



# **Internal Audit Report**

## **Integrated Criminal Justice Information System (ICJIS)**

**May 2005**



## Audit Team Members

**Mary Modelski, Protiviti Inc.**  
**Susan Adams, Senior IT Auditor**



# Maricopa County

Internal Audit Department

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May 12, 2005

Max W. Wilson, Chairman, Board of Supervisors  
Fulton Brock, Supervisor, District I  
Don Stapley, Supervisor, District II  
Andrew Kunasek, Supervisor, District III  
Mary Rose Wilcox, Supervisor, District V

We have completed our FY 2004-05 review of the Integrated Criminal Justice Information System (ICJIS). This audit was performed in accordance with the annual audit plan approved by the Board of Supervisors. The independent risk-consulting firm of Protiviti Inc. performed the review. Maricopa County's Internal Audit Department provided direction and oversight.

Considering the magnitude and complexity of the ICJIS project implementation, the project appears to be progressing well. For the period reviewed (January - December 2004), we found the project to be appropriately managed with an effective utilization of resources (personnel, technical expertise, and infrastructure). While funding challenges exist, it appears that management was able to provide deliverables expected at this point in the project.

The highlights of this report include:

- Overall, effective controls have been designed and implemented within the ICJIS project
- Areas needing some degree of control improvement include scope management, cost management, time management, and user requirement management

This report contains an executive summary, specific information on the areas reviewed, and comments by the ICJIS Executive Team (page 12). We have reviewed this information with the ICJIS Project Director and appreciate the excellent cooperation provided by the ICJIS Executive Committee, ICJIS management, and staff. If you have any questions, or wish to discuss the information presented in this report, please contact Susan Adams at 506-1587.

Sincerely,

A handwritten signature in cursive script that reads "Ross L. Tate".

Ross L. Tate  
County Auditor

C: David Smith, County Manager  
Sandi Wilson, Deputy County Manager  
ICJIS Executive Committee  
Jim Price, CIO  
Citizen's Audit Advisory Committee

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# Executive Summary

## **Scope Management (Page 5)**

Various ICJIS project deliverables were removed entirely from the project scope or postponed to future year budgets. Scope modifications to a project should still ensure that all defined project deliverables are completed. The ICJIS Project Team should evaluate items removed from the original project scope and address how the functionality of those items will be covered with the remaining funding to ensure agreed upon deliverables.

## **Cost Management (Page 7)**

ICJIS management is currently projecting a \$1.7 million shortfall to complete those projects seen as feasible with the \$25 million originally allocated for the ICJIS project. A contingency plan for ongoing support and implementation of additional project functionality is required to ensure utilization of implemented exchanges and completion of outstanding project deliverables. The ICJIS project team should prioritize outstanding and future tasks to ensure that resources will be utilized to provide the maximum benefits possible for any funds made available from the New Jail Referenda.

## **Time Management (Page 8)**

Several delays were noted in the completion of project milestones. Proper time management of project deliverables ensures timely completion of the project and avoids delays that can cause budget overruns. ICJIS project management should evaluate resource requirements, constraints, and scope of work, and assign realistic, planned completion dates with milestones to ensure implementation within the allotted time and budget.

## **User Requirement Management (Page 9)**

The Common Case Number (CCN) process does not adequately meet the needs of all ICJIS involved agencies. Efficiencies derived from the implementation of a new system require processes to be fully developed and implemented to meet user needs. The ICJIS project team should continue to aggressively develop and implement case number functionality that meets the requirements of all ICJIS agencies. The ICJIS team should solicit input from those agencies, specifically County Attorney and Clerk of the Court, that are not currently able to fully utilize the CCN process.

# Introduction

## Background

Maricopa County voters approved Proposition 400 in 1998, which raised sales tax within the County by 1/5<sup>th</sup> of a cent. With this approval, the ICJIS project was funded with \$25 million. This funding was planned to: (1) support approved ICJIS development projects and data exchanges, which benefit Justice and Law Enforcement (J&LE) Agencies; (2) integrate ICJIS functionality into J&LE systems; (3) develop ICJIS interfaces between J&LE systems; and (4) assist in the development and implementation of integrated software systems that support business functions.

Protiviti, under the direction and oversight of the Maricopa County Internal Audit Department, has completed a review of the ICJIS project. The objective of this review was to evaluate the effectiveness of controls surrounding the management and execution of the ICJIS implementation.

## Scope and Methodology

The scope of this audit was to review the ICJIS implementation project for the period January 2004 through December 2004, which included:

- Assessing the project's current status in relation to the approved project plan, including project budget, schedule, and the overall integrity
- Follow-up on audit issues outstanding at the close of the prior-year audit
- Reviewing the on-going feasibility and continuity plans for the ICJIS project including the "End-Game Strategy"

The methodology used to accomplish the objectives of this review included interviewing the Business Team, Executive Committee, and selected ICJIS project team members as well as review of project documentation. Examples of reviewed documentation included:

- Business Team Meeting Minutes
- Project Budgets
- Strategic Business Plans
- End Game Strategies
- Project Process Updates
- Monthly Performance Reports
- ICJIS Security Policy
- Data Exchange Status Reports
- Project Plans

## **Conclusion**

Opportunities exist for improvement to Management's existing controls over the ICJIS project. Effective management controls have been designed within the ICJIS project, however, in some cases, these controls have either not been used or are only partially effective in ensuring the project is completed on time and within budget.

We noted the following ICJIS project areas that require some degree of recommended control improvement:

- Scope Management
- Time Management
- Cost Management
- User Requirement Management

The following pages contain detailed audit findings for the above-mentioned ICJIS project areas, along with recommendations for improving the control environment in each area.

This audit was performed in accordance with generally accepted government auditing standards.

# ICJIS Reported Accomplishments

ICJIS Management has provided the Internal Audit Department with the following information for inclusion in this report.

## ICJIS Accomplishments in 2004

**New DPS Interface for Sheriff's Office.** ICJIS developed and implemented a new computer interface to the Department of Public Safety (DPS Phase I), and federal information sources such as the FBI, bringing the Sheriff's Office into compliance with the latest federal mandates regarding security standards, and providing greater capacity to meet the growing demand for fast and accurate criminal history information.

**Assign Attorney Data Exchange.** ICJIS developed and implemented this exchange to provide timely and consistent attorney assignment information between the County Attorney, Indigent Representation, and Superior Court Offices, helping shorten the average length of cases, reduce the need for unnecessary continuances, reduce office overhead, and improve service to attorneys, administrative staff, and clients.

**Schedule Court Event Data Exchange.** ICJIS developed and implemented this exchange between the Courts, County Attorney, and Indigent Representation Offices to provide real-time, consistent, time sensitive court event information (hearing dates and locations, judge changes) helping assure attorneys, defendants, witnesses, and victims are aware of court appearance status and avoid unnecessary continuances.

**State Hospital Data Exchange.** ICJIS developed and implemented this exchange between the Sheriff's Office and the State Hospital to provide more timely booking information to assist in coordinating services between the State Hospital and Correctional Health Services.

**Common Case Number Assigned at Initial Appearance.** ICJIS developed and implemented this phase of the Common Case Number application to provide for CCN assignment at Initial Appearance (IA) Court, and enable CCN assignment early in the justice process so that case tracking is much more reliable. Also, CCN supports the 24x7 operations of the Initial Appearance Court.

**Electronic Form IV.** ICJIS, in coordination with the Sheriff's Office and Superior Court replaced the manual paper-based Form IV (Probable Cause Statement) with an electronic Form IV that transmits accurate and real-time probable cause information to the Initial Appearance Court. This provides timely case information for each of the docket sessions that run on a 24x7 basis.

**Pre-Booking System.** The Sheriff's Office, with support from ICJIS and Convergent Architecture tools, completed the implementation of an on-line booking system that replaced a manual process that was slow and error prone. The new system provides a single point of data entry that facilitates electronic distribution and coordination of accurate booking data with the Courts and other jurisdictions. The new system greatly reduces officer overhead and reduces the time for booking arrestees.

**Secure Network Backbone for Criminal Justice Agencies.** ICJIS completed the development and implementation of a secure data network for exchanging criminal justice information between state and federal government agencies. This secure data network meets the new federal NCIC 2000 CJIS requirements for transmission of criminal history information over public networks, providing a combination of physical and logical separation of the County WAN within facilities, and point-to-point encryption between facilities.

# Detailed Audit Issues

<p><b>Issue #1:</b></p> <p><b>Scope Management</b></p>	<p><b>Various ICJIS project deliverables were removed entirely from the project scope or postponed to future year budgets. Scope modifications to a project should still ensure that all defined project deliverables are completed.</b></p> <p>We found modifications to the ICJIS scope including:</p> <ul style="list-style-type: none"> <li>• The Jail Management System (JMS) II, Part I data exchange was originally intended to provide real time transfer of inmate data to the Mug Shot, Inmate Funds, Food Services (Canteen), and Correctional Health Services systems. The Food Service system was removed from the project because the system was unable to accept the data exchange.</li> <li>• The Schedule Court Event Data Exchange was proposed to send direct calendar postings and case management entries to various ICJIS stakeholders. However, the exchange was completed with the Superior Court notifying the County Attorney regarding first appearances through a manual, paper-based process rather than the proposed automation.</li> <li>• The January 26, 2004 Draft End Game Plan lists Tier One – Video Conferencing for Justice Agencies as complete. But the September 13, 2004 Business Team Meeting Minutes state “currently there is no method in place to video conference with the new jail.”</li> <li>• In order to make funds available during FY 2005 for the File-a-Case data exchange, the external data exchange project with the City of Glendale was moved to the FY2006 budget year. The File-a-Case data exchange is intended to provide timely notification of cases filed with the Justice and Superior courts. The exchange allows for the receipt, dissemination, and storage of filed case information to the ICJIS stakeholders.</li> <li>• The Common Case Number FY2005 budget was reduced by \$125,000 to purchase Electronic Data Management licensing fees to allow other agencies to access the implementation of e-file for the File-a-Case data exchange.</li> </ul> <p><b>Recommendation:</b> The ICJIS Project Team should evaluate items removed from the original project scope and address how the functionality of those items will be covered with the remaining funding to ensure agreed upon deliverables.</p>
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**Agency Response:**

ISSUES STATEMENT: Concur in part with the issue statement. Concur that it is fundamental that “Scope modifications to a project should still ensure that all defined project deliverables are completed.” However, for those deliverables removed entirely from the project scope or postponed to future years at the direction of the project stakeholders, it is not an option for ICJIS to expend funds to assure that these removed deliverables continue to be completed. The following is in direct response to each of the five bullet points noted by the auditor:

Bullet #1 – The Sheriff’s Office (key stakeholder) carefully reviewed their requirements and determined that the Food Service system would not be an effective utilization of resources as it is not capable of accepting the data as initially projected. Based on those findings, the Sheriff’s office requested the Food Services exchange be removed from the project list.

Bullet #2 – After further discussions with the Auditor we believe that the Auditor is referring to two different data exchanges. The Schedule Court Event Data Exchange does not include the functionality in question nor did it so intend. The second sentence refers to the Initial Appearance (IA) calendar with the finding being incorrect. The IA calendar is only sent to the County Attorney and the scope of this exchange only required an email notice. While this exchange may be enhanced at some future date should the stakeholder request, it is not under any consideration as of this time and would be beyond the original scope of the exchange as implemented.

Bullet #3 – Both of the Auditor’s statements are correct. First, Video Conferencing for Justice Agencies ICJIS Project is complete as of January 2003. Secondly, the auditor notes, “currently there is no method in place to video conference with the new jail.” The second issue is not within the scope of the ICJIS project and therefore is not an ICJIS matter. As reflected within the same minutes referenced by the Auditor, the installation of video conferencing is a jail issue and therefore a matter for the Sheriff’s office.

Bullet #4 –ICJIS followed approved governance procedures. The Auditor’s comments accurately describe the outcome of that process. The ICJIS governing bodies approved and in the case of the File-a-Case and External Data Exchange, directed ICJIS to reverse the priority of the two projects and develop File-a-Case ahead of the External Data Exchange. Note that, consistent with the Auditor’s recommendation, the ICJIS governing bodies have ensured that the External Data Exchange is funded and is scheduled for completion in the FY05-06 budget cycle.

Bullet #5 – The Auditor’s statement is correct. Following approved ICJIS governance procedures, the Common Case Number project was reduced by \$125,000 and funds were reallocated. This modification was

	<p>implemented in conjunction with a budget review, which determined that the Common Case Number would be completed on time and below budget. The modification in question did not result in the loss of any identified deliverable to any ICJIS project. The changes made were completed only after proper governance approval was obtained.</p> <p><b>ICJIS RESPONSE TO RECOMMENDATION:</b> The ICJIS Business Team evaluates items nominated for removal or modification in advance of those items being removed or modified. In addition, ICJIS is not permitted to remove or modify any project or data exchange once promulgated in the Bi-Annual Strategic Business Plan for ICJIS without first evaluating the impact of said removal or modification and then gaining the approval of the JaLET Committee, the Business Team and where appropriate the Executive Committee.</p>
<p><b>Issue #2:</b> <b>Cost Management</b></p>	<p><b>ICJIS management is currently projecting a \$1.7 million shortfall to complete those projects seen as feasible with the \$25 million originally allocated for the ICJIS project. A contingency plan for ongoing support and implementation of additional project functionality is required to ensure utilization of implemented exchanges and completion of outstanding project deliverables.</b></p> <p>A \$1.7 million shortfall is projected at the conclusion of the Tier One project. Tier One identifies those projects seen as feasible by the ICJIS Project Team with the allocation of \$25 million collected as a result of the voters' approval of Proposition 400 in 1998. A contingency plan for ongoing support and implementation of Tier Two ICJIS project functionality is required to ensure utilization of implemented exchanges and completion of outstanding project deliverables.</p> <p>Contingency funding for ongoing project existence and "End Game Strategy" are dependent upon the New Jail Referenda passed by voters for the expansion of jail infrastructure, increased benefits to corrections officers, and additional funding for criminal justice integration. Approximately \$34 million is required to complete the outstanding items on the Tier Two project list, which includes \$2 million for on-going project support costs.</p> <p><b>Recommendation:</b> The ICJIS project team should prioritize outstanding and future tasks to ensure that resources will be utilized to provide the maximum benefits possible for any funds made available from the New Jail Referenda.</p>

	<p><b>Agency Response:</b> Do Not Concur with issue statement- As presented, the issue is not accurate. ICJIS will complete the project within budget sometime in the FY 06-07 budget timeframe. We will complete all projects and data exchanges that have been identified in the FY 05-06 and FY 06-07 Bi-Annual Strategic Business Plan as approved by the Business Team and Executive Committee. To be clear, there is no COST MANAGEMENT problem, we will complete all identified projects within the \$25 million budget. However, there is a funding disconnect when Phase I is completed during the FY 06-07 fiscal year and the entire \$25,000,000 has been expended. At that point, there will be no funding to support on-going operations from that completion date through the balance of the budget year and beyond. OMB has estimated that the funding necessary to support on-going operations and to allow development of Phase/Tier 2 projects to begin during the FY 06-07 fiscal year will be approximately \$3.5 million and we believe it will be closer to \$1.7 million. The issue that is on the table is, does the county wish to proceed with Phase/Tier 2 or do they prefer to discontinue further development or enhancements beyond Phase I. If the answer is, they wish to proceed with a Phase/Tier 2, then additional funding will be required sometime in the FY 06-07 budget year. The ICJIS End-Game Plan provides details and recommendations for a five-year funding plan beyond FY 06-07. The End-Game Plan has been approved by the ICJIS JaLET committee, the ICJIS Business Team and the ICJIS Executive Committee and will be presented to the County in the summer or fall of 2005.</p>
<p><b>Issue #3:</b> <b>Time Management</b></p>	<p><b>Several delays were noted in the completion of project milestones. Proper time management of project deliverables ensures timely completion of the project and avoids delays that can cause budget overruns.</b></p> <p>Planned completion time identified from the January 2004 Monthly Status Report was used to determine the length of implementation delays. Exceptions noted, include:</p> <ul style="list-style-type: none"> <li>• Common Case Number Phase II implementation was delayed two months</li> <li>• Common Case Number Phase III was delayed three months</li> <li>• Data Exchange – JMS II, Part I was delayed four months</li> </ul> <p>Appendix A (see page 18) contains an inventory of Tier One project completions based upon the December 27, 2004 “ICJIS End Game Plan.” Tier One refers to those projects identified for completion with the \$25 million originally funded for the ICJIS project.</p>

	<p><b>Recommendation:</b> The ICJIS project management should evaluate resource requirements, constraints, and scope of work and assign realistic, planned completion dates with milestones to ensure implementation within the allotted time and budget.</p> <p><b>Agency Response:</b> Concur with the listing of the three delays noted. The Auditor states, “Proper time management of project deliverables ensures timely completion of the project and avoids delays that can cause budget overruns.” While the aforementioned is a principal of project planning, it does not “ensure” timely completion. We have the best project management technology available and highly skilled project managers, however in spite of those assets, when faced with the realities of a complex project such as ICJIS, which represents over 40 separate information technology initiatives, with six separate government/political stakeholder agencies, time flexibility is essential. Given the large number of resources from various agencies needed to complete these projects, estimating time is just that, an estimate. ICJIS does not control the resources of the project stakeholders; it is and will only be successful through cooperation and coordination. None of the noted projects was over budget and in spite of all reasonable efforts and expectations, not all technology projects can or will meet planned timelines.</p>
<p><b>Issue #4:</b></p> <p><b>User Requirement Management</b></p>	<p><b>The Common Case Number (CCN) process does not adequately meet the needs of all ICJIS involved agencies. Efficiencies derived from the implementation of a new system require processes to be fully developed and implemented to meet user needs.</b></p> <p>When CCN was originally envisioned, the goal was to use it to meet all case number needs. However, as the process was designed and implemented, it was determined that one case number would not adequately meet the needs of criminal cases where there could be multiple charges and/or multiple subjects relating to one case. An arrangement has been established between the County Attorney’s Office and Superior Court for the Court to utilize a “manually assigned” case number rather than the number assigned by the automated Common Case Number process. This lag causes potential inefficiencies within the Courts and the CCN limitations do not meet all user needs.</p> <p><b>Recommendation:</b> The ICJIS project team should continue to aggressively develop and implement case number functionality that meets the requirements of all ICJIS agencies. The ICJIS team should solicit input from those agencies, specifically County Attorney and Clerk of the Court, that are not currently able to fully utilize the CCN process.</p>

	<p><b>Agency Response:</b> Partially Concur – ICJIS is aware that the agencies have not fully implemented the CCN as designed and completed. ICJIS has actively sought input and is awaiting that input at this time. Input will assist in determining what if any changes to design or current practices are necessary. A meeting was held on April 14, 2005 to discuss and resolve CCN issues with representatives of all stakeholder agencies. Additional meetings are being scheduled with key personnel from each stakeholder agency to review the issues identified and to look at an enhancement to the CCN that will provide for tracking at the Charge level.</p>
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## Executive Committee/Management Comments

### **Bob Briney, Legal Defender**

I have reviewed the Internal Audit Report on ICJIS dated April, 2005 and the ICJIS Agency's responses to the issues raised. In the view of Indigent Defense, the findings do not identify any critical issues which may impact the continued success of the ICJIS project.

The ICJIS response to each of the issues raised appears to be both complete and accurate. The auditor's concerns regarding changes in scope and completion of deliverables are unwarranted in light of the fact that each item identified was modified under the direction of the project's governing body and based upon changing business needs within the participating agencies. It is critical that an agency of this scope and complexity make appropriate adjustments to meet agency needs.

ICJIS has supported and continues to support the needs of its stakeholders while maintaining the approved governance structure. A project of this scope with multiple agency participants faces huge challenges in meeting deadlines. Resources must be allocated to ICJIS projects as well as those internal to each agency. Project delays of relatively short duration are to be expected and do not necessarily reflect deficiencies in either the project or the agency.

Indigent Representation has been and continues to be committed to the ICJIS project. As we move forward with implementation of IRIS (Indigent Representation Information System) the gains from this project will be further realized through our increased participation in data sharing efforts. We look forward to successful completion of this first phase of ICJIS and are hopeful of continued success as we plan for future cycles of the project.

cc: Don Thomas, ICJIS Director



# Maricopa County Attorney

ANDREW P. THOMAS

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April 28, 2005

Ross Tate, County Auditor  
Director of Internal Audit  
301 West Jefferson, Suite 1090  
Phoenix, AZ 85003

## **HAND-DELIVERED**

Re: County Attorney Response to 2004 ICJIS Audit

Dear Ross,

Overall, the Maricopa County Attorney's Office appreciates your thorough review of the ICJIS project and the direction it provides to the member agencies. The Audit's concern about the Common Case Number (CCN), however, requires our additional comment.

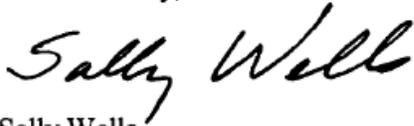
The original idea for a common case number had been discussed for many years – more than ten years, in fact – before ICJIS took over the project and brought it to fruition. The reason no action had been taken toward a common case number earlier was that user agencies could not agree on the purpose or limit for the use of the number. The ICJIS project overcame that obstacle and implemented a CCN that accomplished all that one number could accomplish.

After member agencies began using the new CCN, it became clear to the Maricopa County Attorney's Office that one number would not meet all of the goals set for the CCN. As a result, some of the filings still required manual entry of a case number. The majority of our case filings, however, included an automatically generated CCN. The Maricopa County Attorney's Office is not aware of an agreement with the court to enter case numbers manually.

The Maricopa County Attorney's Office does not view the current use of the CCN as an inefficiency. Rather, the current CCN is the first necessary step toward identifying and tracking each charge against a person to its final disposition. With the future assistance of the ICJIS project and the development of an additional identifying vector, the Maricopa County Attorney's Office is confident that the CCN will accomplish the goals originally assigned to it. The Maricopa County

Attorney's Office will work diligently with member agencies to reach this goal in the most efficient and timely manner possible.

Most sincerely,

A handwritten signature in black ink that reads "Sally Wells". The signature is written in a cursive, flowing style.

Sally Wells  
Chief Assistant County Attorney

SW/ds

cc: Hon. Colin Campbell, Presiding Judge, Superior Court  
Hon. Barbara Mundell, Presiding Judge Designate  
Robert Briney, Legal Defender's Office  
David Hendershott, Maricopa County Sheriff's Office  
Hon. Michael Jeanes, Clerk of the Court  
David Smith, County Manager  
Don Thomas, ICJIS Project Director



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INTERNAL AUDIT

**Trial Courts of Arizona**  
MARICOPA COUNTY

FROM THE CHAMBERS OF  
COLIN F. CAMPBELL  
PRESIDING JUDGE

125 W. WASHINGTON, STE. 511  
PHOENIX, AZ 85003  
TEL (602) 506-3837  
FAX 506-0849  
TDD 506-3100

MEMORANDUM

To: Ross Tate, County Auditor  
Director of Internal Audit

From: Colin F. Campbell, Presiding Judge

Date: April 19, 2005

Re: **Court Response to 2004 Audit of ICJIS**

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The current 2004 ICJIS Audit points out that overall, effective management controls have been designed and implemented within the ICJIS project; however, in some cases controls were not used or were partially effective. The Superior Court believes that in any project as complex as ICJIS involving multiple political stakeholders there will be delays and differences beyond the control of ICJIS. In the Court's view these delays, a few months for a complex data exchange, are entirely acceptable.

Given the complexities inherent in a project of this magnitude, the Court believes that ICJIS has the potential to demonstrate both a meaningful return on investment as well as value on investment. The ICJIS project has been perhaps the single best demonstration of key J&LE stakeholders in Maricopa County working together to improve information sharing.

While we do not wish to minimize the four issues raised in the 2004 Audit, we note that in the larger context of the ICJIS project, they signal a positive direction demonstrating continued progress. We value our participation with the ICJIS project and are pleased that we are continuing to realize productivity gains which can be leveraged to improve our information flow.

We look forward to continuing our participation in the project and to planning for the future of the project beyond the current funding cycle.

cc: Hon. Barbara Mundell, Presiding Judge Designate  
Hon. Michael Jeanes, Clerk of Court  
David Smith, County Manager  
Bob Briney, Legal Defender's Office  
David Hendershott, Sheriff's Office  
Sally Wells, County Attorney's Office  
John Barrett, Court Technology Officer  
Don Thomas, Integrated Criminal Justice Information System  
Marcus W. Reinkensmeyer, Trial Courts Administration

**CLERK OF THE COURT  
SUPERIOR COURT OF ARIZONA**

Michael K. Jeanes  
Clerk

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To: Ross Tate, County Auditor  
Director of Internal Audit

From: Michael K. Jeanes  
Clerk of the Court 

Date: April 21, 2005

Re: **Clerk of the Court Response to 2004 Audit of ICJIS**

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The 2004 audit highlights the approaching close-out of Tier One and the need to make some decisions regarding the End Game Strategy. The past year has been one of steady accomplishments and unprecedented collaboration among the justice system stakeholders.

ICJIS has followed the course laid out in the Bi-Annual Strategic Plan developed by the ICJIS Project Team, ICJIS Business Team and JaLET; and approved by the ICJIS Executive Committee for distribution. Changes in prioritization and scope have been introduced and/or reviewed by the Business Team with the final determination made by formal vote.

Setting and reaching project milestones has been difficult. Stakeholders have had to juggle internal priorities with the ICJIS collaborative requirements. It can be shown, in light of these dependencies, that ICJIS has not had the control necessary to be held fully accountable for meeting project deadlines.

The issues cited by the 2004 Audit are acceptable within the complex collaborative development environment.

c: David Smith, County Manager  
Hon. Colin Campbell, Presiding Judge  
Hon. Barbara Mundell, Presiding Judge Designate  
Bob Briney, Legal Defender's Office  
David Hendershott, Sheriff's Office  
Sally Wells, County Attorney's Office  
Don Thomas, Integrated Criminal Justice Information System  
Marcus W. Reinkensmeyer, Trial Courts Administration  
Shelly Bunn, MCSO's Chief Information Officer  
Diane Terribile, Public Defender Administrator  
John Barrett, Chief Technology Officer, Superior Court  
Grace Colosimo, Clerk of the Court

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## Appendix A

An inventory of Tier One ICJIS projects status, as of December 2004, reported by the ICJIS Project Team:

<b>Project</b>	<b>Status</b>
Data Quality Assessment	Completed
Critical External Agency Assessment	Completed
External Agency Interface Pilot Analysis – Glendale	Completed
Common J&LE Data Dictionary	Completed
Integrated GJXDD, to meet new federal standards for data exchanges	Completed
DPS Interface Phase II	In progress
Secured Backbone	In progress
Common Case Number	In progress
Assign Attorney Data Exchange	In progress
File a Case Data Exchange	In progress
Criminal History Worksheet Data Exchange	In progress
Pre-Booking Data Exchange with Phoenix Police Dept.	In progress
Warrants, Summons and Subpoenas Data Exchange	In progress
Form IV for MCAO Data Exchange	In progress
Live Scan Data Exchange	On hold
Iris Scan Data Exchange	On hold
Jail Money Machine Data Exchange	On hold
Electronic Signature – Pilot	On hold
Video Conferencing for Justice Agencies Part II	On hold
Clerk of Court to Sheriff RMS – EDMS Pilot	On hold
Integrated Engine (including hardware and software)	Operating
Common Code Table	Operating
Schedule Court Event Data Exchange	Operating
Release Subject Data Exchange	Operating
Mug Shot Data Exchange	Operating
Form IV for Initial Appearance Data Exchange	Operating
Book Suspect Data Exchange	Operating
Identify Suspect Data Exchange	Operating

Initial Appearance Calendar Data Exchange	Operating
Release Defendant Data Exchange	Operating
Sentencing Minute Entries Data Exchange	Operating
Probation Revocation Data Exchange	Operating
Video Visitation Data Exchange	Operating
DPS Interface Phase I	Operating
Information Technology Service Maintenance Infrastructure (ITSM)	Operating
JMS Part I and II Data Exchange	Replaced with: Custody Status - Operating
TADS-Data Exchanges	
Sentence Subject	Unknown <sup>1</sup>
Dispose Charge	Unknown <sup>1</sup>
Terminate Case	Unknown <sup>1</sup>
Amend Charge	Unknown <sup>1</sup>
Inmate Fund Canteen System Data Exchange	Unknown <sup>2</sup>

<sup>1</sup> Based upon reviewing the December 2004 Monthly Status Report, a status of "In progress" or "On Hold" could not be determined.

<sup>2</sup> Based upon reviewing the Monthly Status Reports, a status of "Operating" or "On Hold" could not be determined.