.

16.2.2. Grand Jury Indictments

The District Attorney can bring charges against a defendant through either an accusation or an indictment. The District Attorney generates the indictment document from its prosecution CMS. The Grand Jury meets for two sessions each year. During each session, the Grand Jury meets every other Wednesday. For each Grand Jury session, 23 people are called, though only 16 have to be present for a Grand Jury to conduct business. The District Attorney presents the evidence and witnesses' testimony to the Grand Jury, which then votes on whether there is enough evidence to issue an indictment that requires the defendant to stand trial on the charges. If the defendant is indicted, the Grand Jury issues a True Bill; if the defendant is not indicted, the Grand Jury issues a No Bill. All indictments are filed with the Clerk. The Clerk keys the indictment information into Sustain from the indictment filed by the District Attorney. The Court would like all information on basic vital statistics keyed into the system when the warrant is issued so that the District Attorney's staff and the Clerk's staff do not have to re-enter it.

16.2.3. Calendars

Each judicial division provides the District Attorney's office with a Court planning calendar. The Court Calendar specifies the dates in a block of court dates that the District Attorney can use to schedule the various types of criminal hearings and criminal jury trial weeks. Each Planning Calendar is typically for a 6- to 12-month period and divided by specific Court procedures:

- Criminal motions
- Criminal and civil jury calendars
- Arraignments
- Pleas

- Probation revocations
- Civil motions
- Domestic bench trials
- Domestic nisi
- Child support hearings
- Preemptory calendars.

To schedule specific cases into the Court Calendar, the District Attorney assigns cases by case number and hearing or trial type. To prepare a trial calendar, the District Attorney lists the oldest pending cases for trial; to prepare an arraignment calendar, the District Attorney lists all cases that were indicted or accused but not yet arraigned. The District Attorney files the case calendar with the Clerk of Court and sends notices and subpoenas to the appropriate parties in the case. The Judge reviews all jury trial calendars; if they are approved, the Judge signs them before filing and mailing. After the calendar is filed with the Clerk, the Judges' office is notified. The Clerk's office typically enters the Court Calendar into Sustain, though this practice varies by Judge's staff. All court personnel and the public can access the Court Calendar over the Internet.

16.2.4. Waivers

To waive their right to an Arraignment Hearing, defendants can file a waiver with the Clerk. A copy of the waiver is sent to the District Attorney. Before a Court hearing, the Judge's staff checks with the Clerk for waivers. If a defendant does not show up for Court and did not file a waiver, the Judge issues a Bench Warrant. The Judge's office would like to be notified as soon as a waiver is filed.

16.2.5. Court Documents

The District Attorney and the Defense file pleadings and motions case documents through the Clerk. Some Court Orders determined in open court are generated by the District Attorney and signed by the Judge before filing with the Clerk. Court orders submitted by the Judge are created in WordPerfect. Dispositions are generated by the District Attorney and filed with the Clerk after the Judge's signature. A WordPerfect macro that draws information from the District Attorney's CMS generates Final Disposition and Sentence Orders electronically and distributes them to:

- The Clerk
- The Solicitor
- Probation
- The defendant
- The Defense Attorney.

Case numbers and basic information on a case (defendant name, address, warrant number, indictment or accusation number, and Defense Attorney bar number) are stored in Sustain.

16.2.6. Appeals and Other Post-Trial Pleadings

To file an appeal or a motion for a new trial on guilty verdicts, the Defense can file the appropriate motion. If the verdict is not guilty, the Prosecutor is not permitted to file an appeal. However, either the Defense or the Prosecution can appeal the result of a pretrial motion. Appeals are filed with the Clerk, who must prepare and transmit the record and file the request for appeal with the Appellate Court. If the Appellate Court agrees to hear the case, the Clerk sends the case file to that Court. The Prosecution and the Defense file briefs with the Appellate Court. Once the Appellate Court makes a decision, it returns a remittitur to the Clerk. The Clerk forwards the remittitur to the presiding Judge for his or her signature. The remittitur is filed with the Clerk and adopted as part of the case file. The Clerk receives approximately 10 appeals a year.

If the Defendant files a motion for a new trial, a motion to withdraw a guilty plea, or another post-trial motion, the Clerk places the file in the Judge's box, and the Judge's office schedules the hearing and sends the appropriate notice to all interested parties.

16.2.7. Superior Court Probation

For all felony offenders, State of Georgia Probation Services manages Superior Court Probation. If an offender violates the terms of his or her probation, Probation requests an arrest warrant. Once the probationer is arrested, the probation officer submits a petition for the revocation of probation to the Judge's office, which then schedules a hearing for the revocation proceeding.

16.3. Superior Court Statistics

Table 16-1 shows the statistics for court cases heard in the Superior Court in 2005.

Superior Court Cases in 2005	
Criminal cases	5,744
Civil cases	14,705

Table 16-1 Superior Court Cases in 2005

16.4. Technology Assessment

Judges and their staff do not have a computer system designed specifically to manage their cases. The Judge's staff will need to interact with the Clerk of Court's Sustain CMS. Case documents generated by the Court are created in WordPerfect or consist of

reports generated from Sustain. Except for some court calendar information received from the prosecuting attorney, the Judges and their staff do not enter data into Sustain.

16.5. Recommendations

16.5.1. Sustain Court Case Management System

The Judges and their staff would like greater integration with the Court CMS to provide access to case documents and event notifications. The Clerk of Court is moving to the next generation of Sustain CMS, which will include a component for imaging and managing documents. When developing the system requirement specification for the new CMS, the Clerk's IT Department should consider the business needs of the Judges and their staff. Consideration should be given to electronic document management, workflow with the Prosecutor, and integrated courtroom business processes.

This page left blank intentionally.

17. Clerk of Court

Official records for the Superior, State, and Magistrate Courts for Gwinnett County are filed with the Clerk of Court; the Clerk of Court then captures the information from the filings in the Sustain CMS and maintains the original paper copy. The following technology questionnaire captures relevant information on the Sustain system.

17.1. Technology Questionnaire

17.1.1. CJIS Policy Survey

#	Question:	
1	<i>Please provide primary contact for IT related follow up questions? (Name, Email, Phone number)</i>	
	Hunter Lowry Hunter.Lowry@gwinnettcourt.com 770-822-8152	
2	<i>Please list and describe Agency's plan to procure application and IT systems in near future (next 24 months):</i> The Clerk of Court would like to implement the latest version of Sustain's eCourt Case Management System for the Magistrate, State, and Superior Courts. The Clerk's IT Department is evaluating the eCourt application to determine whether the application is mature enough for full implementation in Gwinnett County. The Clerk would also like to integrate the EWI Warrant system with Sustain.	
3	<i>How many dedicated IT personnel work in your agency?</i>	7
	<i>Comment:</i>	
4	<i>Does your agency develop applications internally?</i>	Yes
	<i>If yes, what are development tools, languages and methodology:</i> The Clerk's IT Department develops Interactive Voice Response (IVR) applications.	
5	<i>Does your agency have electronic reporting needs that require data from other agencies?</i>	No
	<i>Please itemize any inter-agency reporting requirements:</i> N/A	

#	Question:	
6	<p><i>Does your agency have electronic query needs that require data from other agencies?</i></p> <p><i>Please itemize any inter-agency query requirements</i> Distributed query capability with the other CJIS agencies</p>	Yes
7	<p><i>Is your agency currently seeking grant funding for any IT projects?</i></p> <p><i>If yes, please list and explain:</i></p>	No
8	<p><i>Does your agency have a data standards policy?</i></p> <p><i>If yes, is your agency following/abiding by the standards policy?</i> <i>Please explain:</i> The Clerk of Court follows Gwinnett County data standards and is interested in following NCIC 2000 data standards for the new Sustain eCourt Case Management System.</p>	Yes
9	<p><i>Does your agency have a documented disaster recovery plan?</i></p> <p><i>If yes, please explain:</i> The Clerk of Court depends on Gwinnett County IT for disaster recovery.</p>	Yes
10	<p><i>Does your agency have a documented hardware and software lifecycle plan?</i></p> <p><i>If yes, please explain:</i> The Clerk of Court follows Gwinnett County IT policies.</p>	Yes
11	<p><i>Are there current business needs that currently do NOT have a software application?</i></p> <p><i>If yes, please explain:</i> The Clerk of Court is evaluating Sustain's eCourt case management system, which will meet its business needs.</p>	Yes
12	<p><i>Does the application have statutory and legal constraints around sharing of data?</i></p> <p><i>If yes, please explain:</i></p>	No
13	<p><i>Does the Application provide internet access to public?</i></p>	Yes

17.1.2. CJIS Technical Architecture

#	Question:	
1	<p><i>Where does the hardware for your application reside? (Example: County IT / Agency / Contractor):</i></p> <p>County IT</p>	
2	<p><i>Is the application hosted offsite?</i></p>	No
3	<p><i>Who is responsible for the management and administration of the application? (Example: County IT / Agency Location / Contractor):</i></p> <p>Clerk of Court IT Department</p>	
4	<p><i>Who is responsible for providing "help desk" support for your application? (Example: County IT / Agency Location / Contractor):</i></p> <p>The Clerk of Court provides help desk support in house.</p>	
5	<p><i>Does the application receive a feed from GIS data/info layers?</i></p>	No
6	<p><i>Can the application be accessed remotely via wireless connection?</i></p> <p>Comment:</p>	No
7	<p><i>Do you have any future plans to implement new wireless capabilities?</i></p> <p><i>If yes, please explain:</i></p>	TBD
8	<p><i>Does Application support GJXDM or XML for external integration?</i></p> <p><i>If yes, please explain:</i> The current version of Sustain on the mainframe does not support GJXDM, but the new eCourt case management system is required to support XML.</p>	No / Yes
9	<p><i>Does the application have a production environment and a separate test environment?</i></p> <p><i>If no, please explain:</i> The new case management system will have a separate production and test environment.</p>	Yes

#	Question:	
10	<p><i>Does the Application have documented database schema (Entity Relationship Diagram)</i></p> <p><i>If yes, please explain:</i></p>	N/A
11	<p><i>What is the age of the application in years?</i></p> <p><i>Comment:</i></p>	
12	<p><i>Is the application currently under a software maintenance agreement?</i></p> <p><i>If yes, please explain:</i></p> <p>Sustain is covered by a software maintenance agreement.</p>	Yes
13	<p><i>Does the application have a documented Application Programming Interface (API)?</i></p> <p><i>If yes, please explain:</i> The new eCourt Case Management System will have a GJXDM interface.</p>	Yes
14	<p><i>Have you discussed potential interface technical specifications with your software vendor?</i></p> <p><i>If yes, please explain:</i> The new eCourt Case Management System will have a GJXDM interface.</p>	Yes
15	<p>Application Software Vendor: Sustain Technologies Inc.</p> <p>Software Name: Sustain Case</p> <p>Software Version Number: Justice Edition</p> <p>Application Hardware Manufacturer: Compaq</p> <p>Hardware model number: unknown</p> <p>Relational Database Software: Pervasive Database</p> <p>Database Software Version #: 1.25.04</p> <p>Total Application Database Size in MB: 430</p> <p>Growth rate: unknown</p>	

Appendix A—Georgia Statute for Electronic Signatures

The following is the Georgia statute for electronic signatures.

§ 17-4-47. Issuance of warrants by video conference; testimony; initial bond hearings; oaths

(a) A judge of any court in this state authorized to issue arrest warrants pursuant to [Code Section 17-4-40](#) may, as an alternative to other laws relating to the issuance of arrest warrants, conduct such applications for the issuance of arrest warrants by video conference.

(b) Arrest warrant applications heard by video conference shall be conducted in a manner to ensure that the judge conducting the hearing has visual and audible contact with all affiants and witnesses giving testimony.

(c) The affiant participating in an arrest warrant application by video conference shall sign the affidavit for an arrest warrant and any related documents by any reasonable means which identifies the affiant, including, but not limited to, his or her typewritten name, signature affixed by electronic stylus, or any other reasonable means which identifies the person signing the affidavit and any related documents. The judge participating in an arrest warrant application by video conference shall sign the affidavit for an arrest warrant, the arrest warrant, and any related documents by any reasonable means which identifies the judge, including, but not limited to, his or her typewritten name, signature affixed by electronic stylus, or any other reasonable means which identifies the judicial officer signing the affidavit and warrant and any related documents. Such authorization shall be deemed to comply with the signature requirements provided for in [Code Sections 17-4-45](#) and 17-4-46.

(d) A judge may also utilize a video conference to conduct hearings relating to the issuance of an initial bond connected with an offense for which an arrest warrant is issued provided that the setting of such bond is within the jurisdiction of that court.

(e) A judge hearing matters pursuant to this Code section shall administer an oath to any person testifying by means of a video conference.

§ 17-5-21.1. Issuance of search warrants by video conference

(a) A judge of any court in this state authorized to issue search warrants pursuant to [Code Section 17-5-21](#) may, as an alternative to other laws relating to the issuance of search warrants, conduct such applications for the issuance of search warrants by video conference.

(b) Search warrant applications heard by video conference shall be conducted in a manner to ensure that the judge conducting the hearing has visual and audible contact with all affiants and witnesses giving testimony.

(c) The affiant participating in a search warrant application by video conference shall sign the affidavit for a search warrant and any related documents by any reasonable means which identifies the affiant, including, but not limited to, his or her typewritten name, signature affixed by electronic stylus, or any other reasonable means which identifies the person signing the affidavit and any related documents. The judge participating in a search warrant application by video conference shall sign the affidavit for a search warrant, the search warrant, and any related documents by any reasonable means which identifies the judge, including, but not limited to, his or her typewritten name, signature affixed by electronic stylus, or any other reasonable means which identifies the judicial officer signing the affidavit and warrant and any related documents. Such applications shall be deemed to be written within the meaning of [Code Section 17-5-21](#). Such authorization shall be deemed to comply with the issuance requirements provided for in [Code Section 17-5-22](#).

(d) A judge hearing matters pursuant to this Code section shall administer an oath to any person testifying by means of a video conference.

(e) A video recording of the application hearing and any documents submitted in conjunction with the application shall be maintained as part of the record.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Project Management Plan (PMP)

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. PROJECT MANAGEMENT PLAN (PMP) OVERVIEW	1
1.1. Project Planning Methodology.....	1
1.2. Project Execution Methodology	2
1.3. CJIS Management Plan (PMP) Process.....	3
1.4. CJIS Project Management Office	3
2. BUSINESS CASE.....	5
2.1. Scope of the Business Problem	5
2.2. Business and Operational Impacts	6
2.3. Possible Options and Alternatives.....	6
2.4. Best Option to Meet Business Requirements	7
3. FINANCIAL PLAN.....	9
3.1. Introduction	9
3.2. Vendor and Consulting Costs.....	9
3.2.1. Agency System Vendor Costs	9
3.2.2. Hardware Requirements.....	10
3.2.3. Software Requirements.....	10
3.2.4. Gwinnett County Human Resources.....	11
3.2.5. Additional Burden on Existing County Information Technology Infrastructure	12
3.2.6. Ongoing Maintenance and Support Cost.....	13
3.3. Project Cost Metrics	13
3.4. Return on Investment (ROI)	13
3.4.1. Direct Project Benefits.....	14
3.4.2. Intangible Project Benefits	16
4. COMMUNICATION PLAN	19
4.1. Communication Strategy	19
4.2. Communication Channels	20
4.2.1. CJIS Project Portal.....	21
4.2.2. Monthly CJIS Electronic Newsletter – E-mail (Status Report Summary).....	21
4.2.3. Formal Project Meetings and Minutes	22
4.2.4. Participation in Local, State, and National Conferences and Symposia.....	22
4.2.5. Media Coverage (Print and TV When Approved by the CJIS COI)	22
4.3. Roles and Responsibilities	22

5. PERFORMANCE METRICS PLAN	25
5.1. Credits	25
5.2. Overview	25
5.3. Why Measure Performance?.....	26
5.3.1. <i>Performance Metrics for Intangible Benefits</i>	26
5.4. Identify and Describe the Nature of Performance Metrics	27
5.4.1. <i>Step 1: Define the Measure</i>	28
5.4.2. <i>Step 2: Measure Direction</i>	28
5.4.3. <i>Step 3: Identify The Object Of The Measure</i>	28
5.4.4. <i>Step 4: Identify The Expected Value Of The Measure</i>	29
5.4.5. <i>Step 5: Identify Where And How Measurement Will Occur</i>	29
5.4.6. <i>Step 6: Identify When The Measurement Will Be Obtained</i>	29
5.5. Sample Performance Metrics	30
5.5.1. <i>Example 1: Arrest Warrant Process From Magistrate Court</i>	30
5.5.2. <i>Example 2: Bench Warrant Processing From State and Superior Courts</i>	30
5.5.3. <i>Example 3: Warrant Service Notice From Sheriff</i>	31
5.5.4. <i>Example 4: 1st Appearance Order Processing</i>	32
5.5.5. <i>Example 5: Bond Processing</i>	32
5.6. Collecting Data to Support the Performance Measures	33
5.7. Displaying the Results.....	34
5.8. Developing Performance Measures: Pitfalls to Avoid	35
5.9. Developing Performance Measures: Tips for Success	36
6. RISK MANAGEMENT PLAN	39
6.1. Risk Planning	40
6.2. Risk Assessment	41
6.2.1. <i>Mitigation Strategies</i>	42
6.2.2. <i>Contingency Strategies</i>	42
6.3. Risk Monitoring	42
6.3.1. <i>Risk Registry</i>	43
6.4. Risk Handling	44
7. CHANGE MANAGEMENT PLAN.....	45
7.1. Change Assessment	45
7.2. Change Process Definition	45
7.3. Training Plan	46
8. ONGOING MAINTENANCE AND SUPPORT PLAN	47
8.1. Roles and Responsibilities	47
8.1.1. <i>CJIS Support Team</i>	47

8.2. Maintenance Agreements	48
8.2.1. <i>CJIS Target Availability</i>	48
8.2.2. <i>Multi-Tier Maintenance and Support Plan</i>	49
8.3. Ongoing Maintenance and Support Budget.....	49
8.4. Technical Support Training	49
9. CJIS PROJECT EXECUTION METHODOLOGY	51
9.1. Project Execution Plan	51
9.1.1. <i>Project Schedule</i>	51
9.1.2. <i>Work Breakdown Structure (WBS)</i>	51
9.1.3. <i>Project Overview and Implementation Plan</i>	52
9.1.4. <i>Requirements Management Plan</i>	52
9.1.5. <i>Quality Management Plan</i>	52
9.1.6. <i>Migration Plan</i>	52
9.1.7. <i>Training Plan</i>	52
9.1.8. <i>Test Plan</i>	53
9.1.9. <i>Project Execution Planning Acceptance</i>	53
9.2. Project Implementation	53
9.3. Project Acceptance	53
9.4. Ongoing Maintenance and Support	54

Table of Figures

Figure 6-1 Risk Management Process	40
Figure 6-2 Risk Register	44

Table of Tables

Table 4-1 Communication Responsibility Matrix.....	24
Table 8-1 CJIS Availability Statistics	48
Table 8-2 Multitier Maintenance and Support Plan	49

This page left blank intentionally.

1. Project Management Plan (PMP) Overview

The Project Management Plan (PMP) is intended to provide a roadmap for the selection and implementation of projects to enhance the Gwinnett County Justice System. The PMP will provide a step-by-step process to organize the project documentation required to prepare for the challenges of scoping, approving, and implementing a Gwinnett County Criminal Justice Information System (CJIS) project. The Gwinnett County Project Management Office (PMO) will be the internal organization that manages and implements the PMP. The PMO must ensure that the County's CJIS follows the processes and procedures defined in the PMP.

The PMP is the collection of all the elements necessary to manage the CJIS Project properly. The PMP is divided into two sections: Project Planning Methodology and Project Execution Methodology. The Project Planning Methodology defines the required analysis and planning that will enable Gwinnett County Executives to evaluate and approve CJIS Projects. The Project Execution Methodology defines the steps required to execute the actual project. Responding to the County's Request for Proposal (RFP), the implementation vendor will develop the Project Execution Plan in its formal proposal.

1.1. Project Planning Methodology

The Project Planning Methodology is used to identify, define, and justify a new project to the CJIS community. This methodology should be followed when requesting CJIS funding. This document discusses the following basic elements in more detail later.

- **Business Case** – The Business Case defines the business problem that needs to be addressed, explains the details of the problem, identifies the stakeholders it affects, and lists the benefits of solving the problem. This element provides a business justification for the expense of implementing a project.
- **Financial Plan** – The Financial Plan details the costs of the project, including those of hardware, software, Gwinnett County human resources, and consulting.
- **Communication Plan** – The Communication Plan documents the guidelines and avenues of communication that will be used to inform the CJIS community of the project and its benefits. This plan should address both internal and external communication.
- **Performance Metrics Evaluation Plan** – The Performance Metrics Evaluation Plan documents the nature of the performance metrics for a project, including the object of the measurement, how the metrics are identified and measured, and the project's intended outcomes.
- **Risk Management Plan** – The Risk Management Plan describes how the Project Team will identify and document any potential risks and the actions it will

take if a risk is triggered. The plan includes the Risk Register, which is an itemized list of possible risks that the team identified.

- **Process and Organizational Change Plan** – The Process and Organizational Change Plan addresses the changes that will occur in an agency, how those changes will affect the process and the employees, and how the agency can prepare for the changes.
- **Ongoing Maintenance and Support Plan** – The Ongoing Maintenance and Support Plan defines who maintains the system, provides users with support for software maintenance agreements, and oversees the maintenance and support budget.

1.2. Project Execution Methodology

The Project Execution Methodology addresses how a project will be managed once it is implemented. This methodology will address the following:

- **The Project Schedule** is a high-level schedule of the vendor's proposed implementation plan broken down by major phases of the project's functional and technical requirements.
- **The Work Breakdown Structure (WBS)** is a deliverables-oriented, hierarchical breakdown of the work to be performed on a project. The WBS identifies all of the project's direct cost items (such as labor and material).
- **The Project Overview and Implementation Strategy Plan** is a narrative that describes in detail how the project will be implemented: what the tasks will be, who will execute them, when during the project they will be executed, and any dependencies.
- **The Requirements Management Plan** is used to identify a project's requirements and to track its progress against the requirements. A Requirements Traceability Matrix (RTM) is used to track all requirements and demonstrate how the project satisfies each itemized requirement.
- **The Quality Management Plan** addresses a project's quality and how quality will be continually maintained and evaluated.
- **The Migration Plan** documents how the current business process will be moved to the new process once a project is ready to go into production. The Migration Plan may include data conversion and electronic integration points. To prevent significant disruption of the business process, the migration must be planned and orchestrated carefully.
- **The Training Plan** describes how training will be conducted and should include class schedules, class syllabuses, prerequisites, class sizes, and target audiences. The Training Plan also should address who will be conducting the training, what facilities and equipment will be needed, and the training material's contents.

- **The Test Plan** will define unit testing, system testing, and integration testing. It should include test scripts as well as policies and procedures for testing, debugging, and regression testing. User testing and acceptance testing should be defined and planned carefully.

1.3. CJIS Management Plan (PMP) Process

The definition and creation of the business requirements for a new project is called the CJIS Management Plan (PMP) Process. This process is designed to provide a consistent method for cataloging best practices for project management. The PMP will provide a checklist for the PMO to develop before presenting a project for consideration to the Information Technology Executive Committee (ITEC). Each plan in the PMP addresses a particular aspect of each proposed project. The PMP will demonstrate to County Stakeholders that the PMO and the CJIS Community of Interest (COI) analyzed the alternative approaches to the business problem and plan for a successful implementation. The PMP should be considered a living document that will evolve over time as lessons are learned and new project management processes are included. The PMP will provide a structured approach to the planning and implementation of a project.

1.4. CJIS Project Management Office

The CJIS Project will serve many stakeholder groups in the County. To refer to these various groups, the remainder of this document uses the following definitions:

- **CJIS Program Manager** – The individual who manages the CJIS Program Management Office (PMO) and reports to the CJIS COI
- **CJIS Project Manager** – An individual who manages a specific CJIS Project
- **CJIS Stakeholders** – The combination of all individuals who work in criminal justice organizations in the County
- **County Executive Stakeholders** – County executives who manage and approve County financial appropriations.
- **County Stakeholders** – All individuals in the County who will be affected by the CJIS Project.
- **CJIS Planners** – Individuals who use the PMP methodology to plan CJIS Projects.
- **Project Team** – Individuals who execute a specific project.
- **CJIS Support Team** – Individuals who continually maintain and support the CJIS Infrastructure.

This page left blank intentionally.

2. Business Case

A Business Case defines a business problem that will be addressed by implementing a new project. The Business Case is created to explain and illustrate the vision for improving the justice system and persuade others to help achieve it. The Business Case answers the question, “Why are we doing this?” County Executive Stakeholders will consider it when assessing the pros and cons of proposed projects. The Business Case presents the business issues; identifies the project’s options, benefits, costs, and risks; and defines the project’s scope. The function of the Business Case is to help gain approval from senior County Executive Stakeholders to proceed and address the stated business problem and obtain common agreement to go forward with the proposed solution. The Business Case should include the following sections, each of which is addressed in detail below:

- Scope of the Business Problem
- Business and Operational Impacts
- Possible Options and Alternatives
- Best Option to Meet Business Requirements.

2.1. Scope of the Business Problem

Every project begins with a why and a how: Why do we need this new technology, new software, new hardware, or new service? How does it benefit customers, employees, departments, and agencies?

The first step in proposing a new CJIS Project is to define the business problem. In defining the problem, the County must be specific when explaining it and offer actual, real-world issues that it creates. For example, the agency interviews reveal that substantial time can lapse between a Judge’s signing of a warrant and its entry into the Sheriff Department’s (Sheriff) warrant tracking system and the Georgia Crime Information Center (GCIC). The latency in this process can be attributed directly to the paper-based nature of the warrant process. The Sheriff’s Department does not enter the warrant into its system until it receives the original paper copy. This process is in place to ensure that individuals are not arrested without an active warrant.

The potential problem created by the delay of entering data into the warrant tracking system is that wanted persons may not be arrested because law enforcement is unaware of the outstanding warrant. The potential solution may be to integrate the existing electronic warrant system with the Sheriff’s business process.

When defining a business problem, the benefits of solving it may seem obvious. However, not all benefits may be obvious, and even the obvious ones should be pointed out and fully explained. In the example of the warrant, another major benefit is officer safety. If an officer knows in advance that he or she is dealing with a wanted individual,

the officer will certainly have a different disposition when approaching the individual. Also, benefits for the agency directly involved in the business process are usually easy to identify and quantify; however, benefits to outside agencies can be overlooked sometimes. When making a business case, the requesting agency should examine all possible benefits to the agency and those to other agencies.

2.2. Business and Operational Impacts

The next step in developing a Business Case is to explain the internal and the external impact of the problem. Although the impacts are mentioned when the scope of the problem is defined, they should be expanded in detail in this section. The business problem's impact on the business process should be detailed and quantified. The operational impacts may include statistical data on frequency, duration, and severity. In the warrant example: Do we know how many warrants are affected? Do we know the best case, average, and worst case times for a signed warrant to be entered in the warrant tracking system and the GCIC?

The operational impacts also may quantify potential downstream issues with other agencies that receive inaccurate data or data that contains typographical errors; for example, how much extra effort do agencies require to process and remediate these errors? The project's intangible benefits should also be discussed, including overall public safety, officer safety, limits on potential financial liability, and public satisfaction with the justice system. Finally, when discussing the problem's impact, people whom the problem affects should also be identified, and how these people can benefit from the solution:

1. Agency customers or clients
2. Agency employees
3. Other agencies in the County
4. Other agencies outside the County but in the State
5. Other agencies outside the State
6. The public
7. Private companies.

2.3. Possible Options and Alternatives

Once the business problem is documented, the next step is to present a series of potential solutions. Although some problems may have only one solution, most can be solved in several ways. Also note that a potential solution could be to do nothing. Is the cost of doing nothing significantly less than that of establishing and executing the proposed project? The agency developing the Business Case should show that its personnel did their homework and provide an overview not only of the proposed

solution but also of alternative solutions. When researching possible alternatives, agencies should keep in mind that alternatives could mean non-technology related solutions or solutions that leverage existing technology.

2.4. Best Option to Meet Business Requirements

After presenting all possible options and alternative solutions, the Business Case must determine which option best solves the business problem and meets the operational requirements. A list of the alternate approaches' pros and cons is often helpful to communicate the methodology used to determine the best option. The Business Case also must address how the best option meets any required performance metrics determined during the evaluation. In the warrant example, the best option could recommend that the proposed solution enable the Sheriff to update the warrant tracking system and the GCIC within 15 minutes of receiving an active warrant. The end of this section should summarize the reasons the best option best meets the agency's business and technology needs and fits best in its organization and culture.

This page left blank intentionally.

3. Financial Plan

3.1. Introduction

After making the business case for a new project, it is important to document the project's overall financial cost. The Financial Plan is essential to inform County Executive Stakeholders that the agency analyzed and identified the project's financial costs thoroughly. The Financial Plan lays out the costs of implementing and maintaining the project, including those for:

- Vendors and consulting
- Hardware
- Software
- Gwinnett County human resources (during the implementation and ongoing)
- Additional burdens on the County's existing IT infrastructure and resources (networks, servers, emergency recovery, and storage capability)
- Ongoing maintenance and support.

3.2. Vendor and Consulting Costs

Gwinnett County will be implementing most of its new CJIS Projects through fixed price contracts with private vendors that provide consulting and implementation services. This approach offers the County a number of advantages:

- The County can contract with experienced industry professionals.
- The County does not need to retain expensive IT resources after a project is completed.
- Vendors will provide a firm fixed price for each phase of a project
- The County can limit the number of full-time employees dedicated to the CJIS.

To hold vendors accountable to the County's fixed price contracts, the CJIS Program Manager will need to develop clear, comprehensive system requirements for each CJIS Project. When defining a project's system requirements, the County does not want to be vague; this can cause an expensive change order with the vendor.

3.2.1. Agency System Vendor Costs

Vendor costs may be associated with modifications to the County's existing applications to enable integration with the CJIS. Integration with the CJIS requires data to be extracted and inserted into an agency's operation system. The integration model may

be straightforward if there is a well-documented Application Programming Interface (API) for moving data in and out of an application. The CJIS Integration Broker may be able to pull and push data directly into an agency's application database directly, but there is always an inherent risk of damaging the database's referential integrity when inserting data directly into it. Moreover, this type of integration may violate the terms and conditions of the vendor's software maintenance agreement.

To keep the maintenance agreement, the County may be required to pay the application vendor to certify the integration method. To avoid unplanned costs of certifying the interfaces, the County should clearly understand the selected vendor's intended integration model and its potential effects on the operational systems. Many vendors will consider these certifications outside the scope of the project, and the additional costs could fall on the County. Therefore, it is important to identify these integration points early and include them in the project budget.

3.2.2. Hardware Requirements

The initial CJIS Integration Project will provide the hardware infrastructure required to operate the Information Broker, Message Infrastructure, Query Portal, and Application Adapters. (For a full description, see the Integrated Justice Technical Architecture document.) This hardware will provide the technical footprint for all future CJIS Projects. As the size and scope of the overall CJIS Project grow, this hardware will be the core of all future enhancements. The County should ensure that the hardware scoped for this initial infrastructure is robust and scalable for future CJIS Projects. Fortunately, hardware vendors have developed highly scalable server platforms that include multi-processor configurations and blade server technology that allow plug-and-play scalability at a reasonable cost.

Once the core hardware is deployed, the County may need to purchase additional hardware for each project to develop interfaces (Application Adapters) into agency systems or for new applications. CJIS Planners should carefully consider any potential new hardware required to implement new features and functionality. For example, an agency may require the system to integrate through a secondary server and a mirrored server to connect to the CJIS for performance or security.

3.2.3. Software Requirements

Similarly to the hardware profile, the initial CJIS Integration Project will provide the core software required to operate the Information Broker, Message Oriented Middleware, Query Portal, and Application Adapters. The County should have a full understanding of the cost of scaling the software configuration as the features and functionality of the CJIS are expanded. Each software vendor applies different pricing models as a system scales up from its initial implementation. Future projects may require additional servers and processors that may have an associated cost for software and its ongoing maintenance. For example, Microsoft and many other leading vendors price their integration software by the number of active processors in the system server. The County should also consider the cost of operating a redundant or clustered server with

real-time failover. The price for upgrading software may double if a license is required for both the primary and the backup servers, though vendors may be willing to negotiate a reduced cost for licensing secondary failover servers.

3.2.3.1 Application Upgrades and Third-Party Software

CJIS Projects may require upgrades to existing applications or other third-party software needed to meet the requirements defined in the Business Case. Some of these upgrades may not be obvious to an outside vendor. For example, the County may wish to integrate an existing system's capabilities throughout the justice system. The resultant project may require the County to purchase a new module of the product that includes support of the latest version of the Global Justice XML Data Model (GJXDM). This module's cost and technical specifications may be handled through the County because it already owns the software and has a relationship with the vendor. Or, an agency may prefer the CJIS to integrate to its system through a third-party adapter, such as iWay or other application-specific software modules, for performance or security. For either integration, the County will need to account for the costs either directly or in a proposal or an estimate.

3.2.4. Gwinnett County Human Resources

The single largest cost for most IT projects is human resources. CJIS Planners need to provide realistic assessments of the true requirements for Gwinnett County resources, including CJIS Management, IT Department, and agency stakeholders required to plan, test, and implement a new project. It can be easy to underestimate the time that agency stakeholders require to interact with the implementation vendor for requirement clarification and acceptance testing.

The CJIS Project will have a small dedicated staff to manage and oversee it. The County may choose to supplement this dedicated team with additional County resources whom it will assign to the CJIS Project during its implementation. These additional resources represent an opportunity cost for the County because they will be unable to perform other valuable work while they are assigned to the CJIS Project. It will be crucial for CJIS Planners to clearly understand the responsibilities of the implementation vendor versus those of County resources, including:

- Who installs the hardware?
- Who configures the server?
- Who is responsible for the application software?
- Who conducts the training? Will it be formal or train-the-trainer? What level of skill is required to provide it?
- Will any County or agency networking resources be needed to make changes to the existing network or install any new components?
- How many agency resources are required to perform acceptance testing?

- Will any additional employees be needed to help maintain the hardware or the software after implementation?

3.2.4.1 Training Cost

The cost of training Gwinnett County users can be substantial because of the sheer number of users who need to be trained. Many IT projects underestimate the cost of training, which can translate into user dissatisfaction and a perception that the project is unsuccessful. Moreover, training should not be considered a one-time activity that occurs when a project is initially put into production. Training will need to occur over time to refresh the knowledge of the current employees and train new employees as they join the user community. The County should consider the “train-the-trainer” approach, with which the implementation vendor will train selected “super-users” who can then train other County employees. This approach has several distinct advantages, including:

- The County develops an internal training capability.
- The County can conduct additional training without the vendor.
- County resources can be less costly than vendor resources.
- The County can add to the training over time as changes are implemented.

In addition to traditional classroom training, several methods to train employees on new systems or new processes can be incorporated to save time and money, including:

- **Training Manuals** – Each new project should include a training manual that users can use to teach themselves at their own pace. Many users are increasingly familiar with computers in their everyday life and can learn directly from a well-written manual.
- **Computer-Based Training (CBT)** – CBT provides users with self-paced learning at their PCs. Although elaborate CBT can be expensive to produce; the cost is one time only. Once developed, CBT allows employees to take the training at times that are convenient for them, when there is the lowest impact on their duties. CBT does not have to be elaborately produced; to develop “lightweight” CBT, the County can use Microsoft PowerPoint or commercially available CBT development tools at a low cost.

3.2.5. Additional Burden on Existing County Information Technology Infrastructure

The implementation of new CJIS Projects may require the County to upgrade its existing information technology infrastructure. CJIS Planners should be aware of any additional performance loads that new CJIS Projects may impose on existing networks, servers, desktops, and systems for disaster recovery and storage. New CJIS Projects may need to include additional hardware or configuration changes to Gwinnett County’s

existing technical infrastructure before a new system can go into production. It is recommended that the CJIS Projects use a lightweight desktop client to avoid the need to upgrade the users desktop PCs beyond the County's current standard configuration.

3.2.6. Ongoing Maintenance and Support Cost

Ongoing maintenance and support is the key to the long-term success of any IT project. This is especially true for CJIS integration projects because of the inherent complexity of integrating multiple independent agencies. CJIS Planners must consider all the ongoing maintenance costs required to support the hardware, software, and any custom configuration or code the implementation vendor creates. Industry market research firms such as Gartner and Forrester Research suggest that IT projects typically require 15 percent to 20 percent of the initial purchase price for ongoing maintenance and support costs. The CJIS Project may be able to take advantage of economies of scale because CJIS Projects will rely on the same core technologies to implement each new feature and function. Once the core Information Broker, Message Oriented Middleware, Query Portal, and Application Adapter model is supported, the County will be able to take advantage of the existing support contracts on these products. However, there will still be a quantifiable cost for each new proposed project to the system.

3.3. Project Cost Metrics

Cost metrics are historical measures of the cost of CJIS information technology projects. CJIS Projects will be developed within the CJIS Technical Enterprise Architecture standards and become highly repeatable over time as the design and implementation methodology become established in the County. The County should develop these historical cost metrics from projects that were successfully completed. The cost metrics will allow CJIS Planners to predict future cost with high certainty. For example, the cost of implementing additional Justice Information Exchange Model (JIEM) events or new exchange "agencies" will be a known quantity based on actual data. Once a baseline of historical cost metrics is established, the County will be able to benchmark their cost against other jurisdictions and vendor proposals.

3.4. Return on Investment (ROI)

Determining a Project's potential return on investment (ROI) is imperative for evaluating the overall project's worth and therefore determining whether pursuing it is in the County's best interest. All successful CJIS Projects will require complete support from County Stakeholders and funding bodies. The key to achieving support for a project is to demonstrate how it will provide the County with business value. The most popular and easiest way to demonstrate business value begins with a realistic and accurate calculation of ROI. The Financial Plan provides information on what personnel and financial resources a project will require and in the end what it will deliver. The standard Accounting 101 method for calculating ROI is:

ROI = Business Value / Project Investment Cost

where business value can be demonstrated and calculated in several ways, including:

- Improved current business processes
- More efficient processing of individuals through the justice system
- Improved access to crucial information by justice officers
- Improved access to interagency statistics for enterprise management
- Reduced operating costs
- Reduced operating errors (and associated costs)
- Fewer manual processes.

ROI is notoriously difficult to calculate for IT projects even in private sector firms. The situation is even more difficult when considering the many intangible benefits of integrated justice systems, including:

- Increased public safety
- Officer safety
- Limited potential financial liability
- Overall public satisfaction with the justice system.

While private companies can focus purely on the return in dollars and cents on their investment, CJIS Planners must determine a method to present these intangible benefits clearly to County Executive Stakeholders who make funding decisions. The following sections discuss the process of documenting direct and intangible business benefits in the criminal justice environment.

3.4.1. Direct Project Benefits

A direct benefit is something that can be identified, quantified, and measured easily. Several examples of the direct benefits of implementing a Project are listed below.

3.4.1.1 Improved Current Business Processes

Each Gwinnett County justice agency's business process is supported by its internal operational systems; however, the interagency business transactions are based on sending and receiving paper documents. The information in the paper documents must be re-entered into each downstream system. The process of re-keying information is a time-consuming process that presents many possibilities for typographical errors. Throughout the interviews for the Strategic Plan, each agency expresses its frustration with the time it takes to process someone through the Gwinnett County Justice System. Much of the time is spent waiting for paperwork to be processed by one agency then forwarded to the next agency in the process.

For example, the Booking Sheet is generated by the Detention Center's TAG system from information that was input from a paper warrant or citation. The Booking Sheet is then printed and forwarded to the District Attorney (DA) or Solicitor. The DA or Solicitor then inputs the information on the Booking Sheet into its system. Implementing a Project that allows for data to be transferred from one agency to another would improve the business process greatly by decreasing the time it takes to share and input data and by reducing opportunities for errors.

The Improvement of the overall business process provides CJIS Planners with several avenues for calculating ROI. There is the obvious cost savings of eliminating data entry work and the transportation cost of moving paper documents. However, there are also "opportunity costs savings" that may not be as self evident. For example, if law enforcement officers are not spending a significant percentage of their time processing and transporting paper documents, they can apply that time savings to additional time on the street protecting the public. Also, the improved electronic business processes can also add value by increasing the effective use of judicial resources. What is the cost of adding another division of a Court, including the Judge, Judge's staff, Prosecutor staff, courtroom facilities, and Clerk of Court support staff? Imagine if the CJIS Project could streamline processes to postpone or eliminate the County's need to add another division of a Court.

3.4.1.2 Improved Access to Crucial Information by Justice Officers

Improved access to crucial information allows justice practitioners to make better decisions that support public and officer safety. Whether it is a law enforcement officer making a traffic stop or responding to a domestic dispute, or a judge determining whether a defendant should be given bail or a sentencing decision, it is crucial for justice practitioners to have all the relevant information required to make the "right" decision. CJIS Projects will provide justice practitioners with easy, real-time access to complete information on the person they are dealing with and allow them to make better informed decisions. CJIS Planners should document the inherent value this type of access provides to the justice system for County Executive Stakeholders to consider. This type of benefit is best communicated through examples of current and future real-world scenarios that demonstrate how the CJIS will be used.

3.4.1.3 Improved Access to Inter-Agency Statistics for Enterprise Management

Each participating CJIS agency has a solid understanding of its internal caseloads and can generate operating statistics from their systems easily. However, the County does not have an easy method to generate interagency operational statistics when business processes cross agency boundaries. Implementing the CJIS Projects will allow the County to understand these interagency statistics by reporting on the way CJIS information is shared and distributed. Using statistical information to analyze the interaction among agencies will enable County administrators to better manage the enterprise; statistical information will help them determine where there is stress on the system or where there are bottlenecks. It also will allow County administrators to

determine where the system works efficiently. The CJIS COI can also use statistical information to determine which projects are the most beneficial to the whole Gwinnett County Justice System and what the next step should be in the ongoing improvement of the system.

3.4.1.4 Reduced Operating Costs

Paper-based processes such as the County's have many inherent costs; for example, the cost of the multi-copy carbon forms and cost of making multiple photocopies that must be distributed across the justice system. Moreover, there may be many facility- and infrastructure-related costs, such as the cost of housing inmates in the Detention Center longer than necessary owing to manual business processes. Moving to an electronic business process that allows for the electronic transfer of data between disparate systems will increase the efficiency of the process and decrease costs, whether it is the cost of paper, of data entry clerks, or of housing an inmate.

3.4.1.5 Reduced Operating Errors (and Associated Costs)

Repeatedly, agencies state that they spend much of their time double- and triple-checking information received from other agencies because the information on paper documents is inconsistent. The process of manually typing data into a system allows for many opportunities for errors, whether it is a misspelled name, or an incorrect birth date, Social Security number, or address. The process of mediating these mistakes can be labor intensive. Sharing the data electronically will eliminate these opportunities for errors and the associated cost.

3.4.1.6 Fewer Manual Processes

Manual processes are any business processes that require a person to do something before the adjudication process can continue. Many agencies report that they spend considerable time organizing and tracking the appropriate case documents before proceeding to the next step in the process. CJIS can provide a significant value if the shuffling of paper can be consolidated into an electronic case file that can be organized automatically by primary case numbers. The electronic case folder will allow for data to be captured at the point of origin and forwarded downstream automatically.

3.4.2. Intangible Project Benefits

An intangible benefit is something that is more esoteric and that cannot be quantified or measured easily. Intangible benefits to justice system are more about public and officer safety than about costs on a spreadsheet. Several examples of the intangible benefits of implementing a Project are listed below.

3.4.2.1 Increased Public Safety

Implementing a Project increases public safety in many ways. The ability to share information quickly and securely reduces the risk of a dangerous person being inadvertently released from custody because of insufficient or inaccurate information. The CJIS Projects will speed up the administrative processes for law enforcement, allowing them to return to the streets, where they can actively protect the public instead of process and physically transport paper documents. The CJIS Projects also will provide Judges with access to more complete information on defendants and offenders at crucial decision points such as determining bond conditions and sentencing.

3.4.2.2 Officer Safety

When responding to an incident, a law enforcement officer rarely knows the true situation and the extent of the danger ahead of time. Even something as seemingly simple as a traffic stop can become deadly without warning. Increasing the speed, accuracy, and completeness of the information law enforcement officers receive before and during any situation will allow them to assume appropriate defensive posture. For example, access to information on outstanding warrants, a history of violence, or previous gun-related charges will dramatically affect how an officer approaches any situation.

3.4.2.3 Limited Potential Financial Liability

Any time there is a breakdown in the justice system that allows for the erroneous release of a criminal or a delay in a law enforcement officer receiving information on a dangerous subject, the County can become liable for the consequences of these mistakes. A person or a computer system can cause these types of mistakes. Several jurisdictions across the nation were plaintiffs in lawsuits that resulted from mistakes in their business processes. Implementing CJIS Projects can greatly decrease the risk of mistakes by either people or computers by providing built-in safeguards. CJIS Planners should consider the potential savings to the County by reducing the chances of these crucial errors that could present the County with potential financial liability.

3.4.2.4 Overall Public Satisfaction With the Justice System

In today's world of instant gratification and immediate access to information, the public has little patience with government systems that can not offer immediate response to their needs, whether it is the ability to pay a traffic citation over the telephone with a credit card, check on the status of a trial, or check requirements for jury duty. Implementing CJIS Projects can provide the public with capabilities that will increase their satisfaction with the justice system and County managers.

This page left blank intentionally.

4. Communication Plan

Proactive communication is important on all projects. The CJIS Program Manager must make sure that all CJIS Stakeholders have the information they need to complete a successful project. Communication is a vital way to manage expectations for the project and avoid potential scope creep. For smaller projects, communication is fairly simple and does not require much proactive effort. However, communication gets much more complex as a project's depth and scope increase. Larger projects require a structured, systematic Communication Plan. This plan will allow CJIS Planners to think through the process of communicating with the various groups of constituents most efficiently and effectively. Effective communication means that the County provides information in the right message, at the right time, to the right people.

The Communication Plan provides guidelines and channels of communication for a project. A well-formulated and well-executed Communication Plan is crucial to maintain enthusiasm and momentum for the project's overall success. The benefit of a well-developed Communication Plan is that all CJIS Stakeholders will receive information that is relevant to them. The Communication Plan should address all formal communication such as status meetings and status reports as well as more informal communication such as e-mail.

The Communication Plan will address who oversees project communication. The designated person should be identified by function (CJIS Program Manager, CJIS Project Manager, Functional Team Leader, Vendor, and so forth) rather than by name. Once completed, the Communication Plan should be shared with all CJIS Stakeholders and integrated into the formal project plan. The Communication Plan should contain the following sections, which are described in detail below:

- Communication Strategy
- Communication Channels
- Roles and Responsibilities.

4.1. Communication Strategy

The Communication Strategy describes strategies for communicating with the CJIS Stakeholders. The Communication Strategy will help CJIS Planners determine the target audience for the project communication. This audience is diverse, and attention must be paid to address this diversity; each group of CJIS Stakeholders may have a different set of information that is relevant to them. The Communication Strategy will **identify** each distinct group of stakeholders, and determine how the message will be **developed** and **delivered** to the targeted audience.

- **Identify** – For each issue to be communicated, the CJIS Stakeholders must first identify the target stakeholders. The impact of a project on the stakeholders must be clearly understood. Many of the stakeholder groups will be easily

identified, and others can be identified in interviews, at project meetings, and by talking to subject matter experts at the agency. CJIS Planners should not assume a certain level of prior knowledge of a project. Each stakeholder group's prior knowledge of the project and their prior knowledge of the agency's processes must be determined; this ensures that stakeholders will be able to understand the message when it is delivered.

- **Develop** – After an issue is matched to a stakeholder group, the appropriate message must be developed. The message's intended objectives must be considered, along with the means by which the objectives will be reached. The message must be communicated in terms the stakeholders can understand, which goes back to knowing the audience. Knowing the level of impact on a stakeholder group makes it easier to develop an effective message.
- **Deliver** – When the message is finalized, the most effective communication channel for that stakeholder group must be determined. Delivery strategies must take the differences between reaching internal and external stakeholders into account. The best “messenger” for a particular stakeholder group must also be determined. Often, an executive manager of an agency may be the best person to deliver the message, though he or she may not be the developer of the communication material. A communications network must be established to allow a two-way flow of information from the CJIS Project Manager to the CJIS Stakeholders and vice versa. These feedback channels are essential to measuring a communication plan's success.

The CJIS Planners should answer each stakeholder's questions about the project's goals and objectives. For example, CJIS Executive Stakeholders will require high-level information, and CJIS Stakeholders will be interested in the specifics of how the project will affect their day-to-day job activities. The project's timing and its importance to their agency should also be explained. Many forms of communication such as overviews and status reports will be of interest to all stakeholder groups.

4.2. Communication Channels

Project communication can take many shapes and forms. In this step, CJIS Planners should consider how to fulfill the communication needs for each stakeholder group. When possible, planners should look for types of communication that can cover more than one stakeholder's needs. Also, some communication will be “pulled” by the target audience, and other communication will be “pushed” through e-mail or at a formal meeting. The recommended communications tools for a Project are described as follows:

- **CJIS Project Portal or Web site** – The CJIS Portal will house all project management and deliverable documentation to allow easy access for all stakeholders.
- **Monthly CJIS Electronic Newsletter** – The newsletter will serve as a high-level project status report in a “push” format such as e-mail. The newsletter can be a digest of the weekly status reports submitted by CJIS Program Manager and the vendor.

- **Formal Project Meetings and Minutes** – Projects will require regular meetings with various business and technical teams. Minutes from these meetings should be taken and posted on the Project Portal.
- **Participation in Local, State, and National Conferences and Symposia**
- **Media coverage (print and TV when approved by the CJIS COI)**
- **Targeted Presentations for Stakeholder Groups**
- **PowerPoint Presentations, Pamphlets, or Brochures**
- **Updates by the CJIS Program Manager and the vendor at CJIS COI meetings.**

4.2.1. CJIS Project Portal

Establishing a Project Portal or Web site will provide the Project Team with a location to store project artifacts and a way to keep any interested parties updated. Most Web sites can be set up to have a public area used for publishing completed documents that can be shared with anyone and private areas that can be used as shared workspace. Team members can use this shared workspace to collaborate on documents before completing them.

The Project Portal can be used to publish:

- Presentations
- Project deliverables
- Status reports
- Newsletters
- Contact lists
- Project updates
- Project calendars
- Meeting schedules
- Meeting minutes
- Training schedules
- FAQs (frequently asked questions) about the project.

The Project Portal may also have a link to a central project e-mail account that can be routed to the Project Manager. The project e-mail account will make it easy for stakeholders to submit comments, suggestions, and questions on the project. Project Team members must be trained on the operation of the Project Portal so that they know how to add and update content. Also, each team member should know his or her responsibility for maintaining the portal's content during a project. For example, team leaders who hold important design meetings must post the minutes of their meetings.

4.2.2. Monthly CJIS Electronic Newsletter – E-mail (Status Report Summary)

Portals are wonderful tools for communicating with large numbers of people, but the information on a Web site is distributed only if someone visits the site and reads what is available. Another method for communicating is with newsletters. In the old days,

newsletters were distributed on paper; today, newsletters are sent by e-mail. Newsletters should be sent monthly to CJIS Stakeholders and include an update on a project's progress and a list of upcoming meetings or training sessions. The newsletter also should include interesting, behind-the-scenes information – something to get people interested in the project. This could consist of brief profiles of team members or teasers about a function or a feature of the new application that will make life easier for the CJIS community.

4.2.3. Formal Project Meetings and Minutes

Each project will require formal project meetings that bring stakeholders together to develop consensus and make business decisions. To set the future direction of a project, these meetings often define system and business process requirements. Unfortunately, because of time and scheduling constraints, not all project stakeholders can attend every crucial meeting. So that absent stakeholders can review and understand important decisions that are made, it is important to capture the minutes of these meetings and document the rationale for the decisions. The minutes of important meetings should be e-mailed to vital stakeholders and posted on the Project Portal in a timely manner.

4.2.4. Participation in Local, State, and National Conferences and Symposia

The criminal justice community is large and well organized. National, State, and regional conferences are held annually; these provide members of the criminal justice community with an opportunity to meet and get to know others outside their immediate area. These conferences provide an opportunity to learn about new trends in business processes and technology. These conferences will be important to the growth and expansion of the County CJIS and should be attended when possible by Gwinnett CJIS Stakeholders.

4.2.5. Media Coverage (Print and TV When Approved by the CJIS COI)

Community involvement and support can be very important in the successful implementation of a Project, especially if there is a direct impact on how an agency does business with the public. Identifying someone who can work directly with the media to provide positive coverage through print, TV, or radio can be an asset to a project's implementation. Keep in mind that agency employees are also usually members of the community, and they may be more likely to pay attention to information in the local media. Of course, the CJIS COI should formally approve any information disseminated to the media first.

4.3. Roles and Responsibilities

The Roles and Responsibilities section of the Communication Plan will assign specific Project Team members to each message. CJIS Planners will determine who will

develop communications for the various constituent groups. Each type of communication will have a different audience, and a different project member (the CJIS Program Manager, Project Manager, Functional Team Leader, vendor, and so forth) will need to create it. To decide on the Communication Plan's structure, CJIS Planners will consider the following tasks:

- **What** is the message?
- Who should **develop** the message?
- Who should **deliver** the message?
- Who is the **target** audience?
- What is the **purpose** of the message?
- **When** should the message be presented? What is the **frequency**?
- What is the communication **channel** or **method**?

The Communication Plan will contain a Communication Responsibility Matrix for implementing the Communication Strategy during a project. Table 4-1 provides an example of a Communication Responsibility Matrix.

What	Developer / Delivery	Target	Purpose	When / Frequency	Channel / Method
Distribute Project Plan	Project Manager	All stakeholders	Distribute the plan to alert stakeholders to the project's scope and to develop buy-in.	Before the kickoff meeting Before the project's start date	Distribution in hardcopy and electronically on the Project Portal
Hold Project Kickoff Meeting	CJIS Program Manager / Project Manager	All stakeholders	Communicate plans and stakeholders' roles and responsibilities.	At or near the project's start date	Meeting
Distribute Status Reports	Project Manager	All stakeholders and the PMO	Update stakeholders on the project's progress.	Monthly	Distribution by e-mail and on the Project Portal
Hold Functional Team Meetings	Project Team Leads (vendor)	Functional Project Team	Review detailed plans.	Regularly scheduled	Meeting

What	Developer / Delivery	Target	Purpose	When / Frequency	Channel / Method
Distribute Agency Impact Analysis	Project Manager / Agency Functional Lead	Agency business employees affected by the project	Communicate changes to day-to-day activities after the project is implemented.	After project requirements and changes to business processes are finalized	Distribution in hardcopy and electronically on the Project Portal.
Distribute Meeting Minutes	Meeting Leader	Project Team	Communicate important decisions reached at the meeting.	After meeting is complete	Distribution by e-mail and on the Project Portal

Table 4-1 Communication Responsibility Matrix

5. Performance Metrics Plan

5.1. Credits

The Performance Metrics Plan will leverage the work and methodology developed by SEARCH (The National Consortium for Justice Information and Statistics) in “Measuring the Success of Integrated Justice: A Practical Approach” by Bob Roper and Teri Sullivan from September 2003 (updated and reissued in 2004). The entire document can be downloaded from the SEARCH Web site at <http://www.search.org/files/pdf/PerformanceMeasures.pdf>.

SEARCH is a nonprofit membership organization created by and for the states. Since 1969, SEARCH's main objective has been to identify and help solve the information management problems of state and local justice agencies confronted with the need to exchange information with other local agencies, state agencies, agencies in other states, or the federal government.

5.2. Overview

Justice system organizations began implementing information technology projects more than 30 years ago. Early automation offered a quantum leap over the completely manual paper-based processes that they replaced. Technology became the answer to every business problem, and financial resources were obtained easily because of the executive stakeholders' perceived high value of systems and technology. Jurisdictions did not consider defining measurable performance criteria in the race to automate major business processes and data repositories. They assumed that automation provides a clear ROI. As time went on, however, many projects failed completely; others suffered long delays, huge cost overruns, disappointing performance, or premature obsolescence.

The difficulty of achieving successful automation projects in the justice environment was compounded further by the realization that successful automation in a justice organization depends greatly on how well the system interacts with systems outside the organization. As the integration of justice information became a priority, additional levels of government began participating on integration-related projects, thereby requiring better communication and greater accountability. As a result of the difficulty in implementing information technology projects, funding became more difficult to obtain, and taxpayers demanded greater accountability. Justice integration projects must be initiated with clear, realistic, and unambiguous goals that participating justice officials at every level of government can agree on and monitor.

5.3. Why Measure Performance?

Funding bodies have become more wary of technology projects. In an era of tight budgets, CJIS Executive Stakeholders are concerned about receiving true business value for the resources committed to information technology projects. The public wants tangible proof that taxpayer dollars are being used responsibly and efficiently. If CJIS Planners want projects to be considered for scarce discretionary funds, they must be prepared to answer tough questions:

- How will we know if technology projects are on schedule and within budget?
- How can we tell if a new system really meets the goals of the initial funding request?
- How will you demonstrate that the integration initiative is a success?

Establishing quantifiable goals and performance metrics are the key to answering these important questions. Strong statistical evidence of a project's overall success is a compelling argument for CJIS Executive Stakeholders to continue to allocate funds to the CJIS Program. Once stakeholders begin to think of measurable performance, they will be more able to identify new potential projects and articulate the business case in quantifiable terms. Furthermore, performance metrics will provide a common goal for a Project Team to work toward and institutionalize a sense of accountability into the process. Performance metrics are important to CJIS Projects because they will:

- Establish a "baseline" for comparing the current business processes with the future integrated processes
- Demonstrate success and improve accountability
- Help obtain and allocate resources
- Build consensus and commitment in the justice community
- Ensure cost-effective ROI
- Align project goals with operational efficiency.

If success or failure is to be attributed to an integrated justice project, each goal must be associated with measurable business objectives. Building these measurable business objectives is an incremental process that begins with the identification of a business problem and the related justice system goal.

5.3.1. Performance Metrics for Intangible Benefits

Developing performance metrics in government, especially in the justice and public safety environment, is considerably different than in the private sector, where performance is measured routinely in dollars and cents. The differences arise when planners consider the many intangible benefits of overall public safety that justice integration can bring to a community. Public safety is hard to quantify and harder yet to measure. However, there is an undeniable human and economic value that public

safety brings to a community. Justice integration also provides other intangible benefits, including:

- Officer safety
- Limited potential financial liability against the County
- Overall public satisfaction with the justice system.

Although these benefits are also hard to measure directly, they provide the County with significant human, business, and economic value. When identifying specific performance metrics, CJIS Planners should analyze the components of these intangible benefits. For example, it is obvious that providing real updates of crucial criminal justice information will increase public safety but the actual measure we are tracking should be a quantifiable metric based on the business process.

5.4. Identify and Describe the Nature of Performance Metrics

The identification of performance metrics starts with the high-level business problem defined in the business case. The business problem will then be broken down into a subset of discrete elements that are the business process requires. Finally, specific performance metrics will be defined in quantifiable measures that one or agencies can measure directly. Then, the construction of measurable business objectives for a project becomes increasingly specific: the more specific, the more reliable the measure. This process includes six steps:

- Define the **measure** – what are we going to measure in the business process?
- Measure the **direction** – what effect do we want to have on the business process?
- Identify the **object** of the measure – what are the elements we are going to measure?
- Identify the expected **value** of the measure – what is the goal we want to achieve?
- Identify **where** the measurement will occur – where will we measure results of the project?
- Identify **when** the measurement will be obtained – when will we reach our expected goal? (Projects may take time to develop as users become more comfortable working with new technology.)

After the project is implemented, CJIS Planners will compare the measures with the baseline measured before the project was implemented. The Project Team will be able to document success when the measured performance aligns with all six steps in the evaluation process. The following section provides a step-by-step analysis of the definition of quantifiable performance metrics.

The example below describes a discrete performance metric for electronic updates to the Sheriff's Warrant File, with 80 percent of signed Arrest Warrants sent from the Magistrate Court to the Sheriff within 1 hour by June 2007.

5.4.1. Step 1: Define the Measure

Step 1	Define the measure: Elapsed time from Warrant signature to its entry in the Sheriff's Warrants File and the GCIC
Actual measure: Elapsed time	
Description: Substantial time elapses between when a Judge signs a Warrant and when it is entered into the Sheriff Department's (Sheriff's) Warrant tracking system and the Georgia Crime Information Center (GCIC). The latency in this process can be attributed directly to the paper-based nature of the Warrant process. The Sheriff does not enter the Warrant into its system until it receives the original paper Warrant. This process is in place to ensure that individuals are not arrested without an active Warrant.	

5.4.2. Step 2: Measure Direction

Step 2	Measure direction: Reduce time
Actual measure: Reduce the time to enter a Warrant into the Sheriff's system and the GCIC.	
Description: Step 2 indicates the direction of the basic measure. Sometimes, the direction is not necessary if the measure will obtain a specific level by a specific time; for example, send all signed warrants to the Sheriff electronically by June 2007.	

5.4.3. Step 3: Identify The Object Of The Measure

Step 3	Identify the object of the measure: Warrants
Actual measure: 80 percent of signed Arrest Warrants from the Magistrate Court	
Description: Step 3 identifies the object of the measure. This must be as <i>specific</i> as possible – what are you measuring against: Bench, Probation, or Fugitive Warrants? A different business process and resulting measure might be expected for different objectives; in this example, types of warrant or levels of Court (Recorder's, State, or Superior Court).	

5.4.4. Step 4: Identify The Expected Value Of The Measure

Step 4	Identify the expected value of the measure: 1 hour
Actual measure: Send 80 percent of Magistrate Arrest Warrants to the Sheriff electronically within 1 hour after the Judge's signature.	
Description: Step 4 identifies the expected value of the measure to be obtained. This will be compared with the actual value that is achieved.	

5.4.5. Step 5: Identify Where And How Measurement Will Occur

Step 5	Identify where and how measurement will occur: Sheriff's Warrant File
Actual measure: Update the Sheriff's electronic Warrant file. To obtain the statistical measures, compare the transaction logs of the EWI Warrant System with the Sheriff's Warrant File to determine the elapsed time and the percentage of total warrants submitted.	
Description: Step 5 identifies where you will be measuring the objective, such as an agency (the Sheriff). Where will you collect the actual empirical data? How will you collect and analyze the actual empirical data?	

5.4.6. Step 6: Identify When The Measurement Will Be Obtained

Step 6	Identify when the measurement will be obtained: June 2007
Actual Measure: Update 80 percent of Arrest Warrants from Magistrate Court to the Sheriff's electronic Warrant File by June 2007.	
Description: Step 6 identifies when the measure should be obtained. Funding bodies that are expecting ROIs are also expecting those returns (whether in money or another outcome) by a specific date. The actual delivery may be earlier than that date, or slightly later, but there must be a sustainable end. When establishing these dates, it is important to give the project time to mature (recover from the dip in productivity that comes with the introduction of any new technology).	

5.5. Sample Performance Metrics

The following section identifies examples of performance metrics from agency interviews and the JIEM analysis. Although this list is not exhaustive, it provides a series of examples directly related to Gwinnett County. The examples refer to the CJIS Integration Broker, which is the central technology that controls the flow of information among agencies and maintains enterprise security. The Integration Broker is the “central post office” for managing and routing information that flows through the integrated justice system. The CJIS Integration Broker contains a transaction log that CJIS Planners can use to create statistical measures (The Technical Architecture section of the CJIS Strategic Plan contains more information on the Integration Broker.) These examples provide performance metrics based on the first two steps of the process discussed in Section 5.4 and illustrate some of the *basic measures*.

5.5.1. Example 1: Arrest Warrant Process From Magistrate Court

Step 1	Define the measure: Elapsed time from Arrest Warrant signature to entry in the Sheriff’s Warrant File and the GCIC
Step 2	Measure direction: Reduce the elapsed time to enter an Arrest Warrant into the Sheriff’s system and the GCIC.
Step 3	Identify the object of the measure: 80 percent of signed Arrest Warrants from the Magistrate Court
Step 4	Identify the expected value of the measure: Send 80 percent of Magistrate Arrest Warrants to the Sheriff electronically within 1 hour after the Judge’s signature.
Step 5	Identify where and how the measurement will occur: Update the Sheriff’s electronic Warrant File. To obtain the statistical measures, compare the transaction logs of the EWJ Warrant System with the Sheriff’s Warrant File to determine the elapsed time and the percentage of total Warrants submitted.
Step 6	Identify when the measure will be obtained: Update 80 percent of Arrest Warrants from the Magistrate Court to the Sheriff’s electronic Warrant File by June 2007.

5.5.2. Example 2: Bench Warrant Processing From State and Superior Courts

Step 1	Define the measure: Percentage of total Bench Warrants processed electronically by the State and Superior Courts
---------------	-------------------------------------------------------------------------------------------------------------------------

Step 2	Measure direction: Increase the percentage of Bench Warrants processed electronically.
Step 3	Identify the object of the measure: Bench Warrants processed electronically
Step 4	Identify the expected value of the measure: Process 75 percent of all Bench Warrants from the State Court or the Superior Court to the Sheriff electronically within 15 minutes after the Judge's signature.
Step 5	Identify where and how the measurement will occur: To obtain the statistical measures, compare the transaction logs of the CJIS Integration Broker with the Sheriff's Warrant File to determine the percentage of total Bench Warrants submitted electronically.
Step 6	Identify when the measure will be obtained: Process 25 percent of Bench Warrants to the Sheriff's electronic Warrant File by June 2007. Process 50 percent of Bench Warrants to the Sheriff's electronic Warrant File by November 2007. Process 75 percent of Bench Warrants to the Sheriff's electronic Warrant File by March 2009.

5.5.3. Example 3: Warrant Service Notice From Sheriff

Step 1	Define the measure: Percentage of total Warrant Service Notices processed electronically by the Sheriff
Step 2	Measure direction: Increase the percentage of Warrant Service Notices processed electronically.
Step 3	Identify the object of the measure: Warrant Service Notices processed electronically
Step 4	Identify the expected value of the measure: Process 90 percent of all Warrant Service Notices electronically from the Sheriff to the Magistrate, State, and Superior Courts (all on the Sustain CMS).
Step 5	Identify where and how the measurement will occur: To obtain the statistical measures, compare transaction logs of the CJIS Integration Broker with the Sustain Case Management System (CMS) to determine the percentage of total Warrant Service Notices submitted electronically.

Step 6	Identify when the measure will be obtained: Process 50 percent of Warrant Service Notices to the Sheriff's electronic Warrant File by June 2007. Process 75 percent of Warrant Service Notices to the Sheriff's electronic Warrant File by November 2007. Process 90 percent of Warrant Service Notices to the Sheriff's electronic Warrant File by March 2009.
---------------	------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

5.5.4. Example 4: 1st Appearance Order Processing

Step 1	Define the measure: Percentage of total 1st Appearance Orders processed electronically by the Magistrate to the District Attorney and the Solicitor
Step 2	Measure direction: Increase the percentage of 1st Appearance Orders processed electronically.
Step 3	Identify the object of the measure: 1st Appearance Orders processed electronically
Step 4	Identify the expected value of the measure: Process 90 percent of all 1st Appearance Orders electronically from the Magistrate Court to the District Attorney and the Solicitor (both on the Prosecution System).
Step 5	Identify where and how the measurement will occur: To obtain the statistical measures, compare the transaction logs of the CJIS Integration Broker with the Prosecution System to determine the percentage of total 1st Appearance Orders submitted electronically.
Step 6	Identify when the measure will be obtained: Process 50 percent of 1st Appearance Orders to the Prosecution System by June 2007. Process 75 percent of 1st Appearance Orders to the Prosecution System by November 2007. Process 90% of 1st Appearance Orders to the Prosecution System by March 2009.

5.5.5. Example 5: Bond Processing

Step 1	Define the measure: Percentage of total Bond Release Notices processed electronically by the Detention Center to the District Attorney and the Solicitor
Step 2	Measure direction: Increase the percentage of Bond Release Notices processed electronically.
Step 3	Identify the object of the measure: Bond Release Notices processed electronically

Step 4	Identify the expected value of the measure: Process 90 percent of all Bond Release Notices electronically from the Detention Center to the District Attorney and the Solicitor (both on the Prosecution System).
Step 5	Identify where and how the measurement will occur: To obtain the statistical measures, compare the transaction logs of the CJIS Integration Broker with the Prosecution System to determine the percentage of total Bond Release Notices submitted electronically.
Step 6	Identify when the measure will be obtained: Process 50 percent of Bond Release Notices to the Prosecution System by June 2007. Process 75 percent of Bond Release Notices to the Prosecution System by November 2007. Process 90 percent of Bond Release Notices to the Prosecution System by March 2009.

5.6. Collecting Data to Support the Performance Measures

Creating measurable business objectives with the six-step method will ensure that a Project’s success or failure can be determined quantitatively. In reality, success is often a matter of degree rather than a yes or no question. For example, a Project may be successful at capturing only 60 percent of Magistrate Arrest Warrants instead of the planned 80 percent. When developing performance metrics, CJIS Planners should be careful not to overpromise and underdeliver, especially when planning a project’s success in absolute terms such as 100 percent. Many criminal justice processes can never be automated 100 percent. The same is true when assessing timeframes for implementation because it is important to realize that technology integration can take time before it becomes fully used throughout an organization. Business change occurs because of people, process, and technology. Even though a project’s technical solution was implemented successfully, it does not mean that the people and processes are ready for the change. CJIS Planners must make sure to provide sufficient ramp-up time for these aspects of the project to catch up with the technical innovations.

The CJIS Program is designed to reduce administrative tasks of processing cases through the criminal justice system. When developing performance metrics, CJIS Planners must determine whether the cost in time and resources is worth the effort when choosing a data collection method and should consider alternative methods.

CJIS Planners should identify metrics that can be collected with little or no effort from agency stakeholders through computer reports or automatic mechanisms. Fortunately, most CJIS integration projects will involve automated systems that can generate reports and transaction logs that can be cross-referenced against each another to provide statistical analysis of the performance metrics. When conducting step 5 in the metrics identification process, “Identify where the measurement will occur,” CJIS Planners should also identify how the metrics will be collected and analyzed. The following list provides helpful hints on designing successful performance metrics.

- **Baseline** – It is difficult to determine whether a new project is successful if the County does not know the value of basic measures before initiating a new program. For example, increasing electronic warrant processing to 80 percent means much more if that rate was 40 percent before project initiation than it does if the rate was 70 percent. The Project Team should compile statistics on the basic measures so the magnitude of process improvements can be documented.
- **Benchmark** – It is important to compare an agency’s practices, processes, or products with those that are doing it well in other jurisdictions (or in the existing jurisdiction). This process will measure best practice performance and help determine what the best jurisdictions are doing compared with Gwinnett County.
- **Trend analysis** – Another approach is to compile and compare the results of performance measurement over time. Gathering information on performance through the use of measurable objectives is not a one-time exercise (right before a budget hearing); it is something that should be tracked and refined continually over months and years. Trend analysis can also drive business processes to create specific performance criteria. For example, once the warrant system is activated, the adoption rate is 20 percent; after 4 months, it rises to 50 percent, but the goal is 80 percent adoption in 6 months. The trend analysis reveals that the Project Team has 2 months to apply additional management pressure and training to meet the project’s overall performance goal.

5.7. Displaying the Results

Once evaluation data is gathered and analyzed, it is important to publish and display the information. Although goals and objectives may not be reached immediately after completion of a project for various reasons, the delay is often due to people and change management issues that are difficult to overcome. People behave according to how they are measured, and publishing the results of the evaluation will help change local culture and encourage users to attain the measures and goals that were established. The key to displaying the results is to convert raw data into useable information. Delivering truckloads of output that is never read accomplishes very little. The following suggestions may be useful in converting raw data into useable information.

- **Convert data from words to pictures and graphs when possible:** People respond to visual images as long as they are simple and intuitive.
- **Use color to highlight the most important points:** Distribute monthly progress reports that list each aspect of the project with a color-coded key for metrics that trend toward success or failure. For example, agencies that meet the County’s standard are coded green; those that significantly exceed the current standard are coded blue; those that are making significant progress toward satisfying the stated standard are coded yellow; and those that need significant help in attaining the goals are coded red. No one wants to be coded red because of peer pressure and associated implications for public safety.
- **Publish the output regularly:** Users become dependent on feedback to improve. Information that is out of sight is also out of mind.

- **Do not overwhelm the audience with too much information – keep results short and simple:** A line graph can present much information in a simple format. On a graph that superimposes a trend line and standards on the actual monthly disposition-matching rate, the audience can see how actual electronic warrant processing rates are changing over time, where those rates are likely to be in 6 months, and how the actual rate compares with the stated goal.

5.8. Developing Performance Measures: Pitfalls to Avoid

Although the use of performance measures can help a justice organization determine its current status, decide where it should be, help it resolve problems, and help achieve its goals, caution is necessary. The following are common pitfalls to avoid when developing performance metrics.

- **Too much complexity:** If the measure is too complex, it will be difficult to understand and explain, making it nearly impossible to ascertain with confidence whether the project is successful. The simpler and more straightforward a measure can be, the better.
- **Too many measures:** As with anything in life, it is possible to have too much of a good thing. Develop a few relevant measures that best reflect an agency's progress. Typically, one or two key measures can provide empirical evidence that a project is successful.
- **Statistics that require special data collection:** Compile statistics from data that is routinely collected or can be generated through a computer report. Measures based on operational data are likely to be more reliable because users need it to complete their daily work. Moreover, if it is difficult or burdensome to collect complete, accurate, and timely information on a measure, the chance of being able to evaluate the measure effectively is low. Choose measures for which reliable data is available and can be collected easily.
- **Measures that are collected and reported too quickly and without explanation:** The display of measurement data may lead to "cultural" issues of accountability. Jurisdictions may have never been evaluated before this effort, and the reality of seeing performance information and being compared with other jurisdictions can be a shock. Justice system leaders must prepare their organizations in advance through proper project communication. Clearly state how each agency will be measured before the project is completed. Also, communicate the expected ramp-up for the new business process, so that agencies know they have time to adjust to organizational change. ***"Rome was not built in a day."***
- **Measures that are developed, collected, and reported without input from stakeholders:** Users' acceptance of performance measures is crucial. One way to ensure acceptance is to have users and key stakeholders participate in their development, implementation, and assessment. Stakeholders usually participate in the development of an organization's goals and objectives during strategic planning; their input in identifying key performance measures can be invaluable.

Moreover, if agency stakeholders help develop measures, they are much more likely to work proactively toward achieving the project's stated goals.

- **Assumptions:** It is common to review a result and assume that it applies to the whole project. CJIS Planners should determine performance measures without making assumptions based on a single incident or anomaly.
- **Spurious relationships:** A spurious relationship is one in which there appears to be a conclusive explanation for an event, but it turns out to be purely coincidental. For example, an increase in juvenile crime might be associated with an increase in the number of delinquent juveniles, when the explanation might better be an increase in the reporting of juvenile crimes. Researchers must be aware of potential spurious relationships and test all possible alternatives completely.

5.9. Developing Performance Measures: Tips for Success

Now that there is an understanding of why performance is measured, how to develop and display the metrics, and what to avoid, here are some tips for developing meaningful performance measures.

- **Identify items that should be measured:** Identify goals and performance measures that are important to the overall business strategy of the County's justice system and that can be measured easily. Funding bodies, constituents, and staff want measures that reflect effectiveness and efficiency accurately and that relate to goals for performance improvement.
- **Identify items that can't be measured:** Do not try to measure the un-measurable. Some goals and objectives are subjective or cannot be quantified easily. For example, trying to measure the public's satisfaction with the justice system may be futile. Time would be better spent concentrating on objectives that are accepted and more easily measured statistically or empirically.
- **Pilot the measures:** Before using the measures to judge whether an agency improved its performance or become more efficient, test and evaluate them. Although performance measures should be reviewed and updated periodically, an additional pilot period will allow feedback and improvement before they are fully implemented.
- **Measure the integrity, quality, and reliability of the data:** The old saying, "garbage in, garbage out," applies to the data used to evaluate a performance measure's success. The data must be complete, accurate, and timely – or CJIS Planners will draw erroneous conclusions that may lead to inappropriate decisions.
- **Evaluate the validity of the measures:** Does the measure gauge what was intended to be measured? Nothing changes individual performance better than measuring it, and improper measures may cause staff to expend their energy on the wrong things.

- **Use surrogate measures:** Sometimes, it may not be possible or cost-effective to measure the most important outcome, so it may be necessary to substitute a surrogate measure. A surrogate measure should use other quantifiable data that relates as closely as possible to the goal. Determine what is measurable and can prove the business value was achieved.

This page left blank intentionally.

6. Risk Management Plan

The Risk Management Plan defines the process for systematically identifying and tracking risks during a project. As part of the PMP, the risk management process will continuously analyze potential risks from all aspects of the project. The Project Team, including CJIS Stakeholders and vendors, will have a mechanism to report new risks and changes to existing risks in their status reports. The Project Manager will consolidate risks into the Project's **Risk Register**. The Risk Register will catalog all project risks, potential impacts, mitigation strategies, and contingency plans for managing the risks. The risk management process will require CJIS Stakeholders to carefully examine every potential project for inherent risk to the County.

During the risk management process, several types of risks need to be considered, including:

- **Implementation risks** – project issues that can affect a project's schedule or overall costs (For example, project tasks are slipping behind schedule for whatever reason.)
- **Technical risks** – project issues due to technology (For example, a piece of software or hardware does not perform to expected specifications.)
- **Legal risks** – project issues that could expose the County to financial liability (For example, a project requires consolidation of sensitive information that could potentially violate local, State, or federal guidelines if proper security is not implemented.)
- **Privacy risks** – project issues that may risk violating the County's privacy policies (For example, a project uses sensitive juvenile information that could potentially violate the County's privacy policy or State laws if proper security is not implemented.)
- **Financial risks** – project issues caused by underestimating the project's financial metrics (For example, Project Team hours and hardware or software costs)
- **Human resource risks** – project issues caused by an unexpected loss of a key Project Team member
- **Sponsorship risks** – project issues caused by changes in the level of commitment by CJIS Project and CJIS Executive Stakeholders.

A Risk Management Plan provides leadership and focuses attention on the elimination of risk wherever possible. It seeks to isolate and minimize risk by developing alternate courses of action and to establish target schedules for addressing and mitigating project risks. Risk management is only of value if it recognizes future conditions and recommends actions to enhance a project's success. By developing and following a Risk Management Plan, the Project Team will have a better view of the potential threats

and can work with realistic targets. Moreover, the Project Team will benefit from working in a planned, proactive environment rather than reacting to problems and issues after they occur. The Risk Management Plan should include the following sections of Figure 6-1:



Figure 6-1 Risk Management Process

6.1. Risk Planning

To formalize the risk management process, risk planning assigns resources and responsibilities and documents the project management methodologies that will be used to identify, analyze, manage, and handle ongoing project risks. As a Project is initially conceived, the initial potential risk should be itemized to help CJIS Executive Stakeholders make approval decisions. Although risk management is a primary responsibility of the Program Manager, the entire Project Team must identify and document risks as they develop.

The risk management responsibilities of the **Project Manager**:

- Develop and implement the risk management processes.

- Identify risks by reviewing project requirements and technical challenges.
- Catalog risks the Project Team (Agency Stakeholders, vendors, and the CJIS Team) identifies in the Risk Registry.
- Quantify risks by estimating the potential impact and the probability of occurrence.
- Manage ongoing risks through mitigation and contingency planning.
- Monitor risks during the entire project.
- Inform CJIS Agency Stakeholders, CJIS Executive Stakeholders, and vendors of the risks.
- Implement contingency plans (when needed).

The risk management responsibilities of the **Project Team**:

- Report risks as they are identified during execution of the project.
- Investigate strategies for mitigation and contingency.
- Estimate the potential impact of the risk and the probability of its occurrence.
- Monitor risks the Project Manager assigns.
- Suggest alternate solutions.

6.2. Risk Assessment

Risk assessment is the process of combining the information gathered on individual risks to determine the overall level of risk to a project. Risk analysis is also the process of classifying and assessing the potential impact and the probability that it will occur. Risk analysis is essential for CJIS Planners to prioritize risks and allocate time and resources to mitigate the impact or likelihood of their occurrence. During a project, periodic analysis of risks should be included as part of normal progress reporting to senior management and project sponsors. Risk Assessment includes not only the identification of risks but also the development of specific, discrete, and measurable responses to each one. Responding to a risk is not necessarily limited to the development of one response. It is often essential to develop two or more alternative responses, especially if the response to a risk is contingent on the outcome of a future activity.

The elements of risk analysis are:

- **Risk identification** – What is the risk? How can it be documented in business terms?
- **Potential impact** – What are the risk's potential effects of the risk on the project (of cost, schedule, and system performance)?
- **Risk avoidance** – Are there actions or strategies to remove a risk (probability = 0)?

- **Risk mitigation** – Are there actions or strategies to reduce the probability, impact, or both of the risk?
- **Risk exposure** – What is the probability of the risk multiplied by the potential cost impact?
- **Risk level** – At what level (high, medium, or low) is the risk cataloged? High-level risks may require weekly attention from the Project Manager.
- **Risk owner** – Who is assigned as the primary individual to monitor the risk?
- **Risk contingency** – What actions or strategies should be implemented to resolve the problems if the risk occurs?

6.2.1. Mitigation Strategies

Risk mitigation strategies are employed to reduce the impact or the likelihood of a risk's occurrence. Many risks will have several avoidance and mitigation actions that can be taken simultaneously. However, depending on the circumstances and cost of the mitigation strategies, the Project Team may want to enact these strategies one at a time to determine whether a risk is managed successfully. Sequential mitigation of risks may save a Project money by implementing only as many actions as necessary. Each potential strategy for risk mitigation will be documented in the Risk Register. To determine when to enact the mitigation strategies, the Project Manager will review the status of each potential risk periodically.

6.2.2. Contingency Strategies

If there is no way to avoid or mitigate a risk, the only action left is to resolve the problems the risk causes. When a risk occurs, the associated risk contingency actions in the Risk Register should be enacted. Risk contingencies are actions to resolve problems when a risk materializes. The Project Team can select the actions to take. This decision should be based on the likelihood of success and cost. Several actions may be appropriate. To determine whether the risk is managed properly, the team should monitor the progress of these actions. Additional actions may be required if the risk continues. Each identifiable risk should be listed with a mitigation plan and a contingency plan in the Risk Register. The cost to the project for each action should also be calculated and recorded. The Risk Plan and the Risk Register should be developed at the beginning of a project and updated with each status reporting cycle or when a new risk is identified.

6.3. Risk Monitoring

Risk monitoring is a recurring, iterative process that occurs continuously during a project. Risk monitoring is intended to be an integral, ongoing process that is included in the overall project management methodology. The Project Manager must monitor risks during the project. Many risks appear without warning; it is vital for all Project

Team members to be constantly aware of potential risks and report any sign of risk to the Project Manager. However, the Project Manager must actively identify new risks by determining root causes for variances in the project plan or missed deadlines. The Program Manager must inform CJIS Stakeholders of potential risks. It is important for the Risk Plan and the Risk Register to be available to all Project Team members and for each team member to have a mechanism (the Weekly Status Report) to update the status of each risk regularly. Continuous risk monitoring provides the best opportunity for risk avoidance by identifying risks as early as possible.

6.3.1. Risk Registry

The Risk Register is a consolidated catalog of all risks identified during a project. Each risk should have a unique risk ID that is used for reference. The Risk Register will include the following data elements:

- Risk ID (unique ID number)
- Risk description (full text description of the risk)
- Log date (date risk was identified)
- Risk status (open, active, or closed)
- Risk level (high, medium, or low)
- Risk type (technology, functionality, human resource, legal, or financial)
- Raised by (Project Team member who identified the risk)
- Assigned to (Project Manager who is assigned to monitor the risk)
- Risk impact (on cost, schedule, performance, or functionality)
- Risk probability (0 percent to 100 percent)
- Risk exposure (the impact times the probability)
- Risk schedule (when the problem will surface)
- Risk mitigation strategies (what can be done to mitigate the risk at low or no cost)
- Risk contingency strategies (what can be done to fix the problem, and what are the potential costs).

The Risk Register can be developed on a spreadsheet or in a lightweight database such as Microsoft Access. The following example of a Risk Register (Figure 6-2) was created with Microsoft Excel.

Risk ID	Description	Log Date	Status (Open, Active, Closed)	Level (High, Med or Low)	Type	Raised By:	Assigned To:	Risk Impact	Risk Probability (0 to 100%)	Risk Exposure	Risk Mitigation and Contingency Strategies
1											
2											
3											
4											
5											
6											
7											
8											

Figure 6-2 Risk Register

The Project Manager may require a Risk Report for all high-level risks to document the risk avoidance, mitigation, and contingency plans further. The Risk Report can be a standard project template developed in Microsoft Word. To identify a risk, monitor it, and update the Risk Register each week, the Project Manager will review the Project Team’s status reports.

6.4. Risk Handling

Risk handling is the process of implementing responses to risks that occurred. Risk handling is the final step in the risk management process after all other mitigation and avoidance strategies are exhausted. The Project Manager must implement the risk contingency plan; there may be a financial consequence to the project. Once the risk is formally identified as a problem, the following activities can be implemented to resolve the issue:

- **Risk Acceptance** is the process of acknowledging a risk and informing the CJIS Executive Stakeholders and the Project Team that it has become a serious problem.
- **Implementation of Contingency Plans** that have a financial consequence for the project. Contingency Plans may include the purchase of additional software, hardware, or services to overcome the problem.
- **Risk Avoidance** is the formal process of changing a project’s requirements to avoid a problem. This may include eliminating or changing the project’s original functionality to avoid the problem.
- **Risk Transfer** is an approach that shifts the responsibility of trying to manage and resolve the risk to another party. This may occur if the risk is transferred to a party that is better equipped to resolve it.

7. Change Management Plan

Although change is an inevitable part of life and business, most people dread it or even fear it. To help mitigate the fear of change, the Change Management Plan (Change Plan) identifies what is changing, how it is changing, and whom the change will affect. The Change Plan also will enable those affected by the CJIS Project to prepare for the coming change. The Change Plan will provide the Project Team with a roadmap to prepare stakeholders for the project's consequences. It also will provide CJIS Stakeholders with the information they need to feel more in control of the changing situation. When people feel prepared for a change, they are more likely to cooperate and participate in a positive way. The Change Plan should include the following sections:

- Change Assessment
- Definition of New Business Processes
- Training Plan.

7.1. Change Assessment

The first step in developing a Change Plan is to identify the key business areas and user community that will experience major changes to their current job functions due to the project. CJIS Planners will need to work with agency managers to identify the business areas and the agency personnel whom the project will affect. This change assessment will describe the current business process and include a job description and skill set assessment of each individual the project affects. CJIS Planners will document the degree to which the project will affect each individual. For example, some individuals may still have the same job description with the added benefit of technology, but others, such as data entry clerks, may have their jobs completely displaced by automation. Understanding the future business process will be crucial for CJIS Planners. This understanding will help them determine whether users require training on a new business process in the same functional area or whether users will require training for a completely new role in the agency.

7.2. Change Process Definition

After the change assessment is completed, the new business processes should be defined in detail from the users' perspective. The change process definition will help identify the differences between the existing and the future processes, which will provide an understanding of the magnitude of change for each respective agency user. This comparison will enable CJIS Planners to document the types of training that users will require, which will enable them to be productive in the new automated environment. For each type of agency user, the new business processes should describe the user's roles and responsibilities.

The change process definition will address how the new and revised processes will be cut over from a test environment to a production environment. Some projects may be implemented in parallel with the current business process until users are comfortable with the new processes. Other projects may be implemented in phases that introduce change incrementally. For phased deployments, CJIS Planners will also document any dependencies and temporary measures that are required to support the interim business process.

7.3. Training Plan

A Training Plan should also be developed either as part of the Change Plan or as a separate document. The Training Plan should address:

- **New Skills** – What new skills will users be taught, and will different users receive different training based on job function? For example, managers may require user administration training, and end users will not.
- **Training Schedules** – How many classes will be taught, and when will they be offered?
- **Training Material** – Who is developing the training materials, and what form (such as presentations and manuals) will they take?
- **Training Classes** – How long will each class last, and what skill level should each user have before attending a class? What are the prerequisites for a class?
- **Instructors** – Who will be teaching the class? Will train-the-trainer classes be taught first?

The Training Plan should address all end users, user managers, and system administrators. If the public will be allowed to access the system, training for those users also should be addressed even if it consists simply of e-mailed instructions or instructions posted at a Web site.

8. Ongoing Maintenance and Support Plan

Once a project is implemented, a plan must be in place for maintaining and supporting the system. The Ongoing Maintenance and Support Plan will address who is responsible for technical support, user support (a help desk), vendor maintenance agreements, and the budget for maintenance and support. All of these things must be planned before implementation so that if there is a problem, everyone knows how to respond. The Ongoing Maintenance and Support Plan should include the following sections, which are described below:

- Role and Responsibilities
- CJIS Maintenance and Support Team
- Maintenance Agreements
- Ongoing Maintenance and Support Budget
- Technical Support Training.

8.1. Roles and Responsibilities

Integration projects require technical support from every aspect of the CJIS Project, including infrastructure support (networks and servers), agency application support (agency vendors), and CJIS integration support (the Integration Broker, Message Infrastructure, and Application Adapters). Support of infrastructure will be handled by the County IT Department (County IT), which manages the County network, disaster recovery, and data center. The agency applications may be a combination of key agency staff, County IT, or the system vendor. Support for agency applications may be a combination of all of respective support staff, depending on how an agency supports its operational system. The CJIS Project Management Office (PMO) will support the core CJIS integration technology.

8.1.1. CJIS Support Team

The CJIS PMO will provide a dedicated CJIS Support Team that is responsible for help desk support for CJIS integration technology and end user support. Although each group is equally important, the people providing the support will have different skills, roles, and responsibilities. The first step in troubleshooting CJIS problems will be determining which aspect of the system is experiencing the problem and assigning the appropriate resources. Ideally, the CJIS Support Team will participate in a Project's implementation to gain a full understanding of potential problems and knowledge of the system configuration. To give members an opportunity to participate in the implementation, the CJIS Support Team should be identified early in the project.

8.2. Maintenance Agreements

The CJIS Support Team will manage all software maintenance agreements for the CJIS Project. These maintenance agreements provide service level agreements with the system integration vendor, the software vendors, or both. In many jurisdictions, the prime contractor provides a maintenance agreement that includes all custom software; server configuration; and any issues that arise from the underlying software components, including the Integration Broker, Message Infrastructure, and Application Adapters. Service agreements will provide the County with an “insurance policy” for major system problems. Moreover, maintenance agreements may include software upgrades and patches at no additional cost if the maintenance agreement is up to date.

8.2.1. CJIS Target Availability

The County will determine the appropriate level of support once a Project becomes inherent in the daily operations of the justice system, in which losing its availability would be like losing paper documents today. CJIS Planners should consider providing availability that approaches 99.9 percent a year, termed “factor 3 of availability” or better. At this level of service, CJIS will be expected to have less than 8 hours and 45 minutes of downtime each year. Table 8-1 presents the percentages and times of total system availability. The higher degrees of availability (additional 9s) correspond to higher and higher costs of operations. A direct cost of system downtime must be considered against the cost of increasing the overall system availability (more 9s). At some point, the economics of increasing annual cost for the system’s availability will begin to overtake the direct cost of system downtime. For example, it would not be cost-effective for the County to operate CJIS at a 99.99999 percent or “factor 7 of availability.”

What Does Mission-Critical Mean?		
Availability per Year	Downtime	Typical Application
90.0% (one nine or less)	>1 month	Desktop systems
99.0% (two nines)	3.5 days	Intermediate business systems
99.9% (three nines)	8 hours, 45 minutes	Most business data systems and workgroup servers
99.99% (four nines)	50 minutes	High-end business systems
Availability per Year	Downtime	Typical Application
99.999% (five nines)	5 minutes	Telecommunications data centers
99.9999% (six nines)	30 seconds	Major banking and financial services data centers
99.99999% (seven nines)	>3 seconds	Mission-critical military data centers

Table 8-1 CJIS Availability Statistics

8.2.2. Multi-Tier Maintenance and Support Plan

Relying on the integration vendor for all maintenance and support can be expensive. To reduce the overall cost of the Maintenance and Support Plan, the County can accept responsibility for the initial diagnosis and troubleshooting of problems. CJIS Planners will develop a multi-tier Maintenance and Support Plan that defines each service team’s responsibilities and service level agreements. Table 8-2 presents an example of a multi-tier Maintenance and Support Plan.

Example: Multi-tier Maintenance and Support Plan	
Tier I support	The County handles the initial diagnosis and resolution of problems through the CJIS PMO.
Tier II support	The CJIS PMO, agency technical resources, and County IT resolve problems with the vendor through remote access and telephone support.
Tier III support	The vendor resolves problems on site (response time of 24 hours).

Table 8-2 Multitier Maintenance and Support Plan

8.3. Ongoing Maintenance and Support Budget

When calculating the overall costs of a Project, CJIS Planners will consider the cost of the budget for ongoing maintenance and support. As Section 3 states, industry market research firms such as Gartner and Forrester Research suggest that IT projects typically require 15 percent to 20 percent of the initial purchase price for ongoing maintenance and support costs. The CJIS Project may be able to take advantage of economies of scale because they will rely on the same core technologies to implement each new feature and function. Once the core Information Broker, Message Oriented Middleware, Query Portal, and Application Adapter model are supported, the County will be able to take advantage of existing support contracts on these products. However, there will still be a quantifiable cost to the system for each new proposed project. Implementation and software vendors should be required to provide annual costs for maintenance and support cost as well as a yearly escalation percentage.

When developing a budget for support, CJIS Planners also must consider the cost of additional human resources. They should distinguish the cost of new resources from the cost of using existing CJIS Program resources. Budgeting for maintenance and support should extend over several years. The multi-year Maintenance and Support Plan should also include any known upgrade or replacement cost.

8.4. Technical Support Training

Any time new technology is introduced, it will be crucial for County employees who support the technical environment to receive proper training on the new technology. CJIS Planners should fully consider and explain how the new technology will fit in the County’s current technical environment. No matter how smart, talented, or dedicated the staff, relying on on-the-job training is a dangerous proposition. The CJIS Support

Team will require first-rate training to provide first-rate support. The CJIS Support Team also should receive updated training as new versions of software and system configurations are released into the CJIS integration environment. The CJIS Financial Plan will include all training costs for a Project.

9. CJIS Project Execution Methodology

The CJIS Project Management Office will use the CJIS Project Execution Methodology once a Project is successfully planned and approved by County Executive stakeholders. The CJIS Execution Methodology describes the management processes that should be employed to implement a project successfully. The methodology breaks the project into four distinct phases:

- Project Planning
- Project Implementation
- Project Acceptance
- Ongoing Maintenance and Support.

Best practices for project management, such as the Project Management Institute Body of Knowledge (PMIBOK) and Carnegie Mellon's Capability Maturity Model (CMM), should be followed throughout all phases of a Project. The following sections describe the four phases of a project's execution.

9.1. Project Execution Plan

Project execution planning before execution is a crucial element of a project's success. A major reason projects fail is because project planning was insufficient or not done. Project execution planning can begin as soon as a Project is approved, and Project Manager is assigned. The process will build on the previous planning the County developed during the initial project analysis stage described in the sections of the Project Management Plan. The implementation vendor will develop much of the Project Execution Plan in its formal proposal that responds to the County's Request for Proposal (RFP). The vendor's proposal will outline the vendor's CJIS Project Execution Methodology, intended scope of work, and proposed cost. The vendor's proposal will also document how the vendor intends to meet the RFP's technical and functional requirements. The RFP should request the following Project Execution Document and Plans.

9.1.1. Project Schedule

The Project Schedule is a high-level schedule of the vendor's proposed implementation plan broken down by major phases for a project's functional and technical requirements.

9.1.2. Work Breakdown Structure (WBS)

Although the Work Breakdown Structure (WBS) is closely related to the Project Schedule, it is defined in much greater detail. The WBS is a hierarchical breakdown of the work to be done on a project. The WBS lists each task output and shows in

sequence, from general to specific, all the activities and tasks required to implement the whole project. To define the scope of work, the WBS identifies all tasks that will be completed. Each major task will include durations, dependencies, and project milestones. The County should mandate the use of a formal project planning tool such as Microsoft Project with tasks broken down at a reasonable level of granularity.

9.1.3. Project Overview and Implementation Plan

The Implementation Strategy Plan is a written narrative that describes in detail how a vendor proposes to implement a project and meet the system requirements. The Implementation Plan may also include a technical discussion of the vendor's proposed solution.

9.1.4. Requirements Management Plan

A vendor uses a Requirements Management Plan to track the work completed against the functional and technical requirements itemized in the RFP. The vendor will use a Requirements Traceability Matrix (RTM) to track all requirements and show how the project satisfies each itemized requirement. The RTM will provide a unique requirement number that will allow the County and the vendor to refer to specific requirements. Project milestones should be accepted by successful completion of groups of system requirements. Written project deliverables should itemize any RTM requirements addressed in the Requirements Management Plan.

9.1.5. Quality Management Plan

The Quality Management Plan addresses a vendor's proposed process for quality management. This plan will document the quality assurance processes the vendor follows to assure consistent quality. The Quality Management Plan may describe processes for peer and code reviews, which provide quality assurance. These processes are described in great detail in Capability Maturity Model (CMM) level 3 and higher.

9.1.6. Migration Plan

The Migration Plan documents how a vendor proposes to transfer a current business process to the new process once a project is ready to go into full production. This plan may include a phased approach for data conversion and the implementation of electronic integration points. To avoid significant disruption to an agency's day to day business activities, the cutover to full production must be carefully planned.

9.1.7. Training Plan

The Training Plan documents how a vendor proposes to conduct training, including training philosophy, class schedules, user manuals, prerequisites, class size, and target

audience. The Change Management Plan developed during the County's initial project analysis includes a section on training requirements; the RFP should include this document. The Training requirements will provide vendors with an understanding of the scope of the training effort the County desires. The RFP should provide vendors with the County's preferred training philosophy: train-the-trainer or vendor-led training.

9.1.8. Test Plan

The Test Plan documents how a vendor proposes to perform unit testing, system testing, and integration testing. In the RFP, the County should specify the scope of the testing effort at every level of the development process. The County also should mandate the use of separate production and test environments.

9.1.9. Project Execution Planning Acceptance

Project planning is an iterative process in which activities are repeated many times throughout a project's life cycle. Project plans are constantly updated and revised throughout the planning and delivery phases of a project. At the end of the Planning phase, all team members should agree on the project's scope, budget, and schedule.

9.2. Project Implementation

The launch is the Implementation phase of a project. The CJIS Program Manager must ensure that all involved parties clearly understand and agree on a Project's objectives and deliverables and that the ongoing Project Plan is continuously updated and complete. The CJIS Program Manager also will ensure a vendor properly follows the Project Execution Plan and all administrative and completes reporting in a timely manner. The CJIS Program Manager will manage internal County resources and approve project documents in accordance with a Project's schedule.

9.3. Project Acceptance

Project acceptance occurs once a vendor proves that all system requirements in the RTM are satisfied and the system passed user acceptance testing. It is absolutely crucial for the County and a vendor to have a clear understanding of when a project is complete. The CJIS Project Manager must resolve any outstanding issues or transfer them to the CJIS Support Team. The CJIS Project Manager must ensure that all required project technical documents are properly received from the vendor and cataloged in the PMO. The CJIS Project Manager also must ensure that users are successfully trained and the system is ready for cutover into production. Project acceptance is a good time to review a project and compile a list of lessons learned and project metrics. Unisys recommends conducting a project closure review meeting and survey with all parties that participate on a Project.

9.4. Ongoing Maintenance and Support

The Ongoing Maintenance and Support Plan should be executed once the system goes into full production. The CJIS PMO will provide ongoing help desk and technical support based on the multi-tier maintenance agreement negotiated with the implementation vendor.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

JIEM Exchange Report

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. GWINNETT COUNTY JUSTICE INFORMATION EXCHANGE MODEL (JIEM)	
REPORT	1
1.1. Introduction	1
1.2. Overview of the Justice Information Exchange Model Methodology	1
1.3. Justice Information Exchange Model Results	2
1.4. JIEM Report Summary	2
1.4.1. <i>Receiving Agencies</i>	3
1.4.2. <i>Sending Agencies</i>	3
1.4.3. <i>JIEM Issues and Considerations</i>	4
1.4.4. <i>JIEM Exchange Report</i>	4
1.4.5. <i>JIEM Agencies</i>	5
1.4.6. <i>JIEM Document Type Table</i>	6
APPENDIX A—JIEM EXCHANGE LIST	11

Table of Tables

Table 1-1 JIEM Document Type Table	10
------------------------------------------	----

This page left blank intentionally.

1. Gwinnett County Justice Information Exchange Model (JIEM) Report

1.1. Introduction

The Justice Information Exchange Model (JIEM) documents the enterprise business processes of the Criminal Justice Information System (CJIS) agencies. SEARCH (www.search.org) developed JIEM through grant funding from the U.S. Department of Justice. A series of JIEM workshops was conducted with the CJIS agencies to determine and validate the business requirements for the inter-agency information exchanges. The JIEM Exchange Report documents the output from the online JIEM tool. This report documents the CJIS agencies' enterprise business processes. To map the business rules and the information and data flow in the justice system, JIEM Exchange Report documents the process, event, agency, condition, and information for all inter-agency data exchanges.

1.2. Overview of the Justice Information Exchange Model Methodology

The SEARCH JIEM consists of five *dimensions* of information exchange that are relevant to the research, design, development, and implementation of integrated justice information systems:

1. The **Event** that triggers the information exchange, e.g., arrest, issuance of a warrant, sentencing, or correctional discharge. The **Subsequent Event** documents the next logical business activity for the receiving agency of the JIEM exchange.
2. The **Process** in which the exchange occurs, e.g., investigation, detention, pre-disposition court, post-disposition supervision, or incarceration.
3. The **Agency** involved in the information exchange, e.g., local police department, prosecuting attorney, pre-trial services agency, trial court, or treatment provider.
4. The **Information** that is actually exchanged between agencies, which may include documents, data sets, and specific data elements.
5. The **Conditions** that are factors associated with the case, person, or event that govern the exchange of information and define the processing flow between agencies (Examples of conditions are whether the case is a felony or misdemeanor, the defendant is an adult or a juvenile, or in custody or on release).

Taken together, these dimensions constitute business rules for the exchange of information. Business rules define the administrative, statutory, organizational, technical, and procedural practices that govern information exchange among agencies, given the exchange conditions, for defined events.

With the five dimensions identified, it is possible to define information exchange as the transfer of documents and data from one justice organization to another based on a triggering event. The processing stage of the case and defendant as well as specific conditions of the action determines both the content and the recipient of the exchange. Every information exchange has a unique combination of triggering event, process, sending and receiving agency, and conditions.

The implementation of the JIEM required a sophisticated computer software tool to analyze information flow and business practices in the justice system. Any other approach to modeling multidimensional information would be too slow and too cumbersome to be of value. The JIEM Modeling Tool is a Web-based application that SEARCH operates through a grant from the U.S. Department of Justice. Using the JIEM Modeling Tool ensures consistency and uniformity of analysis over the entire range of criminal justice business processes in Gwinnett County. Specifically, the JIEM approach provides:

- A structured methodology to ensure that teams from each agency approach data collection and analysis in the same way
- A simple methodology that allows Gwinnett County stakeholders to focus on analyzing interagency information exchange
- An iterative methodology to allow continual refinement and correction and multiple levels of review by Gwinnett County justice practitioners and project staff.

1.3. Justice Information Exchange Model Results

To develop the Gwinnett County JIEM, Unisys conducted an iterative JIEM analysis with County stakeholders. The analysis was based on:

- The SEARCH JIEM Reference Model
- Facilitated JIEM workshops
- One-on-one meetings and calls with agency stakeholders
- An iterative approval process.

1.4. JIEM Report Summary

The Gwinnett County JIEM Report includes a snapshot in time of 359 discrete agency-to-agency information exchanges when the report was delivered to the County. Gwinnett County's model is a living one that is expected to evolve and change over time because of changes in the business process. Changes to the model will be made only with the approval of the sending and receiving agencies. The statistical tables in this report were generated from an Excel spreadsheet extracted from the JIEM tool with a standard JIEM report. The JIEM report and the Excel spreadsheet are available to the County to run on demand as the JIEM model changes. The statistical summary of the JIEM Exchange Report provides a breakdown of the number of exchanges for each agency from both a sending and a receiving perspective. The statistical summary provides the number of exchanges for each discrete triggering event described in the model.

1.4.1. Receiving Agencies

Receiving Agency	Total	Percent
Police Department — Gwinnett County	36	10.03%
Sheriff (Detention Department)	39	10.86%
Fire and Arson (Arson Criminal Investigations)	7	1.95%
Sheriff (Warrant)	14	3.90%
Recorders Court	17	4.74%
District Attorney	51	14.21%
Solicitor General	44	12.26%
EWI Warrant System (Magistrate Court)	14	3.90%
Clerk of Court (Magistrate / State / Superior)	94	26.18%
Probation (State Court — Misdemeanor) -- Professional Probation Services	6	1.67%
Probation (Recorders Court — Misdemeanor) -- Sentinel	5	1.39%
Probation (State of Georgia -- Felony Probation)	6	1.67%
Juvenile Court	8	2.23%
Defense Attorney	16	4.46%
Drug Court	1	0.28%
Department of Family and Children Services (State of Georgia)	1	0.28%
Grand Total	359	100.00%

1.4.2. Sending Agencies

Sending Agency	Total	Percent
Recorders Court	13	3.62%
Sheriff (Detention Department)	27	7.52%
Defense Attorney	26	7.24%
District Attorney	47	13.09%
Solicitor General	38	10.58%
Juvenile Court	10	2.79%
Fire and Arson (Arson Criminal Investigations)	10	2.79%
Police Department – Gwinnett County	28	7.80%
Department of Family and Children Services (State of Georgia)	1	0.28%
EWI Warrant System (Magistrate Court)	13	3.62%
Clerk of Court (Magistrate / State / Superior)	78	21.73%
Sheriff (Warrant)	18	5.01%

Sending Agency	Total	Percent
Probation (State Court – Misdemeanor) – Professional Probation Services	10	2.79%
Drug Court	1	0.28%
Probation (State of Georgia – Felony Probation)	10	2.79%
Probation (Recorders Court – Misdemeanor) – Sentinel	5	1.39%
Corrections Department (Gwinnett County)	9	2.51%
Gwinnett AOC Administrative Office of the Court (AOC)	7	1.95%
Department of Drivers Services (State of Georgia)	3	0.84%
Georgia Bureau of Investigation (GBI)	5	1.39%
Grand Total	359	100.00%

1.4.3. JIEM Issues and Considerations

When developing integration based on exchanges defined in the Gwinnett County JIEM, several JIEM processes and issues should be considered, including:

- Confidential Business Processes:** To ensure confidentiality, many business processes may remain paper-based—for example, sealed or confidential warrant applications for criminal investigations involving undercover officers or public officials.
- Looping JIEM Exchanges:** JIEM exchanges behave similar to computer software because they contain event triggers and conditions. When the trigger and conditions are true the exchange occurs. The design of the integrated system should make sure that the structure of the exchanges does not put the system into an endless loop of exchanges that interact automatically with each other, similarly to an endless loop of software code.
- Manual Triggered Events:** JIEM exchanges are designed to occur when the triggering event and conditions are true. The design of the integrated system must consider all avenues for the system to trigger events, including both automatic updates from downstream JIEM events and manual triggers from users entering information directly into an agency’s system.

1.4.4. JIEM Exchange Report

Appendix A provides the static JIEM Exchange Report. The JIEM Exchange Report also is provided as a Microsoft Excel worksheet that contains the contents of the model and the Excel pivot tables that provide the statistical summary of the model. In its electronic Excel format, the JIEM Exchange Report can be manipulated easily with the sort function or the AutoFilter feature to sort through the model on any of the JIEM dimensions. For example, the model can be filtered by sending or receiving agency.

Gwinnett County has access to the online version of the JIEM model through the SEARCH JIEM Online Tool at:

<http://www.jiem.search.org/security/login.asp>

The JIEM Tool provides a robust reporting environment for creating HTML and Microsoft Excel reports. The JIEM Tool also provides Gwinnett County with a mechanism to update and add new exchanges to the County's model. The Gwinnett County JIEM will evolve over time, and an updated JIEM Exchange Report can be regenerated in Excel format from the online JIEM Tool. The Gwinnett County IT Department was given JIEM administrator authority for the Gwinnett County JIEM in the JIEM Tool. Gwinnett County IT can use this authority to create new accounts and manage access to the JIEM. The following sections list the JIEM dimensions for agencies, documents, events, and conditions in the County's model as well as the JIEM processes.

1.4.5. JIEM Agencies

The JIEM defines an Agency as any entity or system that sends or receives information from any other agency in the model. The JIEM Exchange Report lists Agencies as "sending" and "receiving" Agencies. For JIEM exchange to be approved in the model, both the sending and receiving Agencies had to agree to the entire exchange. The Gwinnett County JIEM contains the exchanges for the following Agencies:

- Clerk of Court (Magistrate / State / Superior)
- Defense Attorney
- Department of Drivers Services (State of Georgia)
- Drug Court
- Fire and Arson (Arson Criminal Investigations)
- Georgia Bureau of Investigation (GBI)
- Law Enforcement
- Probation (Recorders Court – Misdemeanor) – Sentinel
- Probation (State of Georgia – Felony Probation)
- Recorders Court
- Probation (State Court – Misdemeanor) – Professional Probation Services
- Corrections Department (Gwinnett County)
- District Attorney
- Department of Family and Children Services (State of Georgia)
- Juvenile Court
- Gwinnett AOC Administrative Office of the Court (AOC)
- EWI Warrant System (Magistrate Court)
- Solicitor General
- Police Department – Gwinnett County
- Sheriff's Department (Detention Department)
- Sheriff's Department (Warrant).

1.4.6. JIEM Document Type Table

Table 1-1 itemizes all of the documents included in the Gwinnett County JIEM, including a brief description.

Document Type	Document Description
1st Appearance Order	Documents the results of the 1st Appearance, including changes to bond conditions.
Accident Report	Standard State of Georgia Accident Report.
Accusation	Occurs when the prosecutor decides to file charges in a criminal matter.
Administrative Dismissal	Prosecutor may file an Administrative Dismissal before formal charges are filed.
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Arrest Report Supplemental Report	Gwinnett County Law Enforcement Supplemental Arrest Report.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)
Bond Release Notice	The Bond Release Notice notifies agencies of Subject's release on Bond.
Book In Sheet	The Book In Sheet contains the initial booking information recorded by Detention.
Case History Report	Case History Report is used for Environmental, Planning and Development, Fire Marshal, Code Enforcement, Animal Control and Quality of Life cases.
Certificate of Discovery	The Certificate of Discovery will itemize all of the documents that are in the discovery package.
Certificate of Service	The Certificate of Service notifies the Court that case documents have been served on opposing Counsel.
Citation	Standard Gwinnett County Citation for Traffic and County Ordinances.
Committal Hearing Order (Bind Over or Dismissal)	The Court will issue a Committal Hearing Order after the Preliminary Hearing to document probable cause and bind over.
Computer Aided Dispatch (CAD) Report (Transcript)	Computer Aided Dispatch (CAD) Report (Transcript) from the Police.
Court Case Number and Division Assignment Notice	Division Assignment Notice and/or Court Case Number when a Judge Warrant Assignment Memo, Accusation, Indictment filed with the Clerk of Court.
Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	Clerk of Court notifies agencies when Subject has filed a waiver for Court Hearing (Preliminary or Arraignment Hearing)

Document Type	Document Description
Court Schedule - Calendar Assignment Notice	Court Schedule - Calendar Assignment Notice will define calendars of court types (1st Appearance, Preliminary, Motions, Trial, etc..)
Court Schedule - Case/Hearing Assignment Notice	The agency will schedule specific cases into previously assigned blocks of court types with the Court.
Crime Lab Submission Form	The Police can send a Crime Lab Submission Form.
Crime Scene Investigation (CSI) Report	The Police can send a Crime Scene Investigation (CSI) Report.
Defense Attorney Appointment Notice	Defense Attorney Appointment Notice - Indicating named defense attorney.
Department of Driver Services (DDS) Message	Department of Driver Services Message (DDS) notices DDS of Court actions affecting the Subject's driving status.
Department of Family and Children Services Form 453	Department of Family and Children Services Form 453 is for follow-up care for families where there is information regarding a need for services involving child physical or sexual abuse, abuse or inadequate care of the elderly.
Digital Media Evidence (Audio / Video)	Audio / Video Evidence obtained during criminal investigation.
Digital Photographs	Digital Photographic evidence generated by the Police.
Discovery Package	The Discovery Package contains the case documents that are discoverable through a Motion of Discovery.
Dismissal by Court Order	Court orders dismissal of charges against Subject.
Disposition and Sentence	Disposition and Sentence notice of Subject's case anytime in the judicial process. (Plea or Verdict)
Drug Court Assignment Notice	The District Attorney will refer the Subject to Drug Court through a Drug Court Assignment Notice (includes Subject's demographics and all case initiation information).
Drug Court Status Notice (Completion or Failure)	Drug Court will notify the District Attorney of Completion or Failure Drug Court through a Notice of Drug Court Completion or Failure.
Electronic Court Document (E-Filed Document)	The Electronic Court Document will be sent as an electronic document and will be electronically filed.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.
Incarceration Order	The Incarceration Order is a court order for Subject's Incarceration.
Incident Report Robbery Supplement	Supplemental report for robbery crimes.

Document Type	Document Description
Indictment	Indictment is formal charging document for Felony - Superior Court case.
Judge Warrant Assignment Memo	The Judge Warrant Assignment Memo requests the assignment of warrants or a case to a given division of Court based on the rules of vertical prosecution.
Juvenile Complaint Form	Law Enforcement can initiate a Juvenile Court matter by submitting a Juvenile Complaint Form.
Law Enforcement Forensic Science Report	The Law Enforcement may prepare a Forensic Science Report for marijuana test results, fingerprints and castings.
Law Enforcement Investigative Report	Standard Law Enforcement Investigative Report.
Motion (and Miscellaneous Filings)	Motion (and Miscellaneous Filings) is a formal request made to a judge for an order or judgment.
Motion for Discovery	The Motion for Discovery will request the all discoverable case documents from the opposing Counsel.
Nolle Prosequi	The prosecutor will file a Nolle Prosequi with the Clerk of Court to request dismissal from the Judge once formal charges have already been filed.
OBTS Information	Offender Based Tracking System Information
Pickup Order (Juvenile Court Arrest Warrant)	Pickup Order is a Juvenile Court Arrest Warrant.
Positive ID Notice	Positive ID Notice notifies agencies of positive ID obtained through AFIS by Sheriff.
Pre-Existing Court Date Notice	The Court will update Detention with Pre-Existing Court Date Request Message is received.
Pre-Existing Court Date Request Message	The Jail will request any pre-existing court dates from the Court once the Subject is booked into Jail.
Preliminary Hearing Date Notice	The Preliminary Hearing Date Notice - notifies Law Enforcement of the Preliminary Hearing Date.
Pre-Sentence Investigation Complete Notice	The Court can order Probation to create a Pre-Sentence Investigation to determine the appropriate sentence for the Subject.
Pre-Sentence Investigation Order (PSI)	The Court can order Probation to create a Pre-Sentence Investigation to determine the appropriate sentence for the Subject.
Pre-Trial Diversion Notice	The prosecutor will refer the Subject to Pre-Trial Diversion through a Pre-Trial Diversion Notice.
Pre-Trial Diversion Status Notice (Completion or Failure)	Probation will notify the Solicitor of Completion or Failure Pre-Trial Diversion through a Notice of Pre-Trial Diversion Completion or Failure.
Probation Financial Information Notice	Probation Financial Information Notice of financial payments related to the active probation case.

Document Type	Document Description
Probation Modification Order	Probation Modification Order changes terms and conditions of Subject's Probation
Probation Status Notice (Completion or Failure)	Probation will notify the Solicitor of Completion or Failure of Probation through a Probation Status Notice (Completion or Failure)
Property Disposition Message	Prosecution notifies Police Department that evidence should be retained OR is no longer needed and can be destroyed.
Property Sheet	The Property Sheet itemizes property and evidence held by the Police.
Protection Order (Temporary or Permanent)	The Court can issue a Temporary, 6 - 12 months or Permanent Protection Order compelling Subject to stay away from the victim.
Protection Order (TPO) Termination Notice	Notice that a Protection Order (TPO) has been terminated.
Protective Order Service Notice	The Sheriff will notify the Court that a Protective Order has been served.
Psychiatric Evaluation Order	Court has ordered a commitment for psychiatric evaluation.
Psychiatric Evaluation Petition	Formal request for a Psychiatric Evaluation
Search Warrant	Warrant electronic document contains data elements for a Search Warrant.
Search Warrant Application	Search Warrant Application submitted to EWI System that contains data elements for a Search Warrant Application.
Search Warrant Image (Executable with Electronic Signature)	Search Warrant Image that be can be serviced with an electronic Judge's signature.
Search Warrant Return	Results of the Search Warrant are sent back to the Court.
Subject Change of Contact Information	Subject notifies agency of change of contact information.
Subpoena	The Subpoena is a Court order compelling an individual to appear in Court.
Transfer Case Document	Transfer Document notifies of case transfer to another Court.
Unusual Occurrence Report	Unusual Occurrence Report documents any unusual behavior that has occurred at the Jail while the Subject has been in custody.
Vehicle Impound Form	The Vehicle Impound Form documents the details of the impounded vehicle.
Victim Information Sheet	Victim Information Sheet documents the victim information.
Warrant (Arrest - Bench -	Warrant electronic document contains data elements for Arrest,

Document Type	Document Description
Probation - Fugitive)	Bench, Probation and Fugitive Warrants.
Warrant Application (Arrest - Bench - Probation - Fugitive)	Arrest Warrant Application submitted to EWI System that contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Warrant Recall	Notice that an existing Warrant has been recalled.
Warrant Recall Request	Request to recall an active arrest warrant.
Warrant Service Notice	Notice that the Warrant was successfully served on the Subject.

Table 1-1 JIEM Document Type Table

Appendix A—JIEM Exchange List

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.01.03	Police sends the Accident Supplemental Report to Records Court when requested	Police Department - Gwinnett County	Supplemental / Investigation Report Requested	if Case is Records Court case (Solicitor - Traffic Case) and if Police record an Accident Supplemental Report	Arrest Report Supplemental Report	Recorders Court	Detention
1.01.11	Police send citation to Detention	Police Department - Gwinnett County	Citation Recorded Electronically	if Police record a Citation and if Subject is taken into custody	Citation	Sheriff (Detention Department)	Update Records / Case File
1.01.25	Police Department sends the Arrest / Incident report to Defense when requested	Police Department - Gwinnett County	Electronic Arrest / Incident Report Requested	if Defense has been appointed by the Court and if Defense requests the Arrest / Incident Report and if Defense is registered for electronic exchanges with CJIS	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Citation	Defense Attorney	Detention
1.01.29	Police Department sends the Arrest / Incident report to District Attorney when requested	Police Department - Gwinnett County	Electronic Arrest / Incident Report Requested	if Subject is taken into custody and if Case is Superior Court case (District Attorney - Felony Case)	Arrest / Incident Report and Citation and Accident Report and Case History Report	District Attorney	Detention

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.01.31	Police Department sends the Supplemental / Investigation Report to District Attorney when requested	Police Department - Gwinnett County	Supplemental / Investigation Report Requested	if Police recorded Arrest Report Supplemental Report	Arrest Report Supplemental Report	District Attorney	Detention
1.01.33	Police sends Property Sheet Report to District Attorney when requested	Police Department - Gwinnett County	Property Sheet Requested	if Police completed Property Sheet	Property Sheet	District Attorney	Update Records / Case File
1.01.35	Police sends Crime Lab Submission Form to District Attorney when requested	Police Department - Gwinnett County	Crime Lab Submission Form Requested	if Police Crime Lab Submission Form Completed	Crime Lab Submission Form	District Attorney	Update Records / Case File
1.01.37	Police sends Digital Photographs to District Attorney when requested	Police Department - Gwinnett County	Digital Photographs Requested	if Police recorded digital photographic evidence	Digital Photographs	District Attorney	Update Records / Case File
1.01.39	Police sends Digital Audio / Video to District Attorney when requested	Police Department - Gwinnett County	Digital Media Evidence (Audio / Video) Requested	if Police recorded Audio / Visual evidence	Digital Media Evidence (Audio / Video)	District Attorney	Update Records / Case File
1.01.41	Police sends Crime Scene Investigation (CSI) Report to District Attorney when requested	Police Department - Gwinnett County	Crime Scene Investigation (CSI) Report Requested	if Police recorded Crime Scene Investigation Report	Crime Scene Investigation (CSI) Report	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.01.43	Police sends Vehicle Impound Form to District Attorney when requested	Police Department - Gwinnett County	Vehicle Impound Form Requested	if Police recorded Vehicle Impound Form	Vehicle Impound Form	District Attorney	Update Records / Case File
1.01.45	Police sends Computer Aided Dispatch (CAD) Report to District Attorney when requested	Police Department - Gwinnett County	Computer Aided Dispatch (CAD) Report Requested	if Police received request for Computer Aided Dispatch Report	Computer Aided Dispatch (CAD) Report (Transcript)	District Attorney	Update Records / Case File
1.01.47	Detention sends Unusual Occurrence Report to District Attorney when requested	Sheriff (Detention Department)	Unusual Occurrence Report Requested	if District Attorney requests Unusual Occurrence Report from Detention	Unusual Occurrence Report	District Attorney	Update Records / Case File
1.01.49	Police sends Forensic Science Report to District Attorney when requested	Police Department - Gwinnett County	Forensic Science Report Requested	if District Attorney requests a Forensic Science Report from the Police Department	Law Enforcement Forensic Science Report	District Attorney	Update Records / Case File
1.01.50	Police Department sends the Arrest / Incident report to Solicitor when requested	Police Department - Gwinnett County	Electronic Arrest / Incident Report Requested	if Subject is taken into custody and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	Arrest / Incident Report and Citation and Accident Report and Case History Report	Solicitor General	Detention

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.01.51	Police Department sends the Supplemental / Investigation Report to Solicitor when requested	Police Department - Gwinnett County	Supplemental / Investigation Report Requested	if Police recorded Arrest Report Supplemental Report	Arrest Report Supplemental Report	Solicitor General	Detention
1.01.53	Police sends Property Sheet Report to Solicitor when requested	Police Department - Gwinnett County	Property Sheet Requested	if Police completed Property Sheet	Property Sheet	Solicitor General	Update Records / Case File
1.01.55	Police sends Crime Lab Submission Form to Solicitor when requested	Police Department - Gwinnett County	Crime Lab Submission Form Requested	if Police Crime Lab Submission Form Completed	Crime Lab Submission Form	Solicitor General	Update Records / Case File
1.01.57	Police sends Digital Photographs to Solicitor when requested	Police Department - Gwinnett County	Digital Photographs Requested	if Police recorded digital photographic evidence	Digital Photographs	Solicitor General	Update Records / Case File
1.01.59	Police sends Digital Audio / Video to Solicitor when requested	Police Department - Gwinnett County	Digital Media Evidence (Audio / Video) Requested	if Police recorded Audio / Visual evidence	Digital Media Evidence (Audio / Video)	Solicitor General	Update Records / Case File
1.01.61	Police sends Crime Scene Investigation (CSI) Report to Solicitor when requested	Police Department - Gwinnett County	Crime Scene Investigation (CSI) Report Requested	if Police recorded Crime Scene Investigation Report	Crime Scene Investigation (CSI) Report	Solicitor General	Update Records / Case File
1.01.63	Police sends Vehicle Impound Form to Solicitor when requested	Police Department - Gwinnett County	Vehicle Impound Form Requested	if Police recorded Vehicle Impound Form	Vehicle Impound Form	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.01.65	Police sends Computer Aided Dispatch (CAD) Report to Solicitor when requested	Police Department - Gwinnett County	Computer Aided Dispatch (CAD) Report Requested	if Police received request for Computer Aided Dispatch Report	Computer Aided Dispatch (CAD) Report (Transcript)	Solicitor General	Update Records / Case File
1.01.67	Detention sends Unusual Occurrence Report to Solicitor when requested	Sheriff (Detention Department)	Unusual Occurrence Report Requested	if Solicitor requests Unusual Occurrence Report from Detention	Unusual Occurrence Report	Solicitor General	Update Records / Case File
1.01.69	Police sends Forensic Science Report to Solicitor when requested	Police Department - Gwinnett County	Forensic Science Report Requested	if Solicitor requests a Forensic Science Report from the Police Department	Law Enforcement Forensic Science Report	Solicitor General	Update Records / Case File
1.01.75	Detention sends Unusual Occurrence Report to Recorders Court when requested	Sheriff (Detention Department)	Unusual Occurrence Report Requested	if Subject has been booked into Jail and if Recorders Court requests an Unusual Occurrence Report from Detention	Unusual Occurrence Report	Recorders Court	Update Records / Case File
1.02.01	Police sends a Juvenile Complaint Form to Juvenile Court	Police Department - Gwinnett County	Juvenile Complaint Form Submitted	if Law Enforcement submits an electronic Juvenile Complaint Form to the Juvenile Court	Juvenile Complaint Form	Juvenile Court	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.02.11	Police sends a Arrest / Incident Report to Arson Investigator	Police Department - Gwinnett County	Arrest Report Complete	if Police record Arrest / Incident electronically	Arrest / Incident Report	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
1.02.51	Arson Investigator sends a Arrest / Incident Report to Police	Fire and Arson (Arson Criminal Investigations)	Arrest Report Complete	if Arson sends Arrest / Incident Report to Police	Arrest / Incident Report	Police Department - Gwinnett County	Update Records / Case File
1.02.53	Sheriff sends a Arrest / Incident Report to Police	Sheriff (Warrant)	Arrest Report Complete	if Sheriff sends Arrest / Incident Report to Police	Arrest / Incident Report	Police Department - Gwinnett County	Update Records / Case File
1.03.11	Police sends Arrest / Incident Report to Detention	Police Department - Gwinnett County	Electronic Arrest / Incident Report Completed by Law Enforcement	if Subject is taken into custody and if Police record Arrest / Incident electronically	Arrest / Incident Report	Sheriff (Detention Department)	Initial Booking Information Entered
1.04.11	Recorders Court sends Disposition to Detention	Recorders Court	Case Disposition Recorded	if Subject is in custody	Disposition and Sentence	Sheriff (Detention Department)	Update Records / Case File
1.05.01	Police send Case Documentation to Department of Family and Children Services	Police Department - Gwinnett County	Police Send Case Documents to DFCS	if Police send case documents to Department of Family and Children Services	Arrest / Incident Report and Law Enforcement Investigative Report and Citation and Arrest Report Supplemental Report	Department of Family and Children Services (State of Georgia)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.05.03	Department of Family and Children Services sends Police Form 453	Department of Family and Children Services (State of Georgia)	DFCS Sends From 453	if DFCS sends Form 453	Department of Family and Children Services Form 453	Police Department - Gwinnett County	Update Records / Case File
1.08.01	Police request a Search Warrant to the Magistrate	Police Department - Gwinnett County	Search Warrant Application	if Police sends an Search Warrant Application to the Magistrate EWI System	Search Warrant Application	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
1.08.02	Sheriff request a Search Warrant to the Magistrate	Sheriff (Warrant)	Search Warrant Application	if Sheriff sends an Search Warrant Application to the Magistrate EWI System	Search Warrant Application	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
1.08.03	District Attorney request a Search Warrant to the Magistrate	District Attorney	Search Warrant Application	if District Attorney sends an Search Warrant Application to the Magistrate EWI System	Search Warrant Application	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
1.08.05	Solicitor request a Search Warrant to the Magistrate	Solicitor General	Search Warrant Application	if Solicitor sends an Search Warrant Application to the Magistrates EWI System	Search Warrant Application	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.08.07	Arson Investigator request a Search Warrant to the Magistrate	Fire and Arson (Arson Criminal Investigations)	Search Warrant Application	if Arson Investigator sends an Search Warrant Application to the Magistrate EWI System	Search Warrant Application	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
1.08.21	Police request a Search Warrant to the Superior or State Court	Police Department - Gwinnett County	Search Warrant Application	if Police sends an Search Warrant Application to the Superior or State Court	Search Warrant Application	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
1.08.22	Sheriff request a Search Warrant to the Superior or State Court	Sheriff (Warrant)	Search Warrant Application	if Sheriff sends an Search Warrant Application to the Superior or State Court	Search Warrant Application	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
1.08.23	District Attorney request a Search Warrant to the Superior or State Court	District Attorney	Search Warrant Application	if District Attorney sends an Search Warrant Application to the Superior or State Court	Search Warrant Application	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
1.08.25	Solicitor request a Search Warrant to the Superior or State Court	Solicitor General	Search Warrant Application	if Solicitor sends an Search Warrant Application to the Superior or State Court	Search Warrant Application	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.08.27	Arson Investigator request a Search Warrant to the Superior or State Court	Fire and Arson (Arson Criminal Investigations)	Search Warrant Application	if Arson Investigator sends an Search Warrant Application to the Superior or State Court	Search Warrant Application	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
1.09.01	Magistrate Court issues Search Warrant to Police	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Police Department - Gwinnett County	Update Records / Case File
1.09.02	Magistrate Court issues Search Warrant to Sheriff	Sheriff (Warrant)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Police Department - Gwinnett County	Update Records / Case File
1.09.03	Magistrate Court issues Search Warrant to District Attorney	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	District Attorney	Update Records / Case File
1.09.05	Magistrate Court issues Search Warrant to Solicitor	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.09.07	Magistrate Court issues Search Warrant to Arson Investigator	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
1.09.21	State or Superior Court issues Search Warrant to Police	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System	if Superior or State Court records a Search Warrant in the Case Management System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Police Department - Gwinnett County	Update Records / Case File
1.09.22	State or Superior Court issues Search Warrant to the Sheriff	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System	if Superior or State Court records a Search Warrant in the Case Management System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File
1.09.23	State or Superior Court issues Search Warrant to the District Attorney	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System	if Superior or State Court records a Search Warrant in the Case Management System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	District Attorney	Update Records / Case File
1.09.25	State or Superior Court issues Search Warrant to the Solicitor	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System	if Superior or State Court records a Search Warrant in the Case Management System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.09.27	State or Superior Court issues Search Warrant to the Arson Investigator	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System	if Superior or State Court records a Search Warrant in the Case Management System	Search Warrant and Search Warrant Image (Executable with Electronic Signature)	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
1.09.51	Police send Search Warrant Return of Service to the Court	Police Department - Gwinnett County	Search Warrant Return of Service Sent	if Police sends an Search Warrant Application to the Magistrate EWI System	Search Warrant Return	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.09.52	Sheriff sends Search Warrant Return of Service to the Court	Sheriff (Warrant)	Search Warrant Return of Service Sent	if Sheriff sends an Search Warrant Application to the Magistrate EWI System	Search Warrant Return	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.09.53	District Attorney sends Search Warrant Return of Service to the Court	District Attorney	Search Warrant Return of Service Sent	if District Attorney sends Search Warrant Return of Service to the Court	Search Warrant Return	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.09.55	Solicitor sends Search Warrant Return of Service to the Court	Solicitor General	Search Warrant Return of Service Sent	if Solicitor send Search Warrant Return of Service to the Court	Search Warrant Return	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.09.57	Arson Investigator sends Search Warrant Return of Service to the Court	Fire and Arson (Arson Criminal Investigations)	Search Warrant Return of Service Sent	if Arson Investigator sends Search Warrant Return of Service to the Court	Search Warrant Return	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.01	District Attorney files an Accusation with the Clerk of Court (Superior Court)	District Attorney	Accusation Filed with the Court	if District Attorney finds sufficient evidence to file formal charges	Accusation and Judge Warrant Assignment Memo	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.03	Solicitor files an Accusation with the Clerk of Court	Solicitor General	Accusation Filed with the Court	if Solicitor finds sufficient evidence to file formal charges	Accusation and Judge Warrant Assignment Memo	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.11	Clerk of Court notifies Detention of Court Case Number	Clerk of Court (Magistrate / State / Superior)	Accusation Filed with the Court	if District Attorney finds sufficient evidence to file formal charges and if Subject is in custody	Accusation and Court Case Number and Division Assignment Notice	Sheriff (Detention Department)	Update Records / Case File
1.14.13	Clerk of Court notifies Defense of Court Case Number	Clerk of Court (Magistrate / State / Superior)	Accusation Filed with the Court	if District Attorney finds sufficient evidence to file formal charges and if Defense is registered for electronic exchanges with CJIS	Accusation and Court Case Number and Division Assignment Notice	Defense Attorney	Update Records / Case File
1.14.15	Clerk of Court notifies District Attorney of Case Number and court division assignment	Clerk of Court (Magistrate / State / Superior)	Accusation Filed with the Court	if District Attorney finds sufficient evidence to file formal charges	Accusation and Court Case Number and Division Assignment Notice	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.17	Clerk of Court notifies Police of Court case number	Clerk of Court (Magistrate / State / Superior)	Accusation Filed with the Court	if District Attorney finds sufficient evidence to file formal charges	Accusation and Court Case Number and Division Assignment Notice	Police Department - Gwinnett County	Update Records / Case File
1.14.19	Clerk of Court notifies Solicitor of Court Case Number and court division assignment	Clerk of Court (Magistrate / State / Superior)	Accusation Filed with the Court	if Solicitor finds sufficient evidence to file formal charges	Accusation and Court Case Number and Division Assignment Notice	Solicitor General	Update Records / Case File
1.14.23	District Attorney files Indictment to the Clerk of Superior Court (True Bill or No Bill)	District Attorney	Indictment Filed with Clerk of Court	if Grand Jury decides there is sufficient evidence to proceed (True Bill or No Bill returned)	Indictment and Judge Warrant Assignment Memo	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.25	Clerk of Court notifies Detention of Indictment and Court Case Number (or Dismissal)	Clerk of Court (Magistrate / State / Superior)	Indictment Information Filed with Clerk of Court	if Indictment filed with Clerk of Court	Indictment and Court Case Number and Division Assignment Notice	Sheriff (Detention Department)	Update Records / Case File
1.14.27	Clerk of Court notifies Defense of Indictment and Court Case Number (or Dismissal)	Clerk of Court (Magistrate / State / Superior)	Indictment Information Filed with Clerk of Court	if Indictment filed with Clerk of Court and if Defense is registered for electronic exchanges with CJIS	Indictment and Court Case Number and Division Assignment Notice	Defense Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.29	Clerk of Court notifies District Attorney of Court Case Number and Court Division Assignment	Clerk of Court (Magistrate / State / Superior)	Indictment Information Filed with Clerk of Court	if Indictment filed with Clerk of Court	Indictment and Court Case Number and Division Assignment Notice	District Attorney	Update Records / Case File
1.14.31	Clerk of Court notifies Police of Court Case Number (or Dismissal)	Clerk of Court (Magistrate / State / Superior)	Indictment Information Filed with Clerk of Court	if Indictment filed with Clerk of Court	Indictment and Court Case Number and Division Assignment Notice	Police Department - Gwinnett County	Update Records / Case File
1.14.51	District Attorney files Administrative Dismissal with Clerk of Court (No Formal Charges Filed)	District Attorney	Prosecutor decides not to Move Forward with Formal Charges	if Case is Superior Court case (District Attorney - Felony Case) and if District Attorney finds insufficient evidence to file formal charges	Administrative Dismissal	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.53	Solicitor files Administrative Dismissal with Clerk of Court (No Formal Charges Filed)	Solicitor General	Prosecutor decides not to Move Forward with Formal Charges	if Case is State Court or Records Court case (Solicitor - Misdemeanor Case) and if Solicitor finds insufficient evidence to file formal charges	Administrative Dismissal	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.61	Juvenile Court notifies the Clerk of Court of transferred case	Juvenile Court	Transfer Case	if Juvenile Court transfers case to Superior Court	Arrest / Incident Report and Bond Release Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document and Pickup Order (Juvenile Court Arrest Warrant)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.63	Juvenile Court notifies the District Attorney of transferred case	Juvenile Court	Transfer Case	if Juvenile Court transfers case to Superior Court	Arrest / Incident Report and Bond Release Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document and Pickup Order (Juvenile Court Arrest Warrant)	District Attorney	Update Records / Case File
1.14.65	Solicitor submits a case transfer request to the Clerk of Court for Judge's approval	Solicitor General	Case Transfer Request Submitted to the Court	if No Condition specified	Transfer Case Document	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.67	Clerk of Court notifies Solicitor of case transfer approval or rejection by Judge	Solicitor General	Judge Approves or Rejects Case Transfer	if No Condition specified	Transfer Case Document	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.73	Solicitor transfers case to the District Attorney	Solicitor General	Judge Approves Case Transfer	if No Condition specified	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	District Attorney	Update Records / Case File
1.14.74	District Attorney submits a case transfer request to the Clerk of Court for Judge's approval	District Attorney	Case Transfer Request Submitted to the Court	if No Condition specified	Transfer Case Document	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.14.75	Clerk of Court notifies District Attorney of case transfer approval or rejection by Judge	District Attorney	Judge Approves or Rejects Case Transfer	if No Condition specified	Transfer Case Document	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.77	District Attorney transfers case to the Solicitor	District Attorney	Judge Approves Case Transfer	if No Condition specified	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	Solicitor General	Update Records / Case File
1.14.79	District Attorney transfers case to the Juvenile Court	District Attorney	Judge Approves Case Transfer	if No Condition specified	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	Juvenile Court	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.81	Clerk of Court notifies District Attorney of new case number (after transfer from Solicitor)	Clerk of Court (Magistrate / State / Superior)	No Bill Recorded	if Solicitor transfer case to District Attorney	Court Case Number and Division Assignment Notice	District Attorney	Update Records / Case File
1.14.83	Clerk of Court notifies Solicitor of new case number (after transfer from District Attorney)	Clerk of Court (Magistrate / State / Superior)	Transfer Case	if Solicitor transfer case to District Attorney	Court Case Number and Division Assignment Notice	District Attorney	Update Records / Case File
1.14.85	Recorders Court notifies the Clerk of Court of transferred case	Recorders Court	Transfer Case	if Recorders Court transfers case to State or Superior Court	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.87	Recorders Court notifies District Attorney of transferred case	Recorders Court	Transfer Case	if Recorders Court transfers case to State or Superior Court	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	District Attorney	Update Records / Case File
1.14.89	Recorders Court notifies Solicitor of transferred case	Recorders Court	Transfer Case	if Recorder Courts transfers case to Solicitor	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.14.91	Recorders Court transfers case to the Juvenile Court	Recorders Court	Transfer Case	if Recorders Court transfers case to Juvenile Court	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Transfer Case Document	Juvenile Court	Update Records / Case File
1.15.01	Solicitor notifies Clerk of Court of Pre-Trial Diversion referral	Solicitor General	Pre-Trial Diversion Referral Recorded	if Solicitor refers Subject to Pre-Trial Diversion	Pre-Trial Diversion Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
1.15.03	Solicitor notifies Probation (State Court - Misdemeanor) of Pre-Trial Diversion referral	Solicitor General	Pre-Trial Diversion Referral Recorded	if Solicitor refers Subject to Pre-Trial Diversion	Pre-Trial Diversion Notice	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
1.15.05	Solicitor notifies Defense of Pre-Trial Diversion referral	Solicitor General	Pre-Trial Diversion Referral Recorded	if Solicitor refers Subject to Pre-Trial Diversion	Pre-Trial Diversion Notice	Defense Attorney	Update Records / Case File
1.15.31	District Attorney notifies Clerk of Court of Drug Court referral	District Attorney	Drug Court Referral Recorded	if District Attorney refers Subject to Drug Court	Drug Court Assignment Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
1.15.33	District Attorney notifies Drug Court of Drug Court referral	District Attorney	Drug Court Referral Recorded	if District Attorney refers Subject to Drug Court	Drug Court Assignment Notice	Drug Court	Update Records / Case File
1.15.35	District Attorney notifies Defense of Drug Court referral	District Attorney	Drug Court Referral Recorded	if District Attorney refers Subject to Drug Court	Drug Court Assignment Notice	Defense Attorney	Update Records / Case File
2.20.01	Police submits an electronic Arrest Warrant Application to the EWI System	Police Department - Gwinnett County	Warrant Submitted to Magistrate	if Agency sends an Arrest Warrant Application to the Magistrates EWI System	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
2.20.03	Solicitor submits an electronic Arrest Warrant Application to the EWI System	Solicitor General	Warrant Submitted to Magistrate	if Agency sends an Arrest Warrant Application to the Magistrates EWI System	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
2.20.04	Sheriff submits an electronic Arrest Warrant Application to the EWI System	Sheriff (Warrant)	Warrant Submitted to Magistrate	if Agency sends an Arrest Warrant Application to the Magistrates EWI System	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
2.20.05	District Attorney submits an electronic Arrest Warrant Application to the EWI System	District Attorney	Warrant Submitted to Magistrate	if Agency sends an Arrest Warrant Application to the Magistrates EWI System	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.20.07	Arson Investigator submits an electronic Arrest Warrant Application to the EWI System	Fire and Arson (Arson Criminal Investigations)	Warrant Submitted to Magistrate	if Agency sends an Arrest Warrant Application to the Magistrates EWI System	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
2.20.09	Probation (State Court) submits an electronic Arrest Warrant Application to State Court	Probation (State Court - Misdemeanor) - Professional Probation Services	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
2.20.11	Probation (State of Georgia - Felony) submits an electronic Arrest Warrant Application to Superior Court	Probation (State of Georgia - Felony Probation)	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
2.20.13	Police submits an electronic Arrest Warrant Application to State or Superior Court	Police Department - Gwinnett County	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
2.20.15	Solicitor submits an electronic Arrest Warrant Application to State Court	Solicitor General	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.20.17	Sheriff submits an electronic Arrest Warrant Application to State or Superior Court	Sheriff (Warrant)	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
2.20.19	District Attorney submits an electronic Arrest Warrant Application to Superior Court	District Attorney	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
2.20.21	Arson Investigator submits an electronic Arrest Warrant Application to Superior Court	Fire and Arson (Arson Criminal Investigations)	Warrant Application Submitted Electronically	if No Condition specified	Warrant Application (Arrest - Bench - Probation - Fugitive)	Clerk of Court (Magistrate / State / Superior)	Warrant Signed by Judge - Recorded in System
2.20.51	Probation (Records Court) submits an electronic Arrest Warrant Application to Records Court	Probation (Records Court - Misdemeanor) - Sentinel	Warrant Submitted to Magistrate	if Probation sends Arrest Warrant Application to Records Court	Warrant Application (Arrest - Bench - Probation - Fugitive)	Records Court	Warrant Signed by Judge - Recorded in System
2.21.01	Magistrate sends Arrest Warrant (EWI) to Clerk of Court	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.21.03	Magistrate sends Arrest Warrant (EWI) to Police	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Police Department - Gwinnett County	Update Records / Case File
2.21.04	Magistrate sends Arrest Warrant (EWI) to Solicitor	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Solicitor General	Update Records / Case File
2.21.05	Magistrate sends Arrest Warrant (EWI) to Sheriff	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.21.06	Magistrate sends Arrest Warrant (EWI) to District Attorney	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	District Attorney	Update Records / Case File
2.21.07	Magistrate sends Arrest Warrant (EWI) to Arson Investigator	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
2.21.08	Magistrate sends Arrest Warrant (EWI) to Probation (State Court - Misdemeanor)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.21.10	State or Superior Court sends Arrest Warrant to Solicitor	Clerk of Court (Magistrate / State / Superior)	Warrant Information Recorded by Court	if Solicitor sent Arrest Warrant Application and it was signed by the Judge and if Clerk of Court records an active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Solicitor General	Update Records / Case File
2.21.12	State or Superior Court sends Arrest Warrant to Sheriff to update Warrant file	Clerk of Court (Magistrate / State / Superior)	Warrant Information Recorded by Court	if Clerk of Court records an active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File
2.21.13	State or Superior Court sends Arrest Warrant to District Attorney	Clerk of Court (Magistrate / State / Superior)	Warrant Information Recorded by Court	if District Attorney sent Arrest Warrant Application and it was signed by the Judge and if Clerk of Court records an active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.21.15	State Court sends Arrest Warrant to Probation (State Court)	Clerk of Court (Magistrate / State / Superior)	Warrant Information Recorded by Court	if Probation sent Arrest Warrant Application and it was signed by the Judge and if Clerk of Court records an active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
2.21.17	State or Superior Court sends Arrest Warrant to Probation (Felony)	Clerk of Court (Magistrate / State / Superior)	Warrant Information Recorded by Court	if Probation sent Arrest Warrant Application and it was signed by the Judge and if Clerk of Court records an active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Probation (State of Georgia - Felony Probation)	Update Records / Case File
2.21.21	State or Superior Court sends Arrest Warrant to Arson Investigator	Clerk of Court (Magistrate / State / Superior)	Warrant Information Recorded by Court	if Arson Investigator sent an Arrest Warrant Application and it was signed by the Judge and if Clerk of Court records an active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.21.51	Recorders Court sends Arrest Warrant to Sheriff to update Warrant file	Recorders Court	Warrant Information Recorded by Court	if Recorders Court records active Warrant	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File
2.21.53	Recorders Court sends Arrest Warrant to Probation (Recorders Court)	Recorders Court	Warrant Signed by Judge - Recorded in System	if Subject does NOT show up for Court appearance and if Subject has an active Recorders Court Probation case	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Probation (Recorders Court - Misdemeanor) - Sentinel	Update Records / Case File
2.22.03	Sheriff notifies Clerk of Court of Warrant service (Existing Arrest Warrant)	Sheriff (Warrant)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant	Warrant Service Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
2.22.05	Sheriff notifies Recorders Court of Warrant service	Sheriff (Detention Department)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant	Warrant Service Notice	Recorders Court	Update Records / Case File
2.22.07	Sheriff notifies Juvenile Court of Warrant service	Sheriff (Detention Department)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant	Warrant Service Notice	Juvenile Court	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.22.09	Sheriff notifies Arson Investigator of Warrant service	Sheriff (Detention Department)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant	Warrant Service Notice	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
2.22.11	Sheriff notifies Probation (Recorders) of arrest	Sheriff (Detention Department)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant and if Subject has an active Recorders Court Probation case	Warrant Service Notice	Probation (Recorders Court - Misdemeanor) - Sentinel	Update Records / Case File
2.22.13	Sheriff notifies Probation (State Court) of arrest	Sheriff (Detention Department)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant and if Subject has an active State Court Probation case	Warrant Service Notice	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
2.22.15	Sheriff notifies Probation (Felony) of arrest	Sheriff (Detention Department)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant and if Subject has an active State Court Probation case	Warrant Service Notice	Probation (State of Georgia - Felony Probation)	Update Records / Case File
2.22.25	Magistrate notifies a Police Officer of the Preliminary Hearing Date	Clerk of Court (Magistrate / State / Superior)	Arrest on Existing Warrant	if Law Enforcement makes arrest on existing Warrant	Subpoena and Preliminary Hearing Date Notice	Police Department - Gwinnett County	Notification

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.23.01	Police requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	Police Department - Gwinnett County	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
2.23.05	Police requests recall of Warrant from Juvenile Court	Police Department - Gwinnett County	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Juvenile Court	Update Records / Case File
2.23.07	Sheriff requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	Sheriff (Warrant)	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
2.23.11	Sheriff requests recall of Warrant from Juvenile Court	Sheriff (Warrant)	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Juvenile Court	Update Records / Case File
2.23.13	District Attorney requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	District Attorney	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.23.19	Solicitor requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	Solicitor General	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
2.23.25	Arson Investigator requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	Fire and Arson (Arson Criminal Investigations)	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
2.23.27	Probation (State of Georgia - Felony) requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	Probation (State of Georgia - Felony Probation)	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
2.23.29	Probation (Court State - Misdemeanor) requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)	Probation (State Court - Misdemeanor) - Professional Probation Services	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
2.23.31	Probation (Recorders Court) requests recall of Warrant from Recorders Court	Probation (Recorders Court - Misdemeanor) - Sentinel	Warrant Recall Requested	if Agency requests a warrant recall for any reason	Warrant Recall Request	Recorders Court	Update Records / Case File
2.23.53	Recorders Court notifies Sheriff that Judge has approved a Warrant Recall	Recorders Court	Withdrawal of Warrant Recorded	if Case Management System records the recall of a Warrant and if Judge approves the recall of a warrant	Warrant Recall	Sheriff (Warrant)	Update Records / Case File
2.23.55	Juvenile Court notifies Sheriff that Judge has approved a Warrant Recall	Juvenile Court	Withdrawal of Warrant Recorded	if Case Management System records the recall of a Warrant and if Judge approves the recall of a warrant	Warrant Recall	Sheriff (Warrant)	Update Records / Case File
3.30.51	Detention requests Pre-Existing Court Dates from Court (Magistrate, State and Superior)	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has pre-existing Court dates and if Subject has completed identification process complete and if Subject has been booked into Jail	Pre-Existing Court Date Request Message	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
3.30.53	Detention requests Pre-Existing Court Dates from Recorders Court	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has pre-existing Court dates and if Subject has been booked into Jail	Pre-Existing Court Date Request Message	Recorders Court	Update Records / Case File
3.30.55	Detention requests Pre-Existing Court Dates from Juvenile Court	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has pre-existing Court dates and if Subject has completed identification process complete and if Subject has been booked into Jail	Pre-Existing Court Date Request Message	Juvenile Court	Update Records / Case File
3.30.71	Clerk of Court sends Pre-Existing Court Dates to Detention	Clerk of Court (Magistrate / State / Superior)	Pre-Existing Court Date Request Message Received	if Court receives a Pre-Existing Court Date Request Message	Pre-Existing Court Date Notice	Sheriff (Detention Department)	Update Records / Case File
3.30.73	Recorders Court sends Pre-Existing Court Dates to Detention	Recorders Court	Pre-Existing Court Date Request Message Received	if Court receives a Pre-Existing Court Date Request Message	Pre-Existing Court Date Notice	Sheriff (Detention Department)	Update Records / Case File
3.30.75	Juvenile Court sends Pre-Existing Court Dates to Detention	Juvenile Court	Pre-Existing Court Date Request Message Received	if Court receives a Pre-Existing Court Date Request Message	Pre-Existing Court Date Notice	Sheriff (Detention Department)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
3.31.51	Sheriff requests a Fugitive Warrant from the EWI System	Sheriff (Detention Department)	Fugitive Warrant Requested	if Subject has an existing Out of State Warrant and if Law Enforcement submits electronic Warrant request	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
3.31.53	Magistrate Court sends Sheriff a Fugitive Warrant (EWI)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive)	Sheriff (Warrant)	Update Records / Case File
3.31.61	Police requests a Fugitive Warrant from the EWI System	Police Department - Gwinnett County	Fugitive Warrant Requested	if Subject has an existing Out of State Warrant and if Law Enforcement submits electronic Warrant request	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
3.31.63	Magistrate Court sends Police a Fugitive Warrant (EWI)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive)	Police Department - Gwinnett County	Update Records / Case File
3.31.71	District Attorney requests a Fugitive Warrant from the EWI System	District Attorney	Fugitive Warrant Requested	if Subject has an existing Out of State Warrant and if Law Enforcement submits electronic Warrant request	Warrant Application (Arrest - Bench - Probation - Fugitive)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System
3.31.73	Magistrate Court sends District Attorney a Fugitive Warrant (EWI)	EWI Warrant System (Magistrate Court)	Warrant Signed by Judge - Recorded in System	if Magistrate records active Warrant in the EWI System	Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive)	District Attorney	Update Records / Case File
3.31.81	District Attorney requests recall of a Fugitive Warrant from Clerk of Court	Defense Attorney	Warrant Recall Requested	if Judge approves the recall of a warrant	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
3.31.83	Police requests recall of a Fugitive Warrant from Clerk of Court	Police Department - Gwinnett County	Warrant Recall Requested	if Judge approves the recall of a warrant	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
3.31.85	Sheriff requests recall of a Fugitive Warrant from Clerk of Court	Sheriff (Warrant)	Warrant Recall Requested	if Judge approves the recall of a warrant	Warrant Recall Request	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
3.31.91	Clerk of Court notifies District Attorney that Judge has approved a Warrant Recall	Clerk of Court (Magistrate / State / Superior)	Withdrawal of Warrant Recorded	if Judge approves the recall of a warrant	Warrant Recall	District Attorney	Update Records / Case File
3.31.92	Clerk of Court notifies Solicitor that Judge has approved a Warrant Recall	Clerk of Court (Magistrate / State / Superior)	Withdrawal of Warrant Recorded	if Judge approves the recall of a warrant	Warrant Recall	Solicitor General	Update Records / Case File
3.31.93	Clerk of Court notifies Police that Judge has approved a Warrant Recall	Clerk of Court (Magistrate / State / Superior)	Withdrawal of Warrant Recorded	if Judge approves the recall of a warrant	Warrant Recall	Police Department - Gwinnett County	Update Records / Case File
3.31.95	Clerk of Court notifies Sheriff that Judge has approved a Warrant Recall	Clerk of Court (Magistrate / State / Superior)	Withdrawal of Warrant Recorded	if Judge approves the recall of a warrant	Warrant Recall	Sheriff (Warrant)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.01	Detention sends Case Intake Documents to District Attorney after AFIS Search	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if AFIS Search complete (OBTS Number Assigned) and if Offense requires fingerprints (AFIS Search) and if Case is Superior Court case (District Attorney - Felony Case)	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive) and Preliminary Hearing Date Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Book In Sheet and Positive ID Notice	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.03	Detention sends Case Intake Documents to District Attorney after Book In	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if Case is Superior Court case (District Attorney - Felony Case)	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive) and Preliminary Hearing Date Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Book In Sheet and Positive ID Notice	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.11	Detention sends Case Intake Documents to Solicitor after AFIS Search	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if AFIS Search complete (OBTS Number Assigned) and if Offense requires fingerprints (AFIS Search) and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive) and Preliminary Hearing Date Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Book In Sheet and Positive ID Notice	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.13	Detention sends Case Intake Documents to Solicitor after Book In	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if Case is State Court or Records Court case (Solicitor - Misdemeanor Case)	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive) and Preliminary Hearing Date Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Book In Sheet and Positive ID Notice	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.17	Detention sends Case Intake Documents to Magistrate after AFIS Search	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if AFIS Search complete (OBTS Number Assigned) and if Offense requires fingerprints (AFIS Search) and if Subject goes to 1st Appearance	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive) and Preliminary Hearing Date Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Book In Sheet and Positive ID Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.19	Detention sends Case Intake Documents to Magistrate after Book In	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if AFIS Search complete (OBTS Number Assigned) and if Offense requires fingerprints (AFIS Search) and if Subject goes to 1st Appearance	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Warrant Application (Arrest - Bench - Probation - Fugitive) and Preliminary Hearing Date Notice and Bond Condition Notice (Set Initial Bond or Updates to Existing Bond) and Book In Sheet and Positive ID Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.21	Detention sends Arrest / Incident Report to Probation (State of Georgia - Felony) after Book In	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if Subject has an active Felony Probation case	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Book In Sheet and Positive ID Notice	Probation (State of Georgia - Felony Probation)	Update Records / Case File
4.01.23	Detention sends Arrest / Incident Report to Probation (State Court - Misdemeanor) after Book In	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if Subject has an active State Court Probation case	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Book In Sheet and Positive ID Notice	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.25	Detention sends Arrest / Incident Report to Probation (Recorders Court - Misdemeanor) after Book In	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been booked into Jail and if Subject has an active Recorders Court Probation case	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Citation and Electronic Warrant Image (Executable with Electronic Signature) and Book In Sheet and Positive ID Notice	Probation (Recorders Court - Misdemeanor) - Sentinel	Update Records / Case File
4.01.71	Detention sends Positive ID information to District Attorney after identification	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been positively identified through AFIS and if Case is Superior Court case (District Attorney - Felony Case)	Positive ID Notice	District Attorney	Update Records / Case File
4.01.73	Detention sends Positive ID information to Solicitor after identification	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been positively identified through AFIS and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	Positive ID Notice	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.01.75	Detention sends Positive ID information to Clerk of Court after identification	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been positively identified through AFIS and if Case is Superior Court or State Court case (Clerk of Court System)	Positive ID Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.01.77	Detention sends Positive ID information to Recorders Court after identification	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been positively identified through AFIS and if Case is Recorders Court case (Solicitor - Traffic Case)	Positive ID Notice	Recorders Court	Update Records / Case File
4.01.79	Detention sends Positive ID information to Juvenile Court after identification	Sheriff (Detention Department)	Subject Booked into Jail	if Subject has been positively identified through AFIS and if Case is Juvenile Court case	Positive ID Notice	Juvenile Court	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.02.01	District Attorney files Warrant information to Clerk of Court and requests Judge assignment	District Attorney	Prosecution Case Intake Complete	if Prosecution Intake Case File complete / GCIC search complete	Warrant (Arrest - Bench - Probation - Fugitive) and Victim Information Sheet and OBTS Information and Citation and Judge Warrant Assignment Memo and Book In Sheet	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.25.01	District Attorney files Motion with the Clerk of Court	District Attorney	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.25.03	District Attorney serves Motion to Defense	District Attorney	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Defense Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.25.11	Solicitor files Motion with the Clerk of Court	Solicitor General	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.25.13	Solicitor serves Motion with the Defense	Solicitor General	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Defense Attorney	Update Records / Case File
4.25.21	Defense files Motion with the Clerk of Court	Defense Attorney	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.25.23	Defense serves Motion with the District Attorney	Defense Attorney	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.25.25	Defense serves Motion with the Solicitor	Defense Attorney	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Solicitor General	Update Records / Case File
4.25.27	Defense serves Motion with the Recorders Court	Defense Attorney	Motion Filed	if No Condition specified	Motion (and Miscellaneous Filings) and Electronic Court Document (E-Filed Document)	Recorders Court	Update Records / Case File
4.46.01	Judge informs District Attorney of Court Calendar (blocks of court dates / court types)	Clerk of Court (Magistrate / State / Superior)	Blocks of Court Defined in Court System	if Court defines Court Calendar (blocks of court dates / court types) in Court System	Court Schedule - Calendar Assignment Notice	District Attorney	Update Records / Case File
4.46.03	Judge informs Solicitor of Court Calendar (blocks of court dates / court types)	Clerk of Court (Magistrate / State / Superior)	Blocks of Court Defined in Court System	if Court defines Court Calendar (blocks of court dates / court types) in Court System	Court Schedule - Calendar Assignment Notice	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.46.21	Clerk of Court notifies District Attorney of court hearing waiver	Clerk of Court (Magistrate / State / Superior)	Waiver Filed with Court	if Subject files waiver with Clerk of Court and if Case is Superior Court case (District Attorney - Felony Case)	Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	District Attorney	Update Records / Case File
4.46.22	Clerk of Court notifies Defense of court hearing waiver	Clerk of Court (Magistrate / State / Superior)	Waiver Filed with Court	if Subject files waiver with Clerk of Court	Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	Defense Attorney	Update Records / Case File
4.46.23	Clerk of Court notifies Solicitor of court hearing waiver	Clerk of Court (Magistrate / State / Superior)	Waiver Filed with Court	if Subject files waiver with Clerk of Court and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	Solicitor General	Update Records / Case File
4.46.24	Clerk of Court notifies Police of court hearing waiver	Clerk of Court (Magistrate / State / Superior)	Waiver Filed with Court	if Subject files waiver with Clerk of Court	Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	Police Department - Gwinnett County	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.46.25	Clerk of Court notifies Detention of court hearing waiver	Clerk of Court (Magistrate / State / Superior)	Waiver Filed with Court	if Subject files waiver with Clerk of Court and if Subject is in custody	Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	Sheriff (Detention Department)	Update Records / Case File
4.46.31	Judge schedules a Hearing and notifies the District Attorney	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled	Court Schedule - Case/Hearing Assignment Notice	District Attorney	Update Records / Case File
4.46.33	Judge schedules a Hearing and notifies the Solicitor	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled	Court Schedule - Case/Hearing Assignment Notice	Solicitor General	Update Records / Case File
4.46.35	Judge schedules a Hearing and notifies the Defense	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled	Court Schedule - Case/Hearing Assignment Notice	Defense Attorney	Update Records / Case File
4.46.37	Judge schedules a Hearing and notifies the Police	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled	Court Schedule - Case/Hearing Assignment Notice	Police Department - Gwinnett County	Update Records / Case File
4.46.38	Judge schedules a Hearing and notifies the Sheriff	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled	Court Schedule - Case/Hearing Assignment Notice	Sheriff (Warrant)	Update Records / Case File
4.46.39	Judge schedules a Hearing and notifies Detention	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled and if Subject is in custody	Court Schedule - Case/Hearing Assignment Notice	Sheriff (Detention Department)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.46.40	Judge schedules a Hearing and notifies Corrections	Clerk of Court (Magistrate / State / Superior)	Court Proceeding Scheduled	if Hearing is scheduled and if Subject is in custody	Court Schedule - Case/Hearing Assignment Notice	Corrections Department (Gwinnett County)	Update Records / Case File
4.46.51	District Attorney schedules a Court Proceeding and notifies the Clerk of Court	District Attorney	Court Proceeding Scheduled	if District Attorney schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.46.53	District Attorney schedules a Court Proceeding and notifies the Defense	District Attorney	Court Proceeding Scheduled	if District Attorney schedules a Court Proceeding and if Defense is registered for electronic exchanges with CJIS	Court Schedule - Case/Hearing Assignment Notice	Defense Attorney	Update Records / Case File
4.46.55	District Attorney schedules a Court Proceeding and notifies the Police	District Attorney	Court Proceeding Scheduled	if District Attorney schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Police Department - Gwinnett County	Update Records / Case File
4.46.57	District Attorney schedules a Court Proceeding and notifies the Detention	District Attorney	Court Proceeding Scheduled	if District Attorney schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Sheriff (Detention Department)	Update Records / Case File
4.46.58	District Attorney schedules a Court Proceeding and notifies the Corrections	District Attorney	Court Proceeding Scheduled	if District Attorney schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Corrections Department (Gwinnett County)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.46.71	Solicitor schedules a Court Proceeding and notifies the Clerk of Court	Solicitor General	Court Proceeding Scheduled	if Solicitor schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.46.73	Solicitor schedules a Court Proceeding and notifies the Defense	Solicitor General	Court Proceeding Scheduled	if Solicitor schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Defense Attorney	Update Records / Case File
4.46.75	Solicitor schedules a Court Proceeding and notifies the Police	Solicitor General	Court Proceeding Scheduled	if Solicitor schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Police Department - Gwinnett County	Update Records / Case File
4.46.76	Solicitor schedules a Court Proceeding and notifies the Sheriff	Solicitor General	Court Proceeding Scheduled	if Solicitor schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Sheriff (Warrant)	Update Records / Case File
4.46.77	Solicitor schedules a Court Proceeding and notifies the Detention	Solicitor General	Court Proceeding Scheduled	if Solicitor schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Sheriff (Detention Department)	Update Records / Case File
4.46.78	Solicitor schedules a Court Proceeding and notifies the Corrections	Solicitor General	Court Proceeding Scheduled	if Solicitor schedules a Court Proceeding	Court Schedule - Case/Hearing Assignment Notice	Corrections Department (Gwinnett County)	Update Records / Case File
4.47.01	Detention sends Magistrate initial 1st Appearance Order Information	Sheriff (Detention Department)	1st Appearance Order Entered in Court System	if Subject goes to 1st Appearance	1st Appearance Order	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.47.03	Clerk of Court sends District Attorney 1st Appearance Order Information	Clerk of Court (Magistrate / State / Superior)	1st Appearance Order Entered in Court System	if Case is Superior Court case (District Attorney - Felony Case)	1st Appearance Order	District Attorney	Update Records / Case File
4.47.04	Clerk of Court sends Solicitor 1st Appearance Order Information	Clerk of Court (Magistrate / State / Superior)	1st Appearance Order Entered in Court System	if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	1st Appearance Order	Solicitor General	Update Records / Case File
4.47.05	Clerk of Court sends Administrative Office of Court 1st Appearance Order Information	Clerk of Court (Magistrate / State / Superior)	1st Appearance Order Entered in Court System	if Defense has been appointed by the Court	Arrest / Incident Report and 1st Appearance Order and Book In Sheet	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File
4.47.15	Detention notifies Clerk of Court that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail	Warrant (Arrest - Bench - Probation - Fugitive) and OBTS Information and Bond Release Notice and Book In Sheet and Positive ID Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.47.17	Detention notifies District Attorney that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Case is Superior Court case (District Attorney - Felony Case) and if Detention has previously sent Case Intake Information	Bond Release Notice	District Attorney	Update Records / Case File
4.47.19	Detention notifies Solicitor that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case) and if Detention has previously sent Case Intake Information	Bond Release Notice	Solicitor General	Update Records / Case File
4.47.20	Detention notifies Administrative Office of the Courts that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case) and if Detention has previously sent Case Intake Information	Bond Release Notice	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.47.21	Detention notifies Police that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Law Enforcement is scheduled to attend the Preliminary Hearing	Bond Release Notice	Police Department - Gwinnett County	Update Records / Case File
4.47.22	Detention notifies Defense that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Defense has been appointed by the Court and if Defense is registered for electronic exchanges with CJIS	Bond Release Notice	Defense Attorney	Update Records / Case File
4.47.23	Detention notifies Recorders Court that Subject has bonded out	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Case is Recorders Court case (Solicitor - Traffic Case)	Bond Release Notice	Recorders Court	Update Records / Case File
4.47.25	Detention notifies Juvenile Court that Subject has bonded out of Jail	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Case is Juvenile Court case	Bond Release Notice	Juvenile Court	Update Records / Case File
4.47.27	Detention notifies Probation (Recorders Court) that Subject has bonded out of Jail	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Subject has an active Recorders Court Probation case	Bond Release Notice	Probation (Recorders Court - Misdemeanor) - Sentinel	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.47.29	Detention notifies Probation (State Court) that Subject has bonded out of Jail	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Subject has an active State Court Probation case	Bond Release Notice	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
4.47.31	Detention notifies Probation (State of Georgia - Felony) that Subject has bonded out of Jail	Sheriff (Detention Department)	Subject Bonds Out of Jail	if Subject bonds out of Jail and if Subject has an active Felony Probation case	Bond Release Notice	Probation (State of Georgia - Felony Probation)	Update Records / Case File
4.47.51	District Attorney notifies Clerk of Court of changes to Bond conditions	Defense Attorney	Judge Approves Change of Bond Conditions	if Court has made changes to Bond conditions for any reason	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.47.53	District Attorney notifies Sheriff of changes to Bond conditions	Defense Attorney	Judge Approves Change of Bond Conditions	if Court has made changes to Bond conditions for any reason	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Sheriff (Detention Department)	Update Records / Case File
4.47.61	Solicitor notifies Clerk of Court of changes to Bond conditions	Solicitor General	Judge Approves Change of Bond Conditions	if Court has made changes to Bond conditions for any reason	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.47.63	Solicitor notifies Detention of changes to Bond conditions	Solicitor General	Judge Approves Change of Bond Conditions	if Court has made changes to Bond conditions for any reason	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Sheriff (Detention Department)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.47.81	District Attorney files a Psychiatric Evaluation Petition with Clerk of Court	District Attorney	Psychiatric Evaluation Ordered by the Court	if Psychiatric Evaluation Petition filed with the Clerk of Court	Psychiatric Evaluation Petition	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.47.83	Solicitor files a Psychiatric Evaluation Petition with Clerk of Court	Solicitor General	Psychiatric Evaluation Ordered by the Court	if Psychiatric Evaluation Petition filed with the Clerk of Court	Psychiatric Evaluation Petition	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.47.85	Defense files a Psychiatric Evaluation Petition with Clerk of Court	Defense Attorney	Psychiatric Evaluation Ordered by the Court	if Psychiatric Evaluation Petition filed with the Clerk of Court	Psychiatric Evaluation Petition	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.47.91	Court notifies District Attorney of Psychiatric Evaluation Order	Clerk of Court (Magistrate / State / Superior)	Psychiatric Evaluation Ordered by the Court	if Court has ordered a commitment for psychiatric evaluation	Psychiatric Evaluation Order	District Attorney	Update Records / Case File
4.47.93	Court notifies Solicitor of Psychiatric Evaluation Order	Clerk of Court (Magistrate / State / Superior)	Psychiatric Evaluation Ordered by the Court	if Court has ordered a commitment for psychiatric evaluation	Psychiatric Evaluation Order	Solicitor General	Update Records / Case File
4.47.95	Court notifies Detention of Psychiatric Evaluation Order	Clerk of Court (Magistrate / State / Superior)	Psychiatric Evaluation Ordered by the Court	if Court has ordered a commitment for psychiatric evaluation	Psychiatric Evaluation Order	Sheriff (Detention Department)	Update Records / Case File
4.47.97	Court notifies Defense of Psychiatric Evaluation Order	Clerk of Court (Magistrate / State / Superior)	Psychiatric Evaluation Ordered by the Court	if Court has ordered a commitment for psychiatric evaluation	Psychiatric Evaluation Order	Defense Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.48.01	Clerk of Court notifies Defense of Defense appointment to case	Clerk of Court (Magistrate / State / Superior)	Defense Counsel Appointed	if Court appoints a named Defense Attorney	Arrest / Incident Report and Warrant (Arrest - Bench - Probation - Fugitive) and Defense Attorney Appointment Notice	Defense Attorney	Update Records / Case File
4.48.03	District Attorney notifies Clerk of Court of Defense appointment to case	District Attorney	Defense Counsel Appointed	if Court appoints a named Defense Attorney and if District Attorney records a named Defense Attorney	Defense Attorney Appointment Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.48.04	Clerk of Court notifies Administrative Office of Court of Defense appointment to case	Clerk of Court (Magistrate / State / Superior)	Defense Counsel Appointed	if Court appoints a named Defense Attorney and if District Attorney records a named Defense Attorney	Arrest / Incident Report and Defense Attorney Appointment Notice and Book In Sheet	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File
4.48.21	Recorder's Court sends an Incarceration Order to the Sheriff	Recorders Court	Incarceration Order Recorded	if Subject did not meet terms and conditions of sentence	Incarceration Order	Sheriff (Warrant)	Update Records / Case File
4.48.31	District Attorney files Pre-Sentence Investigation Order with the Court	District Attorney	Pre-Sentence Investigation Order	if Court orders a Pre-Sentence Investigation	Pre-Sentence Investigation Order (PSI)	Clerk of Court (Magistrate / State / Superior)	Pre-Sentence Investigation Complete

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.48.33	District Attorney serves Pre-Sentence Investigation Order with the Defense	District Attorney	Pre-Sentence Investigation Order	if Court orders a Pre-Sentence Investigation	Pre-Sentence Investigation Order (PSI)	Defense Attorney	Pre-Sentence Investigation Complete
4.48.35	District Attorney serves Pre-Sentence Investigation Order with the Probation (State of Georgia - Felony)	District Attorney	Pre-Sentence Investigation Order	if Court orders a Pre-Sentence Investigation	Pre-Sentence Investigation Order (PSI)	Probation (State of Georgia - Felony Probation)	Pre-Sentence Investigation Complete
4.48.41	Probation (State of Georgia - Felony) notifies Court that the Pre-Sentence Investigation is complete	Probation (State of Georgia - Felony Probation)	Pre-Sentence Investigation Order	if Court orders a Pre-Sentence Investigation	Pre-Sentence Investigation Complete Notice and Electronic Court Document (E-Filed Document)	Clerk of Court (Magistrate / State / Superior)	Pre-Sentence Investigation Complete
4.48.43	Probation (State of Georgia - Felony) notifies District Attorney that the Pre-Sentence Investigation is complete	Probation (State of Georgia - Felony Probation)	Pre-Sentence Investigation Order	if Probation completes the Pre-Sentence Investigation Report	Pre-Sentence Investigation Complete Notice	District Attorney	Pre-Sentence Investigation Complete

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.48.45	Probation (State of Georgia - Felony) notifies Defense that the Pre-Sentence Investigation is complete	Probation (State of Georgia - Felony Probation)	Pre-Sentence Investigation Order	if Probation completes the Pre-Sentence Investigation Report	Pre-Sentence Investigation Complete Notice	Defense Attorney	Pre-Sentence Investigation Complete
4.48.51	State or Superior Court sends Bench Warrant information to the Sheriff	Clerk of Court (Magistrate / State / Superior)	Subject Does NOT Show Up for Court	if Subject does NOT show up for Court appearance	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File
4.48.53	Recorders Court sends Bench Warrant information to the Sheriff	Recorders Court	Subject Does NOT Show Up for Court	if Subject does NOT show up for Court appearance and if Subject fails to comply with sentence	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File
4.48.55	Juvenile Court sends Bench Warrant information to the Sheriff	Juvenile Court	Subject Does NOT Show Up for Court	if Subject does NOT show up for Court appearance	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Sheriff (Warrant)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.48.61	State or Superior Court sends Bench Warrant information to the District Attorney	Clerk of Court (Magistrate / State / Superior)	Subject Does NOT Show Up for Court	if Subject does NOT show up for Court appearance and if Case is Superior Court case (District Attorney - Felony Case)	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	District Attorney	Update Records / Case File
4.48.63	State or Superior Court sends Bench Warrant information to the Solicitor	Clerk of Court (Magistrate / State / Superior)	Subject Does NOT Show Up for Court	if Subject does NOT show up for Court appearance and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Solicitor General	Update Records / Case File
4.48.65	Juvenile Court sends Pickup Order to the Sheriff	Juvenile Court	Pickup Order Issued	if No Condition specified	Pickup Order (Juvenile Court Arrest Warrant)	Sheriff (Warrant)	Update Records / Case File
4.48.71	Magistrate Court sends Protection Order information to the Sheriff	Clerk of Court (Magistrate / State / Superior)	Protection Order Issued (Temporary or Permanent)	if Court issues a Protection Order (Temporary or Permanent)	Protection Order (Temporary or Permanent)	Sheriff (Warrant)	Update Records / Case File
4.48.72	Magistrate Court sends Protection Order information to the Police	Clerk of Court (Magistrate / State / Superior)	Protection Order Issued (Temporary or Permanent)	if Court issues a Protection Order (Temporary or Permanent)	Protection Order (Temporary or Permanent)	Police Department - Gwinnett County	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.48.73	Magistrate Court sends Protection Order information to the Solicitor	Clerk of Court (Magistrate / State / Superior)	Protection Order Issued (Temporary or Permanent)	if Court issues a Protection Order (Temporary or Permanent) and if Case is State Court or Records Court case (Solicitor - Misdemeanor Case)	Protection Order (Temporary or Permanent)	Solicitor General	Update Records / Case File
4.48.75	Magistrate Court sends Protection Order information to the District Attorney	Clerk of Court (Magistrate / State / Superior)	Protection Order Issued (Temporary or Permanent)	if Court issues a Protection Order (Temporary or Permanent) and if Case is Superior Court case (District Attorney - Felony Case)	Protection Order (Temporary or Permanent)	District Attorney	Update Records / Case File
4.48.81	Sheriff sends Notice of Service for Protection Order to the Court	Sheriff (Warrant)	Protection Order Served	if Sheriff serves the Protective Order on the Subject	Protective Order Service Notice	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.48.85	Sheriff sends Notice of Service for Protection Order to the Solicitor	Sheriff (Warrant)	Notice of Service for Protection Order Filed	if Clerk of Court files Notice of Service for Protection Order and if Case is State Court or Records Court case (Solicitor - Misdemeanor Case)	Protective Order Service Notice	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.48.87	Sheriff sends Notice of Service for Protection Order to the District Attorney	Sheriff (Warrant)	Notice of Service for Protection Order Filed	if Clerk of Court files Notice of Service for Protection Order and if Case is Superior Court case (District Attorney - Felony Case)	Protective Order Service Notice	District Attorney	Update Records / Case File
4.48.97	Clerk of Court sends Notice for Termination of Protection Order to the Sheriff	Clerk of Court (Magistrate / State / Superior)	Notice for Termination of Protection Order Filed	if Clerk of Court files Notice for Termination of Protection Order	Protection Order (TPO) Termination Notice	Sheriff (Warrant)	Update Records / Case File
4.49.01	District Attorney files Dismissal Order with the Clerk of Court	District Attorney	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.49.03	Solicitor files Dismissal with the Clerk of Court	Solicitor General	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.49.05	District Attorney sends Dismissal to Police	District Attorney	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Police Department - Gwinnett County	Update Records / Case File
4.49.06	Solicitor sends Dismissal to Police	Solicitor General	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Police Department - Gwinnett County	Update Records / Case File
4.49.07	Solicitor sends Dismissal to Sheriff	Solicitor General	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Sheriff (Detention Department)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.49.08	District Attorney sends Dismissal to Sheriff	District Attorney	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Sheriff (Detention Department)	Update Records / Case File
4.49.09	District Attorney sends Dismissal to Defense	Defense Attorney	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Defense Attorney	Update Records / Case File
4.49.11	Solicitor sends Dismissal to Defense	Solicitor General	Dismissal of Charges Ordered	if Court dismisses charges against Subject	Dismissal by Court Order	Defense Attorney	Update Records / Case File
4.50.01	District Attorney submits the initial Disposition and Sentence order with the Clerk of Court	District Attorney	Initial Disposition and Sentence Order Filed	if Case has final Disposition	Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.50.03	Clerk of Court notifies Detention of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition and if Subject is in custody	Disposition and Sentence	Sheriff (Detention Department)	Update Records / Case File
4.50.04	Clerk of Court notifies Defense of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition	Disposition and Sentence	Defense Attorney	Update Records / Case File
4.50.05	Clerk of Court notifies Police of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition	Disposition and Sentence	Police Department - Gwinnett County	Update Records / Case File
4.50.06	Clerk of Court notifies Fire of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition	Disposition and Sentence	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.50.07	Clerk of Court notifies Administrative Office of Court of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition and if Defense has been appointed by the Court	Disposition and Sentence	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File
4.50.08	Clerk of Court notifies Corrections of Case Disposition and Sentence	District Attorney	Case Disposition Recorded	if Case has final Disposition and if Sentenced to Gwinnett County Corrections	Disposition and Sentence	Corrections Department (Gwinnett County)	Update Records / Case File
4.50.11	Clerk of Court notifies Probation (State Court) of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition and if Subject has an active State Court Probation case	Disposition and Sentence	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
4.50.13	Clerk of Court notifies Probation (Felony) of Case Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition and if Subject has an active Felony Probation case	Disposition and Sentence	Probation (State of Georgia - Felony Probation)	Update Records / Case File
4.50.21	Solicitor submits the initial Disposition and Sentence Order with the Clerk of Court	Solicitor General	Initial Disposition and Sentence Order Filed	if Case has final Disposition	Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.50.71	Recorders Court notifies Probation (Recorders Court) of case Disposition and Sentence	Recorders Court	Case Disposition Recorded	if Case has final Disposition and if Subject has an active Recorders Court Probation case	Disposition and Sentence	Probation (Recorders Court - Misdemeanor) - Sentinel	Update Records / Case File
4.50.73	Recorders Court notifies Detention of case Disposition and Sentence	Recorders Court	Case Disposition Recorded	if Case has final Disposition and if Subject has an active Recorders Court Probation case	Disposition and Sentence	Sheriff (Detention Department)	Update Records / Case File
4.50.75	Recorders Court notifies Corrections of case Disposition and Sentence	Recorders Court	Case Disposition Recorded	if Case has final Disposition and if Subject has an active Recorders Court Probation case	Disposition and Sentence	Corrections Department (Gwinnett County)	Update Records / Case File
4.50.77	Recorders Court notifies Defense of case Disposition and Sentence	Recorders Court	Case Disposition Recorded	if Case has final Disposition and if Subject has an active Recorders Court Probation case	Disposition and Sentence	Defense Attorney	Update Records / Case File
4.51.01	District Attorney files Change of Subject's Contact information with the Clerk of Court	District Attorney	Change of Subject's Address	if Subject notifies of change of contact information	Subject Change of Contact Information	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.51.03	Solicitor notifies Clerk of Court of change of Subject's contact information	Solicitor General	Change of Subject's Address	if Subject notifies of change of contact information	Subject Change of Contact Information	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.51.51	Clerk of Court notifies District Attorney of change of Subject's contact information	Clerk of Court (Magistrate / State / Superior)	Change of Subject's Address	if Subject notifies of change of contact information	Subject Change of Contact Information	District Attorney	Update Records / Case File
4.51.53	Clerk of Court notifies Solicitor of change of Subject's contact information	Clerk of Court (Magistrate / State / Superior)	Change of Subject's Address	if Subject notifies of change of contact information	Subject Change of Contact Information	Solicitor General	Update Records / Case File
4.51.55	Clerk of Court notifies Sheriff of change of Subject's contact information	Clerk of Court (Magistrate / State / Superior)	Change of Subject's Address	if Subject notifies of change of contact information	Subject Change of Contact Information	Sheriff (Warrant)	Update Records / Case File
4.51.57	Clerk of Court notifies Probation (Felony) of change of Subject's contact information	Clerk of Court (Magistrate / State / Superior)	Change of Subject's Address	if Subject notifies of change of contact information and if Subject has an active Felony Probation case	Subject Change of Contact Information	Probation (State of Georgia - Felony Probation)	Update Records / Case File
4.51.59	Clerk of Court notifies Probation (State - Misdemeanor) of change of Subject's contact information	Clerk of Court (Magistrate / State / Superior)	Change of Subject's Address	if Subject notifies of change of contact information and if Subject has an active State Court Probation case	Subject Change of Contact Information	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.52.01	Clerk of Court sends Drivers Information to the Department of Drivers Services (State of Georgia)	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Charges are required to be reported to Department of Drivers Services	Department of Driver Services (DDS) Message	Department of Drivers Services (State of Georgia)	Update Records / Case File
4.52.03	Recorders Court sends Drivers Information to the Department of Drivers Services (State of Georgia)	Recorders Court	Case Disposition Recorded	if Charges are required to be reported to Department of Drivers Services	Department of Driver Services (DDS) Message	Department of Drivers Services (State of Georgia)	Update Records / Case File
4.52.05	Juvenile Court sends Drivers Information to the Department of Drivers Services (State of Georgia)	Juvenile Court	Case Disposition Recorded	if Charges are required to be reported to Department of Drivers Services	Department of Driver Services (DDS) Message	Department of Drivers Services (State of Georgia)	Update Records / Case File
4.53.01	Clerk of Court sends OBTS information to Georgia Bureau of Investigation (GBI) after case disposition	Clerk of Court (Magistrate / State / Superior)	Case Disposition Recorded	if Case has final Disposition and if Charge is finger printable offense	OBTS Information	Georgia Bureau of Investigation (GBI)	Update Records / Case File
4.53.03	Recorders Court sends OBTS information to Georgia Bureau of Investigation (GBI) after case disposition	Recorders Court	Case Disposition Recorded	if Case has final Disposition and if Charge is finger printable offense	OBTS Information	Georgia Bureau of Investigation (GBI)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.53.05	Juvenile Court sends OBTS information to Georgia Bureau of Investigation (GBI) after case disposition	Juvenile Court	Case Disposition Recorded	if Case has final Disposition and if Charge is finger printable offense	OBTS Information	Georgia Bureau of Investigation (GBI)	Update Records / Case File
4.54.01	Solicitor informs Clerk of Court of amended charges	Solicitor General	Amended Charge Filing	if Solicitor files Amended Charges with the Clerk of Court	Accusation	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.54.07	Solicitor notifies Defense of amended charges	Solicitor General	Amended Charge Filing	if Solicitor files Amended Charges with the Clerk of Court	Accusation	Defense Attorney	Update Records / Case File
4.54.51	District Attorney files a request for Nolle Prosequi with the Clerk of Court	District Attorney	Prosecutor Files Request for Nolle Prosequi	if Prosecution files Nolle Prosequi on existing charges	Nolle Prosequi	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.54.52	Solicitor files a request for Nolle Prosequi with the Clerk of Court	Solicitor General	Prosecutor Files Request for Nolle Prosequi	if Prosecution files Nolle Prosequi on existing charges and if Judge approves and signs the Nolle Prosequi	Nolle Prosequi	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.54.53	Clerk of Court notifies Detention a Nolle Prosequi was approved for specific charges	Clerk of Court (Magistrate / State / Superior)	Nolle Prosequi Filed	if Prosecution files Nolle Prosequi on existing charges and if Judge approves and signs the Nolle Prosequi	Nolle Prosequi	Sheriff (Detention Department)	Update Records / Case File
4.54.55	Clerk of Court notifies Defense a Nolle Prosequi was approved for specific charges	Clerk of Court (Magistrate / State / Superior)	Nolle Prosequi Filed	if Prosecution files Nolle Prosequi on existing charges and if Judge approves and signs the Nolle Prosequi	Nolle Prosequi	Defense Attorney	Update Records / Case File
4.54.56	Clerk of Court notifies Administrative Office of Court a Nolle Prosequi was approved for specific charges	Clerk of Court (Magistrate / State / Superior)	Nolle Prosequi Filed	if Prosecution files Nolle Prosequi on existing charges and if Defense has been appointed by the Court and if Judge approves and signs the Nolle Prosequi	Nolle Prosequi	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File
4.54.57	Clerk of Court notifies Police a Nolle Prosequi was approved for specific charges	District Attorney	Nolle Prosequi Filed	if Prosecution files Nolle Prosequi on existing charges and if Judge approves and signs the Nolle Prosequi	Nolle Prosequi	Police Department - Gwinnett County	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.54.59	Clerk of Court notifies Probation (State of Georgia - Felony) a Nolle Prosequi was approved for specific charges	Clerk of Court (Magistrate / State / Superior)	Nolle Prosequi Filed	if Prosecution files Nolle Prosequi on existing charges and if Judge approves and signs the Nolle Prosequi and if Subject has an active Felony Probation case	Nolle Prosequi	Probation (State of Georgia - Felony Probation)	Update Records / Case File
4.54.61	Clerk of Court notifies Probation (State Court - Misdemeanor) a Nolle Prosequi was approved for specific charges	Probation (State Court - Misdemeanor) - Professional Probation Services	Nolle Prosequi Filed	if Prosecution files Nolle Prosequi on existing charges and if Judge approves and signs the Nolle Prosequi and if Subject has an active State Court Probation case	Nolle Prosequi	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
4.55.01	District Attorney sends OBTS information to Georgia Bureau of Investigation (GBI) after case dismissed	District Attorney	Case Dismissed	if Charge is finger printable offense and if Case dismissed for any reason	OBTS Information	Georgia Bureau of Investigation (GBI)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.55.03	Solicitor sends OBTS information to Georgia Bureau of Investigation (GBI) after case dismissed	Solicitor General	Case Dismissed	if Charge is finger printable offense and if Case dismissed for any reason	OBTS Information	Georgia Bureau of Investigation (GBI)	Update Records / Case File
4.60.01	Defense files Motion for Discovery with the Clerk of Court	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Motion for Discovery	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.60.03	Defense files Motion for Discovery with the Recorders Court	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Motion for Discovery	Recorders Court	Update Records / Case File
4.60.07	Defense files Motion for Discovery with the District Attorney	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Motion for Discovery	District Attorney	Update Records / Case File
4.60.09	Defense files Motion for Discovery with the Solicitor	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Motion for Discovery	Solicitor General	Update Records / Case File
4.60.11	District Attorney files Motion for Discovery with the Clerk of Court	District Attorney	Motion for Discovery Received	if No Condition specified	Motion for Discovery	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.60.15	District Attorney files Motion for Discovery with the Defense	District Attorney	Motion for Discovery Received	if No Condition specified	Motion for Discovery	Defense Attorney	Update Records / Case File
4.60.31	Defense files Discovery to the Clerk of Court	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Certificate of Discovery and Certificate of Service and Discovery Package	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.60.35	Defense sends Discovery to the Juvenile Court	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Certificate of Discovery and Certificate of Service and Discovery Package	Juvenile Court	Update Records / Case File
4.60.37	Defense sends Discovery to the District Attorney	Defense Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Certificate of Discovery and Certificate of Service and Discovery Package	District Attorney	Update Records / Case File
4.60.41	District Attorney files Discovery to the Clerk of Court	District Attorney	Motion for Discovery Received	if No Condition specified	Certificate of Discovery and Certificate of Service and Discovery Package	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.60.47	District Attorney sends Discovery to the Defense	District Attorney	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Certificate of Discovery and Certificate of Service and Discovery Package	Defense Attorney	Update Records / Case File
4.60.51	Solicitor files Discovery with the Clerk of Court	Solicitor General	Motion for Discovery Received	if No Condition specified	Certificate of Discovery and Certificate of Service and Discovery Package	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File
4.60.55	Solicitor sends Discovery to the Defense	Solicitor General	Motion for Discovery Received	if Defense is registered for electronic exchanges with CJIS	Certificate of Discovery and Certificate of Service and Discovery Package	Defense Attorney	Update Records / Case File
4.62.01	District Attorney submits a Subpoena to Police	District Attorney	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Police Department - Gwinnett County	Update Records / Case File
4.62.02	District Attorney submits a Subpoena to Corrections	District Attorney	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Corrections Department (Gwinnett County)	Update Records / Case File
4.62.03	District Attorney submits a Subpoena to Detention	District Attorney	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Sheriff (Detention Department)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.62.05	District Attorney submits a Subpoena to Solicitor	District Attorney	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Solicitor General	Update Records / Case File
4.62.07	District Attorney submits a Subpoena to Fire (Arson Investigator)	District Attorney	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
4.62.21	Solicitor submits a Subpoena to Police	Solicitor General	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Police Department - Gwinnett County	Update Records / Case File
4.62.22	Solicitor submits a Subpoena to Corrections	Solicitor General	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Corrections Department (Gwinnett County)	Update Records / Case File
4.62.23	Solicitor submits a Subpoena to Detention	Solicitor General	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Sheriff (Detention Department)	Update Records / Case File
4.62.25	Solicitor submits a Subpoena to District Attorney	Solicitor General	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	District Attorney	Update Records / Case File
4.62.27	Solicitor submits a Subpoena to Fire (Arson Investigator)	Solicitor General	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
4.62.41	Clerk of Court submits a Subpoena to Police	Clerk of Court (Magistrate / State / Superior)	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Police Department - Gwinnett County	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.62.42	Clerk of Court submits a Subpoena to Corrections	Clerk of Court (Magistrate / State / Superior)	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Corrections Department (Gwinnett County)	Update Records / Case File
4.62.43	Clerk of Court submits a Subpoena to Detention	Clerk of Court (Magistrate / State / Superior)	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Sheriff (Detention Department)	Update Records / Case File
4.62.45	Clerk of Court submits a Subpoena to District Attorney	Clerk of Court (Magistrate / State / Superior)	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	District Attorney	Update Records / Case File
4.62.47	Clerk of Court submits a Subpoena to Fire (Arson Investigator)	Clerk of Court (Magistrate / State / Superior)	Subpoena Issued	if Prosecution issues a Subpoena	Subpoena	Fire and Arson (Arson Criminal Investigations)	Update Records / Case File
4.77.01	District Attorney submits the initial Sentence Order with the Clerk of Court (Sentence Ordered after Disposition)	District Attorney	Initial Sentence Submitted to the Court	if Subjects sentence is rendered - signed by Judge and recorded in the Prosecution System and if Subject is sentenced after case disposition has been decided	Disposition and Sentence	Clerk of Court (Magistrate / State / Superior)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.77.03	Clerk of Court notifies Detention of the Sentence (Sentence Ordered after Disposition)	Clerk of Court (Magistrate / State / Superior)	Sentence Recorded	if Subjects sentence is rendered - signed by Judge and recorded in the Prosecution System and if Subject is sentenced after case disposition has been decided	Disposition and Sentence	Sheriff (Detention Department)	Update Records / Case File
4.77.05	Clerk of Court notifies Administrative Office of the Court of the Sentence (Sentence Ordered after Disposition)	Clerk of Court (Magistrate / State / Superior)	Sentence Recorded	if Subjects sentence is rendered - signed by Judge and recorded in the Prosecution System and if Defense has been appointed by the Court and if Subject is sentenced after case disposition has been decided	Disposition and Sentence	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.77.07	Clerk of Court notifies Corrections of the Sentence (Sentence Ordered after Disposition)	Clerk of Court (Magistrate / State / Superior)	Sentence Recorded	if Subjects sentence is rendered - signed by Judge and recorded in the Prosecution System and if Subject is sentenced to serve at Gwinnett County Corrections and if Subject is sentenced after case disposition has been decided	Disposition and Sentence	Corrections Department (Gwinnett County)	Update Records / Case File
4.77.15	Clerk of Court notifies Probation (Felony) of the Sentence (Sentence Ordered after Disposition)	Clerk of Court (Magistrate / State / Superior)	Sentence Recorded	if Subjects sentence is rendered - signed by Judge and recorded in the Prosecution System and if Subject has an active Felony Probation case and if Subject is sentenced after case disposition has been decided	Arrest / Incident Report and Citation and Disposition and Sentence	Probation (State of Georgia - Felony Probation)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.78.01	Probation (State Court - Misdemeanor) notifies Solicitor of completion or failure of Probation	Probation (State Court - Misdemeanor) - Professional Probation Services	Probation Status Submitted (Completion or Failure)	if Subject completes or fails Probation	Probation Status Notice (Completion or Failure)	Solicitor General	Update Records / Case File
4.78.03	Probation (State Court - Misdemeanor) notifies District Attorney of completion or failure of Probation (Felony cases reduced to Misdemeanor)	Probation (State Court - Misdemeanor) - Professional Probation Services	Probation Status Submitted (Completion or Failure)	if Subject completes or fails Probation	Probation Status Notice (Completion or Failure)	District Attorney	Update Records / Case File
4.78.21	Probation (State of Georgia - Felony) notifies District Attorney of completion or failure of Probation	Probation (State of Georgia - Felony Probation)	Probation Status Submitted (Completion or Failure)	if Subject completes or fails Probation	Probation Status Notice (Completion or Failure)	District Attorney	Update Records / Case File
4.78.51	Probation (State Court - Misdemeanor) notifies Solicitor of completion or failure of Pre-Trial Diversion program	Probation (State Court - Misdemeanor) - Professional Probation Services	Pre-Trial Diversion Status Submitted (Completed or Failed)	if Subject completes or fails Pre-Trial Diversion program	Pre-Trial Diversion Status Notice (Completion or Failure)	Solicitor General	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
4.78.71	Probation (Recorders Court - Misdemeanor) notifies Recorders Court of completion or failure of Probation	Probation (Recorders Court - Misdemeanor) - Sentinel	Probation Status Submitted (Completion or Failure)	if Subject completes or fails Probation	Probation Status Notice (Completion or Failure)	Recorders Court	Update Records / Case File
4.78.73	Probation (Recorders Court - Misdemeanor) notifies Recorders Court of Subject's payment information	Probation (Recorders Court - Misdemeanor) - Sentinel	Subject Makes a Payment on Case	if Subject makes a payment	Probation Financial Information Notice	Recorders Court	Update Records / Case File
4.78.75	Probation (Recorders Court - Misdemeanor) files Recorders Court of Probation Modification Order	Probation (Recorders Court - Misdemeanor) - Sentinel	Modification of Probation Signed by the Judge	if Probation files a Probation Modification Order with the Court	Probation Modification Order	Recorders Court	Update Records / Case File
4.78.91	Drug Court notifies District Attorney of completion or failure of Drug Court program	Drug Court	Drug Court Status Submitted (Completed or Failed)	if Subject completes or fails Drug Court program	Drug Court Status Notice (Completion or Failure)	District Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
5.53.01	Clerk of Court notifies District Attorney of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing) and if Case is Superior Court case (District Attorney - Felony Case)	Committal Hearing Order (Bind Over or Dismissal)	District Attorney	Update Records / Case File
5.53.02	Clerk of Court notifies Solicitor of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing) and if Case is State Court or Recorders Court case (Solicitor - Misdemeanor Case)	Committal Hearing Order (Bind Over or Dismissal)	Solicitor General	Update Records / Case File
5.53.03	Clerk of Court notifies Detention of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing)	Committal Hearing Order (Bind Over or Dismissal)	Sheriff (Detention Department)	Update Records / Case File
5.53.05	Clerk of Court notifies Defense of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing)	Committal Hearing Order (Bind Over or Dismissal)	Defense Attorney	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
5.53.07	Clerk of Court notifies Police of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing)	Committal Hearing Order (Bind Over or Dismissal)	Police Department - Gwinnett County	Update Records / Case File
5.53.11	Clerk of Court notifies Probation (State Court - Misdemeanor) of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing) and if Subject has an active State Court Probation case	Committal Hearing Order (Bind Over or Dismissal)	Probation (State Court - Misdemeanor) - Professional Probation Services	Update Records / Case File
5.53.13	Clerk of Court notifies Probation (State of Georgia - Felony) of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing) and if Subject has an active Felony Probation case	Committal Hearing Order (Bind Over or Dismissal)	Probation (State of Georgia - Felony Probation)	Update Records / Case File
5.53.15	Clerk of Court notifies Administrative Office of Court of Committal Hearing Order after the Preliminary Hearing	Clerk of Court (Magistrate / State / Superior)	Committal Hearing Order Complete	if Court issues a Committal Hearing Order (after Preliminary Hearing) and if Court appoints a named Defense Attorney	Arrest / Incident Report and Committal Hearing Order (Bind Over or Dismissal) and Book In Sheet	Gwinnett AOC Administrative Office of the Court (AOC)	Update Records / Case File

Exchange Number	Exchange Label	Sending Agency	Triggering Event	Condition	Document	Receiving Agency	Subsequent Event
6.99.01	District Attorney informs Police of property / evidence disposition in post disposition case	District Attorney	Prosecutor Notifies Disposition of Evidence	if Case is post disposition and the evidence is no longer needed	Property Disposition Message	Police Department - Gwinnett County	Prosecutor Notifies Disposition of Evidence
6.99.03	Solicitor informs Police of property / evidence disposition in post disposition case	Solicitor General	Prosecutor Notifies Disposition of Evidence	if Case is post disposition and the evidence is no longer needed	Property Disposition Message	Police Department - Gwinnett County	Prosecutor Notifies Disposition of Evidence
6.99.11	District Attorney informs Sheriff of property / evidence disposition in post disposition case	District Attorney	Prosecutor Notifies Disposition of Evidence	if Case is post disposition and the evidence is no longer needed	Property Disposition Message	Sheriff (Detention Department)	Prosecutor Notifies Disposition of Evidence
6.99.13	Solicitor informs Sheriff of property / evidence disposition in post disposition case	Solicitor General	Prosecutor Notifies Disposition of Evidence	if Case is post disposition and the evidence is no longer needed	Property Disposition Message	Sheriff (Detention Department)	Prosecutor Notifies Disposition of Evidence

This page left blank intentionally.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Integrated Justice Standards

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

- 1. INTRODUCTION..... 1**
- 1.1. United States Department of Justice, Global Justice Information Sharing Initiative
Advisory Committee (Global)..... 1
- 1.2. Global Justice XML Data Model (GJXDM) 2
 - 1.2.1. Credits 2
 - 1.2.2. Overview 2
 - 1.2.3. Global XML Structure Task Force (XSTF) 3
 - 1.2.4. What Does the GJXDM Contain? 4
 - 1.2.5. GJXDM Reference Material 5
 - 1.2.6. GJXDM 3.0.3 (Current Release)..... 6
 - 1.2.7. Supporting Documentation..... 6
- 1.3. GJXDM Information Exchange Package Documentation (IEPD) 7
 - 1.3.1. Credits 7
 - 1.3.2. Introduction to Information Exchange Package Documentation (IEPD)..... 7
 - 1.3.3. Business Need for Information Exchange Package Documentation 7
 - 1.3.4. Artifacts in Information Exchange Package Documentation 9
 - 1.3.5. Information Exchange Package Documentation (IEPD) Clearinghouse 9
 - 1.3.6. Information Exchange Packet Documentation for Gwinnett County 11
- 1.4. National Information Exchange Model (NIEM) 11
 - 1.4.1. National Information Exchange Model for Gwinnett County 13
- 1.5. Interstate Criminal History Transmission Specification (XML 3.0) 13
- 1.6. National Crime Information Center (NCIC) 13
- 1.7. National Law Enforcement Telecommunications System (NLETS) 14
- 1.8. Organization Recommendations for All Levels of Government 15
 - 1.8.1. Local Agencies Requirements and Responsibilities 15
 - 1.8.2. State Agencies' Requirements and Responsibilities 16
 - 1.8.3. Federal Agencies' Requirements and Responsibilities..... 17
 - 1.8.4. Shared Responsibilities..... 17
- 1.9. Americans with Disabilities Act of 1990 (ADA) 17
- 1.10. National Standards Best Practices 18
- 1.11. Reference Web Site Resources 18
 - 1.11.1. Federal Agencies 18
 - 1.11.2. National Organizations 18
 - 1.11.3. Standards Groups..... 19

Table of Figures

Figure 1-1 Global Justice XML Data Model Content.....	5
Figure 1-2 GJXDM Migration / NIEM Timeline.....	12
Figure 1-3 Information Sharing Model.....	15

1. Introduction

The Internet provides seamless, “on demand” access to billions of pages of information from any computer in the world with an Internet connection and a Web browser. The technical requirements to access all of this information are as simple as plugging the computer into an Internet connection, much like connecting a standard telephone. Internet standards provide all of the “invisible” technology behind the Web. Although this “seamless” access to information appears effortless, this notion is far from the truth. The World Wide Web Consortium (W3C) spent years reviewing and approving these standards.

The national justice community is following this example to develop a series of interoperability standards to promote secure information sharing among justice agencies at all levels of government. Gwinnett County’s CJIS Strategic Plan is designed to provide a blueprint for the future integrated justice system by streamlining processes through a more efficient use of technology. The integration technology will be built on national technical standards that will ensure interoperability among County agencies, State of Georgia departments, and federal agencies. Also, compliance with national standards will satisfy requirements to receive federal grants.

The Integrated Justice Standards deliverable provides reference information on current and emerging standards that will be beneficial in the implementation of the Gwinnett Integrated Criminal Justice Information System. This deliverable will provide an overview of each major topic and discuss the relevance for Gwinnett County. To find additional information on the topics discussed, readers should follow the embedded Internet links.

1.1. United States Department of Justice, Global Justice Information Sharing Initiative Advisory Committee (Global)

The Global Justice Information Sharing Initiative (Global) serves as a Federal Advisory Committee (FAC) and advises the U.S. Attorney General on initiatives for the sharing and integration of justice information. Global was created to support the broad-scale exchange of pertinent justice and public safety information. It promotes standards-based electronic information exchange to provide the justice community with timely, accurate, complete, and accessible information in a secure and trusted environment. Global is a group of groups that represents more than 30 independent organizations that span the spectrum of law enforcement, judicial, correctional, and related bodies. Member organizations participate in Global with a shared responsibility and shared belief that, together, they can bring about positive change by making recommendations and supporting the initiatives of the U.S. Department of Justice (DOJ). Global's mission – the efficient sharing of data among justice entities – is at the very heart of modern public safety and law enforcement.

The Global Advisory Committee (GAC) operates in accordance with the Federal Advisory Committee (FAC's) provisions and convenes twice a year in Washington, D.C. Meetings are announced in the *Federal Register*, and the public is welcome to attend as observers. The Office of Justice Programs (OJP) aids the member organizations of Global and the people they serve through a series of important initiatives. These include the facilitation of GAC Working Groups; development of technology standards such as the Global Justice XML Data Model (GJXDM), creation of white papers on data sharing issues such as the National Criminal Intelligence Sharing Plan (NCISP), and the dissemination of information at Global's Web site. GAC Working Groups work collaboratively to address the policy, connectivity, and jurisdictional issues that hamper the effective sharing of justice information. Global Working Groups consist of GAC members and other subject-matter experts who expand the GAC's knowledge and experience. The groups are formed on timely issues that affect the sharing of justice information. For more information, readers should visit OJP's Web site at www.it.ojp.gov/global/.

1.2. Global Justice XML Data Model (GJXDM)

1.2.1. Credits

The GJXDM section leverages "Building Exchange Content Using the Global Justice XML Data Model: A User Guide for Practitioners and Developers," which was written DOJ. The entire document can be downloaded from DOJ's Web site at http://it.ojp.gov/topic.jsp?topic_id=201.

1.2.2. Overview

Historically, much of the information was shared among justice agencies through custom integration of individual applications. Developers created exchange data formats that were designed for the each custom interface, and technical standards were not reused often across agencies. According to DOJ, this lack of standards for linking information systems during the past 30 years is responsible for a substantial part of the high costs of information exchange and has contributed to the challenges of sharing information among justice agencies.

The advent of Extensible Markup Language (XML) has exponentially affected the way data and its meaning are expressed and understood worldwide. In the technical community, XML is widely adopted as a standard for information exchange. XML is used to describe data so that standard interfaces can be developed to interpret it correctly. To make the data exchanges truly interoperable, industries and government communities began to develop common XML vocabularies to represent the data being exchanged in their respective domains. Through the management and support of DOJ and Global, an XML vocabulary was developed for the justice and public safety community. The justice XML dictionary is known as the GJXDM, which is a common

XML vocabulary that enables interoperability among justice agencies at all levels of government. The Global JXDM is the result of a collaborative effort of numerous agencies from all levels of the justice and public safety domains.

The GJXDM provides a consistent, extensible, and maintainable XML schema reference specification for data elements and types that represent the data requirements of the general justice and public safety communities. The GJXDM also provides a baseline model for the data dictionary that can be represented in advanced technologies independently of an XML Schema. Using the GJXDM promotes the use and reuse of common XML data components. The GJXDM is flexible to allow local additions of data components without affecting prior investments in code and schema development. The GJXDM is designed to evolve with emerging technologies that allow for future growth of the standard.

1.2.3. Global XML Structure Task Force (XSTF)

In early 2002, DOJ formed a group called the XML Structure Task Force (XSTF) under Global's Infrastructure/Standards Working Group to develop an object-oriented XML data model for justice information sharing. XSTF consists of justice practitioners and industry representatives from various justice communities of interest and includes representation from:

- Local, state, and federal law enforcement
- Courts
- Corrections
- Probation and parole
- Transportation agencies
- The Federal Bureau of Investigation
- Search, The National Consortium For Justice Information And Statistics
- The U.S. Chief Information Officers Council
- The Integrated Justice Information Systems (IJIS) Institute (a consortium of private-sector companies involved in justice and public safety).

XSTF's contribution is supported by a full-time development staff, notably research scientists from Georgia Tech Research Institute (GTRI) and the National Telecommunication and Information Administration. To develop the technical concepts, GTRI used XML best practices and standards in the design and implementation of the GJXDM. This global XSTF effort provides a framework in which a productive relationship develops among practitioners, industry, and development staff. Several key elements of that relationship enabled its success:

- Developers had no product at stake in the effort; they could listen to the practitioners' requirements and view them impartially.
- Practitioners and industry came to the table willing to compromise with each other and to consider the technical trade-offs the developers provided.
- Practitioners were involved with key decision points throughout the process to ensure that the product met their needs and to enable their buy-in.

These factors created an open atmosphere for XSTF's contribution that allowed all participants to concentrate on achieving a common Justice XML vocabulary that would meet each justice domain's needs most effectively. XSTF's success was enabled by structuring the work into stages:

- XSTF worked to collect and analyze user requirements derived from actual exchanges of justice agency information.
- A technical architecture for the development of Justice XML elements was developed.
- Domain-specific categories were distributed to domain experts for review and analysis.
- Data types and elements were parsed into groups organized under a focused set of core objects.

1.2.4. What Does the GJXDM Contain?

GJXDM 3.0 (current release 3.0.2), developed by XSTF, resulted from an analysis of more than 16,000 justice and public safety-related data elements collected from more than 30 unique sources across the justice domain. It is important to realize that the authors did not attempt to invent content. Instead, the GJXDM tries to capture the requirements of the 30 data sources as completely and accurately as possible. However, compromises were necessary to follow the basic design principles and criteria that the XML Structure Task Force adopted. Figure 1-1 illustrates the breakdown of data elements by component type in the GJXDM.

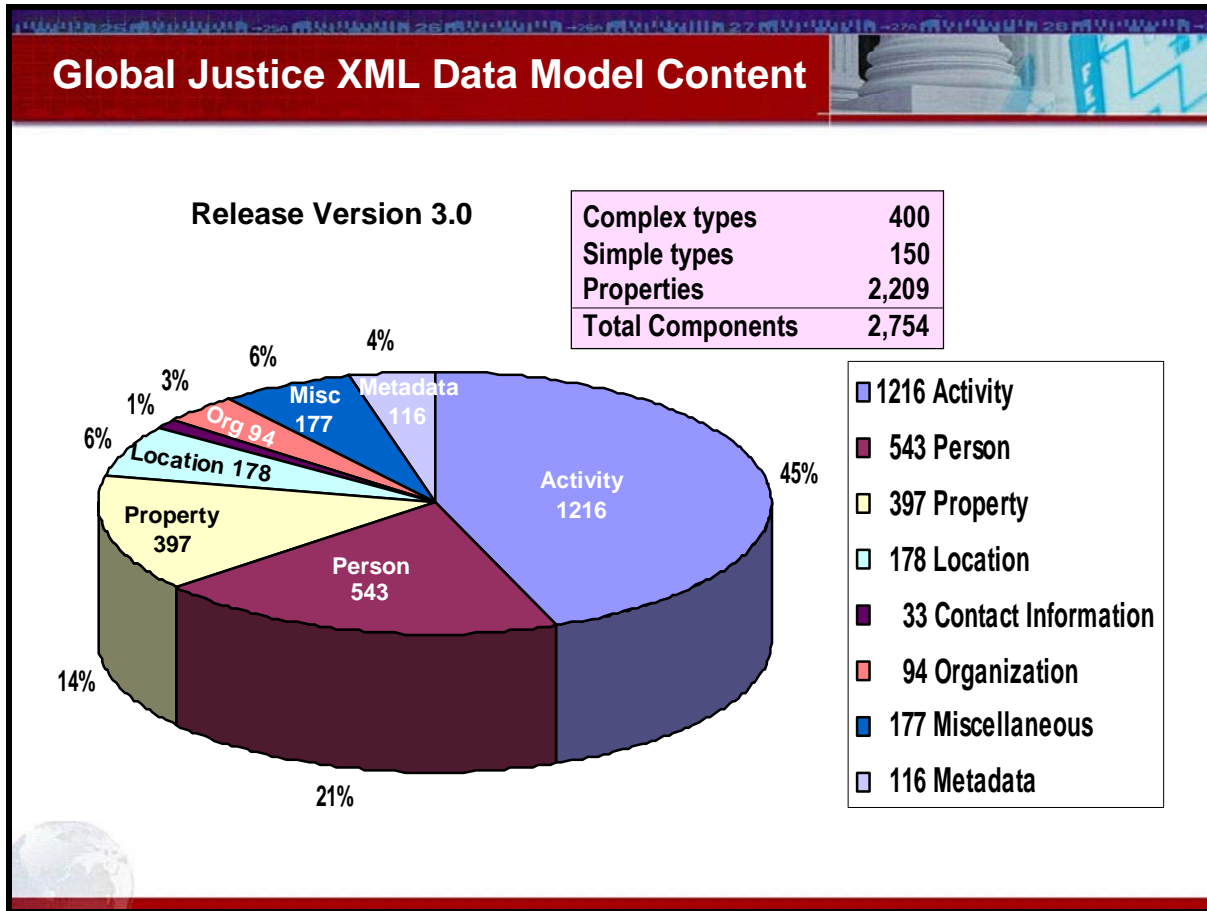


Figure 1-1 Global Justice XML Data Model Content

1.2.5. GJXDM Reference Material

The GJXDM is intended to be a data reference model for the exchange of information in the justice and public safety communities. The content in the following tables provides access to key GJXDM resources from DOJ’s Web site at <http://www.it.ojp.gov/gjxdm>. For the latest news, documentation, and releases of the GJXDM, interested readers should access this site regularly.

Resource	Description
http://www.it.ojp.gov	Office of Justice Programs (OJP) Information Technology (IT) Initiatives Web site.
http://www.it.ojp.gov/gjxdm	GJXDM main page.
Contact OJP http://www.it.ojp.gov/topic.jsp?topic_id=76	Contact page for general questions, recommendations for future enhancements, requests for support or training, and other concerns.

Resource	Description
Global JXDM Listserv http://www.it.ojp.gov/topic.jsp?topic_id=92	Application for the GJXDM Listserv – a community of interest for developers, practitioners, and other interested persons to promote the exchange of ideas and experiences with the GJXDM.
Global JXDM Knowledge Base and Helpdesk http://it.ojp.gov/gjxdm/helpdesk/	Online technical support and a knowledgebase for the GJXDM.
Global JXDM Feedback http://justicexml.gtri.gatech.edu/feedback/	Bugzilla-driven comment page for technical bugs, questions, and modifications to the current release.
Schema Subset Generation Tool (SSGT) http://gjxdmtools.gtri.gatech.edu/ssgt/SSGT-Search.do;jsessionid=0A16FCF0F9E6B971C3AD56E65D6E8E2B	Online software tool for searching and navigating the GJXDM and for generating GJXDM schema subsets.

1.2.6. GJXDM 3.0.3 (Current Release)

Resource	Description
Justice XML Data Dictionary (GJXDM) Release 3.0.3 http://www.it.ojp.gov/jxdm/3.0.3/index.html	GJXDM 3.0.3 types and properties are rendered as XML Schema types, elements, and attributes. Also included are the most current enumeration type schemas (code tables) and their proxy schemas. Version 3.0.3 is compatible with versions 3.0.2 and 3.0.

1.2.7. Supporting Documentation

Resource	Description
Frequently Asked Questions (FAQ) http://www.it.ojp.gov/jxdm/faq.html	List of frequently asked questions about the GJXDM. Contains notes on the current status of the GJXDM. Includes information on past and future versions of the data model, data model software tools and capabilities, training, and support.
GJXDM User Guide http://it.ojp.gov/topic.jsp?topic_id=201	<i>Building Exchange Content Using the GJXDM: A User Guide for Practitioners and Developers</i>
GJXDM Information Exchange Package Documentation Guidelines, version 1.1 http://www.it.ojp.gov/process_links.jsp?link_id=4581	Definitions, explanations, and guidance on packages for GJXDM-conformant XML exchanges.

1.3. GJXDM Information Exchange Package Documentation (IEPD)

1.3.1. Credits

The GJXDM Information Exchange Package Documentation section leverages the GJXDM Information Exchange Package Documentation Guidelines written by the GJXDM XML Structure Task Force. The entire document can be downloaded from DOJ's Web site at www.it.ojp.gov/process_links.jsp?link_id=4581.

1.3.2. Introduction to Information Exchange Package Documentation (IEPD)

Many justice and public safety organizations have worked to define information exchanges that conform to the GJXDM to be used in their information sharing enterprises. Recently, several justice practitioner and industry organizations (including SEARCH; the National Center for State Courts (NCSC); the OASIS LegalXML Integrated Justice Technical Committee; the IJIS Institute; and other national, state, regional, and local justice organizations) have worked to define reference information exchanges intended as models for information exchanges that meet specific business needs. The Global XML Structure Task Force (XSTF) recognized the need to identify and describe a common set of artifacts to document the structure and content of a GJXDM-conformant XML instance used in an information exchange to meet a specific business purpose.

This set of artifacts is referred to as GJXDM Information Exchange Package Documentation (IEPD). The products of these efforts are also known as Exchange Documents and Reference Exchange Documents (or simply Reference Documents). An Information Exchange Package represents a set of data that is transmitted for a specific business purpose. It is the actual XML instance that delivers the payload or information. ("Package" refers to a package of the actual data, not a package of artifacts documenting the structure and content of the data.) An Information Exchange Package can be prefixed with GJXDM to indicate or highlight that the Information Exchange Package conforms to the GJXDM, as in "GJXDM Information Exchange Package."

IEPD is a collection of artifacts that describes the structure and content of an Information Exchange Package. It does not specify other interface layers (such as Web services). It can optionally be prefixed with GJXDM to indicate or highlight that a resulting IEP conforms to the GJXDM.

1.3.3. Business Need for Information Exchange Package Documentation

Why develop Information Exchange Package Documentation? It is necessary to define the data that is to be exchanged (and its structure) for a particular business purpose, thereby providing interoperability at the Information Exchange Package level.

The Global Justice XML Data Dictionary (GJXDD) provides a set of defined data in the justice domain; the GJXDM provides an object structure for that data. However, the GJXDM does not define sets of data for particular business information exchanges.

Without the IEPD, there would be no agreement on which GJXDM properties (and extended properties) are used or how they are structured in the Information Exchange Package. With the same set of business data requirements, each implementing organization would likely come up with a different Information Exchange Package to represent that same set of business data because of the GJXDM's flexibility. It may be difficult for an organization that receives an Information Exchange Package to understand it because the organization would not necessarily know the context of Information Exchange Package data, properties, and XML structure. Even if the Information Exchange Package from a particular sending organization could be interpreted, it would be expensive for organizations to handle the variations from the different senders. By developing and reaching agreement on the IEPD for an information exchange in a particular justice enterprise, participants can send an Information Exchange Package that those who receive the package can easily understand.

Developing Reference IEPD further reduces the arbitrary variations in IEPD and the corresponding effort to implement multiple IEPD instances for a similar business purpose. If one or more justice practitioners, industry organizations, or both agree on the Reference IEPD for a particular business purpose, that Reference IEPD can be used as a model for a more specific IEPD that meets the a particular justice enterprise's specific business needs. The goal of an IEPD is to:

- Establish a business framework around information exchange
- Leverage existing vocabularies and build new vocabulary for information exchange
- Define specific data objects included in information exchange and a common meaning of these objects for all users or participants
- Expand and refine the data dictionary, (such as the GJXDD) through experienced feedback; resolve vague definitions
- Constrain or restrict vocabularies down to key choices to support interoperability.

For example, if each state is considered a justice enterprise, each may develop the IEPD for an Arrest Warrant. There could then be 50 or more instances of the Arrest Warrant IEPD, each with potentially legitimate differences due to each state's unique requirements. However, these 50 or more instances of Arrest Warrant IEPD would likely have arbitrary and unnecessary differences (in addition to the legitimate differences). If a nationally respected organization develops and recognizes a *Reference* IEPD for an Arrest Warrant, states are more likely to use that documentation as a model for developing their specific Arrest Warrant IEPD. This minimizes unnecessary differences from state to state while enabling each state to tailor its Arrest Warrant IEPD to meet its specific business needs. It may be inclusive enough to be used as-is for a particular state. The state-specific Arrest Warrant IEPD would be used

to exchange warrant information among different jurisdictions in the state or between a jurisdiction and the state repository.

Carrying this concept further down, a countywide justice enterprise could use the State Arrest Warrant IEPD as a reference model to develop its IEPD for an Arrest Warrant. This county-specific Arrest Warrant IEPD would be used to exchange warrant information among different organizations in the county. Continuing upward with this concept, national justice enterprises could use the Reference IEPD for an Arrest Warrant for exchanging warrant information among states or between states and the federal government. The benefit of this consistency is that organizations that implement information exchanges can more quickly and cost-effectively across many jurisdictions at all levels. IEPD and Reference IEPD take the benefits of using the GJXDM to a higher level. Ultimately, organizations implement information exchanges based on IEPD, not on the GJXDM.

1.3.4. Artifacts in Information Exchange Package Documentation

- Purpose and scope
- List of artifacts
- XML Schemas
- GJXDM Subset Schema
- Constraint Schema
- Extension XML Schema
- Document XML Schema
- Additional provisions
- Additional property definitions
- Minimal property set
- Additional business rules
- Other information

1.3.5. Information Exchange Package Documentation (IEPD) Clearinghouse

The IEPD Clearinghouse provides information on various IEPDs that were submitted by individuals and organizations that implemented the GJXDM: <http://it.ojp.gov/iepd/>. The following table lists IEPD that is available at the IEPD Clearinghouse Web site.

#	Title	Description
1	Amber Alert IEPD	An Amber Alert schema is proposed as a baseline for developing a national standard for Amber Alert message sets to promote the seamless sharing of Amber Alert information.
2	Arrest/Incident IEPD	A reference document that illustrates how the XML schemas were used in authoring an Arrest/Incident record.
3	Traffic Citation IEPD	A reference document designed to establish a national baseline of GJXDM-compliant exchanges of Traffic Citations.
4	Incident Reporting Reference IEPD	A model for electronic exchange of incident information among law enforcement agencies and local, state, and national partners, including statistical crime analysis (UCR, NIBRS, and the FBI NDex).

#	Title	Description
5	Arrest Warrant IEPD	A reference document designed to establish a national baseline of GJXDM-compliant exchanges of Arrest Warrants.
6	Updated – Offender Status Change Notification	A notification that a convicted offender is scheduled to undergo or underwent a change in status.
7	Prosecutor disposition IEPD	A reference document designed to establish a national baseline of GJXDM-compliant prosecution information exchanges of Disposition events and conditions.
8	Updated – Pre-Sentence Investigation	A GJXDM baseline for the exchange of Pre-Sentence Investigation information.
9	Crime Investigation Report	Designed for the Rochester (New York) Police Department's Crime Investigation process based on its existing Crime Investigation Report.
10	Protection Order IEPD	A reference document designed to establish a national baseline of GJXDM-compliant exchanges of Protection Orders.
11	Prosecutor Arrest Warrant IEPD	A reference document designed to establish a national baseline of GJXDM-compliant prosecution information exchanges of Arrest Warrant events and conditions.
12	Charging Document	IEPD that can be used for Criminal Complaints, Indictments, Information, and Juvenile Petitions. These prosecution filing documents are generally initiated from the submission of information exchanges on Referrals (Bookings).
13	Kansas Disposition Report	A schema that is intended to provide a GJXDM-compliant standard for submitting disposition information to the Kansas Central Repository.
14	Sentencing Order IEPD	A reference document designed to establish a national baseline of GJXDM-compliant exchanges of Sentencing Orders.
15	Field Interview Report a/k/a Suspicious Activity Report	A record of a field officer's stop of an individual or a vehicle and no probable cause for arrest or citation.
16	JTF Interstate Criminal History Rapsheet	The Joint Task Force on Rap Sheet Standardization.
17	Sentencing Order	Also known as an Order of Judgment and Commitment, a Judgment and Sentence, a Mittimus, or a Sentence Order. Describes a sentence by the court, which may or may not include commitment, after adjudication of a criminal cause.
18	Court Charge Events	The Alaska Court System publishes information on charges filed, amended, and disposed, and specifications for authorized agencies to access and use the information.
19	Supervision Conditions Exchange	A reference model that documents an offender's conditions of probation, parole, or extended supervision

#	Title	Description
		from a supervision agency to law enforcement.
20	Prosecutor Charging Document	A reference document designed to establish a national baseline of GJXDM-compliant prosecution information exchanges of Prosecutor Charging events and conditions.
21	Prosecutor Subpoena	A reference document designed to establish a national baseline of GJXDM-compliant prosecution information exchanges of Subpoena events and conditions.
22	New – Ohio Local Law Enforcement Information Sharing Network (OLLEISN) 2.0 JXDM	This IEPD is designed to provide local law enforcement officers with information and communication capabilities.
23	Prosecutor Summons	A reference document designed to establish a national baseline of GJXDM-compliant prosecution information exchanges of Summons events and conditions.

1.3.6. Information Exchange Packet Documentation for Gwinnett County

Gwinnett County should leverage IEPD (if it exists for a given business process) as a starting point for the development of all GJXDM-compliant schemas. The IEPD will keep the County in step with national standards for data structures and provide a substantial head start for creating these complex XML documents. Developing GJXDM-compliant schemas is an expensive process that requires experienced technical experts; reusing the intellectual property in IEPD will provide the County with a significant cost savings. Vendors are adopting IEPD standards rapidly; many are developing the ability to generate and consume standard IEPD GJXDM schemas.

Although IEPD can provide a well-developed template for GJXDM-compliant schemas, the actual implementation in Gwinnett County may require custom modifications to meet specific business requirements. The County’s goal should be to apply the “80/20” rule by reusing 80 percent of the standard IEPD and customizing the 20 percent that includes County-specific requirements. In practice, Gwinnett County may experience IEPD reuse of 90 percent or more, depending on how much the County’s process varies from the national model. Finally, IEPD contains well-developed technical documentation that provides developers with extensive reference material for creating information exchanges.

1.4. National Information Exchange Model (NIEM)

On February 28, 2005, the Departments of Homeland Security (DHS) and Justice (DOJ) announced a memorandum of understanding between them that ultimately created the National Information Exchange Model (NIEM) project. This project is designed to expand the GJXDM to other sectors such as public health, transportation, and intelligence. NIEM’s mission is: *“To assist in developing a unified strategy, partnerships, and technical implementations for national information sharing – laying the*

foundation for local, state, tribal, and federal interoperability by joining together communities of interest. That foundation consists of three parts: core data components, reusable XML exchange packages, and business-process models for information sharing. The business process drives the creation of information exchange packages that are populated by reusable components.”

Georgia Tech Research Institute (GTRI) works as the technical lead in developing this standard. This version contains components that support international trade, including U.S. Customs and Border Protection (CBP) and Emergency Management. The NIEM project will work to leverage the reuse of existing standards such as the GJXDM, technology, and existing infrastructure. The NIEM leverages the data exchange standards efforts successfully implemented by the Global Justice Information Sharing Initiative (Global) and extends the GJXDM to facilitate timely, secure information sharing across the whole justice, public safety, emergency and disaster management, intelligence, and homeland security enterprise. The GJXDM will essentially be a subset of the larger NIEM standard. Figure 1-2 provides the timeline for the migration of the GJXDM and NIEM standards.

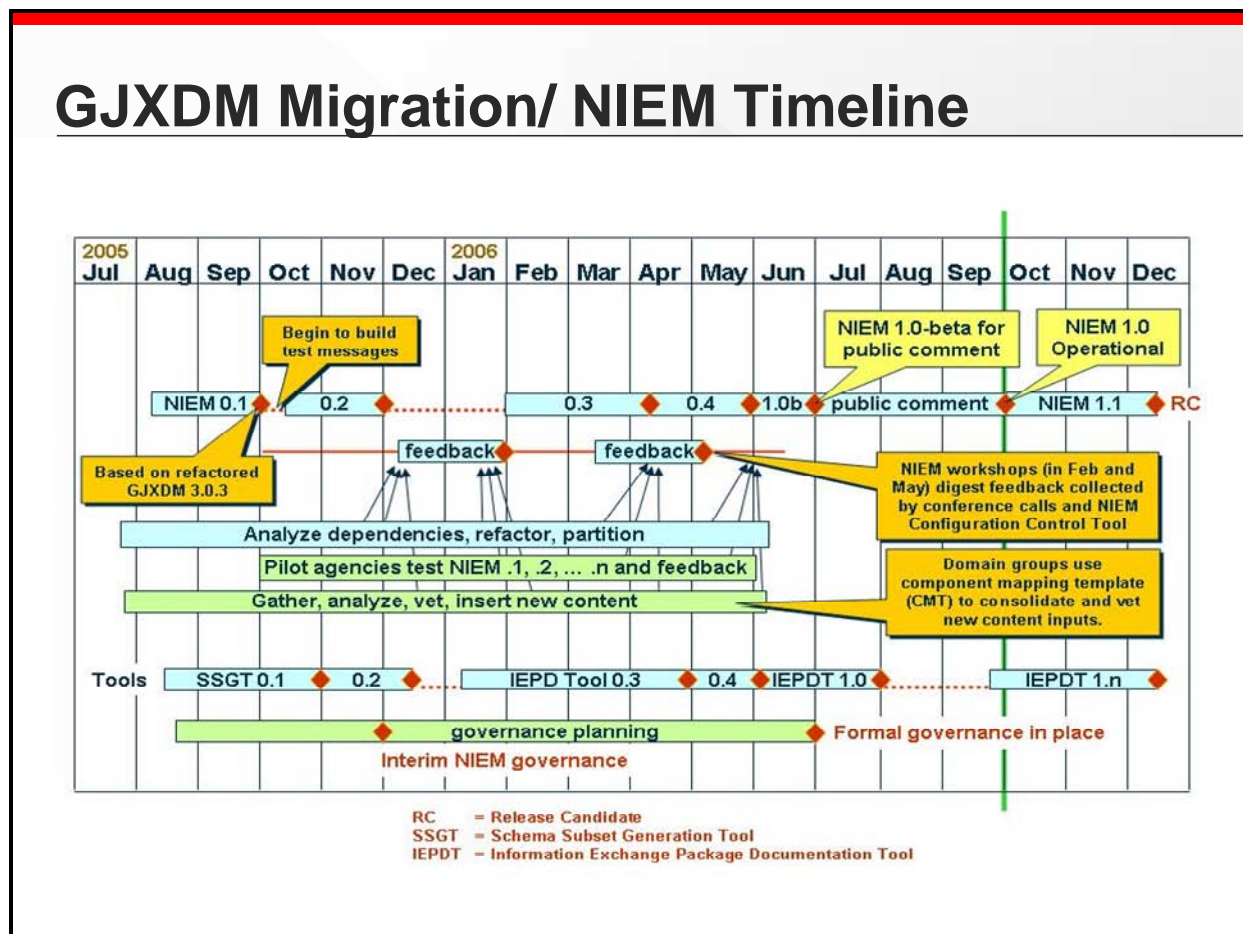


Figure 1-2 GJXDM Migration / NIEM Timeline

For more information, readers can visit NIEM project’s Web site at www.niem.gov.

1.4.1. National Information Exchange Model for Gwinnett County

Gwinnett County should continue to focus on the GJXDM standard as the national standards community migrates toward the NIEM. To mitigate any potential upgrade problems, the County should follow the IEPD definitions for common exchanges and comply with well-formed GJXDM schemas. The County also should monitor NIEM developments because the standard will become an operation standard in late 2006 to early 2007. The effort required to move from the GJXDM to the NIEM should be comparable with the effort required to move from one version of GJXDM to the next (GJXDM 3.0.2 to GJXDM 4.0.0).

1.5. Interstate Criminal History Transmission Specification (XML 3.0)

In 1995, the National Task Force on Increasing the Utility of the Criminal History Record made recommendations that included the creation of a transmission format for the interstate sharing of criminal history information. This task force addressed the states' and the Federal Bureau of Investigation's (FBI's) use of different formats and codes that make the interstate exchange and interpretation of criminal history information difficult. Also, it found there was no method for combing or electronically collating criminal records from multiple sources into a single chronological record of events.

A national task force, the Joint Task Force on Rap Sheet Standardization (JTF), composed of members representing the FBI's Criminal Justice Information Services Division (CJIS) and its Advisory Policy Board, SEARCH, the National Consortium for Justice Information and Statistics, the National Law Enforcement Telecommunications System (NLETS), and state and local criminal justice agencies, was formed to address the problems that were identified. The outcome of this task force was the development of an XML-based standardized criminal history transmission format, a presentation format that uses the XML transmission format, and an illustrative example that combines criminal histories from multiple sources into a single criminal history.

Implementation of this specification by all states and the FBI provides for requestors to always receive the same set of information and always receive a single record for multi-source interstate criminal histories when criminal justice events are presented in chronological order. In February 2005, the JTF released version 3.0. JTF recommends the use of this standard for all development after January 1, 2005.

For more information, readers should refer to the following Web site:
<http://www.doj.state.wi.us/les/XML/jtf.htm>

1.6. National Crime Information Center (NCIC)

NCIC is a computerized index of criminal justice information (criminal record history information, fugitives, stolen properties, and missing persons). It is available to federal, state, local law enforcement, and other criminal justice agencies and operates 24 hours a day, 365 days a year. NCIC is maintained to provide a computerized database for ready access by a criminal justice agency making an inquiry and for

prompt disclosure of information on crimes and criminals in the system from other criminal justice agencies. This information assists authorized agencies in criminal justice and related law enforcement objectives, such as apprehending fugitives, locating missing persons, and locating and returning stolen property, and in the protection of the law enforcement officers encountering the individuals described in the system.

Information in the files includes things such as wanted persons, missing persons, individuals who pose a threat to the President, other protectees, or both; members of violent criminal gangs; members of terrorist organizations; and stolen vehicles, boats, guns, and securities. The FBI and the Georgia Bureau of Investigation (GBI) carefully control access to this information.

For more information, readers should visit NCIC's Web site at <http://www.fbi.gov/hq/cjisd/ncic.htm>.

1.7. National Law Enforcement Telecommunications System (NLETS)

NLETS is a not-for-profit organization that is owned and governed by the states. Representatives from each state elect a board of directors and officers annually. They set policies and procedures, define standards, approve members, establish fees, and so forth. A professional staff is responsible for the day-to-day administration and operations of the system. Membership dues are the main source of revenue to operate NLETS.

Users consist all of the states and territories, all federal agencies with a justice component, and selected international agencies, all exchanging data cooperatively. The types of data exchanged vary from motor vehicle and driver's data, Canadian "Hot File" records, and INS databases to state criminal history records. More than 34 million messages are transacted each month.

Unlike 30 years ago, today's networks and systems the law enforcement community uses are faster, more reliable, and more consistent. Internet technologies have made it easier for law enforcement organizations to operate in a loosely coupled environment, eliminating the need for the old message switching model. Today, XML and Web Services are the ideal technologies to exchange law enforcement data transactions, and standardization efforts are under way. NLETS published a complete XML specification for the inquiry formats and response formats, all of which comply with the XML Data GJXDM. The ability to regulate data content by schema and to view data through a common style sheet will be of tremendous value to law enforcement personnel who may need access to data from 50 different states. NLETS offers all transactions in a GJXDM-compliant XML format, including the Joint Task Force Criminal History Rapsheet.

For more information, readers should visit the Web site of NLETS at www.nlets.org.

1.8. Organization Recommendations for All Levels of Government

It is important to understand that municipal, county, state, and federal agencies will all have to work together to implement the vision of a fully integrated justice system successfully. Each level of government has differing perspectives, requirements, and responsibilities. Local agencies (including municipalities and counties) are responsible for the day-to-day horizontal integration of real-time information to process individuals and events through the justice system. State systems are typically used for vertical integration of information for summary, reporting, and historical purposes, such as criminal history. Federal agencies provide further vertical integration to aggregate justice information at the national level. Figure 1-3 illustrates the horizontal and vertical information sharing required to integrate Gwinnett County’s justice system. Each level of government must develop, manage, and implement standards that govern their integrated justice systems.

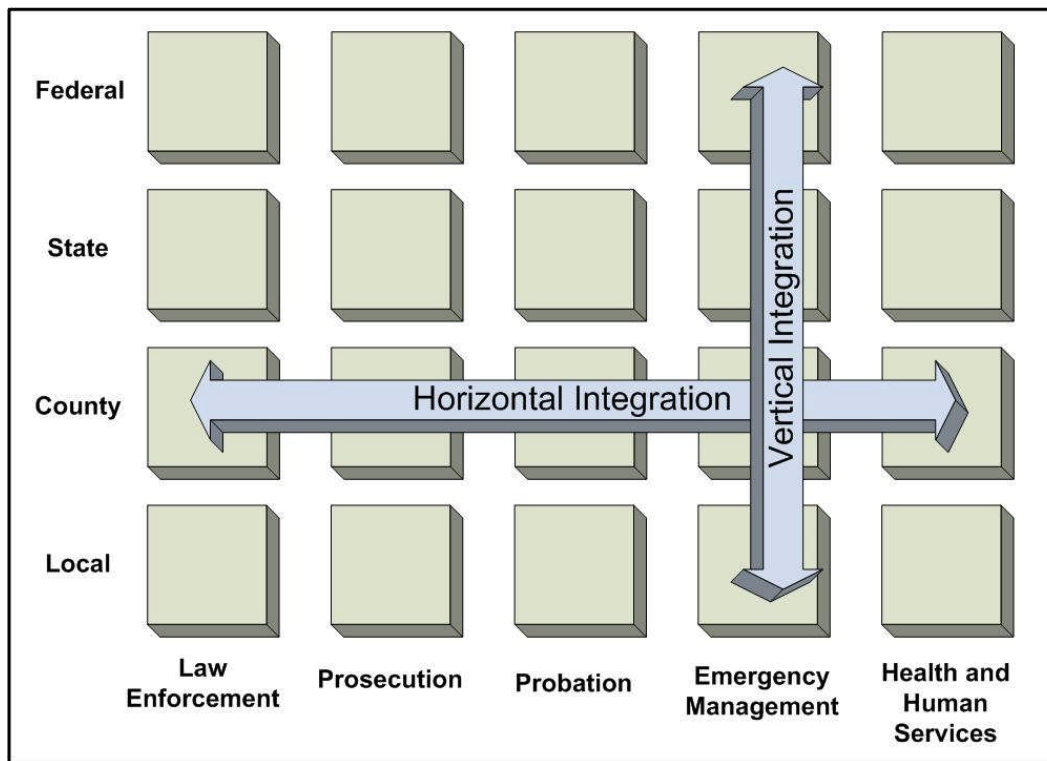


Figure 1-3 Information Sharing Model

1.8.1. Local Agencies Requirements and Responsibilities

Local agencies are the originating point for much of the data in the justice environment. According to SEARCH’s report, *Governance Structures, Roles and Responsibilities*, (www.search.org/files/pdf/Governance.pdf): “Local agencies are responsible for acquiring, creating and maintaining information systems that meet their internal operational needs. In addition, they have an interest and responsibility to share

information with other agencies within and outside their immediate jurisdiction, and a continuing need to access and report information to regional, statewide, and national systems.”

According to SEARCH, local agencies and jurisdictions should:

- Support and maintain their internal information systems
- Establish and enable the sharing of information that supports their operational needs
- Develop local governance structures and standards
- Participate in statewide planning efforts for integration of systems
- Implement standards that support integrated justice systems.

1.8.2. State Agencies' Requirements and Responsibilities

State agencies act as custodians of many records and as facilitators of information sharing among states, between the state and local agencies, and between the state and federal agencies. The best example is criminal history information, which the GBI collects and shares. Every state has an organization that collects and disseminates criminal history information. Nationwide criminal history information is linked together through the FBI's National Crime Information Center (NCIC) and is transported over NLETS. Many states also collect aggregate historical information and statistics through the Administrative Office of the Courts (AOC) or other statewide judicial organization. Many of these state organizations provide information sharing standards for interoperability with counties and municipalities.

According to SEARCH, state agencies should:

- Build statewide repositories and systems that support the operational needs of the state and local governments
- Develop standards that are consistent with national standards that enable information sharing among local jurisdictions, to state systems and other states, and with national systems
- Operate as a gateway to relevant national and federal information repositories and systems such as NCIC
- Develop infrastructure that will support and enable integration of local agencies statewide
- Enable local agencies and jurisdictions to buy IT resources and solutions from state contracts
- Lead statewide IT planning and development
- Fund statewide IT and integrated justice initiatives.

1.8.3. Federal Agencies' Requirements and Responsibilities

Through DOJ and DHS, the federal government maintains criminal justice systems at the national level. These systems include NCIC, III, NIEM, and GJXDM. The federal government also helps set and maintain standards for the submission and maintenance of these important systems, providing a means to have information beyond local or state geography. They also monitor and audit matters such as access to these systems.

DOJ developed a National Criminal Intelligence Sharing Plan (http://it.ojp.gov/documents/NCISP_Plan.pdf). In the plan, DOJ identifies activities that are underway to help connect the dots that would help deter crime or terrorism. This plan relies heavily on input from the Global Justice Information Sharing Initiative. Global members wrote the National Criminal Intelligence Sharing Plan. The sharing initiatives continue to rely on XML and the Justice XML Data Dictionary to facilitate information sharing. Federal grant programs for criminal justice agencies will include a special condition calling for the use of this standard. DOJ continues to support research and the development of new tools and methods to improve information sharing and the use of intelligence information. This work supports the continued development of XML standards.

According to SEARCH, the federal government should also ensure integration of national systems and serve as the gateway to international systems. The federal government also should enable information sharing among all jurisdictions. It should lead IT planning and development as well as fund the support of these initiatives.

1.8.4. Shared Responsibilities

Every level of government has responsibilities. All levels of government must realize their responsibilities to the citizens of their jurisdiction. The information that they maintain is a crucial asset for the completion of an agency's mission. Every level of government is responsible for the security of its systems and data, protecting the privacy of its constituents, promoting standards for interoperability, and using information resources efficiently.

1.9. Americans with Disabilities Act of 1990 (ADA)

The Americans with Disabilities Act of 1990 (ADA) generally requires state and local governments to provide equal access to their programs, services, and activities to individuals covered by this act. Government Web sites are one way to help meet these requirements. Meeting the requirements for Web sites requires following guidelines and testing Web content to make sure it is accessible. The ADA for Web site development can be found in the "Accessibility of State and Local Government Websites to People with Disabilities" document at www.ada.gov/websites2_scrn.pdf. Moreover, "Bobby" is a popular tool for testing pages for ADA compliance. It is available at <http://webxact.watchfire.com/>.

Additional information is also available from the DOJ at www.usdoj.gov/crt/ada/.

1.10. National Standards Best Practices

Standards take work to implement. The benefits of implementing standards make it worth the effort. To maintain a standards-based program effectively, here are some “best practice” suggestions:

- Standards must be monitored and updated.
- Standards must be enforced in the development process.
- Standards require participation in the standards development and updating process.
- Become an advocate for standards
- Add “watchdogs” to the development environment.
- Challenge vendors that want to develop software outside the standards.
- Make standards a requirement in the system development methodology.

1.11. Reference Web Site Resources

The following Web sites provide useful information on standards that were developed and on what is being done to implement and update them.

1.11.1. Federal Agencies

Department of Homeland Security	www.dhs.gov
Federal Bureau of Investigation	www.fbi.gov
OJP’s Information Technology Initiatives	www.it.ojp.gov
Bureau of Justice Statistics	www.ojp.usdoj.gov/bjs/
Bureau of Justice Assistance	www.ojp.usdoj.gov/bja/
Drug Enforcement Administration	www.usdoj.gov/dea/
U.S. Courts	www.uscourts.gov
U.S. Government Portal	www.firstgov.gov

1.11.2. National Organizations

SEARCH	www.search.org
National Association of State Chief Information Officers	www.nascio.org
National Law Enforcement Telecommunications System	www.nlets.org
Conference of State Court Administrators	cosca.ncsc.dni.us
Integrated Justice Information Systems	www.ijis.org

Justice Information Sharing Practitioners	www.jisp.us
National Association for Justice Information Systems	www.najis.org
American Correctional Association	www.corrections.com/aca/
American Jail Association	www.corrections.com/aja/
American Probation & Parole Association	www.appa-net.org
Association of Public Safety Communications Officials	www.apointl.org
International Association of Chiefs of Police	www.iacp.org
National Criminal Justice Association	www.ncja.org
National District Attorneys Association	www.ndaa.org
National Emergency Management Association	www.nema.org

1.11.3. Standards Groups

World Wide Web Consortium	www.w3.org
OASIS Consortium	www.OASIS-Open.org
Ecma International	www.ecma-international.org
National Institute of Standards & Technology	www.nist.gov
American National Standards Institute	www.ansi.org

This page left blank intentionally.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Integrated Justice Legal Issues

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. LEGAL ISSUES.....	1
1.1. Introduction	1
1.2. Data Ownership	2
1.3. Data Quality	3
1.4. Confidentiality	4
1.5. Data Dissemination	4
1.6. Privacy	5
1.7. Security	7
1.7.1. <i>National Institute of Standards and Technology (NIST)</i>	8
2. FEDERAL STATUTES AND REGULATIONS FOR JUSTICE INFORMATION SHARING ..	11
2.1. Homeland Security Act of 2002	11
2.2. E-Government Act of 2002	12
2.3. Identity Theft and Assumption Deterrence Act of 1998.....	13
2.4. Omnibus Crime Control Act and Safe Streets of 1968.....	13
2.5. Criminal Justice Information System, 28 CFR Part 20	13
2.6. Criminal Intelligence Systems Operating Policies, 28 CFR Part 23	13
2.7. Electronic Freedom of Information Act of 1996.....	14
3. STATE STATUTES AND REGULATIONS	15
4. BEST PRACTICES FOR LEGAL ISSUES	17
5. REFERENCE WEB SITE RESOURCES	19

Table of Figures

Figure 1-1 Security Categorization	8
Figure 1-2 Security Management Life Cycle.....	10

Table of Tables

Table 1-1 Privacy Policy Development Resources	7
Table 1-2 Technical and Business Changes Affecting Security	7

This page left blank intentionally.

1. Legal Issues

1.1. Introduction

The duty of all levels of government is to ensure the integrity of the information that it collects, stores, and disseminates. This is a time of rapid access to information, and with this access to information comes increased benefits, risks, and threats. Government entities must be diligent in protecting their information and systems through the use of appropriate laws, policies, and technical tools.

This Integrated Justice Legal Issues document provides information to help Gwinnett County (the County) identify legal issues that must be considered in going forward with the implementation of elements of the County's CJIS Strategic Plan. As with any legal issue, upfront awareness is the best method for avoiding problems. This is especially true for information systems because choices made in design and implementation can mitigate the risk of having legal issues after the system has been deployed. According to the SEARCH publication "Roadmap for Integrated Justice: A Guide for Planning and Management"

(<http://www.search.org/files/pdf/StrategicRoadmap.pdf>):

"The differing cultures of justice organizations, with respect to information policy, will produce some of the most significant disagreements in integration projects. Some organizations traditionally protect information resources to preserve the integrity of the investigative and deliberative processes. Others view justice system activities as open and public, and do their best to make information available to everyone.

"In reality, both approaches are correct and must be respected. The nature of information access and distribution changes during the life of a case. During an investigation, confidentiality is extremely important to avoid jeopardizing a prosecution and to protect the privacy rights of suspects, who are innocent until proven guilty, as well as victims and witnesses. Court proceedings generally are required by the constitution to be open, and records of those proceedings also are considered public record. Information that would not be released during an investigation might now be disseminated widely. Similarly, access to that same data may be limited following court proceedings, particularly if expungement or sealing orders are issued. Many states limit the distribution of arrest and conviction information held in state central repositories.

"Implementation of an integrated system will raise all kinds of legal questions that have not been addressed before, so it is important for the County to be prepared. Agencies may not be willing to share information they consider to be confidential with another organization that may release it to the public. These kinds of situations can create friction and confusion, often causing coalitions to crumble."

In accordance with SEARCH recommendations, some of the areas that must be considered in the planning process are:

- Data ownership
- Data quality
- Confidentiality
- Data dissemination
- Public access
- Privacy
- Security

While this list may not be exhaustive, it covers the most common areas where issues may arise.

1.2. Data Ownership

The answer to the question of who owns any set of data has many implications for the design of a system and the sharing of the data. The owner of the data has many more responsibilities than a consumer of the data. An owner must ensure the quality of the data; the owner must decide how the data will be updated and by whom. The owner must decide who can have access and must adhere to any security and privacy provisions that apply to the data. Often, the release of information is addressed under “open records” or “freedom of information” statutes. The ownership of data becomes a more complicated issue in an integrated data sharing environment. Data for a consolidated report, for example, may contain information from various sources with different owners of the original data.

As part of the development and implementation of an information sharing strategic plan, data sources and the owners must be identified. If there is no explicit answer to the ownership question, the governance rules should allow a decision to be made. These decisions should be made early in the process because they affect other aspects of the process and any projects that may ensue. Unisys suggests that the following questions be looked at and answered by the team going forward with the project.

- **Who owns the data in the CJIS system?** This is the fundamental question. The answer should be agreed on and well documented.
- **How is data ownership decided in an integrated environment?** The team must decide on the process and criteria for answering this question. Data in CJIS will not be static; information will change constantly as cases are processed through the system.
- **What happens when data is updated?** The owner of the data may want to be notified or track updates before their operational systems are automatically updated.
- **Can agencies legally change data?** Even if the owner has no objection to making a change, there may be legal prohibitions to altering the data. The change may alter the meaning of legal documents such as Court documents and GCIC Criminal History name data.

- **Is it, or can it become, a revenue source?** In today's environment of tight budgets, this is an important question. Access to information, particularly in the criminal justice environment, is important to private entities. Statutes may allow this type of dissemination.
- **What are the roles and responsibilities for the owner?** If the roles and responsibilities are decided and documented up front in the process, other decisions will be easier later. The team and developers will know the direction that must be taken for specific data.

1.3. Data Quality

The definition of data quality says that the data is accurate and does not contain any errors. This is arguably the most important criterion to consider in any integrated justice system. Quite literally, lives could be greatly affected by missing, incomplete, or erroneous data. In today's tense environment of constant threats, information in the criminal justice systems has become a valuable tool in protecting citizens. Without accurate information, investigators and analysts may miss clues that could be crucial to solving crimes and proactively identifying national threats. Here are questions that need to be considered in information sharing planning:

- **How do we protect the quality of data in an integrated environment?** This question must be considered with the topic of security as well. Access to the information must be carefully controlled and monitored. It is important for the County to understand how and where data moves through the system to make sure the quality of the data is not affected.
- **How do we ensure data quality?** The answer will include integrity checks such as strict edits on electronic forms and a process for tracking and correcting errors when they are identified. Sometimes, the errors may indicate a larger problem with the system or a process. Data quality should also be a part of any technical security architecture discussions. If the data is updated somewhere else in the integrated environment, the data owner must be satisfied that an update somewhere else in the system does not affect the quality of the data.
- **How is data coming from other agencies verified for correctness?** As data moves from agency to agency in the integrated environment, it may be combined with information from another agency. The agreements for this data exchange should outline the methods that will be used to verify the accuracy of the data that the other agency is submitting. This process will be enabled by well-designed and documented specifications for any system that is developed.

The importance to data quality can not be over stated. The old saying "garbage in; garbage out" spoke to legacy systems in which data was manually entered by a user and stored in a database. In today's integrated environment, it is now possible to combine data from various sources, where each is a potential source of error. The time to build in processes, procedures, and edits that promote data quality is at the outset of CJIS planning.

1.4. Confidentiality

Information systems in the criminal justice environment can contain extremely sensitive data. Some of the information may be confidential, which would mean that access and dissemination would be strictly controlled. Sometimes, the decision on which data should be flagged “confidential” is straightforward; other times, the decision is not that simple. When designing a CJIS, it is important to look at confidentiality issues because of the potential consequences of mishandling confidential information. Here are some confidentiality questions that should be considered:

- **What data is confidential?** This decision is usually part of an overall data classification process. The data classification decisions affect system decisions such as access, dissemination, and security.
- **Who makes classifications decisions?** Each agency may make classification decisions for the data it “owns,” but other integrated information may require a committee to make classification decisions.
- **Are there levels of confidentiality?** If there are levels of confidentiality, this may affect system design. The levels should be documented and known to the agencies that share the information. Examples: “White” – any authorized user group may see the data. “Gray” – only specific group members may see the data; other users are advised the data exists and provided with a contact for further information. “Black” – only specific group members may see the data; other users are unaware the data exists.
- **How will the data/information be protected?** These decisions will include not only CJIS Technical Security Architecture but also policy decisions such as user name and password formats and refresh rates.
- **How will data that has a mix of confidential and non-confidential information be treated?** This can be a common circumstance in the integrated environment, where the data may be stored at more than one location and with other data. This may affect how and where data can be stored in an integrated system.

1.5. Data Dissemination

In an integrated data sharing environment, data may be disseminated at many points in the system. The data may be released in electronic form or on paper. Once the data is disseminated to an entity outside the shared environment, the safeguards built in will no longer apply. This issue needs to be examined carefully. If the data is disseminated regularly, it may need fewer protections while it is part of the integrated system. This will save time and effort in developing and maintaining the systems. Here are aspects of data dissemination that the County needs to consider as the integrated system is designed:

Who needs access? How? Why? How often?

These decisions must be implemented in the system design. Generally, the owner of the data controls these decisions, but this must be done with the full knowledge of how this may affect another agency. Questions should be worked out through the governance process.

How can data be extracted from the system?

Provisions need to be made in the project design to complete things such as reports or produce copies of things such as rap sheets and court documents. If the information will be provided electronically, this must be considered. Note that paper documents cannot be tracked. This should be considered from a security point of view.

Under what conditions can data be disseminated? Does the dissemination need to be tracked?

The answer to these questions affects the system design and the processes that need to be in place at agencies that use the data.

Will downloads be allowed? If not, how do we prevent it?

These questions will affect system security, too. Often, the threat is internal. The system must be designed to prevent employees and anyone else from downloading data, if the County decides to disallow downloads.

Do citizens need to be able to “opt in” or “opt out”?

Often, citizens may not want their information included in data that is disseminated. If that is an acceptable choice, the design team must build the appropriate processes in to allow this choice to be made.

1.6. Privacy

Privacy is a very timely topic. There is much debate in the press and with the public on this issue. “Privacy protects us from being objectified and simplified and judged out of context in a world of short attention spans, a world in which part of our identity can be mistaken for the whole of our identity,” says Jeffrey Rosen, Law Professor at Georgetown University. Privacy addresses the appropriate use of personal identifying information under any circumstance. What is appropriate depends on the context, law, and the individual’s expectation. Personal identifying information needs to be protected against loss, unauthorized access, modification, destruction, and disclosure. In today’s society, more than 90 percent of the public is concerned about privacy. Many fear identity theft and advocate strong security measures for protecting their information.

Mechanisms for addressing privacy issues need to be built into any system design. Issues and options need to be evaluated with every other requirement for an information technology project. In a presentation for a SEARCH symposium, Bob Belair noted that criminal justice law and policy is changing and will continue to change over the next generation in comprehensive and fundamental ways:

- The legal distinctions between Criminal History Record Information (CHRI) held by the FBI, by repositories, by courts, and by commercial vendors will erode.
- Universal privacy rules that are appropriate for negative databases and that account for the sensitivity of the CHRI, its age, and the prospective uses of the data will develop.
- Accurate and relatively recent conviction data will be available to the public instantly and conveniently (for a price).
- Automated decision tools will create personal “CHRI scores,” much like credit scores are used for financial decisions.
- Biometric-based identification databases, including fingerprints, DNA, and other biometrics, will continue to grow.
- Gateway systems that can build profiles combining CHRI with other criminal justice and personal data for public safety, hiring decisions, and risk management will continue to grow.

One of the key pieces in protecting privacy across CJIS is the development of a privacy policy. This is a written, published statement on the handling of personal identifying information that an organization gathers and uses in its normal business. Often, the privacy policy appears on the agency’s public Web site and on any internal Web sites. The policy should include information on information collection, analysis, maintenance, dissemination, access, expungement, and disposition.

The purpose of a privacy policy is to articulate publicly that an agency will adhere to legal requirements and agency policy determinations that enable gathering and sharing of information to occur in a way that protects personal privacy interests. A well-developed and implemented privacy policy uses justice entity resources wisely and effectively; protects the agency, the individual, and the public; and promotes public trust in information sharing. *Unisys recommends that Gwinnett County develop a consistent, well formed CJIS Privacy Policy before implementing the CJIS.* Fortunately, several excellent resources are available in the public domain (Table 1-1) to provide a template for the development of the CJIS Privacy Policy, including:

Resource	Description
http://it.ojp.gov/documents/Privacy_Guide_Final.pdf	Privacy Policy Development Guide
www.icjia.state.il.us/ijis/public/word/PRV/Privacy_Schmriacy_FINAL.doc	“Privacy Schmriacy?” Drafting Privacy Policy in an Integrated Justice Environment (and why it’s important) – developed by the Illinois Integrated Justice Information System
http://it.ojp.gov/documents/asp/introduction/index.htm	Applying Security Practices to Justice Information Sharing

Resource	Description
http://www.ojp.usdoj.gov/bjs/abstract/rntfptcj.htm	Report of the National Task Force on Privacy, Technology, and Criminal Justice Information
http://www.search.org/conferences/2006symposium/presentations/	SEARCH Symposium presentation “Building More Secure Information Systems” by Mark Wilson
www.nist.gov	<p>NIST Special Publication 800–18, Revision 1, “Guide for Developing Security Plans for Federal Information Systems”</p> <p>NIST Special Publication 800–53A, “Guide for Assessing the Security Controls in Federal Information Systems”</p> <p>NIST Special Publication 800–37, “Guide for the Security Certification and Accreditation of Federal Information Systems”</p>

Table 1-1 Privacy Policy Development Resources

1.7. Security

Decisions on security need to be addressed at the earliest part of any CJIS technical design. The CJIS Technical Architecture of the Strategic Plan describes the various technical aspects of CJIS security. Many external and internal factors affect security policies for Gwinnett County’s CJIS. These factors can be grouped into technical and business model changes, including those in Table 1-2.

Technology Changes	Business Model Changes
<ul style="list-style-type: none"> • Internet crawlers used to systematically search and index information • Automation of court records and imaging of court documents • Integrated systems (linking government, commercial, and private databases) • Biometric identification: most Americans are comfortable with fingerprinting • Use of data mining and artificial intelligence to combine information from government, commercial, and private databases • Automated wiretapping (key word searching) 	<ul style="list-style-type: none"> • Mushrooming non-criminal justice demand • Homeland security • Employment background checking • Licensing • Tenant screening • Vulnerable populations • Delivery of name-based CHRI checks that are fast, cheap, and reliable • Commoditizing of the criminal history record • Commercial vendors • Criminal justice vendors • New federal and state statutes that require, or at least authorize, <u>access</u> to CHRI

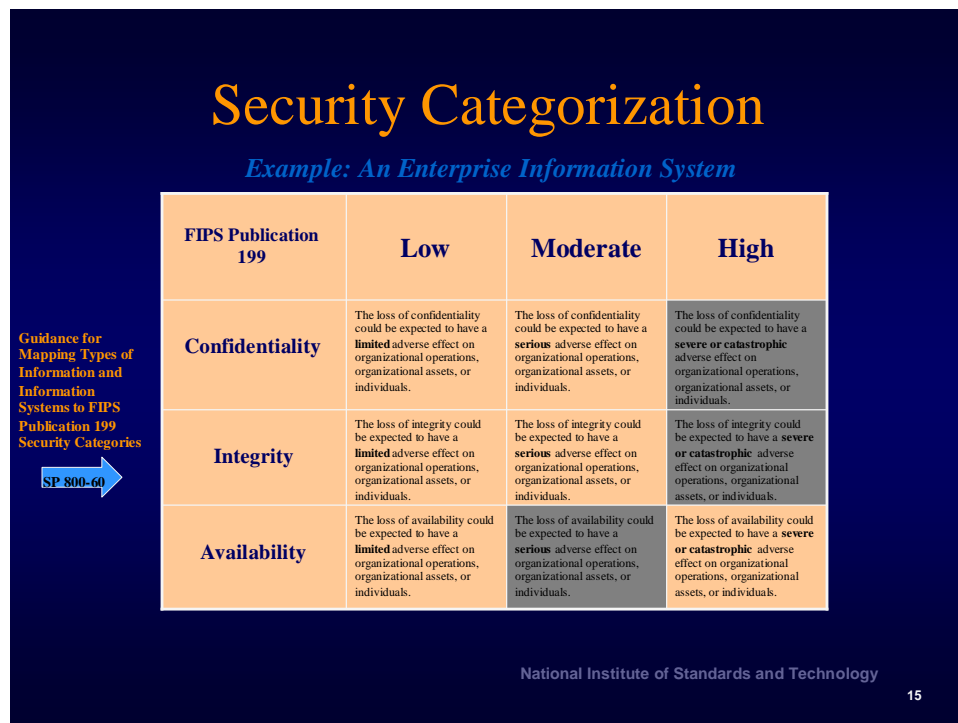
**Table 1-2 Technical and Business Changes Affecting Security –
Source: Bob Belair’s Presentation for SEARCH**

These factors created a “protection gap” in which information protection measures do not keep pace with rapidly advancing technologies and changes in the business process. Information security policies and procedures need to keep up with these rapidly changing technical and business environments. Also, the CJIS Privacy Policy must be reviewed and updated periodically to keep up with this environment of constant change.

1.7.1. National Institute of Standards and Technology (NIST)

The National Institute of Standards and Technology (NIST) have excellent information available on assessing information security practices at its Computer Security Resource Center (www.nist.gov). The NIST Web site refers to several documents used to govern security and privacy policies used throughout the federal government. As the data sharing initiative moves forward, the use of standards adds visibility to the security environment. The NIST standards demonstrate the value of standards among sharing partners. All partners have the opportunity to know the security issues at the beginning of the process.

A review of security processes and procedures will contain a risk assessment early in the process. This helps focus the security effort on the areas that need it most. This will allow for the effective use of resources, including budget, in the development of security features during the system design portion of the sharing initiative. Figure 1-1 illustrates a matrix of security issues by impact of the consequences.



**Figure 1-1 Security Categorization –
Source: SEARCH Symposium Presentation**

Typically, an information security plan would put the maximum security effort on the area of highest impact. As with privacy, security is enhanced by adopting a strong security policy. All members of the sharing alliance should adopt this policy. The security policy should clearly state the objectives of the agency's security efforts and the consequences of not adhering to the policy. Typically, each employee would sign a copy of the policy or a form acknowledging that he or she read and understood the policy. These signed forms should be maintained in the employee's personnel file.

The security policy helps protect data and information systems from internal threats. However, external threats should be looked at and protections built to prevent breaches of external security. Networks and access points should have protection from malicious code and various threats that are common in a networked environment. Sign-on screens should include a security statement that clearly states that unauthorized access is prohibited. Network staff should be trained to look for security threats and breaches. Careful monitoring needs to occur, and if possible, alerts need to be set so that the system notifies a technical person when it detects an unusual occurrence. Also, all agencies should periodically test and evaluate the effectiveness of information security policies, procedures, and practices (including management, operational, and technical security controls).

The most secure information system would be of little use because it would prohibit access to most people and systems. The other extreme of having no security or prohibitions on access is unsuitable for the criminal justice environment. An affordable position in the middle must be achieved. Here are some recommendations to consider:

- Develop an enterprise-wide strategy and game plan for information security.
- Focus initially on impacts to the mission and the business case— bring threat information in only when it is specific and credible.
- Create a balanced information security program with management, operational, and technical security controls.
- Employ a solid foundation of security controls first, then build on that foundation guided by an assessment of risk.
- Harden the target; place multiple barriers between the adversary and enterprise information systems.
- Do not be overwhelmed with the enormity or complexity of the information security problem – take one step at a time and build on small successes.
- Do not tolerate indifference to problems with the security of enterprise information.
- ***And finally...manage enterprise risk – don't try to avoid it!***

Figure 1-2 illustrates the continuous security management life cycle.

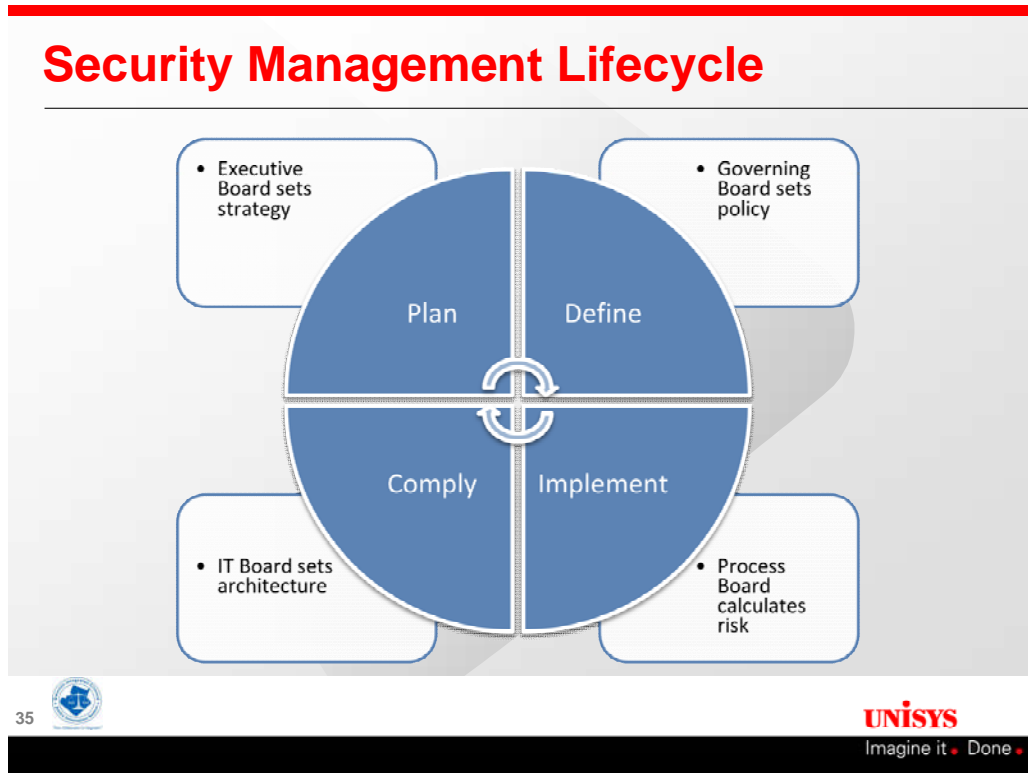


Figure 1-2 Security Management Life Cycle

2. Federal Statutes and Regulations for Justice Information Sharing

In its *Privacy Policy Development Guide*, the Global Justice Information Sharing Initiative Advisory Committee (Global) recommends that the following federal laws and regulations be examined and considered as part of developing a CJIS Privacy Policy:

- Federal Trade Commission Act of 1914
- Title III of the Omnibus Crime Control and Safe Streets Act of 1968
- Fair Credit Reporting Act of 1970
- Code of Federal Regulations (CFR) Title 28 (28 CFR)—Judicial Administration, Chapter 1—U.S. Department of Justice, Parts 20, 22, 23, and 46
- Health Insurance Portability and Accountability Act (HIPAA) of 1996
- Privacy Act of 1974
- Right to Financial Privacy Act of 1978
- Privacy Protection Act of 1980
- Electronic Communications Privacy Act of 1986
- Computer Matching and Privacy Protection Act of 1988
- Driver's Privacy Protection Act of 1994
- USA PATRIOT Act of 2001
- Freedom of Information Act of 1974
- Telecommunications Act of 1996.

The following sections highlight the statutes that are likely to have the most impact on developing and implementing a criminal justice sharing initiative.

- USA PATRIOT Act of 2001

Congress passed the USA PATRIOT Act in response to the terrorists' attacks of September 11, 2001. It gives federal officials greater authority to track and intercept communications both for law enforcement and for foreign intelligence gathering. It gives the Secretary of the Treasury regulatory powers to stop foreign money laundering. It tightens border processes and seeks to detain and remove terrorists who have entered the U.S. Congress continually considers renewing the provisions of this act.

2.1. Homeland Security Act of 2002

This act established the Department of Homeland Security (DHS) in the Executive Branch of the federal government and defines its primary missions and responsibilities.

The primary missions of DHS include preventing terrorist attacks in the United States, reducing the vulnerability of the United States to terrorism at home, and minimizing damage and assisting in the recovery from any attacks that may occur. The primary responsibilities of DHS correspond to the five major functions established by the bill in the department:

- Information analysis and infrastructure protection
- Chemical, biological, radiological, nuclear, and related countermeasures
- Border and transportation security
- Emergency preparedness and response
- Coordination with other parts of the federal government, with state and local governments, and with the private sector.

These primary missions and responsibilities are not exhaustive, and DHS will continue to perform other functions of the agencies it will absorb.

2.2. E-Government Act of 2002

E-government uses improved Internet-based technology to make it easy for citizens and businesses to interact with the government, save taxpayer dollars, and streamline citizen-to-government communications. A goal of the E-Government Act is to eliminate redundant systems and significantly improve the government's quality of customer service for citizens and businesses. This bill encourages ongoing dialogue with state, local, and tribal governments as well as the general public, the private sector and nonprofit organizations. This act finds innovative ways to improve the performance of governments by collaborating on the use of information technology to improve the delivery of information and services. Features of the E-Government Act include:

- Standards for categorizing and indexing government information
- Standards for agency Web sites
- Creation of a public directory for agency Web sites
- Selection of agencies to engage in pilot projects on data integration
- Improvement of access for people with and without computers
- Removal of the sunset date for the Government Information Security Reform Act of 2000 (GISRA) and its renaming as the Federal Information Security Management Act of 2002 (FISMA)
- Endorsement of FedCirc as the incident response center for cyber security and strengthening of the role of NIST and the Department of Commerce in promulgating computer security standards.

The E-Government Act of 2002 includes many other provisions, most of which apply to federal agencies. However, because data sharing occurs between the local level and other levels of government, it is important to watch how this act is enacted at these

agencies. A good source of information is *OMB Guidance for Implementing the Privacy Provisions of the E-Government Act of 2002*. This document is available at www.whitehouse.gov/omb/memoranda/m03-22.html.

2.3. Identity Theft and Assumption Deterrence Act of 1998

The Identity Theft and Assumption Deterrence Act of 1998 makes identity theft a federal crime with penalties up to 15 years of imprisonment and a maximum fine of \$250,000. It establishes that the person whose identity was stolen is a *true* victim. Previously, only the credit grantors who suffered monetary losses were considered victims.

2.4. Omnibus Crime Control Act and Safe Streets of 1968

In 1968, Congress passed this far-reaching bill. The *Privacy Policy Development Guide* published by the Global Justice Information Sharing Initiative recommends that special attention should be paid to Title III, which contains a set of specific requirements for conducting wiretaps. Under this statute, law enforcement must obtain a warrant from a judge to conduct a wiretap. The contents of the warrant may have special privacy and confidentiality requirements that may apply to requesting and issuing these warrants through CJIS.

2.5. Criminal Justice Information System, 28 CFR Part 20

28 Code of Federal Regulations (CFR) Part 20 is intended to assure that Criminal History Record Information (CHRI) is collected, stored, and disseminated to ensure its accuracy, completeness, currency, integrity, and security as well as to protect individual privacy. The regulations in this subpart apply to all state and local agencies and individuals collecting, storing, or disseminating CHRI processed by manual or automated operations where the collection, storage, or dissemination was funded completely or partly with funds made available by the Law Enforcement Assistance Administration after July 1, 1973, pursuant to Title I of the act. Also, 28 CFR Part 20 documents regulations for combining CHRI with other personal information obtained through investigation.

2.6. Criminal Intelligence Systems Operating Policies, 28 CFR Part 23

28 CFR Part 23 is a guideline for law enforcement agencies that operate federally funded multi-jurisdictional criminal intelligence systems. This regulation assures that all criminal intelligence systems operating through support under the *Omnibus Crime Control and Safe Streets Act of 1968*, 42 U.S.C. 3711, et seq., as amended (Pub. L. 90-351, as amended by Pub. L. 91-644, Pub. L. 93-83, Pub. L. 93-415, Pub. L. 94-430, Pub. L. 94-503, Pub. L. 95-115, Pub. L. 96-157, Pub. L. 98-473, Pub. L. 99-570, Pub. L. 100-690, and Pub. L. 101-647) are used in conformance with the privacy and constitutional rights of individuals under investigation.

It is recognized that certain criminal activities, including loan sharking, drug trafficking, trafficking in stolen property, gambling, extortion, smuggling, bribery, and corruption of public officials, often involve a degree of regular coordination and a permanent organization involving a large number of participants over a broad geographical area. The pooling of information on these activities can aid the exposure of these ongoing networks of criminal activity. However, because the collection and exchange of intelligence data necessary to support control of serious criminal activity may represent potential threats to the privacy of individuals to whom this data relates, policy guidelines for federally funded projects are required. This statute puts limits on the information that can be collected and provides details on how the information that is collected must be handled.

2.7. Electronic Freedom of Information Act of 1996

The original Freedom of Information Act (5 USC 552) allowed the public to obtain government information if that information is not protected by one of the nine specific exemptions in the Freedom of Information Act (FOIA). The FOIA was expanded to include electronic information and requires agencies to make reasonable efforts to make records available in formats desired by requesters. Adjudication of cases and an index of records released by FOIA are likely to become the subject of subsequent FOIA requests.

3. State Statutes and Regulations

The *Privacy Policy Development Guide* makes recommendations for categories of state regulations that need to be considered in developing policies and sharing data. These include:

- Criminal Justice Information System laws
- Criminal Intelligence System laws
- Sex offender registries
- Rape shield laws
- Victims of crime; Crime Victims' Bill of Rights
- Problem-solving court provisions
- Gang-related laws
- Witnesses
- Children
- Victims
- Juvenile dependency
- Children in custody or visitation cases
- Jurors – prospective jurors, trial jurors, or grand jurors
- Domestic violence – spousal or partner abuse and elder abuse
- Harassment, civil protective orders, and stay-away orders
- Drivers – Department of Motor Vehicles (DMV) information
- Racial and ethnic profiling
- Mental health – evaluations, diagnosis, and treatment
- Substance abuse – diagnosis, evaluations, and treatment
- Medical – diagnosis and treatment
- Categories of case dispositions with special interpretations or purging requirements (for example, diversion, adjournment in lieu of disposition, convictions converted to dismissals if a program is successfully completed)
- Financial information
- Employee and personnel information
- Denial of licensing or benefits
- Background, pre-employment, or other non-criminal justice record checks
- Voters
- Public housing
- Education
- Communication intercepts (telephone, e-mail, and so forth)
- False reports to law enforcement
- Identity theft
- Commercial disclosure of personally identifiable information, especially unintentional or stolen
- Law enforcement civilian review boards
- Mandatory reporting laws – doctors, teachers, counselors, and so forth
- Gun control laws – checking before purchase
- Credit reporting
- Privacy Impact Analysis (PIA) requirements
- Expungement or sealing of arrests and convictions

This list is not meant to be exhaustive, and many of the areas will have little or no impact on the sharing of justice data. However, the beginning of the process is an excellent time to consider their impact.

4. Best Practices for Legal Issues

The review of legal issues is not a one-time event. It is an ongoing activity for all agencies, particularly in the CJIS community. The following recommendations will help the CJIS Project navigate the legal landscape:

- Consider all of these legal areas in the design and implementation of your systems.
- Involve your internal legal staff.
- Develop and enforce appropriate policies, particularly those for privacy and security.
- Stay current on legislative developments and laws.
- Protect your systems with appropriate security features – hardware, software, monitoring, and so forth.
- Ensure those connected to your systems adhere to the appropriate level of security.
- Invest in quality control and assurance.

This page left blank intentionally.

5. Reference Web Site Resources

<http://www.jmijustice.org> – The Justice Management Institute

<http://www.ncja.org/pdf/privacyguideline.pdf> – Report of the National Task Force on Privacy, Technology and Criminal Justice Information

http://it.ojp.gov/topic.jsp?topic_id=8 – OJP: Global Justice Information Sharing Initiative (Global)

http://it.ojp.gov/topic.jsp?topic_id=42 – OJP: Privacy & Public Access

http://it.ojp.gov/topic.jsp?topic_id=55 – OJP: Global Privacy and Information Quality Working Group

www.search.org/conferences/Presentations/Greenspan.ppt – Privacy, Technology and Criminal Justice Information: Public Attitudes Toward Uses of Criminal History Information

<http://www.ojp.usdoj.gov/bjs/crs.htm> – Bureau of Justice Statistics: Criminal Records System Statistics

<http://csrc.nist.gov/sec-cert/> – Federal Information Security Management Act Implementation Project

This page left blank intentionally.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Integrated Justice Technical Architecture

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. INTRODUCTION.....	1
1.1. Purpose of the Technical Architecture.....	2
1.2. Technical Alignment With CJIS Policies and Principles.....	2
2. COMPLIANCE WITH NATIONAL STANDARDS FOR TECHNOLOGY.....	5
3. SERVICE ORIENTED ARCHITECTURE (SOA).....	7
3.1. Service Oriented Architecture – Definitions and Acronyms	7
3.1.1. <i>World Wide Web Consortium (W3C)</i>	7
3.1.2. <i>Global Justice Information Sharing Initiative (Global)</i>	8
3.1.3. <i>Organization for the Advancement of Structured Information Standards (OASIS)</i>	8
3.1.4. <i>RosettaNet</i>	8
3.1.5. <i>Extensible Markup Language (XML)</i>	9
3.1.6. <i>Global Justice XML Data Model (GJXDM)</i>	9
3.1.7. <i>Extensible Stylesheet Language Transformations (XSLT)</i>	9
3.1.8. <i>Simple Object Access Protocol (SOAP)</i>	9
3.1.9. <i>Web Services Description Language (WSDL)</i>	11
3.1.10. <i>Universal Description, Discovery, and Integration (UDDI)</i>	11
3.1.11. <i>Directory Services</i>	11
3.1.12. <i>Lightweight Directory Access Protocol (LDAP)</i>	12
3.1.13. <i>Web Services</i>	12
3.1.14. <i>Simple Mail Transfer Protocol (SMTP)</i>	12
3.1.15. <i>Message Oriented Middleware (MOM)</i>	12
3.1.16. <i>Object Request Broker (ORB)</i>	13
4. CJIS APPLICATION SECURITY ARCHITECTURE	15
4.1. Network Security.....	16
4.2. Authentication	17
4.3. Authorization	17
4.4. Data Integrity	18
4.4.1. <i>Encryption and Digital Signatures</i>	18
4.5. Non-Repudiation.....	19
4.6. Confidentiality	19
4.7. Auditing.....	19
4.8. Single Sign-On.....	20
4.9. Intrusion Detection Systems (IDS)	20
4.10. Physical Security and Security Policies	21

5. MESSAGE ORIENTED MIDDLEWARE (MOM) OR MESSAGE INFRASTRUCTURE (MI)	23
5.1. Introduction	23
5.2. Message Infrastructure (MI) Functions and Features	23
5.3. Commercially Available Message Oriented Middleware (MOM) Products	25
6. CJIS INTEGRATION ARCHITECTURES	27
6.1. Hub and Spoke Architecture	27
6.2. Enterprise Service Bus (ESB)	28
6.3. ESB Versus Hub and Spoke	29
7. INTEGRATION BROKER	31
7.1. CJIS Query Portal – Graphical User Interface (GUI)	31
7.1.1. Performance Considerations	32
7.2. Adapters	33
7.2.1. Technical Adapters	33
7.2.2. Application Adapters	33
7.2.3. Application Adapter Support	34
7.3. Workflow and Data Flow Management	34
7.3.1. Key Features	34
7.4. Transformation	35
7.4.1. Key Features	35
7.5. Transport Channels	36
7.5.1. Key Features – Support for the Following Transport Protocols	36
7.6. System Management and Monitoring	36
7.6.1. Key Features	36
7.7. Compatibility With Software Development Frameworks	37
7.8. Partner Management	37
7.9. Product Quality	37
7.10. Security	38
7.11. Commercially Available Integration Broker Products	38
8. GWINNETT COUNTY CJIS AGENCY TECHNICAL SPECIFICATIONS	39
8.1. Geographical Information Systems (GIS)	39
8.2. Clerk of Court (Magistrate’s, Superior, and State Courts)	39
8.3. Records Court	40
8.4. State Probation	40
8.5. County Probation	40
8.6. Sheriff (Detention) & Corrections	40
8.7. Police Department	41
8.8. District Attorney	41

8.9. Solicitors Office42
8.10. Juvenile Court42

Table of Figures

Figure 3-1 Example of HTML Code and XML Parsing.....10
Figure 4-1 Enterprise Security..... 16
Figure 6-1 Hub and Spoke Architecture Pattern27
Figure 6-2 Enterprise Service Bus Architecture Pattern28

Table of Tables

Table 1-1 Gwinnett County Goals, Principles, Policies, and CJIS Architecture and Technology . 3

This page left blank intentionally.

1. Introduction

The Web has now become ubiquitous in our everyday life and has enabled access to vast amounts of information at our fingertips. Everyone assumes that you can “Google” any subject and instantly find multiple references to it. The private sector and many government agencies embrace Internet technology to provide advanced query and automated workflow capabilities. Gwinnett County is moving ahead to implement an integrated justice system that will provide justice practitioners throughout the County with these capabilities. In addition, the project is designed to automate the interagency business process and workflow of the Gwinnett County Justice System.

Like most jurisdictions, Gwinnett County transferred its justice information systems to a series of commercial software applications designed to serve the needs of each agency. Although these applications are designed to meet the specific business requirements of each justice agency, they were not designed to work together with other information systems. The goal of the Criminal Justice Information System (CJIS) Technical Architecture is to define the information technology that will be used to provide the interagency (inter-Application) information sharing.

The interagency business process is defined in the Gwinnett County Justice Information Exchange Model (JIEM), which documents the discrete information flow between agencies. Gwinnett County wants to replace paper-based transactions with electronic transactions based on the Global Justice XML Data Model (GJXDM). To realize the vision of integrated justice, a robust technical infrastructure will need to be planned and implemented. Enterprise Application Integration (EAI) links these applications and others to realize financial and operational advantages. Four primary technologies are required to perform integrated justice: Message Infrastructure, Integration Broker, CJIS Query Portal, and Application Adapters. Each component must work together seamlessly to provide the functionality, security, and performance needed to facilitate integrated justice.

- **Message Infrastructure** is a transport system for XML messages flowing between agencies and the Integration Broker. The Message Infrastructure provides guaranteed delivery and queuing of messages if any an agency’s systems or network is temporarily not operational.
- **Integration Broker** is the core of the CJIS. The Integration Broker is the central technology that controls the flow of information between agencies and maintains enterprise security. The Integration Broker is the “central post office” for managing and routing information flowing through the integrated justice system.
- **CJIS Query Portal - Graphical User Interface (GUI)** is the GUI that authorized users use to conduct distributed queries across multiple agencies from a single query application. The CJIS Query Portal provides users with Single Sign-On access to all agency systems.

- **Application Adapters** transform information in each agency’s operational system into XML messages that can be consumed by the Integration Broker and transmitted to another downstream agency. The Application Adapters bridge the gap between the transactional world of databases and the messaging world of XML.

1.1. Purpose of the Technical Architecture

The Gwinnett County Technical Architecture will define each of these technologies at a detailed level. Many commercially available products in the marketplace provide XML Brokers, CJIS Query Portal, Infrastructure Message, and Application adapters. The goal of the Technical Architecture is not to recommend and select specific products but rather to provide a technical description of features and functions that are generally available in the middleware market. The Technical Architecture will provide the CJIS Community of Interest (COI) with a guide for selecting the right technologies and products when evaluating proposals for the initial implementation of the CJIS. Also, the CJIS Technical Architecture documents “best practices” when designing and implementing CJIS technology.

1.2. Technical Alignment With CJIS Policies and Principles

The Gwinnett County Enterprise Architecture documents CJIS Policies and Principles that are the foundation of the CJIS technical governance structure. To achieve the County’s vision, the Technical Architecture must align fully with these policies and principles. Each of the technical components must trace back to the goals, policies, and principles of the Enterprise Architecture. Table 1-1 lists relevant goals, policies, and principles of the Gwinnett County CJIS and their implications on the establishment of the County’s CJIS Technical Architecture.

Goals, Principles, and Policies	CJIS Architecture and Technology Implications
<i>Justice agencies should retain the right to design, operate, and maintain systems to meet their own operational requirements.</i>	The CJIS Technical Architecture must operate in the background and communicate with justice agencies without effecting their normal operation and performance.
<i>Each agency must be responsible for the maintenance of “their” data.</i>	The CJIS Technical Architecture must be designed such that agencies retain ownership and control of data that they are responsible for maintaining. The issue of data ownership is especially critical for the Clerk of Court as the official record keeper. The technical design must have strong security and provide a mechanism for agencies to easily control information in their operational systems.

Goals, Principles, and Policies	CJIS Architecture and Technology Implications
<i>The investment in the existing technology and systems can be maximized.</i>	The CJIS Technical Architecture will need to leverage all of the existing investments in systems and technology the County made in the justice system. To enable information sharing, the CJIS Technical Architecture must use existing hardware and software that are currently in production. The technical solution must be flexible and support multiple integration models that can access all the systems in the County.
<i>Access to information across CJIS should be transparent to the users.</i>	The CJIS Technical Architecture should operate in the background, facilitating information sharing among agencies' operational systems. It should shield users from the underlying technical complexities of any integration project. Users will be able to access multiple systems with a single query to the CJIS portal. The system must enable this sharing without users performing multiple logons and special configuration of their desktops.
<i>Information that has already been captured electronically should not be re-keyed downstream in the justice process.</i>	The CJIS Technical Architecture must eliminate multiple points of data entry of the same information. Once the information is entered in one system, the CJIS solution must facilitate movement of information to other justice systems that require the same information based on rules of information sharing. The CJIS system must also be intelligent enough to know when exchanges may require manual intervention to ensure the information is correct.
<i>Security and privacy are the highest priority.</i>	The CJIS Technical Architecture must provide the latest industry proven technologies that adhere to the County's security and privacy policies. All data transmitted through CJIS will be encrypted with Secure Socket Layers (SSL) or another security technology.
<i>Establishing and confirming the positive identity of individuals is crucial.</i>	The CJIS Technical Architecture must provide the ability to match unique individuals across each agency's system. It must incorporate biometric identification when possible and use a person-matching algorithm to match individuals if no biometric information is available.
<i>Establish (and use) standards.</i>	The CJIS Technical Architecture must use established standards in technology and justice domains such as XML, Web Services, JIEM, and GJXDM.
<i>Improve accuracy and timeliness.</i>	The CJIS Technical Architecture must employ technologies that ensure guaranteed delivery of data in electronic format. To improve the accuracy of shared data, the CJIS Technical Architecture must employ principles of data validity.

Table 1-1 Gwinnett County Goals, Principles, Policies, and CJIS Architecture and Technology

This page left blank intentionally.

2. Compliance With National Standards for Technology

The Gwinnett County CJIS Project will enable information sharing among agencies that are independent in their organizational structures, business processes, business applications, and cultures. Each participating agency must operate within the constraints of laws and statutes that may limit sharing certain types of information, even among justice agencies. The Gwinnett County Technical Architecture must provide interoperability while conforming to these constraints and adhering to the CJIS Policies and Principles. Fortunately, a huge amount of intellectual property was created by justice practitioners at every level of government, the vendor community, and nonprofit justice organizations, including the:

- U.S. Department of Justice (and associated agencies)
- SEARCH
- National Center for State Courts
- Integrated Justice Information Systems (IJIS) Institute
- Global Justice Information Sharing Initiative (Global)
- Law Enforcement Information Technology Standards Council (LEITSC)
- National Association for Justice Information Systems (NAJIS)
- National Criminal Justice Association (NCJA)
- Others (Many other national organizations are involved in justice integration standards).

The Gwinnett County CJIS Project will embrace and incorporate the latest national criminal justice standards that are relevant to integrated justice domains, including:

- JIEM Exchange Modeling
- GJXDM based Data Definition
- Information Exchange Package Documentation (IEPD)
- The Service Oriented Architecture (SOA) approach.

Many vendors incorporate these standards into their products or offer an integrated framework to jumpstart integrated justice initiatives. It is not enough for a vendor to say that it *can* work with national justice standards. The County should select a vendor that *has* used these standards in real-world systems.

This page left blank intentionally.

3. Service Oriented Architecture (SOA)

Service Oriented Architecture (SOA) is an architectural approach in which software functions and features are organized into business services in a loosely coupled environment. The SOA approach advocates the use of open systems standards for interface definition and interoperability across an enterprise. SOA does not prescribe a specific technology or specific software; it establishes overarching guidelines for business-centric software systems. SOA is particularly suited for integrated justice projects because it enables authorized and secure access to information across organizational boundaries. The SOA approach is a collection of loosely coupled shared services and enables independent evolution of systems. The following are key tenets of SOA:

- Services are self contained.
- Services are loosely coupled.
- Services do not depend on the context or the state of other services.

The following are quality of service features that each service could offer:

- Authentication, authorization, and encryption
- Guaranteed delivery
- Choice of synchronous and asynchronous modes of communication.

If each agency follows the architectural “rules” for providing information sharing *services*, it does not matter what changes are implemented in the agency’s operational system. The telephone system is a good metaphor for the SOA architectural approach. The telephone company provides the *service*, which is the dial tone. If we follow the technical rules and use a standard touch-tone telephone, we know that we will be able to connect to the telephone system and make a call. SOA services are the standard dial tone that provides access to the information in agency systems. The choice of Integration Broker, Message Infrastructure, and Application Adapters will embody the key principles of SOA.

3.1. Service Oriented Architecture – Definitions and Acronyms

Similar to many technical specifications, the SOA world is an alphabet soup of acronyms and technical terminology; the following section provides a brief overview of many of the common terms that SOA developers use.

3.1.1. World Wide Web Consortium (W3C)

The World Wide Web Consortium (W3C) is an international consortium in which member organizations, a full-time staff, and the public work together to develop

standards for the World Wide Web. W3C's stated mission is "*To lead the World Wide Web to its full potential by developing protocols and guidelines that ensure long-term growth for the Web.*"

3.1.2. Global Justice Information Sharing Initiative (Global)

The Global Justice Information Sharing Initiative (Global) serves as a Federal Advisory Committee (FAC) and advises the U.S. Attorney General on initiatives for the sharing and integration of justice information. Global was created to support the broad-scale exchange of pertinent justice and public safety information. It promotes standards-based electronic information exchange to provide the justice community with timely, accurate, complete, and accessible information in a secure and trusted environment. Global is a group of groups that represents more than 30 independent organizations spanning the spectrum of law enforcement, judicial, correctional, and related bodies. Member organizations participate in Global with a shared responsibility and shared belief that, together, they can bring about positive change by making recommendations and supporting the initiatives of the U.S. Department of Justice (DOJ). Global's mission – the efficient sharing of data among justice entities – is at the heart of modern public safety and law enforcement.

The Global Advisory Committee (GAC) operates in accordance with the FAC's provisions and convenes twice a year in Washington, D.C. Meetings are announced in the *Federal Register*, and the public is welcome to attend as observers. The Office of Justice Programs (OJP) aids Global's member organizations and the people they serve through a series of important initiatives. These include the facilitation of GAC Working Groups; development of technology standards, such as the Global Justice XML Data Model (Global JXDM); creation of white papers on data sharing issues, such as the National Criminal Intelligence Sharing Plan (NCISP); and the dissemination of information at Global's Web site. GAC Working Groups work collaboratively to address the policy, connectivity, and jurisdictional issues that hamper effective sharing of justice information. Global Working Groups consist of GAC members and other subject-matter experts who expand the GAC's knowledge and experience. The groups are formed around timely issues that affect the sharing of justice information.

3.1.3. Organization for the Advancement of Structured Information Standards (OASIS)

The Organization for the Advancement of Structured Information Standards (OASIS) is a global consortium that drives the development, convergence, and adoption of e-business and Web service standards. OASIS members decide how and what work is undertaken through an open, democratic process.

3.1.4. RosettaNet

RosettaNet is a nonprofit consortium aimed at establishing standard processes for the sharing of business-to-business (B2B) information. RosettaNet also is a consortium of

major computer and consumer electronics, electronic components, semiconductor manufacturing, telecommunications, and logistics companies working to create and implement industry-wide, open standards for e-business processes.

3.1.5. Extensible Markup Language (XML)

Extensible Markup Language (XML) has become the driving technical force for enabling interagency information exchange. XML is significant because it separates the presentation layer of an electronic document from the data content. HyperText Markup Language (HTML) provides a universal method for viewing data, and XML provides a universal method for working directly with data elements inside an electronic document. XML is a W3C-recommended general-purpose markup language for creating special-purpose markup languages that can many different kinds of data. In other words, XML is a way of describing data, and an XML file can also contain the data (for example, in a database).

Figure 3-1 (on the following page) is an example of data that is coded in HTML and parsed in XML.

3.1.6. Global Justice XML Data Model (GJXDM)

The Global Justice XML Data Model (Global JXDM) is intended to be a data reference model for the exchange of information in the justice and public safety communities. The Global JXDM is sponsored by the U.S. Department of Justice (DOJ) Office of Justice Programs (OJP); its development is supported by the Global Justice Information Sharing Initiative's (Global) XML Structure Task Force (GXSTF). GJXDM is based on XML, but it provides constructs in XML that are specific to justice agencies.

3.1.7. Extensible Stylesheet Language Transformations (XSLT)

Extensible Stylesheet Language Transformations (XSLT) is an XML-based language used for the transformation of XML documents. The data in the original document is converted into a new XML document format based on the XSLT transformation language. XSLT includes more than 100 built-in functions, including functions for string values, numeric values, date and time comparison, node manipulation, sequence manipulation, and Boolean values. XSLT is most often used to convert data between different XML schemas or to convert XML data into Web pages or PDF documents.

3.1.8. Simple Object Access Protocol (SOAP)

Simple Object Access Protocol (SOAP) is a protocol for exchanging XML-based messages over a computer network, normally using HTTPS. SOAP forms the foundation protocol of the Web Services stack, providing an information exchange contract that the more abstract layers can build on. SOAP includes several different types of messaging patterns; by far, the most common is the Remote Procedure Call

(RPC) pattern, in which one network node (the client) sends a request message to another node (the server), and the server immediately sends a response message to the client. Indeed, SOAP is the successor of XML RPC.

XML CODED: XML Tags are in BLACK – Data is presented in BLUE

```
<name>
  <name_type>XML Expert</name_type>
  <firstname>John</firstname>
  <lastname>Smith</lastname>
</name>

<address>
  <address_status_date>8/14/2006</address_status_date>
  <address_line1>125 Peachtree Street</address_line1>
  <address_city>Atlanta</address_city>
  <address_state>Georgia</address_state>
  <address_postcode>30303</address_postcode>
</address>
```

XML PARSED: The receiving agency “parses” raw XML into the corresponding discrete data elements.

Name Type = XML Expert
First Name = John
Last Name = Smith

Address Information:

- Address Status Date = 8/14/2006**
- Address Line 1 = 125 Peachtree Street**
- Address City = Atlanta**
- Address State = Georgia**
- Address Postcode = 30303**

Figure 3-1 Example of HTML Code and XML Parsing

3.1.9. Web Services Description Language (WSDL)

The Web Services Description Language (WSDL, pronounced "wiz-dell," or "wooz-dul"), is an XML published format for describing Web Services. Although W3C has not endorsed version 1.1, several drafts for version 2.0 were released that W3C will recommend and thereby endorse. WSDL describes the public interface to the Web service. This is an XML-based service description on how to communicate by using the Web service – namely, the protocol bindings and message formats required to interact with the Web Services listed in its directory. The supported operations and messages are described abstractly and then bound to a concrete network protocol and message format. WSDL is often used in combination with SOAP and XML Schema to define Web Services over the internet. A client program connecting to a Web service can read the WSDL to determine what functions are available on the server. Any special data types used are embedded in the WSDL file as an XML Schema. The client can then use SOAP to call one of the functions listed in the WSDL.

3.1.10. Universal Description, Discovery, and Integration (UDDI)

Universal Description, Discovery, and Integration (UDDI) is a platform-independent, XML-based registry for businesses worldwide to list Web Services on the Internet. UDDI is an open industry initiative (sponsored by OASIS) that enables businesses to publish Web Service listings, discover each other, and define how the services or software applications interact over the Internet. A UDDI business registration consists of three components:

- White Pages – address, contact, and known identifiers
- Yellow Pages – industrial categorizations based on standard taxonomies
- Green Pages – technical information on services exposed by the business.

UDDI is one of the core Web Services standards. It is designed to be interrogated by SOAP messages and to provide access to Web Services Description Language documents that describe the protocol bindings and message formats required to interact with the Web Services listed in its directory.

3.1.11. Directory Services

A directory service is a software application, or a set of applications, that stores and organizes information on a computer network's users and network shares, which allows network administrators to manage users' access to the shares. Directory services also act as an abstraction layer between users and shared resources. A directory service should not be confused with the directory itself, which is the database that holds the information on objects that the directory service is to manage. The directory service is the interface to the directory and provides access to the data in that directory. It acts as a central authority that can securely authenticate resources and manage identities and relationships between them.

3.1.12. Lightweight Directory Access Protocol (LDAP)

Lightweight Directory Access Protocol, or LDAP ("ell-dap"), is a networking protocol for querying and modifying directory services that run over TCP/IP. An LDAP directory usually follows the X.500 model; it is a tree of entries, each of which consists of a set of named attributes with values. Depending on the model chosen, an LDAP directory often reflects various political, geographic, and organizational boundaries. LDAP deployments tend to use Domain Name System (DNS) names for structuring the simple levels of the hierarchy. Further into the directory might appear entries that represent people, organizational units, printers, documents, groups of people, or anything else that represents a tree entry or multiple entries.

3.1.13. Web Services

According to W3C, a Web Service is a software system designed to support interoperable machine-to-machine interaction over a network. The term Web Services describes a standardized way to use the XML, SOAP, WSDL, and UDDI open standards over an Internet protocol backbone to integrate Web-based applications. It has an interface that is described in a machine-processable format such as WSDL. Other systems interact with the Web Service in a way prescribed by its interface that uses messages, which may be enclosed in a SOAP envelope. These messages are typically conveyed with HTTPS, and normally consist of XML together with other Web-related standards. Software applications written in various programming languages and running on various platforms can use Web Services to exchange data over computer networks such as the Internet similarly to inter-process communication on a single computer. This interoperability (for example, between Java, Microsoft Windows and Linux applications) is due to the use of open standards. OASIS and the W3C are the primary committees responsible for the architecture and standardization of Web Services.

3.1.14. Simple Mail Transfer Protocol (SMTP)

Simple Mail Transfer Protocol (SMTP) is the de facto standard for transmission of e-mail over the Internet. SMTP is a relatively simple, text-based protocol in which one or more recipients of a message are specified (and usually verified to exist), and then the message text is transferred. CJIS practitioners may be notified of a CJIS "alert" (there is something of interest available) through standard e-mail, but to retrieve the actual CJIS data, a user will be required to securely log on to CJIS to receive encrypted information.

3.1.15. Message Oriented Middleware (MOM)

Message-oriented middleware (MOM) is a client/server infrastructure that increases the interoperability, portability, and flexibility of an application by allowing the application to be distributed over multiple heterogeneous platforms. To reduce the complexity of developing applications that span multiple operating systems and network protocols,

MOM insulates application developers from the details of the various operating system and network interfaces. MOM typically provides Application Programming Interfaces (APIs) that extend across diverse platforms and networks. Most MOM depends on a message queue system, though some implementations rely on broadcast or on multicast messaging systems.

3.1.16. Object Request Broker (ORB)

In distributed computing, an object request broker (ORB) is a piece of middleware software that allows programmers to make program calls from one computer to another over a network. ORBs were more prevalent in the days of C and C++ programming and development of large-scale applications, when the computer industry lacked standards-based application servers. With the advent of Java, C#, and application servers based on J2EE and .NET, ORBs fell by the wayside.

This page left blank intentionally.

4. CJIS Application Security Architecture

Gwinnett County CJIS is envisioned to enable the sharing of information at various levels of the government, including the local, county, state, and potentially, the national level. The infrastructure for this system will need to operate on a Wide Area Network (WAN) and possibly over the Internet. The sensitive and critical nature of justice information makes it crucial for preventing attacks, security breaches, and disruption of service. The CJIS Security architecture must be the cornerstone of the Gwinnett County CJIS Technical Architecture. Enterprise Security will touch every aspect of the design of the Gwinnett County CJIS. Although no system can be 100 percent secure, a comprehensive approach to security undertaken right from the inception of the CJIS design will minimize the risks of damage, disruption, and disclosure of sensitive information.

Security is an engineering and economic trade-off, and there is a fine line between balancing risk, value, investment, and ongoing cost with technical security measures. A comprehensive approach to security requires addressing the following fundamental tenets:

- **Confidentiality** – Prevention of unauthorized access to information to ensure privacy and only necessary disclosure of information
- **Integrity** – Prevention of information tampering and mechanisms to make tampering detectable if it does occur. Integrity ensures a high degree of accuracy, confidence, and trust in available information.
- **Availability** – Prevention of disruption to the access of information to ensure safety of justice personnel and citizens at all times.

An important consideration for the Gwinnett County CJIS is that two types of clients access information: agency systems and users. Agency systems are the various operational justice systems that share information at specific key events (JIEM) in the business process. Users are justice practitioners who need to use the CJIS Portal to access information from participating justice agencies in real time. The security technical architecture needs to ensure a consistent mechanism for both of these types of clients.

Enterprise Security can be thought of as a group of centric circles, each providing a layer of security for the CJIS, as shown in Figure 4-1. The respective circles represent Network Security, Encryption, Authentication, and Authorization. Together, these layers represent the defensive perimeters of the CJIS. Non-Repudiation, Confidentiality, Data Integrity, and Auditing are aspects of security that cut across each of the layers. The following sections describe how all of these components are required to provide strong Enterprise Security.

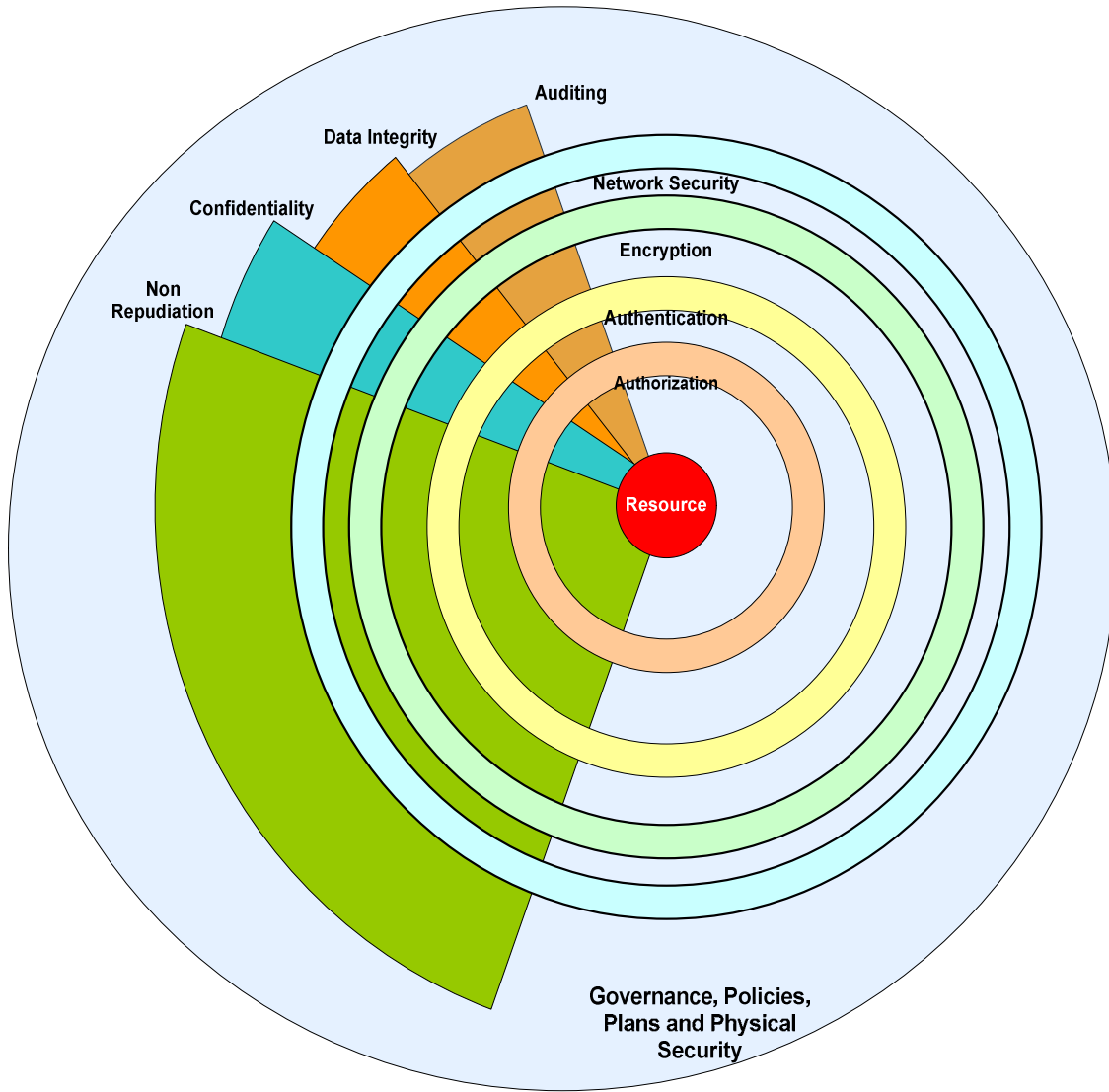


Figure 4-1 Enterprise Security

4.1. Network Security

The Gwinnett County CJIS will operate over a large geographical area over the County's private intranet, and potentially the public Internet. Each of these networks poses a particular series of potential threats. It should be noted that many security attacks are launched from internal sources that may be behind the County's firewall. The Network Security technologies represent the first line of defense for the CJIS Project:

- **Firewalls** secure the network and the servers from inbound network traffic. They can be configured to accept or reject specific types of network traffic. They can perform packet filtering that rejects network packets from an unauthorized host, perform network address translation that hides computers in the network from

outside non-trusted networks, and provide proxy services that serve as an intermediary between trusted and non-trusted networks.

- **Spyware** is a malicious piece of software that may be installed inadvertently on a user's machines through downloaded software or other mechanism (for example, music players that broadcast a user's musical preferences back to a central server). Other malicious examples of spyware can compromise Gwinnett County information security policies. Once installed, spyware begins to transmit information to external spyware host machines. Special spyware detection software can be used to detect and remove spyware. The antispyware software must be deployed to ensure no information makes its way out of a secure network by such malicious software.
- **Virtual Private Networks (VPNs)** enable secure communication over nonsecure networks and the Internet. VPN software can enable secure communication between networks or between a machine and a network. A VPN must be employed when communication over a public network becomes necessary.
- **Antivirus software** must be deployed and updated regularly to ensure that malicious code does not disrupt normal operations and ensure privacy of information.

4.2. Authentication

Authentication is a mechanism to verify the identity of a client – either a user or an agency system. Authentication is the initial test that the system uses to determine whether a client is allowed to proceed further and be granted access to resources. Authentication ensures that the client requesting access to resources or information is the user or agency it says it is. Authentication is based on following factors:

- **What the client knows** – Knowledge-based authentication; the most common is user name/password based.
- **What the client has** – Hardware- and software- based authentication such as hardware keys, digital certificates, and smart cards
- **What the client is** – Biometrics-based authentication based on fingerprint, iris scans, voice recognition, facial recognition, and so forth.

The Gwinnett County CJIS can employ a combination of these factors for authentication. The cost of security and implementation increases as more authentication factors are employed. There is a cost/benefit tradeoff as the number of authentication factors is considered.

4.3. Authorization

While **authentication** is used to establish the identity of the client (user or agency system), the next step is to establish the resources to which the client (user or agency system) has access and the actions the client (user or agency system) can perform on

these resources. The granting of permissions for resources is called **authorization**. Typical examples of information resources include access to Web pages, a criminal history report, and warrant information. Typical examples of actions include read, create, update, delete, and print.

Authorization is essential for integrated justice projects so that only the right people and the right system have the right amount of access to the right information at the right time. Authorization ensures enforcement of need-to-know and privacy policies for information sharing. Authorizations rely on role-based access control lists that grant permission to information resources in accordance with the role assigned to the client. Each user is then assigned one or more roles. The client only has rights and permissions that are granted to roles assigned to the client. Role-based security allows a scalable and manageable implementation of authorization policies.

Role-based access control lists are stored in software directory stores such as Microsoft Active Directory, Novell Directory, and iPlanet Directory Store. The standard for accessing these directory stores is Lightweight Directory Access Protocol (LDAP). LDAP is widely adopted by software directory providers and implemented by the directory store names already mentioned above. The Gwinnett County CJIS Project will have unique challenges of implementing authorization policies because of the systems' heterogeneous nature and the user communities from multiple agencies. When establishing roles, an important consideration is that roles are not titles of individuals; they are collections of security authorizations that can be assigned to multiple users. An individual with one title can operate in several security roles. Roles are more closely related to functions performed at a specific time instead of placement of individuals in organizational hierarchy.

4.4. Data Integrity

It is important that clients in an integrated justice environment trust the data that they receive from the system. For data to be considered trustworthy, it must not be corrupted, altered, or destroyed – intentionally or unintentionally. Data integrity is this unadulterated state of data. Integrity of data must be ensured when it is stored in a database and when it is in motion (transmitted over TCP/IP networks) as an encrypted XML message. Data integrity techniques enable the detection of tampering when data is breached. Each Gwinnett County justice agency will have complete control over its data and systems. These systems will be the source of the data that will be shared with other agencies. Strong authentication and authorization at each agency will provide integrity when data is at rest in the operational systems.

4.4.1. Encryption and Digital Signatures

Encryption is the process of altering data so only the intended recipient can read or use it. Digital signatures and encryption technologies will be required to detect tampering of data and ensure integrity when data is transmitted. To decipher the data back to its original form, the recipient of the encrypted data must have the proper decryption key and program. Digital signature is a technology that allows a sender of data to digitally

sign by using the sender's private digital certificate. When the sending agency "signs" a message, a hashing algorithm based on the mathematical properties of the digital certificate scrambles the data. Any tampering of data causes a mismatch between the computed digest of altered data and the original digest, thereby enabling detection of the tampering.

4.5. Non-Repudiation

Non-repudiation literally means the sender of the data cannot deny sending it. It is essential for the Gwinnett County CJIS to implement non-repudiation for each agency and possibly for each user. Non-repudiation will ensure that the information shared across CJIS can be traced back to the originator of the data, and the originating system cannot deny sending the information. The inherent mathematical relationship between the digital certificates of the sending and receiving agencies ensure that a sender's identity is known.

4.6. Confidentiality

Confidentiality ensures that only appropriate personnel can view data. Confidentiality provides the security required to prevent eavesdroppers from reading information during transmission. Although authentication and authorization enable access to only appropriate personnel, measures are needed so that data is unavailable to snoopers on the network. To ensure confidentiality, the Gwinnett County CJIS will employ a combination of VPNs and Secure Socket Layer (SSL)-based communication technologies. Privacy is often confused with confidentiality. Confidentiality is concerned about data in transit; privacy concerns the Subject's legal and policy rights. A Subject can be any individual in CJIS, including defendants, offenders, officers, justice staff, witnesses, and victims. The County will develop a Privacy Policy that documents the policies and procedures for sharing and disseminating personal information on individuals (Subjects) in CJIS. The Gwinnett County Technical Architecture will provide the technical capabilities to enforce the CJIS Privacy Policy.

4.7. Auditing

Auditing is the systematic practice of recording a log of all transactions performed through the CJIS by either another system or a user. Most leading operating systems, Web servers, application servers, and Integration Brokers provide auditing support. Auditing of operations at a granular level and specific level of details in audit records may require custom development and the extension of the server systems' existing capabilities. Auditing can be performed several levels, including:

- User or systems authentications (successful and failed)
- Queries performed by users

- Transaction types among agency systems (JIEM transactions)
- Contents of certain types of XML messages.

CJIS will be able to generate reports of audit logs to filter and locate information of interest quickly. The transaction logs are also useful for diagnostics and can be used for system tuning and error resolution. The Gwinnett County CJIS will have a large number of agencies with an even larger number of users. The Integration Broker will audit both user operations and agency system operations centrally.

4.8. Single Sign-On

Single Sign-On will manage user credentials at an enterprise level and allow users to gain access to all information resources from a single logon of user name and password. Once the system authenticates a user successfully, the Gwinnett County CJIS will manage authentication to all systems that user is authorized to access. Single Sign-On will allow CJIS users to perform distributed queries of all authorized agency systems from the CJIS Query Portal. For example, a law enforcement officer may query the warrant system, the criminal history system, the corrections system, the court case management system, and the police records management system from a single list of demographic parameters. Implementing Single Sign-On can be complicated when agencies operate behind their own firewalls and do not provide mechanisms for remote authentication. To provide these capabilities, Gwinnett County is investigating Single Sign-On and Directory Services (Microsoft Active Directory) technologies. The County has not yet implemented Single Sign-On technologies. The Gwinnett County Enterprise Technical Architecture committee must ensure the CJIS Technical Architecture conforms to the County's enterprise standards for Single Sign-On and directory services.

4.9. Intrusion Detection Systems (IDS)

Despite all the safeguards to minimize the risk of security breaches, Unisys recommends that the Gwinnett County CJIS employ active technologies and techniques that help detect security breaches. Technologies that assist in detecting security breaches are called Intrusion Detection Systems (IDS). These systems monitor events against servers and various network components, and then constantly compare these events with desired and undesired patterns and various pre-established thresholds. IDS can collect information that can help with recovery efforts and with legal remedies against perpetrators. These systems can be configured to send real-time notifications to administrators on detection of undesired activity. Some advance systems can even respond by denying access to resources and minimizing damage caused by any breaches.

4.10. Physical Security and Security Policies

While all of the already-described security options will aid in improving security from the technology aspect, enterprise-wide security will also require addressing offline aspects of physical security, including:

- Support of governance structures
- Physical security of information technology assets
- Operational policy
- Separation of administrative duties
- Technical change management
- System monitoring
- Disaster recovery
- Ongoing updates to best practices for security

This page left blank intentionally.

5. Message Oriented Middleware (MOM) or Message Infrastructure (MI)

5.1. Introduction

Agencies integrated through the Gwinnett County CJIS need to share critical information by secure and reliable means. CJIS must accomplish this integration even though the agencies have diverse technical platforms and are geographically dispersed. The integration must occur in a loosely coupled environment in which problems with one agency do not adversely affect the other participating agencies. For information exchange to occur, agency systems and the Integration Broker must operate independently of each other when both sender and receiver may not be on line at the same time. This large, distributed environment requires a robust transport technology for movement of information to and from agency systems and the Integration Broker. Message oriented middleware (MOM) or message infrastructure (MI) is the transport mechanism for heterogeneous environments such as the Gwinnett County CJIS.

MOM has an industry proven track record of a reliable, secure, and robust means of communication. It manages storing and forwarding of information without requiring systems to be connected at all times. When a sender submits a message and the receiver is not online, MOM will store the message in a temporary queue until the receiver is back online. MOM is used to connect agency systems (normally through an Application Adapter) to the Integration Broker. Leading Integration Brokers can connect seamlessly with one or more leading MOM products. Some MOM can use HTTP/HTTPS as the underlying transport, thereby combining the best of the HTTP world, which can operate through firewalls and MOM's guaranteed delivery capabilities.

It is crucial for careful evaluation to be conducted to ensure the MI selected will meet the specific needs of the Gwinnett County CJIS integration effort. The MI should be evaluated with the evaluation of XML Broker because these two technologies must operate hand in hand. Many Integration Brokers offer strong support with their native MOM. For example, Microsoft BizTalk Server is tightly integrated with the MSMQ messaging system. The list in Section 5.2 contains features and factors to be considered when selecting MOM technology.

5.2. Message Infrastructure (MI) Functions and Features

- **Guaranteed delivery** – Ability to store messages on a disk-based queue to prevent loss of data in case of system failures. Before confirming a transaction, each node on the system waits for a formal acknowledgement from the receiving system.

- **Connectionless transport** – Provides the ability to transport messages even when the source computer and destination computer are not on line at the same time. The MI must store messages in case of application or network disruption, only to forward them when connections are re-established.
- **Integrated security model** – The MI and the Integration Broker must work together seamlessly and provide for central administration of security.
- **Monitoring** – Ability to monitor parameters such as message throughput and response times as well as behavior for all nodes on a LAN or a WAN
- **Deployment** – Ability to provision message queues across the network and flexibility from a single point across the network
- **Scalability** – A product's ability to use a combination of processor scale-up and machine scale-out to meet increasing volume needs
- **Availability and reliability** – Ability to configure a product's components to enable smooth failover when disruption occurs and to ensure maximum system uptime
- **Message prioritization** – Ability to allow urgent or important messages to be sent before less important messages to guarantee adequate response time for critical applications at the expense of less important applications
- **Message routing** – Ability to route a message to one or more machines that support 1:n, n:1, n:n delivery
- **Transaction support** – Ability to couple related actions in a single transaction, ensure messages are delivered in order and only once, and confirm that messages were retrieved successfully from the destination queue
- **Message journaling** – Ability to create journals of all sent messages for historical and archival purposes
- **Message triggers** – Ability to perform actions in MOM when the destination receives the messages.
- **Message content** – Ability to support various types of message content, including Binary Large Objects (BLOB) and XML
- **Backup and restore** – Ability to back up and restore message storage files, log files, transaction log files, and metadata settings in case of computer failure. Backups are stored in an encrypted format.
- **Development environment** – Overall quality development environment that includes ease of use; ability to plug into leading integration development environments (IDEs) such as Microsoft Visual Studio, Eclipse, and NetBeans; breadth and depth of API support; local and remote debugging support; and integration with source control repositories.

5.3. Commercially Available Message Oriented Middleware (MOM) Products

Many commercially available MOM products provide varying degrees of the functionality and features that Section 5.2 discusses. The following is a list of several major vendors that offer MOM technology. (The list is not a complete one of all the vendors that provide this technology.)

- IBM's WebSphere MQ
- Fiorano Software's FioranoMQ
- Microsoft Message Queue Services (MSMQ)
- Oracle's Advanced Queuing (AQ)
- Sonic Software's SonicMQ
- TIBCO Software's Enterprise JMS, Rendezvous, and SmartSockets
- webMethods JMS+

This page left blank intentionally.

6. CJIS Integration Architectures

6.1. Hub and Spoke Architecture

There are two competing architectural approaches for implementing Enterprise Application Integration (EAI) with a Service Oriented Architecture (SOA). The first approach is Hub and Spoke architecture, which has been the standard integration model. The Hub and Spoke model derives its name from a bicycle wheel, which consists of a number of spokes jutting outward from a central hub. A central server is the hub, which provides integration services to the surrounding agencies' systems, which are considered spokes. This model requires all XML messages distributed across an enterprise to be routed through a central hub before reaching their destination. The Broker serves as the hub, and each agency's operational systems are the spokes connected by the Application Adapters and MOM. Figure 6-1 illustrates the pattern of the Hub and Spoke architecture.

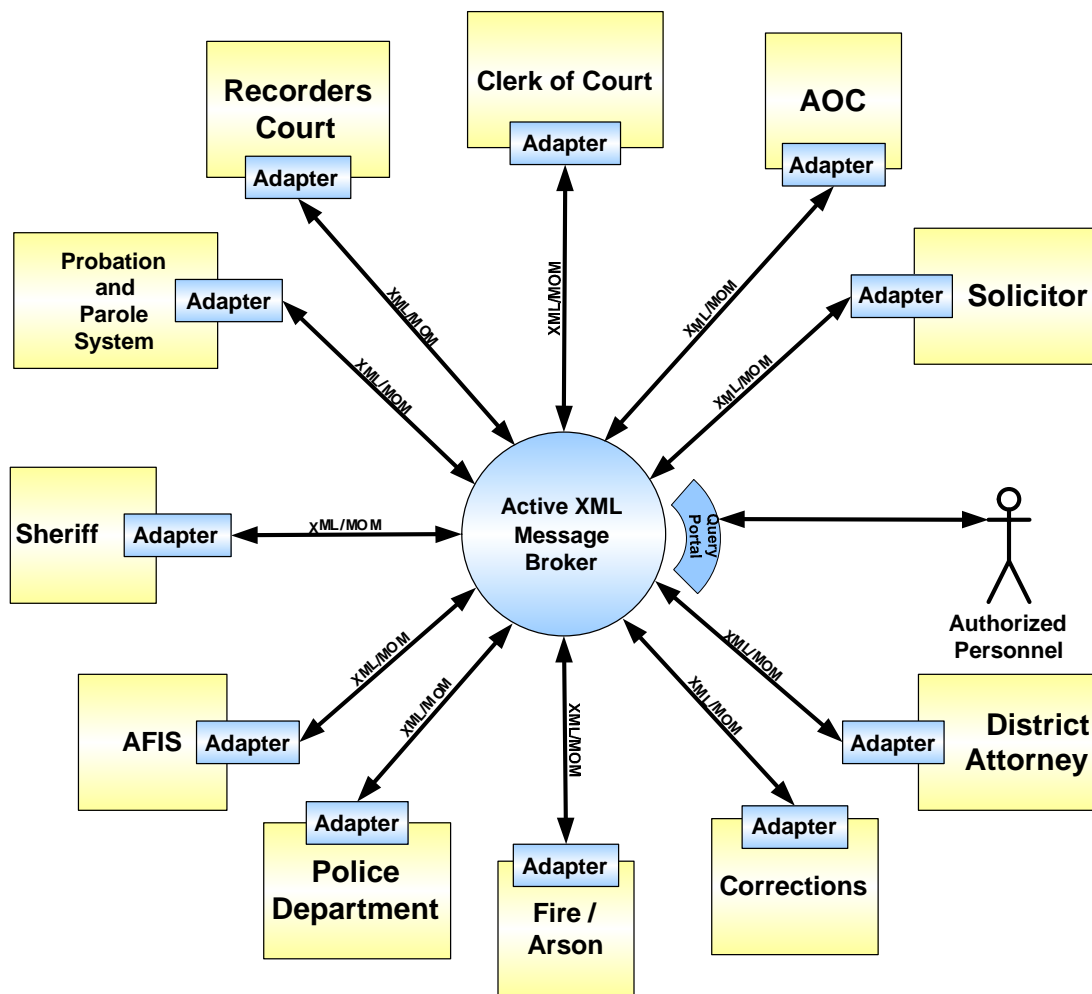


Figure 6-1 Hub and Spoke Architecture Pattern

6.2. Enterprise Service Bus (ESB)

Contrary to the traditional hub-and-spoke approach of concentrating integration services at the central hub, the Enterprise Service Bus (ESB) pushes integration services and message routing directly to each spoke and eliminates the need for a central hub. With the arrival of intelligent SOA architectures based on an ESB, it is possible to implement a robust EAI architecture that does not require every transaction to go through a central hub. The ESB pushes the processing of routing, transformation, and other enterprise functions out to the spokes, which now operate without the need for a central hub. The motivation for the ESB is to eliminate the “middleman” (the hub) and gain efficiency and performance. Figure 6-2 illustrates the ESB architecture.

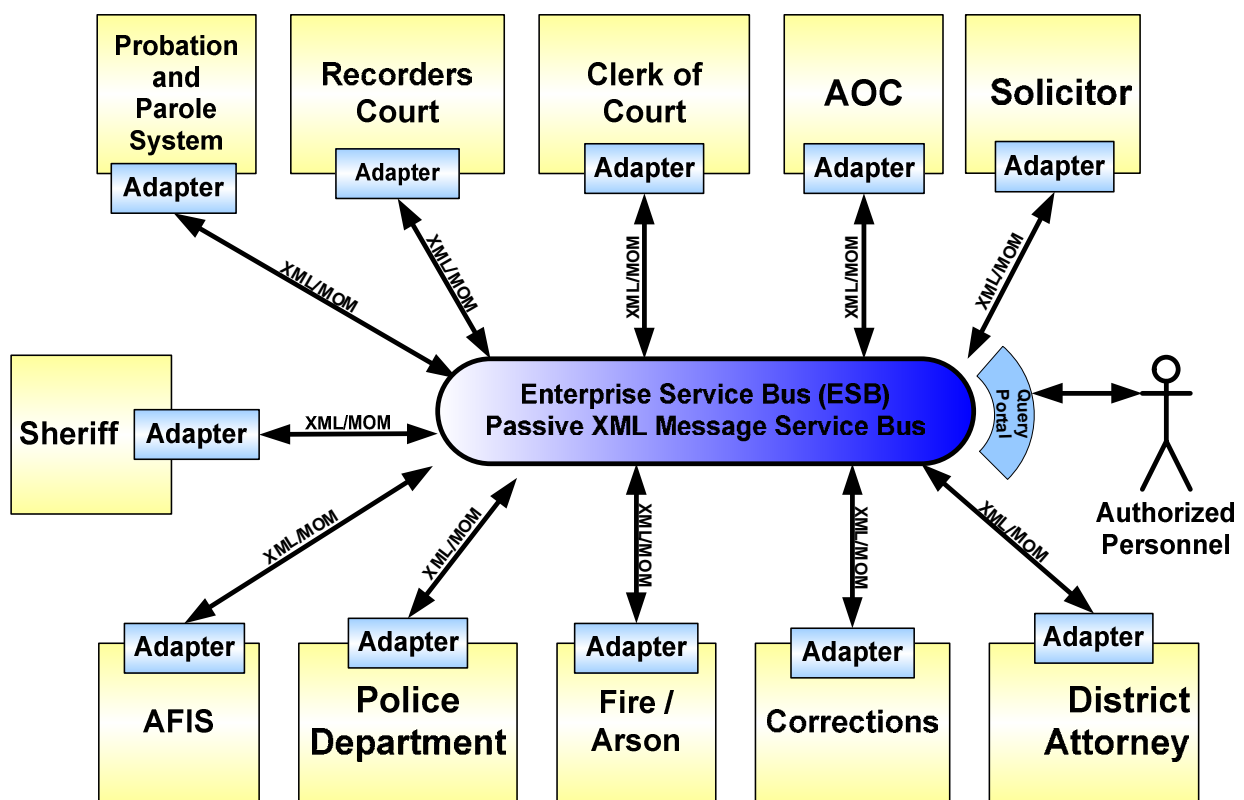


Figure 6-2 Enterprise Service Bus Architecture Pattern

The primary advantage of the ESB is overall system performance because there is no central hub that must process every message, which could potentially become a performance bottleneck. The primary disadvantage of the ESB is that the architecture can be more complex because business rules, security, and integration processes are pushed down to the agency level. The Hub and Spoke architecture consolidates all of the integration processes at a central location for an administrator to manage and maintain. Advocates for each approach certainly would argue the pros and cons of each architecture to promote their respective products.

6.3. ESB Versus Hub and Spoke

Each architectural approach has merits and may be a better choice, depending on the specific business, technical, and political requirements. For example, the ESB might be the best choice for a group of companies involved in an automated supply chain where they do not want a central server that could monitor their respective transactions. The Hub and Spoke architecture is normally well suited for justice and public safety integration projects because it provides strong centralized security, auditing, and notification services. The National Crime Information Center (NCIC) and its State counterpart, the Georgia Crime Information Center (GCIC) are examples of the Hub and Spoke architecture used in justice and public safety. At GCIC, all criminal history transactions are processed through a Law Enforcement Message Switch (LEMS) that is the central hub. The LEMS enforces enterprise security for every criminal history user in Georgia and keeps an audit trail of every transaction processed through the system.

Many information technology purists and computer science PhDs would suggest that these are two distinct architectural approaches that are mutually exclusive. However, the County can take a pragmatic view of these two approaches and see that they are rapidly merging together with traditional functions and features of each included in both approaches. For example, traditional Hub and Spoke products such as Microsoft BizTalk Server promote advanced features that will enable it to provide ESB functionality through loosely coupled Web Services. On the other side, ESB vendors are enhancing their products to provide centralized management, security, and notification functions that are the hallmark of the Hub and Spoke design. Both architectural approaches are valid and can be used to develop a successful integrated justice system. In this document, Unisys uses the term “Integration Broker” to generically refer to both the Hub and Spoke and the ESB products.

This page left blank intentionally.

7. Integration Broker

The Integration Broker is integration middleware that serves as the central core for information that moves among justice agencies. The Integration Broker is the workflow engine that routes and manages the flow of information through an integrated justice system. The Integration Broker can perform data transformations as message flows through the system; for example, date and name fields can be converted to the standard convention the receiving system uses. The Integration Broker performs these functions in accordance with metadata descriptions of the input/output message formats (also called a message dictionary) and transformation/routing rules. All Integration Broker products include a software development environment for defining transformation rules and routing information flows. The Integration Broker can monitor the flow of information through the system and create notification services based on events or individuals. Finally, the Integration Broker provides enterprise-wide security and auditing for all transactions in the CJIS.

The Integration Broker is ideal for an enterprise-wide solution that requires information to be shared between applications that different departments or organizations maintain and operate independently. Integration Broker solutions enable each agency to maintain complete control of “its” data while providing a robust environment to share information. An Integration Broker solution does not take a data warehouse approach, in which all information is brought to a single large data store before it is shared. Instead, the Integration Broker provides the mechanism to transport information across agencies from one operational database to another. The Gwinnett County CJIS will use the Integration Broker to use the Global Justice XML Data Model (GJXDM) standard to transmit XML messages. The following sections define the critical functions and features of leading Integration Brokers.

7.1. CJIS Query Portal – Graphical User Interface (GUI)

Justice practitioners across Gwinnett County will need to query and access information not stored locally in their own operational system. They will initiate distributed queries through the CJIS Query Portal. The Integration Broker should provide a comprehensive development environment to create this portal. The CJIS Query Portal will provide a standard Graphical User Interface (GUI) that will provide a single consistent mechanism for users to query and view results. The responsibility of connecting to individual sources of information will be shifted from users to the query portal system.

The CJIS Query Portal will build on the Integration Broker and Message Infrastructure to process and manage multiple distributed queries from each source system. Key considerations for developing the CJIS Query Portal include:

- Present a consistent interface to users.
- Support distributed queries based on selection and values entered by a user; the portal spawns out to multiple systems and presents the results as they arrive.

- Provide a flexible layout and content based on type (role), needs, and authorization of user.
- Allow users to select or deselect the user to determine the scope of a search.
- Support the capability to provide multiple channels of access; for example, Web page, laptop, pager, telephone, or PDA.
- Provide Single Sign-On authentication for every source of information on behalf of the user.
- Operate at the highest available encryption standard; for example, a minimum of 128-bit SSL.
- Limit the number of results returned for open-ended searches (return large result sets for common names such as John Smith).

7.1.1. Performance Considerations

CJIS users be able to perform more intensive queries of agency systems because the CJIS Query Portal will enable multiple independent queries to be launched from a single portal search. The Gwinnett County CJIS must ensure that queries performed against agency systems do not affect the performance of the agency operating systems or the County's network infrastructure (including routers, switches, and firewalls). The following are key parameters to be considered to enhance overall system performance:

- Expected number of queries
- Types of queries
- Expected response times for queries
- Amount of data returned in queries
- Asynchronous and synchronous nature of queries
- Time of days these queries will be performed
- Loads imposed by an agency's day-to-day operations
- Security implications
- Statutory and regulatory restrictions.

Agencies may want to consider the volume of potential queries against their operational systems and the potential performance implications. To limit the performance impact of distributed queries, agencies may want to implement database mirrors or other technologies to maximize the performance of their operational systems under additional load from queries. Also, the CJIS Planner will consider strategies to minimize the overall impact on network bandwidth.

7.2. Adapters

Agency applications work in the transactional world of databases, and Integration Brokers work in the messaging world of XML. Application Adapters are software components that bridge the gap between the transactional world of databases and the messaging world of XML. To communicate with the Integration Broker, existing applications need to be XML enabled. Applications are XML enabled through Application Adapters that are normally a component for the Integration Broker product suite but can also be third-party components. The Application Adapters are low-footprint software components that enable the conversion of each agency's proprietary database format into the GJXDM. Application Adapters perform various functions, including recognizing events, collecting and transforming data, and exchanging data with the platform and the XML Broker. Leading vendors of Integration Brokers and adapters provide adapters that are a combination of design and runtime tools. Adapters can also handle exceptions as well as accommodate changes and upgrades to agency applications.

7.2.1. Technical Adapters

Adapters are classified into two high-level categories: Technical Adapters and Application Adapters. Technical Adapters may connect directly into the source system's Database Management Systems (DBMSs – for example, DB2, Oracle or SQL Server), Object Request Brokers (ORBs – for example, COM+ or CORBA), or Web Services. Technical Adapters are not inherently aware of business processes because they operate strictly at a technical level. Each participating justice agency's underlying data storage platform, operating system, and deployment architecture will differ. The following are the primary interface types used to create Technical Adapters:

- Microsoft COM/DCOM
- ODBC and JDBC for relational database systems
- ADO.NET for relational database system.
- CICS on mainframes
- VSAM
- CORBA
- JMS and MOM
- Java, C, C++, and C##
- HTTP (not secure) and HTTPS
- XML and SOAP
- FTP (not secure), POP (not secure), and SMTP (not secure)

7.2.2. Application Adapters

Application Adapters interface to packaged software suites (for example, SAP HR and Siebel CRM) or vertical-industry protocols (for example, RosettaNet). Application Adapters are inherently configured to be aware of business processes and documents. Application Adapters are designed to interact with the source system to read or write

specific business documents or messages such as a purchase order (or an invoice in the case of SAP or other financial packages). Application Adapters are normally the best choice for an adapter because they can manage the inherent complexities of integration technology. Unfortunately, not all applications have an XML Application Adapter, especially in the justice and public safety environment. When an Application Adapter is unavailable, developers are forced to use a Technical Adapter.

7.2.3. Application Adapter Support

Much of the complexity and cost of developing an integrated justice system involves the design and development of Application Adapters. Commercially available Integration Brokers provide varying degrees of support for out-of-box adapters and software development frameworks for adapters. The County should ensure that the out-of-the-box adapters offered by the Integration Broker align with the target system in the environment. For example, the CJIS may require integration with the County's mainframe. The County should have a high-level technical understanding of how each agency's system will connect to the Integration Broker through the Application Adapter. The County should pay particular attention to Application Adapters that require a custom adapter or a third-party adapter that may require an ongoing annual maintenance fee.

7.3. Workflow and Data Flow Management

All XML Brokers provide the ability to manage the flow of activities to process a message from the source and the receiving system. A major difference among Integration Broker products is the design environment for controlling data flow and intelligent routing. Many Integration Broker products provide a graphical design environment that allows the rapid creation of complex data flows and routing with a minimum of coding. Workflow Management provides the ability to define executable business processes in the broker. Using a GUI, software developers can create complex workflow based on real-world business requirements. Many business processes may require approval by an agency user before information is committed to the agency's operational system. For example, the Clerk of Court may want to review certain types of documents for accuracy before committing them to its system.

7.3.1. Key Features

The following are key features of workflow and data flow management:

- **Intelligent routing** – Ability to deliver a message to one or more destinations in accordance with the content of the message and predefined subscriptions
- **Modeling** – Ability to easily create business process models that visually depict business processes in the product's software development environment
- **Scripting** – Ability to easily use and reuse custom processing that uses a commonly known scripting language

- **Long-running flows** – Ability to design and execute long-running flows that may need to be managed for a few seconds to several weeks. For example, some transactions may require the CJIS to wait and aggregate several messages from multiple agencies before sending the reply.
- **Human activities** – Ability to introduce activities in a process flow that require human intervention for validating and updating
- **Failure analysis** – Ability to analyze workflow that fails and the ability to restart or completely abandon the processing of failed messages
- **Runtime business process analysis** – Ability to display business processes and flows at runtime, and the ability to view, record, and analyze user-defined business metrics on completed, failed, and stalled processes. Runtime business process analysis is crucial to debugging SOA-based applications.
- **User interface consistency** – Ability to provide consistency across all development tools associated with a product.
- **Source and destination provisioning** – Ability to add and remove sources of information and destination targets for information flow. Some products can automatically recognize and catalog remote data sources.

7.4. Transformation

Transformation is the functionality that supports the transformation of data between formats and syntax structures. The Integration Broker should support a design environment that allows developers to transform data easily with a minimum of coding. Many Integration Broker products provide a core set of transformation objects for common functions such as concatenation and date field manipulations. These objects can be chained together to perform complex transform functions. The design environment includes a GUI for working with transformation objects and their properties.

7.4.1. Key Features

The following are key features of transformation:

- Support for XML and Extensible Stylesheet Language Transformations (XSLT)
- Transformation of syntax and content
- Transformation of structure
- Ease of use of transformation design tools
- Out-of-box transformation tools
- Ease of extending a transformation with custom-coded logic.

7.5. Transport Channels

Transport channels provide multiple avenues for the Integration Broker to communicate with other applications and message systems. These channels are the transport layer of the Integration Broker, where Technical Adapters are created. Most modern Integration Broker products provide a host of transport channels and support a variety of industry standards.

7.5.1. Key Features – Support for the Following Transport Protocols

The following are key features of transport channels:

- MOM (or MI)
- HTTP (not secure) and HTTPS
- FTP (not secure) and FTPS (Any data transmitted that must be transmitted by FTP should be encrypted by PGP and so forth before transmission.)
- File system integration
- SMTP (not secure)
- SOAP.

7.6. System Management and Monitoring

Integration Brokers need the ability to manage the deployment of applications and software objects. The system must also be able to monitor the runtime environment and alert administrators to potential problems before they threaten the production environment. Many Integration Brokers can be configured to send notifications to operators when certain performance thresholds are reached; for example, if CPU utilization reaches a critical level, or the system detects that an agency can no longer communicate.

7.6.1. Key Features

The following are key features of system management and monitoring:

- **Monitoring** – the ability to monitor application parameters such as message throughput and response times as well as the behavior for all nodes in a LAN or a WAN
- **Deployment** – the ability to package and deploy applications with ease and flexibility from a single point across a network
- **Performance and availability tuning** – the ability to add, modify, or delete integrations as well as change the load balancing of various application and system components to ensure optimal system performance and high availability.

7.7. Compatibility With Software Development Frameworks

The world of software development is rapidly consolidating around two competing software development frameworks:

- **Microsoft** – .NET and the Component Object Model
- **Sun Microsystems** – Java and J2EE.

All of the leading Integration Broker products are developed in one of the software development frameworks. Microsoft BizTalk Integration Broker is the primary product developed for the .NET framework, and many of the other competing XML Brokers are Java- and J2EE-based products. The County will ensure that its integration Technical Architecture is aligned with one of the development frameworks and that it supports interoperability between both of these software development frameworks. Also, the product should include the ability to plug into leading IDEs such as Microsoft Visual Studio, Eclipse, NetBeans, or other leading Java development environments.

7.8. Partner Management

Partner Management will enable the Gwinnett County CJIS to manage and interact securely with other agencies and systems that are not part of the core Gwinnett County justice system. The core County CJIS Project will consist of the member agencies directly under the control of the CJIS COI. These agencies will reside behind County's firewall, and the County will have direct access to these systems. CJIS Partners may be other local, State, or federal systems that require information exchange with one or more of the core CJIS agencies. Examples include the Georgia Bureau of Investigation (GBI), the Department of Driver Services (DDS), municipal police departments, federal agencies such as the FBI, and other national law enforcement agencies. Partners will require different access and security protocols to allow integration over the Internet or other WAN. Partner Management provides the services that enable the integration of these remote systems and the management of their connection services.

7.9. Product Quality

Product Quality focuses on the Integration Broker's ability to operate in a high availability environment and maintain consistent performance. The Integration Broker should provide a well-documented capability to scale up as the Gwinnett County CJIS increases the volume of transactions and the number of exchange partners. To provide automated failover and disaster recovery, many products provide load balancing through multiple redundant servers. The servers can transfer process loads on the fly if one of the other servers goes down for any reason. Integration Brokers have varying degrees of capability to provide "hot" failover and disaster recovery. The County should ensure that the selected technical architecture meets the desired performance and failover requirements.

7.10. Security

The Integration Broker must contain a robust environment to deploy strong enterprise security for all agency information resources and CJIS users. All the aspects of enterprise security already addressed in this document can be applied directly to the Integration Broker, including:

- Network security
- Authentication
- Authorization
- Data integrity
- Encryption and digital signatures
- Non-repudiation
- Confidentiality
- Auditing
- Single Sign-On
- Intrusion Detection Systems (IDS)
- Physical security.

Commercially available Integration Broker products provide varying degrees of support for each of these crucial security components. The County must consider how the selected product's security capabilities align with the County's policies for privacy and data access as well as ongoing security initiatives such as Directory Services and other countywide Enterprise Architecture standards.

7.11. Commercially Available Integration Broker Products

There are many commercially available Integration Brokers, including products that use both the Hub and Spoke and the Enterprise Service Bus (ESB) architectural approaches. Commercially available Integration Broker products provide varying degrees of the functionality and features. The following is a list of several major vendors that offer Integration Broker technology. (The list is not a complete one of all the vendors that provide this technology.)

- BEA
- Fiorano Software
- Fujitsu Siemens Computers
- Hewlett-Packard
- i2 Technologies
- IBM
- IONA
- iWay Software
- Microsoft
- Oracle
- SAP
- SeeBeyond Technology
- Sonic Software
- Sun
- TIBCO
- Vignette
- Vitria
- webMethods

8. Gwinnett County CJIS Agency Technical Specifications

During the agency interviews, Unisys collected technical information on each agency's primary system. The following sections list this information.

8.1. Geographical Information Systems (GIS)

Application Software Vendor	ESRI
Software Name	ArcGIS
Software Version Number	9.1
Application Hardware Manufacturer	Hewlett-Packard
Hardware Model Number	DL380
Hardware Operating System and Version	Windows 2000 & 2003
Relational Database Software	Oracle
Database Software Version Number	9i
Total Application Database Size in MB	4.7 TB

8.2. Clerk of Court (Magistrate's, Superior, and State Courts)

Application Software Vendor	Sustain Technologies Inc.
Software Name	Sustain Court Case Management System
Software Version Number	Justice Edition
Application Hardware Manufacturer	Compaq
Hardware Model Number	
Hardware Operating System and Version	Windows 2000
Relational Database Software	Pervasive Database
Database Software Version Number	1.25.04
Total Application Database Size in MB	430 MB

8.3. Recorders Court

Application Software Vendor	
Software Name	Sustain Technologies
Software Version Number	1.25.03
Application Hardware Manufacturer	See County IT
Hardware Model Number	See County IT
Hardware Operating System and Version	Windows Server 2003 Standard
Relational Database Software	Pervasive SQL V8 Server for Windows
Database Software Version Number	8.6
Total Application Database Size in MB	20654.08 MB
Growth Rate	In 3 months, growth has been approximately an average of 250 Mb = 1/4 GB.

8.4. State Probation

State Probation is supported by the State of Georgia Department of Corrections. Although it is outside the scope of the current Gwinnett County CJIS, State Probation is included in the JIEM analysis with the hope it will participate in the Gwinnett County CJIS.

8.5. County Probation

Application Software Vendor	Sentinel
Software Name	Sentrak
Software Version Number	3.0.0.1
Application Hardware Manufacturer	CompUSA PC
Hardware Model Number	Compaq DL380 & ML530
Hardware Operating System and Version	Windows 1998
Relational Database Software	Microsoft SQL Server

8.6. Sheriff (Detention) & Corrections

Application Software Vendor	Syscon Justice Systems
Software Name	TAG
Software Version Number	

Application Hardware Manufacturer	Hewlett-Packard
Hardware Model Number	ML 570
Hardware Operating System and Version	Windows 2003
Relational Database Software	Oracle
Database Software Version Number	TAG is running on 9i, but the new version runs on 10g.
Total Application Database Size in MB	600 GB
Growth Rate	

8.7. Police Department

Application Software Vendor	CompuDyne
Software Name	Police Records Management System
Software Version Number	7.3
Application Hardware Manufacturer	IBM
Hardware Model Number	10-C808F
Hardware Operating System and Version	UNIX/AIX
Relational Database Software	Oracle
Database Software Version Number	8i
Total Application Database Size in MB	34688
Growth Rate	Unknown

8.8. District Attorney

Application Software Vendor	Ciber, Inc.
Software Name	CRIMES
Software Version Number	6.1 (.net version)
Application Hardware Manufacturer	Hewlett-Packard
Hardware Model Number	HP ProLiant DL380 & ML570
Hardware Operating System and Version	Windows Server 2003
Relational Database Software	Microsoft SQL Server 2000
Database Software Version Number	MS SQL Server 2000

Total Application Database Size in MB	Will not know until conversion from Prosecutor Dialog is complete.
Growth Rate	Projected at 12 percent per year.

8.9. Solicitors Office

Application Software Vendor	Ciber, Inc.
Software Name	CRIMES
Software Version Number	6.1 (.net version)
Application Hardware Manufacturer	Hewlett Packard
Hardware Model Number	HP ProLiant DL380 & ML570
Hardware Operating System and Version	Windows Server 2003
Relational Database Software	Microsoft SQL Server 2000
Database Software Version Number	MS SQL Server 2000
Total Application Database Size in MB	Will not know until conversion from Prosecutor Dialog is complete.
Growth Rate	Projected at 12 percent per year.

8.10. Juvenile Court

Application Software Vendor	Canyon Solutions
Software Name	JCATS
Software Version Number	3.0.0.1
Application Hardware Manufacturer	HP
Hardware Model Number	Compaq DL380 & ML530
Hardware Operating System and Version	Windows 2000
Relational Database Software	Microsoft SQL Server
Database Software Version Number	
Total Application Database Size in MB	
Growth Rate	If the number of cases can be used for the Growth Rate, there is a potential for a growth rate of approximately 15 percent per year. In 2004, there were 7,200 cases. In 2004 and 2005, there were 8,300 cases per year.



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Integrated Justice Grant Funding

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. INTEGRATED JUSTICE GRANT FUNDING	1
1.1. Introduction	1
1.2. Fiscal Year 2006 Homeland Security Grant Program: Program Guidance and Application Kit	1
1.3. Department of Homeland Security – Risk Evaluation	2
1.4. Federal Grant Appropriations Process	2
1.5. 2006 Federal Grant Funding Process and Timelines.....	3
1.5.1. <i>Timelines for Department of Justice 2006 Grants.....</i>	<i>3</i>
1.5.2. <i>Timelines for Department of Homeland Security – Office of Grants and Training 2006</i>	<i>4</i>
1.5.3. <i>Agency Web Sites for Grant Applications and Information.....</i>	<i>4</i>
1.6. Federal Grant Trends.....	4
2. FEDERAL GRANT PROGRAMS	5
2.1. Justice Assistance Grant (JAG) Program	5
2.2. Edward Byrne Memorial Grant Program (Byrne Grant)	5
2.3. Local Law Enforcement Block Grant Program (LLEBG)	6
2.4. COPS Technology Grants.....	7
2.5. Crime Identification Technology Act (CITA).....	7
2.5.1. <i>CITA Strategy Development Requirements</i>	<i>9</i>
2.6. National Criminal History Improvement Program (NCHIP)	10
2.7. Juvenile Justice Accountability Block Grants (JABG)	10
2.8. Homeland Security Grant Program (HSGP)	11
2.8.1. <i>State of Georgia Homeland Security Contact Information.....</i>	<i>11</i>
2.8.2. <i>Law Enforcement Terrorism Prevention Program (LETPP).....</i>	<i>11</i>
2.8.3. <i>Urban Areas Security Initiative (UASI).....</i>	<i>12</i>
2.8.4. <i>Targeted Infrastructure Grant Programs</i>	<i>13</i>
2.8.5. <i>Firefighters Assistance Grant Program.....</i>	<i>14</i>

Table of Tables

Table 1-1: Federal Grant Funding 2007	3
---------------------------------------------	---

This page left blank intentionally.

1. Integrated Justice Grant Funding

1.1. Introduction

Identifying funding sources is often one of the one most difficult challenges facing any integrated justice effort. Gwinnett County is committed to moving forward with its Criminal Justice Information System (CJIS) Project through a combination of County resources and grants from State and federal sources. This section of the Strategic Plan presents the current and future environment for receiving grant funding. The events of September 11, 2001 and the establishment of the U.S. Department of Homeland Security (DHS) dramatically changed the landscape for grant funding. Several historical grant programs are being discontinued and others, particularly in DHS, are being established. The two primary federal departments that fund integrated justice and information sharing projects are the Department of Justice (DOJ) and DHS. Each of these departments administers a number of grant programs, including:

- Department of Justice
 - Justice Assistance Grant Program (JAG)
 - Byrne Discretionary Grant Program
 - Community Oriented Policing Services (COPS)
 - Crime Identification Technology Act (CITA)
 - National Criminal History Improvement Program (NCHIP)
- Department of Homeland Security – Office of Grants and Training (OGT)
 - State Homeland Security Grant Program (SHSG)
 - Law Enforcement Terrorism Prevention Grant Program (LETTP)
 - High-Threat, High-Density Urban Areas Grant Program (UASI)
 - Firefighter Assistance Grant Program (AFG)
 - Targeted Infrastructure Grant Program (Transportation Related Grants).

1.2. Fiscal Year 2006 Homeland Security Grant Program: Program Guidance and Application Kit

DHS releases an annual Grant Program guide that contains a comprehensive explanation of all DHS Grant programs and application information. Gwinnett County CJIS Planners should read this annual guide when it is published at the end of every year.

<http://www.ojp.usdoj.gov/odp/docs/fy2006hsgp.pdf>

1.3. Department of Homeland Security – Risk Evaluation

In recent budget years, there has been a significant shift in budget funding from the historical DOJ grant programs to the programs under the DHS Office of Grants and Training (OGT). DHS has begun the process of assigning a risk score to each state and urban area based on need and perceived risk. This score is based on several factors, including:

- Threat level – likelihood of an attack or major event
- Vulnerability – likelihood that an attacker would be successful
- Consequence – impact of an attack that occurs.

Grant funding is also evaluated for the proposed project's ability to meet the requirements and guidelines of the National Preparedness Goal:

(www.ojp.usdoj.gov/odp/docs/InterimNationalPreparednessGoal_03-31-05_1.pdf).

DHS has a six-point agenda to increase the nation's overall homeland security. Grant applications will be evaluated based on their ability to contribute to this agenda:

- Increase overall preparedness, particularly for catastrophic events
- Create better transportation security systems to move people and cargo more securely and efficiently
- Strengthen border security and interior enforcement and reform immigration processes
- Enhance information sharing with our partners
- Improve DHS financial management, human resource development, procurement, and information technology
- Realign the DHS organization to maximize mission performance.

1.4. Federal Grant Appropriations Process

At the beginning of each calendar year, the President submits the Administration's proposed budget to Congress. The President's budget recommendations go through the congressional appropriations process until September, when the final details of the budget are negotiated. Table 1-1 provides the President's current 2007 budget recommendations versus the actual 2006 appropriations. The table reflects the Administration's shift in priority from historical DOJ grant programs to the DHS OGT. Congress will probably continue to fund DOJ grant programs at a substantial level, but the trend is a shift toward DHS. Congress will finalize the actual 2007 appropriations before the end of the year.

DOJ Program	2006 Appropriation	President's 2007 Request
Justice Assistance Grant Program (JAG)	\$416 million	\$-0-
Byrne Discretionary Grant Program	\$192 million	\$-0-
COP TECH	\$140 million	\$-0-
Crime Identification Technology Act (CITA)	\$28 million	\$-0-
The National Criminal History Improvement Program (NCHIP)	\$10 million	\$39 million
Totals	\$786 million	\$39 million

DHS Program	2006 Appropriation	President's 2007 Request
State Homeland Security Grant Program (SHSG)	\$500 million	\$616 million
Law Enforcement Terrorism Prevention Grant Program (LETPP)	\$400 million	\$-0-
High-Threat, High-Density Urban Areas Grant Program (UASI)	\$765 million	\$817 million
Targeted Infrastructure Grant Program (Transportation-related grants)	\$390 million	\$600 million
Firefighter Assistance Grant Program (AFG)	\$655 million	\$293 million
Totals	\$2.71 billion	\$2.33 billion

Table 1-1: Federal Grant Funding 2007

1.5. 2006 Federal Grant Funding Process and Timelines

The following sections provide the process and timelines for the 2006 federal grant funding process and timelines. The actual process and timelines for the 2007 federal grant programs are subject to change based on federal funding and changes to the programs.

1.5.1. Timelines for Department of Justice 2006 Grants

- Justice Assistance Grant Program (JAG)
- State applications due in January
- Local applications due in March
- Byrne Discretionary Grant Program: Ongoing submission since the program was completely earmarked
- Community Oriented Policing Services (COPS): Ongoing submission since the program was completely earmarked

- Crime Identification Technology Act (CITA) – Earmark Program: Ongoing submission since the program was completely earmarked
- National Criminal History Improvement Program (NCHIP): Applications due in April

1.5.2. Timelines for Department of Homeland Security – Office of Grants and Training 2006

- State Homeland Security Grant Program (SHGP): Includes UASI, LETPP, and Targeted Infrastructure Grant Program
- Investment Justification Notice released on December 9
- State responses due March 2
- State allocations set May 31
- States have 60 days to notify DHS of specific funding: Money to be distributed to agencies by July 31
- Firefighter Assistance Grant Program (AFG): Applications due April 7; funded in rounds

1.5.3. Agency Web Sites for Grant Applications and Information

- Office of Justice Programs: www.ojp.usdoj.gov/
- Community Oriented Policing Services: www.cops.usdoj.gov
- Office of Grants and Training: www.ojp.usdoj.gov/odp/grants_programs.htm
- Office of Grants and Training: www.firegrantsupport.com/
- Bureau of Justice Assistance: Online Standardized Form Through OJP: www.ojp.usdoj.gov/fundopps.htm

1.6. Federal Grant Trends

The Bush Administration continues to consolidate criminal justice grant funding under DHS and away from the historical grant funding programs in DOJ. DHS focuses on grant money to align with its stated goals for homeland security in the National Preparedness Goal document. State and local governments need to be aware of the goals of DHS so they can highlight how their projects align with DHS directives and guidelines. The federal government is highly interested in integration projects that affect multiple agencies over multiple jurisdictions in large population centers. The earmarking of federal grant resources, in which senators and congressional representatives incorporate specific projects directly into grant appropriation legislation, continues to be a growing trend.

2. Federal Grant Programs

2.1. Justice Assistance Grant (JAG) Program

The Edward Byrne Memorial Justice Assistance Grant Program allows state and local governments to support a broad range of activities to prevent and control crime and to improve the criminal justice system. JAG replaces the Byrne Formula and Local Law Enforcement Block Grant (LLEBG) programs with a single funding mechanism that simplifies the administration process for grantees.

The procedure for allocating JAG funds is a formula based on population and crime statistics, in combination with a minimum allocation to ensure that each state and territory receives an appropriate share. Traditionally, under the Byrne Formula and LLEBG programs, funds were distributed 60/40 among state and local recipients. This distribution continues under JAG.

JAG purpose areas consist of the following programs:

- Law enforcement
- Prosecution and court
- Prevention and education
- Corrections and community corrections
- Drug treatment
- Planning, evaluation, and technology improvement.

Any law enforcement or justice initiative funded under the Byrne Formula or LLEBG programs is eligible for funding under the JAG Program's six purpose areas. JAG funds can be used to pay for personnel, overtime, and equipment. Funds provided for the states can be used for statewide initiatives, technical assistance and training, and support for local and rural jurisdictions.

How and When To Apply

The fiscal year 2006 state solicitation was released November 29, 2005, and applications were due January 26, 2006. The fiscal year 2006 local solicitation was released December 30, 2005, and applications were due March 2, 2006. All applications must be submitted through the Office of Justice Programs Grants Management System at <https://grants.ojp.usdoj.gov/>.

2.2. Edward Byrne Memorial Grant Program (Byrne Grant)

The Edward Byrne Memorial State and Local Law Enforcement Assistance Grant Program (Byrne Formula Grant Program) is a partnership among federal, state, and local governments to create safer communities. The Bureau of Justice Assistance

(BJA) is authorized to award grants to states for use by states and units of local government to improve the functioning of the criminal justice system, with emphasis on violent crime and serious offenders, and enforce state and local laws that establish offenses similar to those in the federal Controlled Substances Act (21 U.S.C. 802(6) et seq.).

Grants can be used to provide personnel, equipment, training, technical assistance, and information systems for more widespread apprehension, prosecution, adjudication, detention, and rehabilitation of offenders who violate those state and local laws. Grants also can be used to provide victims of these offenders with assistance other than compensation. Twenty-nine legislatively authorized purpose areas were established to define the nature and scope of programs and projects that can be funded under the Byrne Formula Grant Program.

Although local jurisdictions are ineligible for direct Byrne Formula Grant Program funds, local practitioners can seek funding for innovative projects through subgrants. In each state, the governor appoints a State Administrative Agency (SAA) to award subgrants to local and state criminal justice operations. To obtain information on how to apply, local practitioners should contact the appointed SAA office. Typically, advisory boards that consist of a community's leading criminal justice officials, including police chiefs, prosecutors, chief justices, and corrections commissioners, make funding plans and funding decisions for subgrants. These boards should be contacted and apprised of the project's value and level of support. Local practitioners should contact these local agencies and any advisory boards for information on how to apply.

How and When To Apply

Immediately after enacting the appropriations, BJA notifies the SAAs that they have 60 days in which to submit an application. Allocations for each state are posted on the following Web page. In addition to the required forms, SAAs are required to submit a 4-year violence prevention and drug control strategy. In general, BJA makes an award within 60 days of receiving an application.

<http://www.ojp.usdoj.gov/BJA/grant/byrne.html>

2.3. Local Law Enforcement Block Grant Program (LLEBG)

The Local Law Enforcement Block Grants (LLEBG) Program provides units of local governments with funds to underwrite projects that reduce crime and improve public safety. This program emphasizes local decision-making and encourages communities to craft their own responses to local crime and drug problems. LLEBG Program funds must be spent in accordance with seven purpose areas, including:

- Continually hiring, training, and employing new, additional law enforcement officers and necessary support personnel
- Enhancing security measures in and around schools or other facilities or locations that a unit of local government considers to be at risk for crime
- Establishing or supporting drug courts

- Enhancing the adjudication process of cases involving violent offenders, including the adjudication of these cases
- Establishing a multi-jurisdictional task force, particularly in rural areas, composed of law enforcement officials representing units of local government. These task forces must work with federal law enforcement officials to prevent and control crime.
- Establishing cooperative crime prevention programs between community residents and law enforcement personnel to control, detect, or investigate crime or to prosecute criminals
- Defraying the cost of indemnification insurance for law enforcement officers.

How and When To Apply

Once the State Attorneys' General Disparate Certification Process is completed, an eligibility list is posted, and the application process opens. All LLEBG applications must be submitted through the Internet-based Grants Management System at <https://grants.ojp.usdoj.gov/>.

2.4. COPS Technology Grants

COPS Technology Grants provide funds for the continued development of technologies and automated systems that help tribal, state, and local law enforcement agencies prevent, respond to, and investigate crime. These funds allow state agencies to purchase technologies to advance communications interoperability, information sharing, crime analysis, intelligence gathering, and crime prevention in their communities.

To date, the COPS Office awarded about \$700 million in COPS Technology grants to more than 1,400 agencies. Most recently, 379 technology projects named in the 2005 Consolidated Appropriations Act received more than \$130 million in COPS Technology grants.

COPS Grant Owner's Manual: <http://www.cops.usdoj.gov/mime/open.pdf?Item=1564>
<http://www.cops.usdoj.gov/Default.asp?Item=35>

2.5. Crime Identification Technology Act (CITA)

The Crime Identification Technology Act (CITA) was authorized with the passage of Public Law 105-251 on October 9, 1998, and provides states with assistance to establish or upgrade criminal justice information systems and identification technologies. CITA expands on the National Criminal History Improvement Program (NCHIP) administered by OJP's Bureau of Justice Statistics (BJS) and provides assistance for virtually every technology-based, criminal justice information, identification, and communications need. CITA funds also can be used to support state and local participation in national databases managed by the Federal Bureau of

Investigation (FBI), such as the National Instant Check System (NICS), the Combined DNA Information System (CODIS), and the Interstate Identification Index system. States, together with local governments, can use funds awarded under CITA to improve or expand criminal justice technology efforts in 17 specified areas.

OJP has taken steps to support criminal justice agencies in their efforts to improve and expand their information technology infrastructure. In addition to administering NCHIP, the Safe Schools Technology Initiative, and the DNA Identification/CLIP and DNA Backlog programs, several other OJP programs advance criminal justice technology. For example, the National Institute of Justice (NIJ) works closely with the Department of Defense to modify Defense-developed technology for law enforcement purposes. NIJ also supports the development of counterterrorism technologies and the creation of standards for their use. Also, BJS offers technical and financial support to state governments to create and operate statistical analysis centers, which collect, analyze, and report statistics on crime and justice. Likewise, BJA administers State Identification Systems grants, which enable states to share information and integrate with the FBI's NCIC, CODIS, and Integrated Automated Fingerprint Information System (IAFIS).

Information integration among all components of the criminal justice system and at all levels of government is crucial to ensuring that justice is administered swiftly and appropriately. OJP agencies support a number of special initiatives to assess the capabilities and readiness of state and local agencies to fully integrate their criminal justice records and information technology systems through the Integrated Justice Information Technology Initiative.

CITA contains 17 purpose areas:

1. Improving adult and juvenile criminal history record information systems
2. Creating automated fingerprint identification systems that are compatible with standards established by the Commerce Department's National Institute of Standards and Technology (NIST) and are interoperable with the FBI's IAFIS
3. Establishing finger imaging, LiveScan, and other automated systems to digitize and communicate fingerprints consistent with NIST standards and ensure interoperability with print systems operated by the states and the FBI.
4. Augmenting state and local participation in the Interstate Identification Index of the National Crime Information System.
5. Improving systems to allow any compact for the Interstate Identification Index to participate fully in the National Crime Information System
6. Enhancing systems to enhance state and local participation in the FBI's National Instant Check System (NICS), which was authorized with the creation of the Brady Handgun Violence Prevention Act of 1993
7. Creating integrated criminal justice systems so that law enforcement agencies, courts, prosecutors, and corrections agencies have access to the same information
8. Improving criminal history record information to determine eligibility to purchase firearms under NICS

9. Developing court-based criminal justice information systems that integrate with other criminal justice information systems and promote the reporting of dispositions to central state repositories and to the FBI
10. Accessing ballistics identification programs and technology that are compatible with the Bureau of Alcohol, Tobacco and Firearms' National Integrated Ballistics Network
11. Enhancing the capabilities of forensic science laboratories and medical examiner programs
12. Improving systems for identifying, tracking, and registering sex offenders
13. Creating systems to track and share information on domestic violence offenders
14. Supporting fingerprint-supported background checks for non-criminal justice purposes
15. Developing criminal justice information systems that provide research and statistical analysis
16. Establishing multi-agency, multi-jurisdictional communications systems among the states to share information among federal, state, and local law enforcement agencies
17. Enhancing the capability of criminal justice systems to deliver timely, accurate, and complete criminal record information to child welfare agencies, organizations, and programs that assess risk and other activities for the protection of children, including protection against child sexual abuse, and placement of children in foster care.

2.5.1. CITA Strategy Development Requirements

In consultation with state and local officials, this strategy must contain:

- A definition and analysis of "integration" in the state and among local jurisdictions
- An assessment of the criminal justice resources being devoted to information technology
- An assessment of the requirements and needs for coordinating federal, state, regional, and local information technology
- An assurance that the individuals who developed the grant application consider the needs of all branches of government and specifically seek advice for the application from the chief of the state's highest court
- Needs for state and local resources
- The establishment of statewide priorities for planning and implementing information technology systems

A plan for coordinating programs funded under this title with other federally funded information technology programs, including programs such as the Local Law Enforcement Block Grant program, can be found at <http://it.ojp.gov/fund/files/cita.html>.

2.6. National Criminal History Improvement Program (NCHIP)

The National Criminal History Improvement Program (NCHIP) was initiated in fiscal year 1995 to implement the Brady Handgun Violence Prevention Act of 1993. In fiscal year 1996, the NCHIP expanded to implement the National Child Protection Act of 1993 and the National Stalker and Domestic Violence Reduction program.

NCHIP is instrumental in (1) addressing record management of and access to data associated with and needed for firearm permits that identify persons ineligible to purchase a firearm and (2) providing law enforcement personnel and others with data to ensure that persons with responsibility for child care, elder care, and care of the disabled do not have disqualifying criminal records, are subject to protection orders, or are wanted for stalking and domestic violence. Since its inception, NCHIP made successive cooperative agreement awards and supplements to the states. These awards are 100 percent federal funds; no match is required. Projects performed with NCHIP funding are integrated with all other CJIS activities.

2.7. Juvenile Justice Accountability Block Grants (JABG)

The Juvenile Accountability Block Grants (JABG) program is administered by the State Relations and Assistance Division of the Office of Juvenile Justice and Delinquency Prevention (OJJDP), Office of Justice Programs, U.S. Department of Justice. Through the JABG program, states are provided with block grants for programs that promote higher accountability in the juvenile justice system. Local and tribal governments can then apply to the states for funds to support local accountability programs. Also, OJJDP awards federally recognized tribes with grants to strengthen tribal juvenile justice systems and to hold youth accountable. These grants are made competitively. OJJDP's Tribal Youth Program Manager is developing the program guidelines for this component of the JABG program.

The OJJDP National Training and Technical Assistance Center (NTTAC) serves as the national training and technical assistance provider for the JABG program to ensure that comprehensive support is available to states and units of local government. The goal of this support is to provide states and units of local government with the means to implement state-of-the-art accountability-based programs in any of 16 program purpose areas including information sharing (Juvenile Accountability Incentive Block Grant purpose area 10).

2.8. Homeland Security Grant Program (HSGP)

The 2006 Homeland Security Grant Program (HSGP) awards about \$1.7 billion to enhance the ability of states, territories, and urban areas to prepare for, prevent, and respond to terrorist attacks and other major disasters. HSGP funds can be used for preparedness planning, equipment acquisition, training, exercises, management, and administration.

HSGP includes five distinct programs:

- State Homeland Security Grant Program (SHSGP)
- Urban Areas Security Initiative (UASI)
- Law Enforcement Terrorism Prevention Program (LETPP)
- Metropolitan Medical Response System (MMRS)
- Citizen Corps Program (CCP).

2.8.1. State of Georgia Homeland Security Contact Information

ALL HSGP grants are administered through the State of Georgia Office of Homeland Security:

William T. Nesbitt
Homeland Security Director
Georgia Office of Homeland Security – State Administrative Agency (SAA).
P.O. Box 18055, Building 2
Atlanta, GA 30316–0055
404–635–7000
www.gema.state.ga.us

Homeland Security Grant Information – Fiscal Year 2006 Allocations

- Total: **\$44,406,375**
- Homeland Security Grant Program: **\$13,360,000**
- Law Enforcement Terrorism Prevention Program: **\$11,430,000**
- Urban Area Security Initiative (UASI) Allocations
 - Atlanta area: **\$18,660,000**
 - Other grants programs: **\$956,375**

2.8.2. Law Enforcement Terrorism Prevention Program (LETPP)

LETPP grant awards can be used for planning, organization, training, exercises, and equipment for the program objectives in Section 2.8 and are administered by the respective SAA). LETPP provides law enforcement with support for:

- Information sharing to preempt terrorist attacks
- Target hardening to reduce the vulnerability of selected high-value targets
- Recognition and mapping of potential or developing threats
- Counterterrorism and security planning
- Interoperable communications
- Interdiction of terrorists before they can execute a threat or intervention activities that prevent them from executing a threat.

2.8.3. Urban Areas Security Initiative (UASI)

As part of the fiscal year 2006 Urban Areas Security Initiative (UASI), DHS announced \$765 million in direct funding for high-threat urban areas. UASI provides resources for the unique needs for equipment, training, planning, and exercise in select high-threat urban areas.

In fiscal year 2006, DHS identified 35 areas eligible to apply for and receive funding. These 35 areas encompass 95 cities with populations of at least 100,000, including Atlanta and a 10-mile buffer extending from the city border. This year's formula promotes a "super- UASI" concept that is designed to build greater regional capabilities across a geographic area. Also, DHS identified 11 urban areas from the fiscal year 2005 UASI as eligible to apply for sustainment funding in fiscal year 2006 to ensure that strategic investments made so far can be completed and to identify projects that, if funded, would reduce risk significantly.

All eligible applicants must submit an investment justification, which identifies needs and outlines the intended security enhancement plan to be addressed with funding and to meet the target capabilities outlined in the National Preparedness Goal. DHS then reviews, scores, and prioritizes investment justifications along with risk factors to determine which investments should be funded to best address need and minimize risk.

DHS determined the fiscal year 2006 UASI list of eligible applicants and recipients through a robust risk formula that considers three primary variables: consequence, vulnerability, and threat. DHS considered factors such as the presence of international borders, population and population density, the location of critical infrastructure, formal mutual aid cooperation, law enforcement investigations, and enforcement activity in correlation with the risk formula for UASI determinations.

For fiscal year 2006, DHS combined cities on the UASI list with shared boundaries into a single entity, and included urbanized areas outside the official city limits to establish a geographic area for enhanced risk analysis, reflecting a regional approach to shared risk and risk mitigation. Other expansions to the program in fiscal year 2006 include the incorporation of threat analysis from intelligence community products that reflect risk as seen through various attack modes, such as the incorporation of transient populations and greater depth and breadth in infrastructure data.

2.8.4. Targeted Infrastructure Grant Programs

In 2006, \$399 million is available for a series of related infrastructure protection grants.

Port Security Grant Program: This program provide more than \$168 million for port security grants to create sustainable, risk-based efforts for the protection of crucial port infrastructure from terrorism. The nation's 100 most crucial seaports (plus an additional seaport eligible in 2005), which represent 95 percent of U.S. foreign waterborne commerce, are eligible to participate in this program.

Transit Security Grant Program: In fiscal year 2006, this program is funding transit security grants at more than \$136 million for grants to owners and operators of the nation's crucial transit infrastructure, including rail as well as intercity bus and ferry systems. Eligibility for funding is limited to those who provide services in a defined UASI jurisdiction. A priority for this grant cycle is the protection of underground operations from improvised explosive devices.

Intercity Bus Security Grant Program: This program provides eligible owners and operators of fixed-route intercity and charter bus services with about \$9.5 million to protect bus systems and the traveling public from terrorism. Program priorities include security enhancements for facilities, drivers, and vehicles; emergency communications technology; coordinating with local police and emergency responders; training and exercises; and passenger and baggage screening programs in defined UASI service areas.

Intercity Passenger Rail Security Grant Program: This program awards Amtrak more than \$7.2 million to continue security enhancements for intercity passenger rail operations in the Northeast Corridor (service between Washington, D.C. and Boston) and its hub in Chicago as well as expand these enhancements to its West Coast service area in key, high-risk urban areas.

Trucking Security Program: This program awards the American Trucking Association \$4.8 million for its Highway Watch program to continue the enhancement of security and overall preparedness on our nation's highways. The grant priorities of the Trucking Security Program include participant identification and recruitment, ensuring that the program addresses homeland security and safety issues together with the National Preparedness Goal, and maintaining a full-time Highway Watch Call Center.

Buffer Zone Protection Program: This program provides grants to build security and risk-management capabilities to secure critical infrastructure, including chemical facilities, nuclear and electric power plants, dams, stadiums, arenas, and other high-risk areas. In fiscal year 2006, this program is awarding about \$48 million in grant funds to state and local authorities.

Chemical Sector Buffer Zone Protection Grant Program: This program is a targeted effort that provides state and local governments with funds to protect security and risk-management capabilities for chemical sector critical infrastructure from acts of terror and other hazards. In fiscal year 2006, the Chemical Buffer Zone Protection Grant Program is receiving \$25 million.

For more information on targeted infrastructure grant programs, readers should visit the following Web site:

http://www.dhs.gov/interweb/assetlibrary/GandT_FY2006ComprehensiveGrantSummary.pdf

2.8.5. Firefighters Assistance Grant Program

A program of the Preparedness Directorate's Office of Grants and Training at DHS awards grants to fire departments to enhance their ability to protect the public and fire service personnel from fire and related hazards. Three types of grants are available: Assistance to Firefighters Grant (AFG), Fire Prevention and Safety (FP&S), and Staffing for Adequate Fire and Emergency Response (SAFER). Its Web site describes the three types of grants available and offers resources to help fire departments prepare and submit grant requests.

Contact Information

The AFG program positioned technical assistance staff in 10 federal regional centers. These regional fire program specialists can answer questions on the implementation of the program. These specialists also perform grant monitoring activities and conduct grant writing workshops on the preparation of requests for AFGs. For assistance, a fire department should contact the regional fire program specialist in its region. Fire departments that have questions on the AFG program can reach DHS Preparedness Directorate's Office of Grants and Training AFG Program staff at:

Office of Grants and Training
Department of Homeland Security
810 7th Street, NW
Washington, DC 20531
Telephone: 1-866-274-0960 (Help Desk)
E-mail: firegrants@dhs.gov
<http://www.firegrantsupport.com/>
<http://www.usfa.dhs.gov/grants/>



“From Collaboration to Integration”

**Gwinnett County
Criminal Justice Information System
Integration Strategic Plan**

Prioritized Project List and Action Plan

August 18, 2006

**Unisys Corporation
5550 A Peachtree Parkway
Norcross, GA 30092**

Table of Contents

1. CRIMINAL JUSTICE INFORMATION SYSTEM (CJIS) PROJECT INITIATIVES	1
1.1. Overview	1
1.2. People Initiatives.....	2
1.2.1. <i>CJIS Program Manager</i>	2
1.2.2. <i>CJIS Analyst</i>	3
1.2.3. <i>CJIS Support Analyst</i>	3
1.3. Process Initiatives	3
1.4. Technology Initiatives.....	4
1.5. Agency System Upgrades	4
1.6. Other Agency Upgrades.....	5
1.7. CJIS Prioritized Project List.....	5
2. CJIS PROJECT 1: WARRANT, BOOKING, CASE INITIATION, AND INDIGENT DEFENSE INTEGRATION	7
2.1. Project 1 Prerequisites	7
2.2. CJIS Infrastructure	7
2.3. CJIS Query Portal	8
2.4. Electronic Warrant Processing	8
2.4.1. <i>Arrest Warrant Processing</i>	9
2.4.2. <i>Search Warrant Processing</i>	11
2.5. Booking Process	15
2.5.1. <i>Book In Process</i>	15
2.5.2. <i>AFIS Search Process</i>	15
2.6. 1st Appearance.....	16
2.7. Committal Hearing (Preliminary Hearing)	16
2.8. Hearing Waiver	17
2.9. Defense Attorney Appointment	18
2.10. Bond Processing.....	18
2.10.1. <i>Bond Release</i>	18
2.10.2. <i>Bond Condition Changes</i>	19
2.11. Judge Warrant Assignment Memo	19
2.11.1. <i>Clerk of Court Case Number Assignment</i>	20
3. CJIS PROJECT 2: LAW ENFORCEMENT AND RECORDER’S COURT INTEGRATION	21
3.1. Project 2 Prerequisites	21
3.2. Law Enforcement Reports.....	21
3.2.1. <i>Law Enforcement Sends Arrest Report to Detention Center</i>	21
3.2.2. <i>Law Enforcement Sends Arrest Report to Fire Department</i>	21

3.3.	On-Demand GCPD Reports and Forms	22
3.3.1.	<i>Law Enforcement Sends Reports to District Attorney</i>	22
3.3.2.	<i>Law Enforcement Sends Reports to Solicitor</i>	22
3.3.3.	<i>Law Enforcement Sends Reports to Defense Counsel</i>	23
3.3.4.	<i>Law Enforcement Sends Reports to Recorder's Court</i>	23
3.4.	Recorder's Court Receives Case Initiation	24
3.5.	Recorder's Court Warrant Processing	24
3.5.1.	<i>Recorder's Court Bench Warrant Process</i>	24
3.5.2.	<i>Probation Submits a Warrant Application to Recorder's Court</i>	24
3.5.3.	<i>Issue Arrest Warrant</i>	25
3.5.4.	<i>Recorder's Court Issues an Incarceration Order</i>	25
3.5.5.	<i>Recorder's Court Warrant Recall Request</i>	25
3.5.6.	<i>Recorder's Court Warrant Recall Approval</i>	26
3.5.7.	<i>Recorder's Court Warrant Service Notice</i>	26
3.6.	Recorder's Court Bond Release	26
3.7.	Recorder's Court Sends Disposition and Sentence Information	27
4.	CJIS PROJECT 3: COURT CASE MANAGEMENT INTEGRATION	29
4.1.	Project 3 Prerequisites	29
4.2.	Calendar Processing	29
4.2.1.	<i>Court Schedule – Calendar Assignment Notice</i>	29
4.2.2.	<i>Hearing Schedule</i>	29
4.2.3.	<i>The Magistrate Court Notifies of the Preliminary Hearing Date</i>	30
4.2.4.	<i>District Attorney Schedules a Hearing</i>	30
4.2.5.	<i>Solicitor Schedules a Hearing</i>	30
4.2.6.	<i>Clerk of Court Case Number and Division Assignment Notice</i>	31
4.3.	Accusation Filed with the Clerk of Court	31
4.4.	Indictment Filed with the Clerk of Court	32
4.5.	Prosecutor files Nolle Prosequi with Clerk of Court	32
4.6.	Dismissal by Court Order	33
4.6.1.	<i>Administrative Dismissal</i>	33
4.7.	Prosecutor – Disposition and Sentence	34
4.8.	Sentence After Disposition	34
4.9.	Motions (and Miscellaneous Filings)	35
4.9.1.	<i>District Attorney Motions</i>	35
4.9.2.	<i>Solicitor Attorney Motions</i>	35
4.9.3.	<i>Defense Motions</i>	36
4.10.	Motion for Discovery	36
4.10.1.	<i>Defense Files Motion for Discovery</i>	36
4.10.2.	<i>District Attorney files Motion for Discovery</i>	37
4.10.3.	<i>Defense files Motion for Discovery</i>	37
4.11.	Discovery	37
4.11.1.	<i>District Attorney Files Discovery</i>	37
4.11.2.	<i>Solicitor files Discovery</i>	38

- 4.12. Protection Orders38
 - 4.12.1. Notice of Service for Protection Order 39
 - 4.12.2. Notice for Termination of Protection Order 39
- 4.13. Subpoena39
 - 4.13.1. District Attorney – Subpoena 39
 - 4.13.2. Solicitor – Subpoena 40
 - 4.13.3. Clerk of Court – Subpoena..... 40
 - 4.13.4. Case Transfer Process 40
 - 4.13.5. District Attorney Transfers Case to the Solicitor..... 40
 - 4.13.6. Solicitor Transfers Case to the District Attorney 41
 - 4.13.7. Recorder’s Court Transfer Case to Another Court..... 41
 - 4.13.8. Clerk of Court Notifies Prosecutor of New Case Number (After Transfer) 42
- 4.14. Subject Change of Contact Information.....42
- 4.15. Pre-Sentence Investigation43
- 4.16. Pre-Sentence Investigation Is Complete43
 - 4.16.1. Probation Notifies Court of Pre-Sentence Investigation 43
 - 4.16.2. Probation Notifies Defense and District Attorney of Pre-Sentence Investigation 43

- 5. CJIS PROJECT 4: PROBATION, PRE-TRIAL, DRUG COURT AND JUVENILE COURT INTEGRATION..... 45**
 - 5.1. Probation Processes45
 - 5.1.1. Probation Status Notice (Completion or Failure) 45
 - 5.1.2. Probation Financial Information Notice 45
 - 5.1.3. Probation (Recorder’s Court) Modification Order..... 46
 - 5.1.4. Probation Notified of an Active Probationer 46
 - 5.2. Pre-Trial Diversion46
 - 5.2.1. Probation Notifies Solicitor of Completion or Failure of Pre-Trial Diversion Program 47
 - 5.3. Drug Court47
 - 5.3.1. Drug Court Notification from District Attorney 47
 - 5.3.2. Drug Court Notifies District Attorney of Completion or Failure of Drug Court Program 47
 - 5.4. Jail Unusual Occurrence Report48
 - 5.5. Psychiatric Evaluation Petition48
 - 5.6. Psychiatric Evaluation Order48
 - 5.7. Property Disposition49
 - 5.8. Pre-Existing Court Date Request (Detention to Court)49
 - 5.9. Pre-Existing Court Date Notification (Court to Detention)49
 - 5.10. Department of Driver Services (DDS) Message50
 - 5.11. Department of Family and Children Services Form 45350
 - 5.11.1. Police send Case Documentation to Department of Family and Children Services..... 50
 - 5.11.2. Department of Family and Children Services sends Police Form 453 51

5.12. Court or Prosecutor Sends OBTS Information to Georgia Bureau of Investigation (GBI)	51
5.13. Juvenile Court Processes	52
5.13.1. Juvenile Complaint Form	52
5.13.2. Juvenile Court Bench Warrants	52
5.13.3. Juvenile Court Pickup Orders	52
5.13.4. Juvenile Court Warrant Recall	52
5.13.5. Juvenile Court Warrant Recall Approval	53
5.13.6. Juvenile Court Warrant Service Notice	53
5.13.7. Juvenile Court Bond Release.....	53
5.13.8. Juvenile Court Transfers Case to Superior Court.....	54
5.13.9. Case Transfers to Juvenile Court	54
5.14. Municipal Police Departments	54
6. CJIS PROJECT ACTION PLAN	55
7. CJIS PROJECT MULTI-YEAR ACTION PLAN GANTT CHART.....	57

Table of Tables

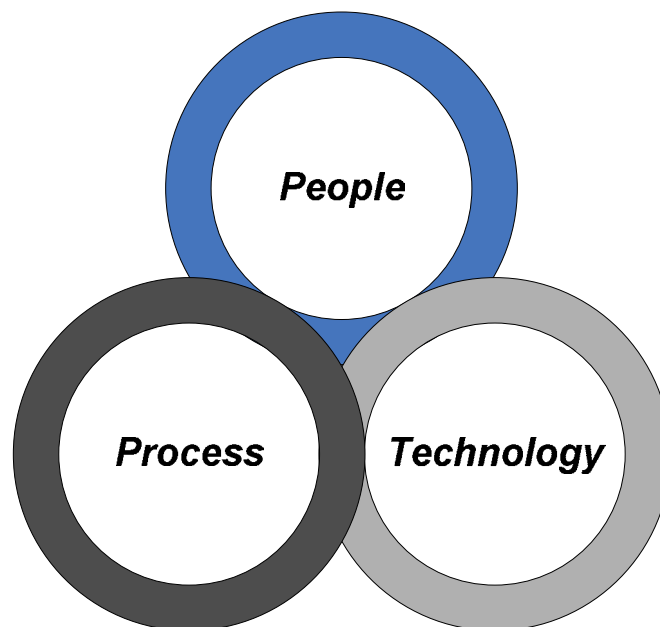
Table 1-1 People Initiatives.....	2
Table 1-2 Process Initiatives	4

1. Criminal Justice Information System (CJIS) Project Initiatives

1.1. Overview

The Gwinnett County Strategic Plan is intended to move the justice system away from reliance on standalone agency applications and paper-based business processes to a modern, fully electronic business supported by Enterprise Application Integration (EAI) technology. The vision for the CJIS includes the execution of a series of discrete projects that will be developed together to create the CJIS and enable the County to bring the Strategic Plan to fruition. This section of the CJIS Strategic Plan will document specific projects and their priority for deployment. None of these projects will be executed in a vacuum; rather, each initiative is a piece of the puzzle that must come together to complete the vision presented in the Strategic Plan.

The CJIS Strategic Plan is not only about technology. It is essential that the County bring together three crucial factors: **people, process, and technology**. Each will play an essential role in the future operation of the Gwinnett County Justice System. The overall success of the technology initiatives will require the people of the justice system to follow modern processes for the integration and management of systems. The following sections detail the initiatives of the Strategic Plan that will support the people, processes, and technology of the Gwinnett County CJIS.



1.2. People Initiatives

Modernizing the Gwinnett County Justice System is a significant undertaking. The introduction of enterprise systems to the justice system will bring a tremendous amount of technology and change every aspect of the business process. It is crucial for the County to staff the CJIS Project properly with full-time resources to manage the transformation of the justice system. To plan and manage the CJIS Project properly, there are several foundation principles for the people initiatives:

- The scope and depth of the CJIS Project requires a full-time, dedicated Program Manager to focus on the complexities of planning and executing CJIS technical initiatives.
- The CJIS Project must establish an organization to maintain and support the CJIS Infrastructure. In addition to technical support, the CJIS support organization must be able to support the human aspects of CJIS including training and change management.
- The CJIS Project must have a “customer service” focus to serve the member agencies of the CJIS Community of Interest (COI).

Table 1-1 documents specific people initiatives that will need to be established to manage the CJIS Project:

People Initiatives
Establish a new CJIS Program Management Office (PMO)
Provide Dedicated Resources to Manage and Support CJIS
Establish a CJIS Support Program for Technical Support and Training

Table 1-1 People Initiatives

The following sections describe the responsibilities for key positions in the CJIS Program Management Office (PMO).

1.2.1. CJIS Program Manager

The CJIS Program Manager will report directly to the CJIS COI (or member agency) as well as guide and manage CJIS Projects, including:

- Develop CJIS RFPs and ongoing contracts for maintenance and support
- Manage CJIS implementation contracts
- Develop annual budgets for the CJIS Projects
- Justify the business case for each new project
- Determine and report performance metrics

- Maintain the Risk Management Plan
- Recommend new functionality
- Maintain business documentation for each project
- Ensure the adoption of Enterprise Architecture standards
- Provide the CJIS COI and the ITEC with status reports
- Inform the CJIS COI and agency stakeholders of CJIS Project initiatives.

1.2.2. CJIS Analyst

The CJIS Analyst will report directly to the CJIS Program Manager as well as provide overall technical guidance and manage the CJIS Projects, including:

- Manage technical design decisions
- Manage CJIS technical contracts
- Ensure the adoption of technical Enterprise Architecture standards
- Maintain technical documentation for each project
- Ensure compliance with evolving national standards – GJXDM and JIEM

1.2.3. CJIS Support Analyst

The CJIS Support Analyst will report directly to the CJIS Program Manager as well as maintain and support the CJIS Projects, including:

- Provide Level 1 Help Desk support
- Maintain the production CJIS
- Troubleshoot problems with Server and Message Infrastructure
- Manage the implementation vendor's technical staff
- Manage the system performance characteristics of the CJIS
- Coordinate with County IT for technical issues.

1.3. Process Initiatives

Every CJIS organization requires a series of standard management processes that govern the way systems are designed, developed, implemented, and maintained. Sometimes, the processes will drive the technology initiatives; other times, the technology will drive the processes. The CJIS Strategic Plan documents several enterprise processes (Table 1-2) that should become institutionalized within the CJIS Program Management Office (PMO), including the following:

Process Initiatives
Establish the Enterprise Architecture Program
Establish Project Planning and Management Standards
Develop Inter-Agency Information Security Policies
Develop Inter-Agency Privacy Policies
Develop an Ongoing Strategic Planning Process to Update the CJIS Vision Over Time.

Table 1-2 Process Initiatives

1.4. Technology Initiatives

Once the people and process initiatives are established, the CJIS Project will be ready to implement the technical projects in the Strategic Plan. The technology projects are broken down into three categories: CJIS Infrastructure, Agency System Upgrades, and CJIS Prioritized Projects. The CJIS Infrastructure initiatives consist of the core EAI technologies that enable interagency sharing of information. Agency system upgrades that are planned and under way will provide additional internal functionality for the agencies and enhanced integration capabilities for the CJIS Project. The CJIS Prioritized Projects will be developed once the core technology is deployed successfully. These functional projects include the implementation of the automated business processes that are defined in the Justice Information Exchange Model (JIEM).

The successful completion of the CJIS Prioritized Projects will transform the justice system into an electronic business. Each project will build on each other to continue achieving greater and greater results. Although the technology action plan consists of individual projects that can be executed as individual efforts, some projects depend on others to be successful. Timing issues may also be associated with the deployment of upgraded agency applications and the additional capabilities these systems provide compared with the existing legacy systems. It may be prudent to prioritize certain technology projects ahead of others until these new systems come on line.

1.5. Agency System Upgrades

- Clerk of Court – Case Management System (Superior, State, and Magistrate Courts)
 - Electronic Filing
 - Imaging
- Police – Records Management System (RMS)
 - Automated Field Reporting (ARS)
- Prosecutor Case Management System (already being deployed)
 - Electronic Filing

1.6. Other Agency Upgrades

- New Indigent Defense Tracking Application for AOC
- New Arson Investigation System
- New Sex Offender Registry and Accounting System for the Sheriff

1.7. CJIS Prioritized Project List

The CJIS Prioritized Project List outline is a prioritized list of the CJIS integration functions based on the JIEM model. The initiatives are grouped into four major projects that include:

- CJIS Project 1: Warrant, Booking, Case Initiation, and Indigent Defense Integration
- CJIS Project 2: Law Enforcement and Recorder's Court Integration
- CJIS Project 3: Court Case Management Integration
- CJIS Project 4: Probation, Pre-Trial, Drug Court, and Juvenile Court Integration.

This page left blank intentionally.

2. CJIS Project 1: Warrant, Booking, Case Initiation, and Indigent Defense Integration

Project 1 is the initial CJIS implementation after the Strategic Plan. The goal of Project 1 is to deploy the core CJIS Technical Infrastructure (based on the CJIS Technical Architecture) that will support the integrated business process defined in the JIEM model. The scope of Project 1 includes the systems of the following CJIS agencies:

- Electronic Warrant Interface (EWI) Warrant System and Remote EWI Workstations
- Clerk of Clerk (COC) Case Management System (Magistrate, State, and Superior Court)
- Prosecution Case Management System (Solicitor and District Attorney)
- Sheriff (Warrant File)
- Sheriff (Detention System)
- Gwinnett Administrative Office of the Court (AOC).

2.1. Project 1 Prerequisites

Much of the functionality of Project 1 consists of warrant processing between the EWI Warrant System and the other CJIS agency systems. EWI is being upgraded to the latest version of the Microsoft .NET development framework. This upgrade will make EWI more stable and provide advanced capabilities through integration with this framework. Palatine Systems, the owner of EWI, estimates the upgrade will be completed by January 2007. Once the upgrade is complete, Palatine Systems will focus on incorporating the Justice XML Data Model (GJXDM) into their product. The advanced warrant processing functionality described in the Strategic Plan is predicated on the completion of the EWI upgrade and its ability to process GJXDM compliant messages. The County must work with Palatine Systems to ensure the product is ready in time for the implementation of Project 1.

2.2. CJIS Infrastructure

Develop an Enterprise Application Integration Infrastructure (defined in the CJIS Technical Architecture) that consists of the following components:

- Integration Broker
- Message Infrastructure
- Application Adaptor Model (Agency Integration Model)
- Distributed Query Engine.

2.3. CJIS Query Portal

Gwinnett County must develop a Distributed Query Engine to access the information of all participating agency systems from a CJIS Query Portal. Justice practitioners across the County will need to query and access information not stored locally in their own operational systems. Users will initiate distributed queries through the CJIS Query Portal. This portal will provide a standard Graphical User Interface (GUI) that will provide users with a single consistent mechanism to query and view results. The development of the CJIS Query Portal will require several fundamental design decisions to ensure each agency's requirements for security and privacy are satisfied. The following list provides several of those decisions:

- What information is available from each system? What information do other agencies need? Screen shots?
- What is a person? Name, Social Security number, date of birth, address? Who is a unique individual in terms of data? What are the tradeoffs of accuracy for access?
- What are the matching criteria for a unique individual who does not have biometric identification? Many individuals will not be fingerprinted (Last name, date of birth, Social Security number, address?).
- What are the security **roles** for criminal justice users who the CJIS Query Portal? (Public, Secure User, and Non-Secure User?)
- Restriction rules applied by role or group
 - White – any authorized user group may see the data.
 - Gray – only specific group members may see the data; other users are advised the data exists and provided with a contact for further information.
 - Black – only specific group members may see the data; other users are unaware the data exists.
- How do we integrate biometric identification into agency systems?

2.4. Electronic Warrant Processing

The Gwinnett County Clerk of Court operates the Sustain Case Management System (CMS) that serves the Magistrate, State, and Superior Courts. The Magistrate Court receives most requests for Arrest, Search, and Fugitive Warrants. The Superior, State, and Recorder's Courts issue Bench Warrants for failure to appear for court. Any number of individuals, including law enforcement officers, prosecutors, and civilians, can initiate Arrest Warrants. Victims can initiate warrants for misdemeanor offenses that do not occur in the presence of a law enforcement officer.

Gwinnett County operates a standalone video warrant system designed by Palatine Systems Corporation called Electronic Warrant Interchange (EWI) (<http://www.palasy.com/products.htm>). EWI integrates videoconferencing with an

electronic warrant application form and digital signatures of both the Judge and the Officer. EWI enables law enforcement officers to complete the warrant application electronically from a kiosk at the Detention Center or some police precincts. Using the EWI workstation, an Officer can make a video call to a Magistrate Judge for a warrant hearing. The on-duty Judge can remotely hear the Officer’s sworn testimony, view case documents the Officer created and signed electronically, and issue or deny the warrant. If the arresting Officer and the Judge sign the warrant electronically, the Judge or arresting Officer will then print the original warrant and several copies. Only the Magistrate Court uses EWI.

The County would like to fully integrate EWI with the Sustain CMS to update Sustain automatically with real-time warrant information from the Magistrate Court. Sustain will be upgraded to process electronic warrants directly from the courtroom for Arrest, Search, Bench, and Probation Warrants from the State and Superior Courts.

Some of the JIEM model exchanges combine the future warrant business processes of the State and Superior Courts into single exchanges because the technical integration will be very similar. The Magistrate Court is itemized separately in the JIEM Model because it already has existing warrant processing capabilities with EWI.

2.4.1. Arrest Warrant Processing

2.4.1.1 Magistrate Court Arrest Warrant Application

The Magistrate Court currently receives Arrest Warrant requests from law enforcement agencies (including Gwinnett County Police, the Sheriff’s Department, and Municipal Police Departments) through EWI. EWI will be expanded to include the capability to originate warrants from the State and Superior Courts. EWI will need to be enhanced to allow warrant requests to be processed and routed to the proper Court.

Exchange	Description
2.20.01	Police submits an electronic Arrest Warrant Application to the EWI System
2.20.03	Solicitor submits an electronic Arrest Warrant Application to the EWI System
2.20.04	Sheriff submits an electronic Arrest Warrant Application to the EWI System
2.20.05	District Attorney submits an electronic Arrest Warrant Application to the EWI System
2.20.07	Arson Investigator submits an electronic Arrest Warrant Application to the EWI System

JIEM Document	Description
Warrant Application (Arrest - Bench - Probation - Fugitive)	Warrant Application submitted to EWI System that contains data elements for Arrest, Bench, Probation and Fugitive Warrants.

2.4.1.2 State and Superior Court Arrest Warrant Application

Exchange	Description
2.20.09	Probation (State Court) submits an electronic Arrest Warrant Application to State Court
2.20.11	Probation (State of Georgia - Felony) submits an electronic Arrest Warrant Application to Superior Court
2.20.13	Police submits an electronic Arrest Warrant Application to State or Superior Court
2.20.15	Solicitor submits an electronic Arrest Warrant Application to State Court
2.20.17	Sheriff submits an electronic Arrest Warrant Application to State or Superior Court
2.20.19	District Attorney submits an electronic Arrest Warrant Application to Superior Court
2.20.21	Arson Investigator submits an electronic Arrest Warrant Application to Superior Court

JIEM Document	Description
Warrant Application (Arrest - Bench - Probation - Fugitive)	Warrant Application submitted to EWI System that contains data elements for Arrest, Bench, Probation and Fugitive Warrants.

2.4.1.3 Magistrate Court (EWI) Issues Arrest Warrant

Once the Judge (Magistrate, State, or Superior Court) signs the warrant, the warrant data and electronic warrant image are sent to the requesting agency, the Sustain CMS, and the Sheriff's Department to update their respective systems.

Exchange	Description
2.21.01	Magistrate sends Arrest Warrant (EWI) to Clerk of Court
2.21.03	Magistrate sends Arrest Warrant (EWI) to Police
2.21.04	Magistrate sends Arrest Warrant (EWI) to Solicitor
2.21.05	Magistrate sends Arrest Warrant (EWI) to Sheriff
2.21.06	Magistrate sends Arrest Warrant (EWI) to District Attorney
2.21.07	Magistrate sends Arrest Warrant (EWI) to Arson Investigator
2.21.08	Magistrate sends Arrest Warrant (EWI) to Probation (State Court - Misdemeanor)

JIEM Document	Description
Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Arrest Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

2.4.1.4 State or Superior Court Issues Arrest Warrant

Exchange	Description
2.21.10	State or Superior Court sends Arrest Warrant to Solicitor
2.21.12	State or Superior Court sends Arrest Warrant to Sheriff to update Warrant file
2.21.13	State or Superior Court sends Arrest Warrant to District Attorney
2.21.15	State Court sends Arrest Warrant to Probation (State Court)
2.21.17	State or Superior Court sends Arrest Warrant to Probation (Felony)
2.21.21	State or Superior Court sends Arrest Warrant to Arson Investigator

JIEM Document	Description
Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Arrest Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

2.4.1.5 Bench Warrant Processing

Bench Warrants will be processed through the Sustain CMS.

Exchange	Description
4.48.51	State or Superior Court sends Bench Warrant information to the Sheriff
4.48.61	State or Superior Court sends Bench Warrant information to the District Attorney
4.48.63	State or Superior Court sends Bench Warrant information to the Solicitor

JIEM Document	Description
Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

2.4.2. Search Warrant Processing

2.4.2.1 Search Warrant Application

Search Warrants are currently not processed through EWI. EWI will be expanded to include the capability to originate Search Warrants from the Magistrate, State, and

Superior Courts. EWI will need to be enhanced to allow Search Warrant requests to be processed and routed to the proper Court. Unlike standard Arrest Warrants, all Search Warrant applications (including those denied) must be recorded in the Sustain CMS.

Exchange	Description
1.08.01	Police request a Search Warrant to the Magistrate
1.08.02	Sheriff request a Search Warrant to the Magistrate
1.08.03	District Attorney request a Search Warrant to the Magistrate
1.08.05	Solicitor request a Search Warrant to the Magistrate
1.08.07	Arson Investigator request a Search Warrant to the Magistrate
1.08.21	Police request a Search Warrant to the Superior or State Court
1.08.22	Sheriff request a Search Warrant to the Superior or State Court
1.08.23	District Attorney request a Search Warrant to the Superior or State Court
1.08.25	Solicitor request a Search Warrant to the Superior or State Court
1.08.27	Arson Investigator request a Search Warrant to the Superior or State Court

JIEM Document	Description
Search Warrant Application	Search Warrant Application submitted to EWI System that contains data elements for a Search Warrant Application.

2.4.2.2 Issue Search Warrant From Magistrate, State, and Superior Court

Once the Judge (Magistrate, State, or Superior Court) signs the Search Warrant, the Search Warrant data and electronic Search Warrant image are sent to the requesting agency, the Sustain CMS, and the Sheriff's Department to update their respective systems.

Exchange	Description
1.09.01	Magistrate Court issues Search Warrant to Police
1.09.02	Magistrate Court issues Search Warrant to Sheriff
1.09.03	Magistrate Court issues Search Warrant to District Attorney
1.09.05	Magistrate Court issues Search Warrant to Solicitor
1.09.07	Magistrate Court issues Search Warrant to Arson Investigator
1.09.21	State or Superior Court issues Search Warrant to Police
1.09.22	State or Superior Court issues Search Warrant to the Sheriff
1.09.23	State or Superior Court issues Search Warrant to the District Attorney
1.09.25	State or Superior Court issues Search Warrant to the Solicitor
1.09.27	State or Superior Court issues Search Warrant to the Arson Investigator

JIEM Document	Description
Search Warrant	Warrant electronic document contains data elements for a Search Warrant.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

2.4.2.3 Search Warrant Return of Service

Once the requesting agency serves the Search Warrant, the agency is required to file a Search Warrant Return of Service with the issuing Court to document the results of the search.

Exchange	Description
1.09.51	Police send Search Warrant Return of Service to the Court
1.09.52	Sheriff sends Search Warrant Return of Service to the Court
1.09.53	District Attorney sends Search Warrant Return of Service to the Court
1.09.55	Solicitor sends Search Warrant Return of Service to the Court
1.09.57	Arson Investigator sends Search Warrant Return of Service to the Court

JIEM Document	Description
Search Warrant Return	Results of the Search Warrant are sent back to the Court.

2.4.2.4 Warrant Service Notice

Once a warrant is served, the Sheriff's Department notifies the other agencies of the service.

Exchange	Description
2.22.03	Sheriff notifies Clerk of Court of Warrant service (Existing Arrest Warrant)
2.22.09	Sheriff notifies Arson Investigator of Warrant service
2.22.11	Sheriff notifies Probation (Recorder's) of arrest
2.22.13	Sheriff notifies Probation (State Court) of arrest
2.22.15	Sheriff notifies Probation (Felony) of arrest

JIEM Document	Description
Warrant Service Notice	Notice that the Warrant was successfully served on the Subject.

2.4.2.5 Warrant Recall Request

Agencies can request a warrant recall from the issuing Court; the request requires a Judge's approval.

Exchange	Description
2.23.01	Police requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)
2.23.07	Sheriff requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)
2.23.13	District Attorney requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)
2.23.19	Solicitor requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)
2.23.25	Arson Investigator requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)
2.23.27	Probation (State of Georgia - Felony) requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)
2.23.29	Probation (Court State - Misdemeanor) requests recall of Warrant from Clerk of Court (for Superior, State or Magistrate Court Warrants)

JIEM Document	Description
Warrant Recall Request	Request to recall an active arrest warrant.

2.4.2.6 Warrant Recall Approval

Once the Judge approves the recall of the warrant, the respective Court issues a Warrant Recall to the Sheriff's Department and notifies the requesting agency.

Exchange	Description
3.31.91	Clerk of Court notifies District Attorney that Judge has approved a Warrant Recall
3.31.92	Clerk of Court notifies Solicitor that Judge has approved a Warrant Recall
3.31.93	Clerk of Court notifies Police that Judge has approved a Warrant Recall
3.31.95	Clerk of Court notifies Sherriff that Judge has approved a Warrant Recall

JIEM Document	Description
Warrant Recall	Notice that an existing Warrant has been recalled.

2.5. Booking Process

The Defendant may be arrested on either an existing arrest warrant or in an on-site arrest by a law enforcement officer. When a Defendant is delivered to the Detention Center without an existing arrest warrant, the Defendant is pre-booked and held until law enforcement obtains a warrant from the Magistrate. When a Defendant is pre-booked, basic information such as name, address, and gender is entered into TAG, which is the Jail Management System (JMS). A digital photograph of the Defendant is taken and also stored in TAG. If the Defendant was arrested before and his or her information is in the TAG database, the information is retrieved and used for the pre-booking process. Once the Detention Center receives the original warrant, the Defendant is formally booked and fingerprinted. Once the Defendant is booked, TAG records the Book-In information and initial bond conditions to be sent to the Prosecutor and the Magistrate Court.

2.5.1. Book In Process

Exchange	Description
4.01.03	Detention sends Case Intake Documents to District Attorney after Book In
4.01.13	Detention sends Case Intake Documents to Solicitor after Book In
4.01.19	Detention sends Case Intake Documents to Magistrate after Book In

JIEM Document	Description
Book In Sheet	The Book In Sheet contains the initial booking information recorded by Detention.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Set Initial Bond or Updates to Existing Bond

2.5.2. AFIS Search Process

Once the Book-In process is complete, the Defendant is taken to the Automated Fingerprint Identification System (AFIS). Once positive identification is obtained through AFIS, the Detention Center provides the Defendant's ID and the Offender Based Tracking System (OBTS) number, which is a unique number for the arrest.

Exchange	Description
4.01.01	Detention sends Case Intake Documents to District Attorney after AFIS Search
4.01.11	Detention sends Case Intake Documents to Solicitor after AFIS Search
4.01.17	Detention sends Case Intake Documents to Magistrate after AFIS Search

JIEM Document	Description
OBTS Information	The Book In Sheet contains the initial booking information recorded by Detention.
Positive ID Notice	Positive ID Notice notifies agencies of positive ID obtained through AFIS by Sheriff.

2.6. 1st Appearance

The Sheriff's Department schedules 1st Appearance hearings. The TAG JMS prints a daily roster of the names of defendants that are scheduled for a 1st Appearance hearing. The Detention Center must push the 1st Appearance roster information (including a list of charges, warrant or citation numbers, and a photo ID of the Defendant) from the TAG JMS to the Sustain CMS. After the 1st Appearance hearing, the Sustain CMS is updated with the results of the hearing. The 1st Appearance Order is generated from the Sustain CMS; the 1st Appearance data is pushed to the other downstream agencies simultaneously.

Exchange	Description
4.47.01	Detention sends Magistrate initial 1st Appearance Order Information
4.47.03	Clerk of Court sends District Attorney 1st Appearance Order Information
4.47.04	Clerk of Court sends Solicitor 1st Appearance Order Information
4.47.05	Clerk of Court sends Administrative Office of Court 1st Appearance Order Information

JIEM Document	Description
1st Appearance Order	The 1st Appearance Order documents the results of 1st Appearance including changes to bond conditions

2.7. Committal Hearing (Preliminary Hearing)

The Preliminary Hearing, or Committal Hearing, takes place within 5 to 8 days of the Defendant's booking at the Detention Center. During the Preliminary Hearing, the Prosecution presents probable cause to the Judge under cross-examination by the Defense; if the Defendant bonds out of the Detention Center, the Defendant automatically waives his or her right to a Preliminary Hearing. The Officer who applied for the warrant is required to attend the Preliminary Hearing. Similar to the 1st Appearance Hearing, the Sustain CMS is updated with the results of the hearing. The First Committal Order is generated from the Sustain CMS; the Preliminary Hearing data is pushed simultaneously to the other downstream agencies.

Exchange	Description
5.53.01	Clerk of Court notifies District Attorney of Committal Hearing Order after the Preliminary Hearing
5.53.02	Clerk of Court notifies Solicitor of Committal Hearing Order after the Preliminary Hearing
5.53.03	Clerk of Court notifies Detention of Committal Hearing Order after the Preliminary Hearing
5.53.05	Clerk of Court notifies Defense of Committal Hearing Order after the Preliminary Hearing
5.53.07	Clerk of Court notifies Police of Committal Hearing Order after the Preliminary Hearing
5.53.11	Clerk of Court notifies Probation (State Court - Misdemeanor) of Committal Hearing Order after the Preliminary Hearing
5.53.13	Clerk of Court notifies Probation (State of Georgia - Felony) of Committal Hearing Order after the Preliminary Hearing
5.53.15	Clerk of Court notifies Administrative Office of Court of Committal Hearing Order after the Preliminary Hearing

JIEM Document	Description
Committal Hearing Order (Bind Over or Dismissal)	The Court will issue a Committal Hearing Order after the Preliminary Hearing to document probable cause and bind over.

2.8. Hearing Waiver

To waive either the Preliminary Hearing (Committal Hearing) or the Arraignment Hearing, the Defendant (or his or her Defense Attorney) may file a waiver with the Clerk of Court. Once the waiver is filed, the Prosecution and Law Enforcement are not required to address the waived matter. The Court Hearing Waiver Message notifies the prosecution and law enforcement that the waiver was filed. This exchange may save a Law Enforcement Officer an unnecessary trip to court if the waived case is the only case that requires his or her appearance.

Exchange	Description
4.46.21	Clerk of Court notifies District Attorney of court hearing waiver
4.46.22	Clerk of Court notifies Defense of court hearing waiver
4.46.23	Clerk of Court notifies Solicitor of court hearing waiver
4.46.24	Clerk of Court notifies Police of court hearing waiver
4.46.25	Clerk of Court notifies Detention of court hearing waiver

JIEM Document	Description
Court Hearing Waiver Message (Preliminary or Arraignment Hearing)	Clerk of Court notifies agencies when Subject has filed a waiver for Court Hearing (Preliminary or Arraignment Hearing)

2.9. Defense Attorney Appointment

The Court may appoint indigent Defense Counsel for the Defendant at 1st Appearance or at any court proceeding that occurs after 1st Appearance. When Defense Counsel is appointed, the Prosecutor records the appointment in the Prosecution System and pushes the information to the Defense Attorney, Clerk of Court, and Administrative Office of the Court. The Defense Attorney receives the Defense Attorney Appointment Notice along with standard case information, including Arrest / Incident Reports and Warrants. The Clerk of Court and the Administrative Office of the Court are notified of the appointment of Defense Counsel to the case.

Exchange	Description
4.48.01	Clerk of Court notifies Defense of Defense appointment to case
4.48.03	District Attorney notifies Clerk of Court of Defense appointment to case
4.48.04	Clerk of Court notifies Administrative Office of Court of Defense appointment to case

JIEM Document	Description
Defense Attorney Appointment Notice	Defense Attorney Appointment Notice - Indicating named defense attorney.
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Warrant (Arrest - Bench - Probation - Fugitive)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.

2.10. Bond Processing

2.10.1. Bond Release

When the Defendant posts a bond, the Bond Clerk at the Detention Center generates a Bond Sheet from the TAG JMS. The Defendant, the Bonding Agent (if a surety bond was issued), and the Detention Center staff are all required to sign the Bond Sheet. As soon as the Defendant's bond is posted, the bond release information is pushed automatically to the downstream agencies. The bond information is sent to the Court of jurisdiction: Felony (Superior Court), Misdemeanor (State Court), or Traffic (Recorder's Court). Also, Law Enforcement, Probation (if active case), and the Prosecutor (of the jurisdiction) is notified of the bond release.

Exchange	Description
4.47.17	Detention notifies District Attorney that Subject has bonded out
4.47.15	Detention notifies Clerk of Court that Subject has bonded out
4.47.19	Detention notifies Solicitor that Subject has bonded out

Exchange	Description
4.47.21	Detention notifies Police that Subject has bonded out
4.47.27	Detention notifies Probation (Recorder's Court) that Subject has bonded out of Jail
4.47.29	Detention notifies Probation (State Court) that Subject has bonded out of Jail
4.47.20	Detention notifies Administrative Office of the Courts that Subject has bonded out
4.47.22	Detention notifies Defense that Subject has bonded out
4.47.31	Detention notifies Probation (State of Georgia - Felony) that Subject has bonded out of Jail

JIEM Document	Description
Bond Release Notice	The Bond Release Notice notifies agencies of Subject's release on Bond.

2.10.2. Bond Condition Changes

The Court may set or change the Defendant's bond conditions at 1st Appearance or at any Court Proceeding that occurs after 1st Appearance. When the Court changes the Defendant's bond conditions, the Bond Condition Notice is pushed to the downstream agencies.

Exchange	Description
4.47.51	District Attorney notifies Clerk of Court of changes to Bond conditions
4.47.53	District Attorney notifies Sheriff of changes to Bond conditions
4.47.61	Solicitor notifies Clerk of Court of changes to Bond conditions
4.47.63	Solicitor notifies Detention of changes to Bond conditions

JIEM Document	Description
Bond Condition Notice (Updates and Changes)	Notice of changes to Bond Conditions.

2.11. Judge Warrant Assignment Memo

The District Attorney follows a vertical prosecution process in which prosecution teams are assigned to specific Judges. To provide continuity in the prosecution process, repeat offenders are assigned to the same Judge where the original case was prosecuted. The District Attorney's Office determines whether the Defendant is a repeat offender and files a Judge Warrant Assignment Memo based on the vertical prosecution process. If the Defendant does not have an existing case, the "wheel"

assigns him or her for random assignment of a Judge. The District Attorney also sends the Clerk of Court the supporting case information, including the Warrant, Victim Information Sheet, OBTS Information, and Book-In Sheet.

Exchange	Description
4.02.01	District Attorney files Warrant information to Clerk of Court and requests Judge assignment

JIEM Document	Description
Judge Warrant Assignment Memo	The Judge Warrant Assignment Memo requests the assignment of warrants or a case to a given division of Court based on the rules of vertical prosecution.
Warrant (Arrest - Bench - Probation - Fugitive)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Victim Information Sheet	Victim Information Sheet documents the victim information.
OBTS Information	Offender Based Tracking System Information
Book In Sheet	The Book In Sheet contains the initial booking information recorded by Detention.

2.11.1. Clerk of Court Case Number Assignment

When the Prosecution files a Judge Warrant Assignment Memo or formal charges, the Clerk of Court pushes the Judge Assignment or Court Case Number Assignment message to the other downstream agencies.

Exchange	Description
1.14.11	Clerk of Court notifies Detention of Court Case Number
1.14.13	Clerk of Court notifies Defense of Court Case Number
1.14.15	Clerk of Court notifies District Attorney of Case Number and court division assignment
1.14.17	Clerk of Court notifies Police of Court case number
1.14.19	Clerk of Court notifies Solicitor of Court Case Number and court division assignment

JIEM Document	Description
Judge Warrant Assignment Memo	The Judge Warrant Assignment Memo requests the assignment of warrants or a case to a given division of Court based on the rules of vertical prosecution.

3. CJIS Project 2: Law Enforcement and Recorder’s Court Integration

Gwinnett County Police Department’s (GCPD) new CompuDyne Records Management System (RMS) will enable the Gwinnett County justice system to capture law enforcement data directly from the field through integration with wireless networks and the implementation of an Automated Field Reporting System (ARS). Project 2 will provide integration with the GCPD’s new capabilities to disseminate electronic law enforcement arrest reports and other investigative documents. Project 2 will also incorporate much of the Project 1 functionality for the Recorder’s Court (Traffic). The Recorder’s Court is a high-volume operation that processes many cases.

3.1. Project 2 Prerequisites

The New CompuDyne RMS will provide the GCPD with a mechanism to capture and disseminate law enforcement information to other downstream criminal justice agencies. The ability to share GCPD law enforcement information electronically depends on the implementation of the new CompuDyne RMS and the associated ARS module.

3.2. Law Enforcement Reports

3.2.1. Law Enforcement Sends Arrest Report to Detention Center

When the Defendant is taken into custody, the GCPD sends the Detention Center an electronic copy of the Citation and Arrest / Incident Report.

Exchange	Description	
1.01.11	Police send citation to Detention	Citation
1.03.11	Police sends Arrest / Incident Report to Detention	Arrest / Incident Report

3.2.2. Law Enforcement Sends Arrest Report to Fire Department

When the case involves suspicion of arson, the GCPD sends the Fire Department (Arson Investigator) an electronic copy of the Arrest / Incident Report.

Exchange	Description	
1.02.11	Police sends a Arrest / Incident Report to Arson Investigator	Arrest / Incident Report

3.3. On-Demand GCPD Reports and Forms

The GCPD documents case information with many different investigative reports and forms that the Prosecution and other agencies use during adjudication. Once the GCPD can capture and disseminate these reports and forms electronically through ARS, the other downstream agencies would like the capability to request and receive these reports and forms on demand.

3.3.1. Law Enforcement Sends Reports to District Attorney

Exchange	Description	JIEM Document
1.01.29	Police Department sends the Arrest / Incident report to District Attorney when requested	Arrest / Incident Report and Citation and Accident Report and Case History Report and Warrant
1.01.31	Police Department sends the Supplemental / Investigation Report to District Attorney when requested	Arrest Report Supplemental Report
1.01.33	Police sends Property Sheet Report to District Attorney when requested	Property Sheet
1.01.35	Police sends Crime Lab Submission Form to District Attorney when requested	Crime Lab Submission Form
1.01.37	Police sends Digital Photographs to District Attorney when requested	Digital Photographs
1.01.39	Police sends Digital Audio / Video to District Attorney when requested	Digital Media Evidence (Audio / Video)
1.01.41	Police sends Crime Scene Investigation (CSI) Report to District Attorney when requested	Crime Scene Investigation (CSI) Report
1.01.43	Police sends Vehicle Impound Form to District Attorney when requested	Vehicle Impound Form
1.01.45	Police sends Computer Aided Dispatch (CAD) Report to District Attorney when requested	Computer Aided Dispatch (CAD) Report (Transcript)
1.01.49	Police sends Forensic Science Report to District Attorney when requested	Law Enforcement Forensic Science Report

3.3.2. Law Enforcement Sends Reports to Solicitor

Exchange	Description	JIEM Document
1.01.50	Police Department sends the Arrest / Incident report to Solicitor when requested	Arrest / Incident Report and Citation and Accident Report and Case History Report and Warrant

Exchange	Description	JIEM Document
1.01.51	Police Department sends the Supplemental / Investigation Report to Solicitor when requested	Arrest Report Supplemental Report
1.01.53	Police sends Property Sheet Report to Solicitor when requested	Property Sheet
1.01.55	Police sends Crime Lab Submission Form to Solicitor when requested	Crime Lab Submission Form
1.01.57	Police sends Digital Photographs to Solicitor when requested	Digital Photographs
1.01.59	Police sends Digital Audio / Video to Solicitor when requested	Digital Media Evidence (Audio / Video)
1.01.61	Police sends Crime Scene Investigation (CSI) Report to Solicitor when requested	Crime Scene Investigation (CSI) Report
1.01.63	Police sends Vehicle Impound Form to Solicitor when requested	Vehicle Impound Form
1.01.65	Police sends Computer Aided Dispatch (CAD) Report to Solicitor when requested	Computer Aided Dispatch (CAD) Report (Transcript)
1.01.69	Police sends Forensic Science Report to Solicitor when requested	Law Enforcement Forensic Science Report

3.3.3. Law Enforcement Sends Reports to Defense Counsel

If the Defense Counsel is registered with the CJIS and was formally appointed by the Court, he or she can request and receive basic case documentation. The Defense Attorney may receive other law enforcement reports or forms through the formal Discovery process with the Prosecution.

Exchange	Description	JIEM Document
1.01.25	Police Department sends the Arrest / Incident report to Defense when requested	Arrest / Incident Report and Citation and Warrant

3.3.4. Law Enforcement Sends Reports to Recorder's Court

The Recorder's Court can request and receive the "Arrest Report Supplemental Report" when requested.

Exchange	Description	JIEM Document
1.01.03	Police sends the Accident Supplemental Report to Recorder's Court when requested	Arrest Report Supplemental Report

3.4. Recorder's Court Receives Case Initiation

The GCPD electronically sends the Recorder's Court the Citation, Accident Report, or Case History Report in real time when captured in the field.

Exchange	Description	JIEM Document
1.01.01	Police send citation to Recorder's Court	Citation and Accident Report and Case History Report

3.5. Recorder's Court Warrant Processing

3.5.1. Recorder's Court Bench Warrant Process

The Recorder's Court sends the Sheriff's Department information on the Bench Warrant.

Exchange	Description
4.48.53	Recorder's Court sends Bench Warrant information to the Sheriff

JIEM Document	Description
Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

3.5.2. Probation Submits a Warrant Application to Recorder's Court

EWI will be expanded to include the capability to originate warrants from Recorder's Court. EWI will need to be enhanced to allow Warrant Requests to be processed and routed from Recorder's Court (Probation) to the Court.

Exchange	Description
2.20.51	Probation (Records Court) submits an electronic Arrest Warrant Application to Recorder's Court

JIEM Document	Description
Warrant Application (Arrest - Bench - Probation - Fugitive)	Warrant Application submitted to EWI System that contains data elements for Arrest, Bench, Probation and Fugitive Warrants.

3.5.3. Issue Arrest Warrant

Once the Recorder's Court Judge has signed the warrant, the warrant data and electronic warrant image will be sent to the requesting agency, the Sustain CMS and the Sheriff's Department to update their respective systems.

Exchange	Description
2.21.51	Recorder's Court sends Arrest Warrant to Sheriff to update Warrant file
2.21.53	Recorder's Court sends Arrest Warrant to Probation (Recorder's Court)

JIEM Document	Description
Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Arrest Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

3.5.4. Recorder's Court Issues an Incarceration Order

Exchange	Description
4.48.21	Recorder's Court sends an Incarceration Order to the Sheriff

JIEM Document	Description
Incarceration Order	The Incarceration Order is a court order for Subject's Incarceration.

3.5.5. Recorder's Court Warrant Recall Request

Agencies request a recall of the Warrant from the Recorder's Court.

Exchange	Description
2.23.31	Probation (Recorder's Court) requests recall of Warrant from Recorder's Court

JIEM Document	Description
Warrant Recall Request	Request to recall an active arrest warrant.

3.5.6. Recorder's Court Warrant Recall Approval

Once the Judge approves the recall of the Warrant, the Recorder's Court issues a Warrant Recall to the Sheriff's Department.

Exchange	Description
2.23.53	Recorder's Court notifies Sheriff that Judge has approved a Warrant Recall

JIEM Document	Description
Warrant Recall	Notice that an existing Warrant has been recalled.

3.5.7. Recorder's Court Warrant Service Notice

Once a Warrant is served, the Sheriff's Department will notify the Recorder's Court of the service.

Exchange	Description
2.22.05	Sheriff notifies Recorder's Court of Warrant service

JIEM Document	Description
Warrant Service Notice	Notice that the Warrant was successfully served on the Subject.

3.6. Recorder's Court Bond Release

When the Defendant posts a bond, the Bond Clerk at the Detention Center generates a Bond Sheet from the TAG JMS. The Defendant, the bonding agent (if a surety bond was issued), and the Detention Center staff are all required to sign the Bond Sheet. As soon as the Defendant's bond is posted, the bond release information is pushed automatically to the downstream agencies. The bond information is sent to the Recorder's Court.

Exchange	Description
4.47.23	Detention notifies Recorder's Court that Subject has bonded out

JIEM Document	Description
Bond Release Notice	The Bond Release Notice notifies agencies of Subject's release on Bond.

3.7. Recorder's Court Sends Disposition and Sentence Information

The Recorder's Court sends information on the disposition and sentence to the Detention Center, Probation, or both.

Exchange	Description	JEM Document
1.04.11	Recorder's Court sends Disposition to Detention	Disposition and Sentence
4.50.71	Recorder's Court notifies Probation (Recorder's Court) of case Disposition and Sentence	Disposition and Sentence
4.50.73	Recorder's Court notifies Detention of case Disposition and Sentence	Disposition and Sentence
4.50.75	Recorder's Court notifies Corrections of case Disposition and Sentence	Disposition and Sentence
4.50.77	Recorder's Court notifies Defense of case Disposition and Sentence	Disposition and Sentence

This page left blank intentionally.

4. CJIS Project 3: Court Case Management Integration

4.1. Project 3 Prerequisites

The New Sustain Case Management System (CMS) will provide the Clerk of Court with a mechanism to capture and disseminate court information to other criminal justice agencies.

4.2. Calendar Processing

4.2.1. Court Schedule – Calendar Assignment Notice

The Magistrate, State, and Superior Court Judges define court calendar dates (blocks of days for court types) and inform the Prosecutor of the court schedule. The Judges and staff schedule the court calendar through the Sustain CMS. Once the court schedule is defined, the Prosecutor schedules specific cases on the Court schedule.

Exchange	Description
4.46.01	Judge informs District Attorney of Court Calendar (blocks of court dates / court types)
4.46.03	Judge informs Solicitor of Court Calendar (blocks of court dates / court types)

JIEM Document	Description
Court Schedule - Calendar Assignment Notice	Court Schedule - Calendar Assignment Notice will define calendars of court types (1st Appearance, Preliminary, Motions, Trial, etc...)

4.2.2. Hearing Schedule

The Magistrate, State, and Superior Court Judges can schedule a hearing with any of the case participants.

Exchange	Description
4.46.31	Judge schedules a Hearing and notifies the District Attorney
4.46.33	Judge schedules a Hearing and notifies the Solicitor
4.46.35	Judge schedules a Hearing and notifies the Defense
4.46.37	Judge schedules a Hearing and notifies the Police
4.46.38	Judge schedules a Hearing and notifies the Sheriff
4.46.39	Judge schedules a Hearing and notifies Detention
4.46.40	Judge schedules a Hearing and notifies Corrections

JIEM Document	Description
Court Schedule - Case/Hearing Assignment Notice	The agency will schedule specific cases into previously assigned blocks of court types with the Court.

4.2.3. The Magistrate Court Notifies of the Preliminary Hearing Date

Exchange	Description
2.22.25	Magistrate notifies a Police Officer of the Preliminary Hearing Date

JIEM Document	Description
Preliminary Hearing Date Notice	The Preliminary Hearing Date Notice - notifies Law Enforcement of the Preliminary Hearing Date.
Subpoena	The agency will schedule specific cases into previously assigned blocks of court types with the Court.

4.2.4. District Attorney Schedules a Hearing

The District Attorney can schedule a hearing with any of the case participants.

Exchange	Description
4.46.51	District Attorney schedules a Court Proceeding and notifies the Clerk of Court
4.46.53	District Attorney schedules a Court Proceeding and notifies the Defense
4.46.55	District Attorney schedules a Court Proceeding and notifies the Police
4.46.57	District Attorney schedules a Court Proceeding and notifies the Detention
4.46.58	District Attorney schedules a Court Proceeding and notifies the Corrections

JIEM Document	Description
Court Schedule - Case/Hearing Assignment Notice	The agency will schedule specific cases into previously assigned blocks of court types with the Court.

4.2.5. Solicitor Schedules a Hearing

The Solicitor can schedule a hearing with any of the case participants.

Exchange	Description
4.46.71	Solicitor schedules a Court Proceeding and notifies the Clerk of Court
4.46.73	Solicitor schedules a Court Proceeding and notifies the Defense
4.46.75	Solicitor schedules a Court Proceeding and notifies the Police

Exchange	Description
4.46.76	Solicitor schedules a Court Proceeding and notifies the Sheriff
4.46.77	Solicitor schedules a Court Proceeding and notifies the Detention
4.46.78	Solicitor schedules a Court Proceeding and notifies the Corrections

JIEM Document	Description
Court Schedule - Case/Hearing Assignment Notice	The agency will schedule specific cases into previously assigned blocks of court types with the Court.

4.2.6. Clerk of Court Case Number and Division Assignment Notice

When formal charges are filed, the Clerk of Court notifies other agencies of the Court Case Number.

Exchange	Description
1.14.25	Clerk of Court notifies Detention of Indictment and Court Case Number (or Dismissal)
1.14.27	Clerk of Court notifies Defense of Indictment and Court Case Number (or Dismissal)
1.14.29	Clerk of Court notifies District Attorney of Court Case Number and Court Division Assignment
1.14.31	Clerk of Court notifies Police of Court Case Number (or Dismissal)

JIEM Document	Description
Court Case Number and Division Assignment Notice	Division Assignment Notice and/or Court Case Number when a Judge Warrant Assignment Memo, Accusation, Indictment filed with the Clerk of Court.

4.3. Accusation Filed with the Clerk of Court

The District Attorney and the Solicitor file an Accusation (formal charges) with the Clerk of Court.

Exchange	Description
1.14.01	District Attorney files an Accusation with the Clerk of Court (Superior Court)
1.14.03	Solicitor files an Accusation with the Clerk of Court

JIEM Document	Description
Accusation	An accusation occurs when the prosecutor decides to file charges in a criminal matter.

JIEM Document	Description
Judge Warrant Assignment Memo	The Judge Warrant Assignment Memo requests the assignment of warrants or a case to a given division of Court based on the rules of vertical prosecution.

4.4. Indictment Filed with the Clerk of Court

The District Attorney files an Indictment (formal charges) with the Clerk of Court after receiving a True Bill from the Grand Jury or files the No Bill.

Exchange	Description
1.14.23	District Attorney files Indictment to the Clerk of Superior Court (True Bill or No Bill)

JIEM Document	Description
Indictment	Indictment is formal charging document for Felony - Superior Court case.
Judge Warrant Assignment Memo	The Judge Warrant Assignment Memo requests the assignment of warrants or a case to a given division of Court based on the rules of vertical prosecution.

4.5. Prosecutor files Nolle Prosequi with Clerk of Court

After formal charges are filed through an accusation or indictment, the Prosecutor can file a Nolle Prosequi to drop some or all of the charges. A Nolle Prosequi is a formal filing by the Prosecutor in a criminal case that declares specific charges will not be prosecuted. A Nolle Prosequi filing may be made at any time after charges are brought and before a verdict is returned or a plea entered. In a multi-charge accusation or an indictment, the Prosecutor may choose to file a Nolle Prosequi on selected charges.

Exchange	Description
4.54.51	District Attorney files a request for Nolle Prosequi with the Clerk of Court
4.54.52	Solicitor files a request for Nolle Prosequi with the Clerk of Court
4.54.53	Clerk of Court notifies Detention a Nolle Prosequi was approved for specific charges
4.54.55	Clerk of Court notifies Defense a Nolle Prosequi was approved for specific charges
4.54.56	Clerk of Court notifies Administrative Office of Court a Nolle Prosequi was approved for specific charges
4.54.57	Clerk of Court notifies Police a Nolle Prosequi was approved for specific charges
4.54.59	Clerk of Court notifies Probation (State of Georgia - Felony) a Nolle Prosequi was approved for specific charges
4.54.61	Clerk of Court notifies Probation (State Court - Misdemeanor) a Nolle Prosequi was approved for specific charges

JIEM Document	Description
Nolle Prosequi	The prosecutor will file a Nolle Prosequi with the Clerk of Court to request dismissal from the Judge once formal charges have already been filed.

4.6. Dismissal by Court Order

A Dismissal by Court Order occurs when the Court orders dismissal of charges against the Subject.

Exchange	Description
4.49.03	Solicitor files Dismissal with the Clerk of Court
4.49.06	Solicitor sends Dismissal to Police
4.49.07	Solicitor sends Dismissal to Sheriff
4.49.11	Solicitor sends Dismissal to Defense

Exchange	Description
4.49.01	District Attorney files Dismissal Order with the Clerk of Court
4.49.05	District Attorney sends Dismissal to Police
4.49.08	District Attorney sends Dismissal to Sheriff
4.49.09	District Attorney sends Dismissal to Defense

JIEM Document	Description
Dismissal by Court Order	Court orders dismissal of charges against Subject.

4.6.1. Administrative Dismissal

An Administrative Dismissal occurs when the Prosecutor reviews a criminal matter and determines that there is insufficient evidence to move forward with an indictment or an accusation.

Exchange	Description
1.14.51	District Attorney files Administrative Dismissal with Clerk of Court (No Formal Charges Filed)
1.14.53	Solicitor files Administrative Dismissal with Clerk of Court (No Formal Charges Filed)

JIEM Document	Description
Administrative Dismissal	Prosecutor may file an Administrative Dismissal before formal charges are filed.

4.7. Prosecutor – Disposition and Sentence

The Prosecutor submits the initial Disposition and Sentence Order to the Clerk of Court Sustain CMS for review and approval by the Judge. Once the Judge signs the order and the Clerk of Court files it, The Clerk of Court Sustain CMS notifies the other agencies of the Disposition and Sentence. Agencies are notified only when they have a direct interest in the case. For example, Probation is notified when the offender is sentenced to probation.

Exchange	Description
4.50.01	District Attorney submits the initial Disposition and Sentence order with the Clerk of Court
4.50.21	Solicitor submits the initial Disposition and Sentence Order with the Clerk of Court
4.50.03	Clerk of Court notifies Detention of Case Disposition and Sentence
4.50.04	Clerk of Court notifies Defense of Case Disposition and Sentence
4.50.05	Clerk of Court notifies Police of Case Disposition and Sentence
4.50.06	Clerk of Court notifies Fire of Case Disposition and Sentence
4.50.07	Clerk of Court notifies Administrative Office of Court of Case Disposition and Sentence
4.50.08	Clerk of Court notifies Corrections of Case Disposition and Sentence
4.50.11	Clerk of Court notifies Probation (State Court) of Case Disposition and Sentence
4.50.13	Clerk of Court notifies Probation (Felony) of Case Disposition and Sentence

JIEM Document	Description
Disposition and Sentence	Disposition and Sentence notice of Subject's case anytime in the judicial process. (Plea or Verdict)

4.8. Sentence After Disposition

The Sentence may be ordered after the initial case disposition. The Prosecutor submits the initial Sentence Order to the Clerk of Court Sustain CMS for review and approval by the Judge. Once the Judge signs the order and the Clerk of Court files it, the Clerk of Court Sustain CMS notifies the other agencies of the Sentence.

Exchange	Description
4.77.01	District Attorney submits the initial Sentence Order with the Clerk of Court (Sentence Ordered after Disposition)

Exchange	Description
4.77.03	Clerk of Court notifies Detention of the Sentence (Sentence Ordered after Disposition)
4.77.05	Clerk of Court notifies Administrative Office of the Court of the Sentence (Sentence Ordered after Disposition)
4.77.07	Clerk of Court notifies Corrections of the Sentence (Sentence Ordered after Disposition)
4.77.15	Clerk of Court notifies Probation (Felony) of the Sentence (Sentence Ordered after Disposition)

JIEM Document	Description
Disposition and Sentence	Disposition and Sentence notice of Subject's case anytime in the judicial process. (Plea or Verdict)

4.9. Motions (and Miscellaneous Filings)

4.9.1. District Attorney Motions

The District Attorney files the motion with the Clerk of Court and notifies the Defense.

Exchange	Description
4.25.01	District Attorney files Motion with the Clerk of Court
4.25.03	District Attorney serves Motion to Defense

JIEM Document	Description
Motion (and Miscellaneous Filings)	Motion (and Miscellaneous Filings) is a formal request made to a judge for an order or judgment.
Electronic Court Document (E-Filed Document)	The Electronic Court Document will be sent as an electronic document and will be electronically filed.

4.9.2. Solicitor Attorney Motions

The Solicitor files a motion with the Clerk of Court and notifies the Defense.

Exchange	Description
4.25.11	Solicitor files Motion with the Clerk of Court
4.25.13	Solicitor serves Motion with the Defense

JIEM Document	Description
Motion (and Miscellaneous Filings)	Motion (and Miscellaneous Filings) is a formal request made to a judge for an order or judgment.
Electronic Court Document (E-Filed Document)	The Electronic Court Document will be sent as an electronic document and will be electronically filed.

4.9.3. Defense Motions

The Defense files the motion with the Clerk of Court and notifies the Prosecution.

Exchange	Description
4.25.21	Defense files Motion with the Clerk of Court
4.25.23	Defense serves Motion with the District Attorney
4.25.25	Defense serves Motion with the Solicitor
4.25.27	Defense serves Motion with the Recorder's Court

JIEM Document	Description
Motion (and Miscellaneous Filings)	Motion (and Miscellaneous Filings) is a formal request made to a judge for an order or judgment.
Electronic Court Document (E-Filed Document)	The Electronic Court Document will be sent as an electronic document and will be electronically filed.

4.10. Motion for Discovery

4.10.1. Defense Files Motion for Discovery

The defense files a Motion for Discovery with the Clerk of Court and the Prosecutor.

Exchange	Description
4.60.01	Defense files Motion for Discovery with the Clerk of Court
4.60.07	Defense files Motion for Discovery with the District Attorney
4.60.09	Defense files Motion for Discovery with the Solicitor
4.60.03	Defense files Motion for Discovery with the Recorder's Court

JIEM Document	Description
Motion for Discovery	The Motion for Discovery will request the all discoverable case documents from the opposing Counsel.

4.10.2. District Attorney files Motion for Discovery

The District Attorney files a Motion for Discovery with the Clerk of Court and the Defense.

Exchange	Description
4.60.11	District Attorney files Motion for Discovery with the Clerk of Court
4.60.15	District Attorney files Motion for Discovery with the Defense

JIEM Document	Description
Motion for Discovery	The Motion for Discovery will request the all discoverable case documents from the opposing Counsel.

4.10.3. Defense files Motion for Discovery

The Defense files a Motion for Discovery with the Clerk of Court and the District Attorney.

Exchange	Description
4.60.31	Defense files Discovery to the Clerk of Court
4.60.37	Defense sends Discovery to the District Attorney

JIEM Document	Description
Motion for Discovery	The Motion for Discovery will request the all discoverable case documents from the opposing Counsel.

4.11. Discovery

4.11.1. District Attorney Files Discovery

The District Attorney files Discovery with the Clerk of Court and the Defense.

Exchange	Description
4.60.41	District Attorney files Discovery to the Clerk of Court
4.60.47	District Attorney sends Discovery to the Defense

JIEM Document	Description
Certificate of Discovery	The Certificate of Discovery will itemize all of the documents that are in the discovery package.

JIEM Document	Description
Certificate of Service	The Certificate of Service notifies the Court that case documents have been served on opposing Counsel.
Discovery Package	The Discovery Package contains the case documents that are discoverable through a Motion of Discovery.

4.11.2. Solicitor files Discovery

The Solicitor files Discovery with the Clerk of Court and the Defense.

Exchange	Description
4.60.51	Solicitor files Discovery with the Clerk of Court
4.60.55	Solicitor sends Discovery to the Defense

JIEM Document	Description
Certificate of Discovery	The Certificate of Discovery will itemize all of the documents that are in the discovery package.
Certificate of Service	The Certificate of Service notifies the Court that case documents have been served on opposing Counsel.
Discovery Package	The Discovery Package contains the case documents that are discoverable through a Motion of Discovery.

4.12. Protection Orders

Magistrate Court sends the Protection Order to other agencies.

Exchange	Description
4.48.71	Magistrate Court sends Protection Order information to the Sheriff
4.48.72	Magistrate Court sends Protection Order information to the Police
4.48.73	Magistrate Court sends Protection Order information to the Solicitor
4.48.75	Magistrate Court sends Protection Order information to the District Attorney

JIEM Document	Description
Protection Order (Temporary or Permanent)	The Court can issue either a Temporary (6-12 months) or Permanent Protection Order compelling Subject to stay away from the victim.

4.12.1. Notice of Service for Protection Order

The Sheriff notifies other agencies of the Notice of Service for Protection Order.

Exchange	Description
4.48.81	Sheriff sends Notice of Service for Protection Order to the Court
4.48.85	Sheriff sends Notice of Service for Protection Order to the Solicitor
4.48.87	Sheriff sends Notice of Service for Protection Order to the District Attorney

JIEM Document	Description
Protective Order Service Notice	The Sheriff will notify the Court that a Protective Order has been served.

4.12.2. Notice for Termination of Protection Order

The Clerk of Court sends the Notice for Termination of Protection Order to the Sheriff.

Exchange	Description
4.48.97	Clerk of Court sends Notice for Termination of Protection Order to the Sheriff

JIEM Document	Description
Protection Order (TPO) Termination Notice	Notice that a Protection Order (TPO) has been terminated.

4.13. Subpoena

4.13.1. District Attorney – Subpoena

Exchange	Description
4.62.01	District Attorney submits a Subpoena to Police
4.62.02	District Attorney submits a Subpoena to Corrections
4.62.03	District Attorney submits a Subpoena to Detention
4.62.05	District Attorney submits a Subpoena to Solicitor
4.62.07	District Attorney submits a Subpoena to Fire (Arson Investigator)

JIEM Document	Description
Subpoena	The Subpoena is a Court order compelling an individual to appear in Court.

4.13.2. Solicitor – Subpoena

Exchange	Description
4.62.21	Solicitor submits a Subpoena to Police
4.62.22	Solicitor submits a Subpoena to Corrections
4.62.23	Solicitor submits a Subpoena to Detention
4.62.25	Solicitor submits a Subpoena to District Attorney
4.62.27	Solicitor submits a Subpoena to Fire (Arson Investigator)

JIEM Document	Description
Subpoena	The Subpoena is a Court order compelling an individual to appear in Court.

4.13.3. Clerk of Court – Subpoena

Exchange	Description
4.62.41	Clerk of Court submits a Subpoena to Police
4.62.42	Clerk of Court submits a Subpoena to Corrections
4.62.43	Clerk of Court submits a Subpoena to Detention
4.62.45	Clerk of Court submits a Subpoena to District Attorney
4.62.47	Clerk of Court submits a Subpoena to Fire (Arson Investigator)

JIEM Document	Description
Subpoena	The Subpoena is a Court order compelling an individual to appear in Court.

4.13.4. Case Transfer Process

4.13.5. District Attorney Transfers Case to the Solicitor

Exchange	Description
1.14.74	District Attorney submits a case transfer request to the Clerk of Court for Judge's approval
1.14.75	Clerk of Court notifies District Attorney of case transfer approval or rejection by Judge
1.14.77	District Attorney transfers case to the Solicitor
1.14.79	District Attorney transfers case to the Juvenile Court

JIEM Document	Description
Transfer Case Document	Transfer Document notifies of case transfer to another Court.
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Warrant (Arrest - Bench - Probation - Fugitive)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)

4.13.6. Solicitor Transfers Case to the District Attorney

Exchange	Description
1.14.65	Solicitor submits a case transfer request to the Clerk of Court for Judge's approval
1.14.67	Clerk of Court notifies Solicitor of case transfer approval or rejection by Judge
1.14.73	Solicitor transfers case to the District Attorney

JIEM Document	Description
Transfer Case Document	Transfer Document notifies of case transfer to another Court.
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Warrant (Arrest - Bench - Probation - Fugitive)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)

4.13.7. Recorder's Court Transfer Case to Another Court

Exchange	Description
1.14.85	Recorder's Court notifies the Clerk of Court of transferred case
1.14.87	Recorder's Court notifies District Attorney of transferred case
1.14.89	Recorder's Court notifies Solicitor of transferred case
1.14.91	Recorder's Court notifies Juvenile Court of transferred case

JIEM Document	Description
Transfer Case Document	Transfer Document notifies of case transfer to another Court.

JIEM Document	Description
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Warrant (Arrest - Bench - Probation - Fugitive)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)

4.13.8. Clerk of Court Notifies Prosecutor of New Case Number (After Transfer)

Exchange	Description
1.14.81	Clerk of Court notifies District Attorney of new case number (after transfer from Solicitor)
1.14.83	Clerk of Court notifies Solicitor of new case number (after transfer from District Attorney)

JIEM Document	Description
Court Case Number and Division Assignment Notice	Division Assignment Notice and/or Court Case Number when a Judge Warrant Assignment Memo, Accusation, Indictment filed with the Clerk of Court.

4.14. Subject Change of Contact Information

The Defense may notify the District Attorney, the Solicitor, or the Clerk of Court of the Defendant's change of address. The Clerk of Court then notifies the other agencies.

Exchange	Description
4.51.01	District Attorney files Change of Subject's Contact information with the Clerk of Court
4.51.03	Solicitor notifies Clerk of Court of change of Subject's contact information
4.51.51	Clerk of Court notifies District Attorney of change of Subject's contact information
4.51.53	Clerk of Court notifies Solicitor of change of Subject's contact information
4.51.55	Clerk of Court notifies Sheriff of change of Subject's contact information
4.51.57	Clerk of Court notifies Probation (Felony) of change of Subject's contact information
4.51.59	Clerk of Court notifies Probation (State - Misdemeanor) of change of Subject's contact information

JIEM Document	Description
Subject Change of Contact Information	Subject notifies agency of change of contact information.

4.15. Pre-Sentence Investigation

The District Attorney files a Pre-Sentence Investigation Order with the Clerk of Court and notifies the Defense and Probation of the order.

Exchange	Description
4.48.31	District Attorney files Pre-Sentence Investigation Order with the Court
4.48.33	District Attorney serves Pre-Sentence Investigation Order with the Defense
4.48.35	District Attorney serves Pre-Sentence Investigation Order with the Probation (State of Georgia - Felony)

JIEM Document	Description
Pre-Sentence Investigation Order (PSI)	The Court can order Probation to create a Pre-Sentence Investigation to determine the appropriate sentence for the Subject.

4.16. Pre-Sentence Investigation Is Complete

4.16.1. Probation Notifies Court of Pre-Sentence Investigation

Probation files the Pre-Sentence Investigation Complete Notice electronically and sends the actual Pre-Sentence Investigation as an electronic document.

Exchange	Description
4.48.41	Probation (State of Georgia - Felony) notifies Court that the Pre-Sentence Investigation is complete

JIEM Document	Description
Pre-Sentence Investigation Complete Notice	The Court can order Probation to create a Pre-Sentence Investigation to determine the appropriate sentence for the Subject.
Electronic Court Document (E-Filed Document)	The Electronic Court Document will be sent as an electronic document and will be electronically filed.

4.16.2. Probation Notifies Defense and District Attorney of Pre-Sentence Investigation

Exchange	Description
4.48.43	Probation (State of Georgia - Felony) notifies District Attorney that the Pre-Sentence Investigation is complete

Exchange	Description
4.48.45	Probation (State of Georgia - Felony) notifies Defense that the Pre-Sentence Investigation is complete

JIEM Document	Description
Pre-Sentence Investigation Complete Notice	The Court can order Probation to create a Pre-Sentence Investigation to determine the appropriate sentence for the Subject.

5. CJIS Project 4: Probation, Pre-Trial, Drug Court and Juvenile Court Integration

5.1. Probation Processes

5.1.1. Probation Status Notice (Completion or Failure)

Exchange	Description
4.78.01	Probation (State Court - Misdemeanor) notifies Solicitor of completion or failure of Probation
4.78.03	Probation (State Court - Misdemeanor) notifies District Attorney of completion or failure of Probation (Felony cases reduced to Misdemeanor)
4.78.21	Probation (State of Georgia - Felony) notifies District Attorney of completion or failure of Probation
4.78.71	Probation (Recorder's Court - Misdemeanor) notifies Recorder's Court of completion or failure of Probation

JIEM Document	Description
Probation Status Notice (Completion or Failure)	Probation will notify the Solicitor of Completion or Failure of Probation through a Probation Status Notice (Completion or Failure)

5.1.2. Probation Financial Information Notice

Exchange	Description
4.78.73	Probation (Recorder's Court - Misdemeanor) notifies Recorder's Court of Subject's payment information

JIEM Document	Description
Probation Financial Information Notice	Probation Financial Information Notice of financial payments related to the active probation case.

5.1.3. Probation (Recorder's Court) Modification Order

Exchange	Description
4.78.75	Probation (Recorder's Court - Misdemeanor) files Recorder's Court of Probation Modification Order

JIEM Document	Description
Probation Modification Order	Probation Modification Order changes terms and conditions of Subject's Probation.

5.1.4. Probation Notified of an Active Probationer

Probation is alerted to the arrest of an active Probationer.

Exchange	Description
4.01.21	Detention sends Arrest / Incident Report to Probation (State of Georgia - Felony) after Book In
4.01.23	Detention sends Arrest / Incident Report to Probation (State Court - Misdemeanor) after Book In
4.01.25	Detention sends Arrest / Incident Report to Probation (Recorder's Court - Misdemeanor) after Book In

JIEM Document	Description
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.

5.2. Pre-Trial Diversion

The Solicitor notifies agencies of a Subject's referral to Pre-Trial Diversion.

Exchange	Description
1.15.01	Solicitor notifies Clerk of Court of Pre-Trial Diversion referral
1.15.03	Solicitor notifies Probation (State Court - Misdemeanor) of Pre-Trial Diversion referral
1.15.05	Solicitor notifies Defense of Pre-Trial Diversion referral

JIEM Document	Description
Pre-Trial Diversion Notice	The prosecutor will refer the Subject to Pre-Trial Diversion through a Pre-Trial Diversion Notice.

5.2.1. Probation Notifies Solicitor of Completion or Failure of Pre-Trial Diversion Program

Exchange	Description
4.78.51	Probation (State Court - Misdemeanor) notifies Solicitor of completion or failure of Pre-Trial Diversion program

JIEM Document	Description
Pre-Trial Diversion Status Notice (Completion or Failure)	Probation will notify the Solicitor of Completion or Failure Pre-Trial Diversion through a Notice of Pre-Trial Diversion Completion or Failure.

5.3. Drug Court

5.3.1. Drug Court Notification from District Attorney

District Attorney notifies Drug Court and other agencies of a Subject's referral to Drug Court.

Exchange	Description
1.15.31	District Attorney notifies Clerk of Court of Drug Court referral
1.15.33	District Attorney notifies Drug Court of Drug Court referral
1.15.35	District Attorney notifies Defense of Drug Court referral

JIEM Document	Description
Drug Court Assignment Notice	The District Attorney will refer the Subject to Drug Court through a Drug Court Assignment Notice (includes Subject's demographics and all case initiation information).

5.3.2. Drug Court Notifies District Attorney of Completion or Failure of Drug Court Program

Exchange	Description
4.78.91	Drug Court notifies District Attorney of completion or failure of Drug Court program

JIEM Document	Description
Drug Court Status Notice (Completion or Failure)	Drug Court will notify the District Attorney of Completion or Failure Drug Court through a Notice of Drug Court Completion or Failure.

5.4. Jail Unusual Occurrence Report

The Jail sends the Prosecutor the Jail Unusual Occurrence Report at the Prosecutor's request.

Exchange	Description
1.01.47	Detention sends Unusual Occurrence Report to District Attorney when requested
1.01.67	Detention sends Unusual Occurrence Report to Solicitor when requested
1.01.75	Detention sends Unusual Occurrence Report to Recorder's Court when requested

JIEM Document	Description
Unusual Occurrence Report	Unusual Occurrence Report documents any unusual behavior that has occurred at the Jail while the Subject has been in custody.

5.5. Psychiatric Evaluation Petition

Exchange	Description
4.47.81	District Attorney files a Psychiatric Evaluation Petition with Clerk of Court
4.47.83	Solicitor files a Psychiatric Evaluation Petition with Clerk of Court
4.47.85	Defense files a Psychiatric Evaluation Petition with Clerk of Court

JIEM Document	Description
Psychiatric Evaluation Petition	Formal request for a Psychiatric Evaluation

5.6. Psychiatric Evaluation Order

Exchange	Description
4.47.91	Court notifies District Attorney of Psychiatric Evaluation Order
4.47.93	Court notifies Solicitor of Psychiatric Evaluation Order
4.47.95	Court notifies Detention of Psychiatric Evaluation Order
4.47.97	Court notifies Defense of Psychiatric Evaluation Order

JIEM Document	Description
Psychiatric Evaluation Petition	Court has ordered a commitment for psychiatric evaluation.

5.7. Property Disposition

Exchange	Description
6.99.01	District Attorney informs Police of property / evidence disposition in post disposition case
6.99.11	District Attorney informs Sheriff of property / evidence disposition in post disposition case
6.99.13	Solicitor informs Sheriff of property / evidence disposition in post disposition case
6.99.03	Solicitor informs Police of property / evidence disposition in post disposition case

JIEM Document	Description
Property Disposition Message	Prosecution notifies Police Department that evidence should be retained OR is no longer needed and can be destroyed.

5.8. Pre-Existing Court Date Request (Detention to Court)

Exchange	Description
3.30.51	Detention requests Pre-Existing Court Dates from Court (Magistrate, State and Superior)
3.30.53	Detention requests Pre-Existing Court Dates from Recorder's Court
3.30.55	Detention requests Pre-Existing Court Dates from Juvenile Court

JIEM Document	Description
Pre-Existing Court Date Request Message	The Jail will request any pre-existing court dates from the Court once the Subject is booked into Jail.

5.9. Pre-Existing Court Date Notification (Court to Detention)

Exchange	Description
3.30.71	Clerk of Court sends Pre-Existing Court Dates to Detention
3.30.73	Recorder's Court sends Pre-Existing Court Dates to Detention
3.30.75	Juvenile Court sends Pre-Existing Court Dates to Detention

JIEM Document	Description
Pre-Existing Court Date Notice	The Court will update Detention with Pre-Existing Court Date Request Message is received.

5.10. Department of Driver Services (DDS) Message

Exchange	Description
4.52.01	Clerk of Court sends Drivers Information to the Department of Drivers Services (State of Georgia)
4.52.03	Recorder's Court sends Drivers Information to the Department of Drivers Services (State of Georgia)
4.52.05	Juvenile Court sends Drivers Information to the Department of Drivers Services (State of Georgia)

JIEM Document	Description
Department of Driver Services (DDS) Message	The Court will update Detention with Pre-Existing Court Date Request Message is received.

5.11. Department of Family and Children Services Form 453

The GCPD Special Victims Unit (SVU) shares reports on a regular basis with Gwinnett Department of Family and Children Services (DFCS). The GCPD sends DFCS the Incident / Arrest, Uniform, and CID Supplemental Reports to DFCS on cases where their assistance is requested in follow-up care for families (for example, cases involving physical or sexual abuse of children or abuse or inadequate care of the elderly). DFCS uses the law enforcement reports to generate Form 453, which it then assigns to a case manager. GCPD receives the Form 453 (currently by fax) daily and uses them to assign certain cases to SVU Investigators.

5.11.1. Police send Case Documentation to Department of Family and Children Services

Exchange	Description
1.05.01	Police send Case Documentation to Department of Family and Children Services

JIEM Document	Description
Arrest / Incident Report	The Court will update Detention with Pre-Existing Court Date Request Message is received.
Arrest Report Supplemental Report	Gwinnett County Law Enforcement Supplemental Arrest Report.

JIEM Document	Description
Citation	The Court will update Detention with Pre-Existing Court Date Request Message is received.
Law Enforcement Investigative Report	The Court will update Detention with Pre-Existing Court Date Request Message is received.

5.11.2. Department of Family and Children Services sends Police Form 453

Exchange	Description
1.05.03	Department of Family and Children Services sends Police Form 453

JIEM Document	Description
Department of Family and Children Services Form 453	Department of Family and Children Services Form 453 is for follow-up care for families where there is information regarding a need for services involving child physical or sexual abuse, abuse or inadequate care of the elderly.

5.12. Court or Prosecutor Sends OBTS Information to Georgia Bureau of Investigation (GBI)

Exchange	Description
4.53.01	Clerk of Court sends OBTS information to Georgia Bureau of Investigation (GBI) after case disposition
4.53.03	Recorder's Court sends OBTS information to Georgia Bureau of Investigation (GBI) after case disposition
4.53.05	Juvenile Court sends OBTS information to Georgia Bureau of Investigation (GBI) after case disposition
4.55.01	District Attorney sends OBTS information to Georgia Bureau of Investigation (GBI) after case dismissed
4.55.03	Solicitor sends OBTS information to Georgia Bureau of Investigation (GBI) after case dismissed

JIEM Document	Description
OBTS Information	Offender Based Tracking System Information provides case disposition to GBI.

5.13. Juvenile Court Processes

5.13.1. Juvenile Complaint Form

Exchange	Description
1.02.01	Police sends a Juvenile Complaint Form to Juvenile Court

JTEM Document	Description
Juvenile Complaint Form	Law Enforcement can initiate a Juvenile Court matter by submitting a Juvenile Complaint Form.

5.13.2. Juvenile Court Bench Warrants

Exchange	Description
4.48.55	Juvenile Court sends Bench Warrant information to the Sheriff

JTEM Document	Description
Warrant (Arrest - Bench - Probation - Fugitive) and Electronic Warrant Image (Executable with Electronic Signature)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Electronic Warrant Image (Executable with Electronic Signature)	Warrant Image that can be serviced with an electronic Judge's signature.

5.13.3. Juvenile Court Pickup Orders

Exchange	Description
4.48.65	Juvenile Court sends Pickup Order to the Sheriff

JTEM Document	Description
Pickup Order (Juvenile Court Arrest Warrant)	Pickup Order is a Juvenile Court Arrest Warrant.

5.13.4. Juvenile Court Warrant Recall

Agencies will request a warrant recall from Juvenile Court. The warrant recall request requires a Judge's approval.

Exchange	Description
2.23.05	Police requests recall of Warrant from Juvenile Court
2.23.11	Sheriff requests recall of Warrant from Juvenile Court

JIEM Document	Description
Warrant Recall Request	Request to recall an active arrest warrant.

5.13.5. Juvenile Court Warrant Recall Approval

Once the Judge approves the recall of the warrant, the respective Court issues a Warrant Recall to the Sheriff's Department and notifies the requesting agency.

Exchange	Description
2.23.55	Juvenile Court notifies Sheriff that Judge has approved a Warrant Recall

JIEM Document	Description
Warrant Recall	Notice that an existing Warrant has been recalled.

5.13.6. Juvenile Court Warrant Service Notice

The Sheriff's Department notifies the Juvenile Court that the warrant was served.

Exchange	Description
2.22.07	Sheriff notifies Juvenile Court of Warrant service

JIEM Document	Description
Warrant Service Notice	Notice that the Warrant was successfully served on the Subject.

5.13.7. Juvenile Court Bond Release

Exchange	Description
4.47.25	Detention notifies Juvenile Court that Subject has bonded out of Jail

JIEM Document	Description
Bond Release Notice	The Bond Release Notice notifies agencies of Subject's release on Bond.

5.13.8. Juvenile Court Transfers Case to Superior Court

Exchange	Description
1.14.61	Juvenile Court notifies the Clerk of Court of transferred case
1.14.63	Juvenile Court notifies the District Attorney of transferred case

JIEM Document	Description
Transfer Case Document	Transfer Document notifies of case transfer to another Court.
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Pickup Order (Juvenile Court Arrest Warrant)	Pickup Order is a Juvenile Court Arrest Warrant.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)

5.13.9. Case Transfers to Juvenile Court

Exchange	Description
1.14.75	District Attorney transfers case to the Juvenile Court
1.14.91	Recorder's Court transfers case to the Juvenile Court

JIEM Document	Description
Transfer Case Document	Transfer Document notifies of case transfer to another Court.
Arrest / Incident Report	Standard Gwinnett County Law Enforcement Arrest / Incident Report.
Warrant (Arrest - Bench - Probation - Fugitive)	Warrant electronic document contains data elements for Arrest, Bench, Probation and Fugitive Warrants.
Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)	Bond Condition Notice (Set Initial Bond or Updates to Existing Bond)

5.14. Municipal Police Departments

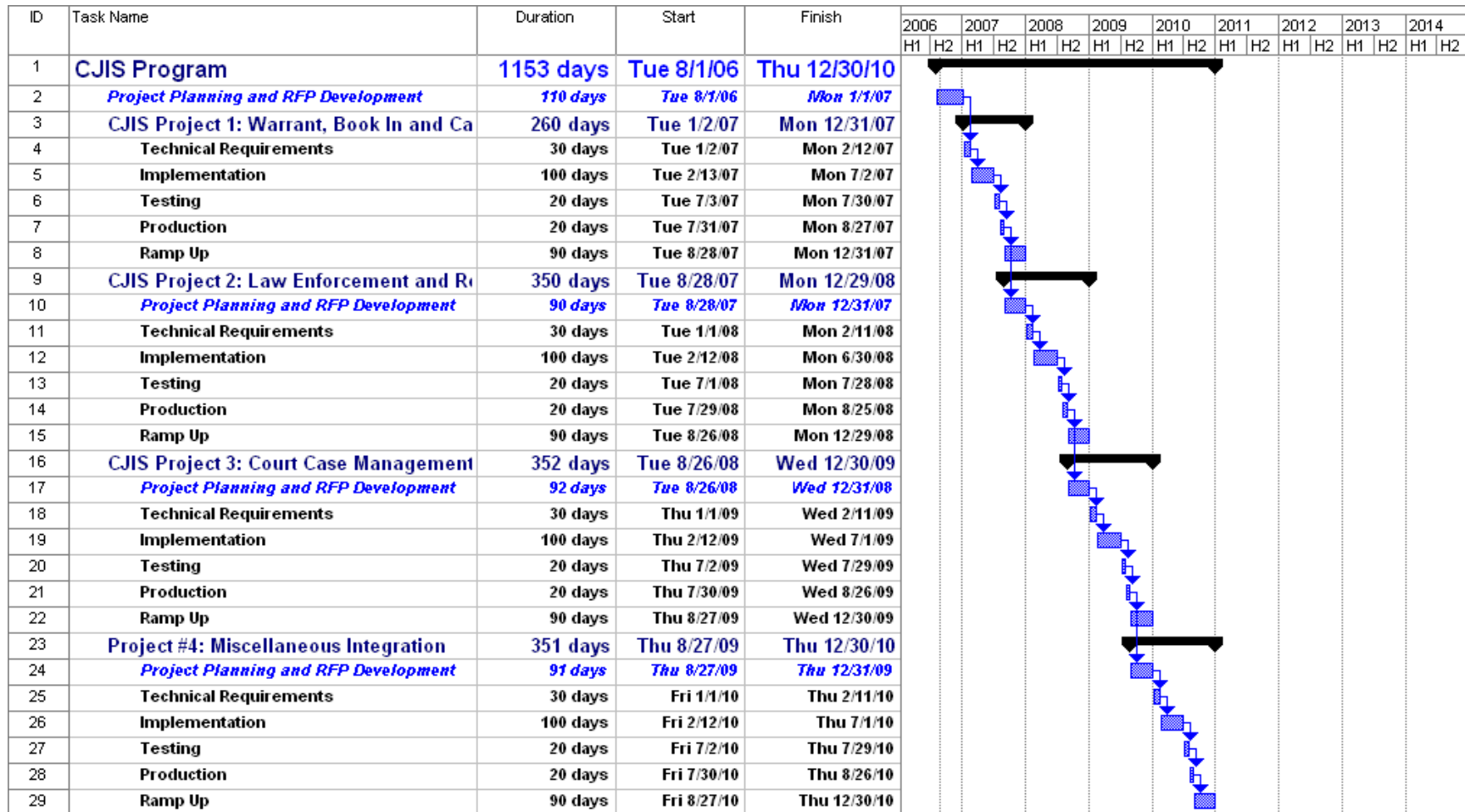
Several major Municipal Police Departments in Gwinnett County interact with the other justice agencies in a manual paper-based process. Once the initial integration of the GCPD is completed, the County will follow law enforcement the exchanges implemented at the GCPD to incorporate the Municipal Police Departments into the CJIS Project. The Municipal Police Departments will be able to follow the technical and business process standards implemented at the GCPD.

6. CJIS Project Action Plan

The CJIS Prioritized Project List was developed from the discussion at the CJIS Priority Workshop on July 25, 2006. The CJIS Projects and JIEM exchange priority represent the CJIS Community's priorities at the time of the workshop. The actual size and scope of CJIS Project 1 and future projects depend greatly on the amount of funding the CJIS Project will receive from the County and from grants. The functional requirements of each Prioritized Project may need to be re-evaluated for the project's level of funding. Also, each Project contains prerequisites that must be in place for groups of exchanges to be implemented properly. For example, many of the Police and Clerk of Court exchanges are predicated on full operation of the new systems. If the prerequisites for a project are not met, it may be prudent for the County to skip those Projects or groups of JIEM exchanges until those systems are operational. The following Gantt chart represents the current estimating schedule for the four CJIS Projects based on the information available when the Gwinnett County CJIS Strategic Plan was developed.

This page left blank intentionally.

7. CJIS Project Multi-Year Action Plan Gantt Chart



This page left blank intentionally.