



Report on the Status of the  
Criminal Justice Information System (CJIS)  
to the  
Connecticut Legislature

Submitted by  
The CJIS Governing Board

January 1, 2016



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# Criminal Justice Information System (CJIS) Governing Board

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## CJIS Report to the Legislature

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The Connecticut Criminal Justice Information System (CJIS) is an information technology system to be used by Connecticut criminal justice and law enforcement agencies (LEAs) to share criminal justice information in a secure environment, thereby enhancing informed decision-making.

In 2007, influenced by the Cheshire home invasion, the State of Connecticut undertook a review of its current criminal justice process. As a result of that review, State of Connecticut Public Act 08-01 was passed. This act not only provided for change to the penal code, it also provided for change to the current criminal justice information sharing process in an effort to provide for a safer community for the citizens of the state.

As part of the changes put forth by P.A. 08-01 (later codified as CGS 54-142s), the CJIS Governing Board was charged with designing and implementing a comprehensive, state-wide system to facilitate the sharing of information between all criminal justice agencies. A plan for a new information sharing system, the Connecticut Information Sharing System (CISS), was established.

The CJIS Governing Board is statutorily authorized to develop plans, maintain policies and provide direction for the efficient operation and integration of criminal justice information systems, whether such systems service a single agency or multiple agencies (according to Connecticut General Statutes § 54-142q(f)).

Information that is shared will be accessed only by authorized personnel in criminal justice agencies, according to the laws of the State of Connecticut and federal laws. CISS users accessing FBI data will be authorized by the CJIS Systems Officer (CSO) in accordance with the Management Control Agreement. Each user will sign an agreement pledging to honor the current security policy, and acknowledging the penalties that may be imposed for improper access, use or dissemination of FBI data. Users are required to complete a training program that includes instruction on the confidentiality of all shared information, the acceptable use of the information and the penalties associated with misuse of the information as imposed by the CSO or his/her designee.

This report is prepared pursuant to Connecticut General Statutes (CGS), 54-142q. The CJIS Governing Board provides this report and directs the projects within this report in order to meet the CJIS goals.

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## Executive Summary

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### Update on CJIS Projects

The State submitted its request to the FBI for CJIS to be deemed a non-criminal justice agency that can receive and transmit FBI data. The request to the FBI included a Management Control Agreement developed by the CJIS Steering Group identifying CJIS as a non-criminal justice agency and the CSO as the officer charged with controlling and monitoring FBI data within the CISS application. Also, and significantly, the State included a Statement of Understanding outlining CISS' governing principles. The FBI approved the CISS application in June, 2015. This is a significant accomplishment which will allow the CISS project to meet the envisioned value to its stakeholders

From the beginning of 2015, CJIS has made significant progress with the CISS project including the FBI's approval of the CISS Overview Document and its Statement of Understanding (SOU) outlining CISS' governing principles. CJIS is now actively working with Xerox and the stakeholder agencies on all nine CISS Search and Workflow Releases with significant progress.

The Racial Profiling Project, the Offender Based Tracking System (OBTS) and the Connecticut Impaired Driver Records Information System (CIDRIS) are in production and maintenance mode. OBTS and CIDRIS will be replaced by functionality in the new CISS system.

Search Release 1, which consists of Paperless Re-Arrest Warrant Network (PRAWN), Offender Based Information System (OBIS), and Portal User Interface, is currently undergoing System Test. This benchmark release will advance shortly to User Acceptance Testing (UAT), with Production following in early 2016. Concurrently, Workflow Release 2 (Uniform Arrest Report (UAR) and Misdemeanor Summons Notices) is also in System Test, and is expected to go in to production in the first quarter of 2016. Change Control #62, which is a re-alignment of the release schedule, has been instituted. The change control will support the extension of the schedule for Release 4, which is Requirements Gathering, without changing the overall project date.

The CJIS Help Desk has been working on the infrastructure of the Learning Management System (LMS) that will provide training and assistance with user provisioning and CISS certification. Training will begin just prior to deployment of Release 1. The development of the CISS User Authorization Request (CUAR) will facilitate user training and Global Federated Identity and Privilege Management (GFIPM) search capabilities for all users.

Progress was made on local police department connectivity, with 81 police departments having purchased routers for the CISS project. The routers will connect their Records Management Systems (RMS) and access for search capabilities to CISS. Of the 81 departments, 69 departments are connected to the state network. There are 22 police departments selected to connect to CISS for Search Release 1.

CJIS had worked with the Department of Administrative Services (DAS) on a contract with KT International, Inc. and the Capitol Region Council of Governments (CRCOG) in regard to CRCOG member agencies' shared RMS system (CT: CHIEF) connecting to CISS. This connection will allow CT: CHIEF to send the Uniform Arrest Reports and attachments for the CISS workflows. This contract was signed and work is continuing to connect the two systems.

CJIS is also working with Accucom (formerly known as Hunt) as the second RMS vendor to connect to CISS. This connection will also allow Accucom to send Uniform Arrest Reports and attachments

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for the CISS workflows. The purpose is to connect all RMS vendors in the state to CISS so that the current paper-based workflows are replaced over time by the new CISS electronic workflows.

The Governing Board also approved that CJIS enter into a Memorandum of Understanding (MOU) between CRCOG and the Wethersfield Police Department to host the CT: CHIEF Pilot Program within the CJIS environment.

The CJIS Executive Director position was vacated in March, 2015. A Search Committee was formed, which prepared and posted notices of the vacancy, received applications, and identified and interviewed viable candidates for the CJIS Executive Director position. It is anticipated that a decision will be made soon.

In July 2015, the CJIS Governing Board entered into a MOU between the Office of Policy and Management (OPM) and the Department of Emergency Services and Public Protection (DESPP) regarding the provision of administrative support to the Governing Board. The Administrative MOU transferred the management of human resources including payroll, benefits, purchase orders and invoices from OPM to DESPP.

In November 2015, the Governing Board approved CJIS moving forward with an Operational MOU between OPM, DESPP, and the CJIS Governing Board regarding the authority, roles, responsibilities, design, implementation, operation and maintenance of CJIS in support of C.G.S. Sec. 54-142s. The Operational MOU creates efficiency in the delivery of a wide range of criminal justice systems while retaining autonomy and authority of the Governing Board.

Qualis, the health check vendor for the CJIS project, has produced two health check reports in the last six months. These reports, which were compiled in September and December, are the culmination of surveys and on-site interviews with agencies, the CJIS Project Management Office (PMO) and Xerox for the purpose of offering an objective assessment of how well the project is performing.

The quarterly Health Check Report released in September reflected a slight drop in scores for the Stakeholder Agencies and Xerox, while the CJIS Project Management Office (PMO) score reflected a slight increase. The overall project scores for that quarter decreased from 2.69 to 2.68. Although not statistically significant, the scores were reported as surprisingly stable for a project of such magnitude.

The December quarterly Health Check Report cites agency recognition of the Governance Committee as added support to the Governing Board in resolving key issues, resulting in a positive impact on the project. The report suggests that the Governance Committee continue their involvement, and with CJIS, be tasked with identifying support systems for agencies that may not have processes, procedures and resources in place to interface with CISS.

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## CJIS Critical Risks

The following risks will need to be addressed to maximize the full value of the CISS project in moving forward effectively and in a timely manner.

- The first risk involves using consultants for the critical technical positions. As pointed out by Qualis, our present Project Health Check vendor, not having experienced state employees working on the CISS project poses significant risk to the long term sustainability of the project. MTG Management Consultants, the original firm hired to advise management and perform health checks, indicated this same risk. Consultant turnover continues as expected on a project of this duration. With this turnover some knowledge is lost and technical development continuity has been negatively impacted. A document tracking new hires and terminations is in place to track turnover rate for decision making.
- The second risk is the funding for the state staffing for the CISS project may be in jeopardy. While the funding today comes from the inmate phone revenue, this revenue source has been under discussion for changes by the FCC. Recent FCC rulings limit states' ability to derive as much revenue as before from these calls. This change is likely to impact Connecticut's plans for funding CJIS activities.
- *The above significant risks are discussed more fully in the CISS Critical Risks with Mitigation Strategy section below.*

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## CJIS Risks with Mitigation Strategy

There are pre-existing risks that will need to be addressed in order for the CISS project to move forward effectively and in a timely manner.

<b>Risk 1</b>
Filling important positions with contractors instead of state positions presents a risk to the project plan and the long-term support and stability of CISS.
<b>Impact</b>
The primary element for success is to have a talented pool of dedicated and skilled CJIS Governing Board personnel. The CJIS team has hired consultants to do the work. If the 18 positions are not filled as permanent state employees, much of the domain knowledge during the build of CISS will be lost when the consultants leave.
<b>Mitigation</b>
After CJIS met with DAS, DAS-BEST and OPM, there was an agreement to open all eighteen positions. CJIS ranked the order of importance and is working to open these positions.
<b>Recommendation</b>
Since the hiring process is a long process, the CJIS Governing Board will have to consider other alternatives such as: 1) Keeping current consultants for a longer period of time until we are able to hire state employees, since institutional knowledge will be lost once the consultant leaves; 2) Outsourcing all of the application maintenance to a vendor; or 3) Creating a hybrid environment where we have state employees and consultants filling the required positions. It is important that those who are hired have the appropriate skill set and experience with large, complex, multi-million dollar, multi-year projects. For this reason, the state should offer salaries comparable to market rates in order to be successful.

<b>Risk 2</b>
A related risk involving staffing levels and the project plan as a whole is the likely reduction in funding from CJIS' current source for the state employee staff on the CISS project. While the funding today comes from the inmate phone revenue, this revenue source is under discussion for changes by the FCC. Currently, much of the funding for CJIS operational staffing is derived from inmate phone services revenue. The ability for the state to pay for broader criminal justice programs from this source is also under discussion.
<b>Impact</b>
A reduction in the state inmate payphone revenue may have a significant impact to the funding of the CJIS program. If this funding source is reduced, it may have an impact on the staffing levels and filling the needed 18 state positions for the CJIS project.
<b>Mitigation</b>
Alternate sources of funds are being explored.
<b>Recommendation</b>
Alternate sources of funds should continue to be explored.

## Bond Fund Overview (as of 11/30/2015)

After the amendment to the original contract between the State of Connecticut and Xerox was signed on February 20, 2015, there were necessary changes to the CISS schedule, scope and budget. The current approved bond funds are \$34,520,000.

Additionally, the amendment to the contract between the State and Xerox has added the additional scope for requirements gathering by Xerox for CISS and compensation of \$4,033,553 for delays to Xerox. The Original Bond Fund budget does not include incremental costs incurred by using consultants paid from the bond fund instead of the planned 18 state employees that would have been paid from the inmate pay phone revenue. Phase 1 of the CISS project is scheduled to be completed by August 2017.

<b>CISS BOND FUND BUDGET SUMMARY</b>		
<b>FUNDING</b>		<b>CURRENT TOTALS</b>
CISS Original Forecasted Budget Commitment*	\$ 24,090,000	
Adjusted Bond Fund Dollars Committed in 2015**	\$ 10,430,000	
<b>Total Bond Funds</b>		<b>\$34,520,000</b>
<b>CISS EXPENDITURES TO DATE 11/30/15</b>		
<b>BUDGETED FISCAL YEAR</b>	<b>TOTALEXPENSES</b>	
General Fund*	\$ 700,000	
FY 2012	\$ 3,909,326	
FY 2013	\$ 6,382,674	
FY 2014	\$ 5,519,499	
FY 2015	\$ 7,631,994	
FY 2016 ( 7/1/15 – 11/30/15 inclusive)	\$ 1,861,644	
<b>Total CISS Expenses from Bond Fund</b>		<b>\$26,005,137</b>
<b>REMAINING BUDGET</b>		
CISS Bond Fund Dollars Remaining to Complete Project as of 11/30/15		<b>\$8,514,863.36</b>
<b>BUDGETED ONGOING OPERATIONAL COSTS</b>		
Internal CISS Support Staff as of 11/30/15***	\$ 7,629,145	
Hardware/Software/Licenses Maintenance and Support as of 11/30/15	\$ 11,542,351	
<b>Total Expected Costs****</b>		<b>\$19,171,497</b>

**Note:**

\* Original Bond Fund estimate during project planning was \$23,390,000 + \$700,000 from Connecticut General Fund = \$24,090,000 to match original forecasted budget for project.

\*\* The additional \$10,430,000 was committed to fund incremental costs of \$4,033,553 from the new amended contract, and costs incurred by using consultants paid from the bond fund instead of the planned 18 state employee positions that would have been paid from the inmate pay phone revenue.

\*\*\*The funding source for this is the Inmate Pay Phone Revenue for 9 to 11 state employees from 2009 to 11/30/15 adding salaries and estimated benefits.

\*\*\*\*FY 2012 \$2.150 million not received based on original budget

\*\*\*\*FY 2013 \$3.150 million not received based on original budget

\*\*\*\*FY 2014 \$3.750 million not received based on original budget

\*\*\*\*FY 2015 \$3.850 million not received based on original budget

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# Connecticut Information Sharing System (CISS) Status Report

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## CISS — Background

The Connecticut Information Sharing System (CISS) provides an integrated solution for the sharing of criminal justice information (CJI) within the Connecticut criminal justice agencies, in full compliance with the current version of the FBI CJIS Security Policy<sup>1</sup>. The State of Connecticut has commissioned the development of the CISS solution to enhance the information sharing capabilities of law enforcement and criminal justice agencies throughout the state.

The State of Connecticut's vision is to create a scalable, service oriented architecture for the exchange of criminal justice information between law enforcement and criminal justice agencies throughout Connecticut. This vision includes system-to-system information exchanges using standards-conformant message formats. This search will employ Global Federated Identity and Privilege Management (GFIPM) claims-based user authorization applied to control access to sensitive information as defined in federal and state laws and statutes.

This consolidated environment will enable the state's criminal justice agency systems to interact seamlessly using a common framework to send and receive data and documents. The search solution will allow users to search for people, locations, events and property across all of the connected information sources from within a single common portal.

## CISS Key Accomplishments – Period Ending December 31, 2015

### General Project Update

The CJIS Project Management team and Xerox worked diligently on the upcoming CISS Releases. Progress was made on Requirements Gathering and sign-off, with some releases currently in the testing phase.

- Design and Development for OBIS, PRAWN and the Portal for Release 1 is finalized. Release 1 is currently in System Test, proceeding to User Acceptance Testing (UAT) mode, and is expected to go into Production during the first quarter of CY 2016.
- Design for Release 2, Early Arrest Notification, has also been completed. Expectation is that Release 2 will also go into Production in CY 2016's first quarter.
- The RMS functionality for the Application Program Interface (API) code has been completed. When the API is fully available for publishing and consuming for agencies, it will be made accessible to stakeholders and RMS vendors.
- Requirements Gathering and Design has been completed for version 1 of the RMS vendor integration, which has transitioned into Development.
- CRMVS and POR, Release 3, currently in Development, is expected to transition to Xerox and NEOS to System Test in early CY 2016.
- The Project Management team and Xerox have completed gathering the full Workflow Requirements for UAR Misdemeanor Summons for Release 4. The solution for Erasure has also been completed, along with the adjustment of the release schedule due to Change Control #62.
- Requirements Gathering for Release 5 Search, RMS, ECM and Event Notifications, has been completed, and Design has begun ahead of schedule.

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<sup>1</sup> As of this writing the current FBI CJIS Security Policy is numbered 5.4:

<http://www.fbi.gov/about-us/cjis/cjis-security-policy-resource-center/view>

- Ten percent of the Replication Requirements for Search Release 6 has been completed. This includes the Department of Motor Vehicles (DMV), the Department of Correction (DOC), and the Board of Pardons and Paroles (BOPP). Centralized Infraction Bureau (CIB) has been completed for this release.
- Workflow Releases 7 and 8, along with Search Release 9, have advanced to active Requirements Gathering.
- A draft MOU is being developed for review and approval which will establish that the CTDLC (CT Distance Learning Consortium) will house the CBT (Computer Based Training) and Instructor Led Training (LED) in the Learning Management System (LMS) to train and certify CISS users.
- The CISS Blackboard landing page in the CBT portion of the LMS has been completed.
- The Help Desk along with Xerox and NEOS, LLC, has completed approximately 90 percent of the content for three training modules (the User Search Training, Administrator Training and Audit Training modules).
- The CISS User Authorization Form (CUAR) has been drafted, which will allow a CISS user account to be created electronically. With proper approvals, the application enables users to qualify for appropriate training and will also allow for the designation of Global Federated Identity and Privilege Management (GFIPM) search claims security.
- The SharePoint Community site and Agency CISS interface sites have been activated and have been accessible to agencies since its inception. Documents and diagrams are uploaded as they are created for stakeholder access. Recently completed and posted diagrams include User Logon, the Multi-Factor Authentication (MFA) Process, User Provisioning Workflow, and CISS Connectivity with Security.

### **CISS Anticipated Activities – Next 180 Days (January 1 – June 30, 2016)**

- Release 1: PRAWN, OBIS, and Portal UI
  - System Test, User Acceptance Testing in the fourth quarter of 2015; and Production ready in the first quarter of CY 2016
- Release 2: Advanced UAR and Misdemeanor Notifications
  - System Testing, UAT in January 2016; Production in February / March 2016
- Release 3: POR, CRMVS, Portal UI
  - Development with System Test early 2016; UAT at end of March 2016
- Release 4: UAR and Misdemeanor Summons
  - Complete Design and start Development
- Release 5: RMS Search, Events and ECM Search and Retrieval
  - Complete Requirements and Design
- Release 6: CIB, DOC / BOPP CM, DMV
  - Complete Design and start Development
- Release 7: Infractions
  - Start Requirements

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- Release 8: Post Arrest, Arraignment, Disposition and Post Judgment
    - Complete Requirements and Design
    - Start Development
  - Release 9: SOR, MNI / CCH, Weapons, CMIS and COLLECT
    - Gather Requirements
  - Release 5: RMS Search, Events and ECM Search and Retrieval
    - Complete Requirements and Design
  - RMS Vendor Collaboration: CT: CHIEF and Accucom
    - Design, Development, System Test, UAT and Production
  - CISS Training:
    - Twenty-two Police Departments, Judicial, BOPP, DOC and OVA
    - Complete Computer Based Training (CBT) and Instructor Led Training for officers who require POST Certification hours

### **RMS Certification — Background**

Records Management System (RMS) Certification is a collection of guidelines, programming, and processes intended to ensure law enforcement agencies (LEAs) can efficiently, securely, and effectively exchange criminal justice information between their RMS systems and other CT law enforcement and criminal justice agencies using CISS.

Two vendors, KT International (CROG CT: CHIEF) and Accucom, have been selected to participate as pilot RMS vendors for Release 2. In order for RMS vendors to become certified, they must meet the requirements set forth by CISS.

### **Key Accomplishments –Period Ending December 31, 2015**

- The CJIS Public Safety Liaison, who is a retired Connecticut law enforcement officer, completed 49 site visits to local LEAs, including an evaluation of the network infrastructures.
- Sixty-nine police department routers were connected to PSDN. Five of the 11 police departments that did not originally purchase routers have, or are in the various stages of acquiring the routers.
- The CJIS Public Safety Liaison also tested the Multi-Factor Authentication (MFA) solution for CISS access.
- The CT: CHIEF Hosting Pilot MOU has been sent to CROG for review and signature, and a resolution to enter into the MOU was adopted by the CJIS Governing Board.

### **Anticipated Activities – Next 180 Days (January 1 – June 30, 2016)**

- Complete RMS vendor (KTI and Accucom) integration through System Test, UAT and Production.
- Continue to work with the RMS vendors to get their applications certified for CISS. Visits to each site are planned in the coming months.
- Actively work on the CT: CHIEF RMS with KTI for RMS certification.
- The Wethersfield Police Department will be the first to participate in CJIS hosting of CT: CHIEF.

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- Plymouth will be the first police department utilizing the Accucom CISS RMS certified application for Workflow Release 2, Early Arrest Notification.

## **RMS Network**

### **RMS Network - Background**

The CJIS team has been working with DAS/BEST towards the successful installation of a secure data communications network that would support the exchange of information between local LEAs.

### **Key Accomplishments – Period Ending December 31, 2015**

- The Help Desk created the CISS User Access Request (CUAR), which captures all necessary information to generate an electronic user account within the CISS application. The CUAR Form reflects the user's department, ORI, assignment and email, along with specifying their Multi-Factor Authentication (MFA) information and type of training needed. With proper signature approvals and designation of Global Federated Identity and Privilege Management (GFIPM) claims, the user will be allowed to view and search appropriate data sources. CISS training is also predicated on fulfilling the CUAR process. The Agency head or the department designee must approve the request along with the Terminal Access Coordinator (TAC). An electronic copy of the CUAR is sent to CJIS, while the original is maintained at the respective agency.
- Ongoing meetings were, and will continue, to be held with Judicial, the DMV, the BOPP and the DOC to assess their connectivity capabilities in preparation for interfacing to CISS. Considerations include gauging the level of work for the CJIS technical experts who will make up the tiger team to help these agencies with the technical work that may be needed, and determining their workflow needs. Two agencies, the DMV and Judicial are requesting help in this respect due to lack of resources and/or skills to complete the work efforts involved in the implementation of CISS connectivity. Details will be worked out as requirements are finalized.
- The Connecticut Police Chiefs Association (CPCA), CJIS and BEST technology teams are installing and configuring routers on the Public Safety Data Network (PSDN) to support CISS Information Exchanges with LEAs.
- There are 22 police departments slated to connect to CISS for Search Release 1.
- A total of 81 police departments have purchased routers for the CISS project. Of the 81 departments, 69 departments are connected to the state network with initial connectivity.
- The State submitted the request to the FBI for CJIS to be deemed a non-criminal justice agency that can receive and transmit FBI data. In June 2015, the FBI approved the CISS Overview document and the Statement of Understanding approving CISS' access to FBI data as proposed in the submitted materials.

### **Anticipated Activities – Next 180 Days (January 1 – June 30, 2016)**

- CJIS and DAS/BEST will schedule 12 local police departments for router configuration.
- CJIS' Public Safety Liaison will continue to work with DAS/BEST and five additional police departments who have purchased or are in various stages of acquiring routers to connect to PSDN upon installation.
- CJIS' Public Safety Liaison will continue to work with six police departments that have not yet committed to purchasing routers.

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- CJIS will continue to conduct site visits and surveys at local police departments to address issues, concerns and questions regarding CISS and CJIS initiatives.
  - The Learning Management System in conjunction with CT Distance Learning Center (CTDLC), is close to completion, and will be ready to support Release 1.

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## CISS — Conclusions

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The CISS project, which restarted in late February 2015 after delays and lengthy contract negotiations, is preparing to establish the benchmark of Phase 1 with the Production of Search Release 1, PRAWN, OBIS and Portal/User Interface. This release, which will go live in the first quarter of 2016, will provide secure access to the search functionality through the CISS portal. It will provide the foundational infrastructure for searching, while enforcing data and access security controls. The first release will institute audit logging/tracking capabilities, while also establishing the look and feel of the interface part of the search application.

Project work on all releases, 1 through 9, has been underway, and each is on schedule or is being completed ahead of schedule. Workflow Release 2, Early Arrest Notification, is also expected to be in Production in the first quarter of CY 2016.

Eighty-one police departments have purchased routers for the CISS project. Of the 81 departments, 69 departments are connected to the state network with initial connectivity. There are 22 police departments slated to connect to CISS for Search Release 1.

The Wethersfield Police Department will participate in the CJIS hosting pilot with the first certification of CT: CHIEF owned by the Capitol Region Council of Governments (CRCOG) and developed by KT International.

CJIS is also working with Accucom (formerly known as Hunt) to connect to CISS.

The Help Desk created the CJIS User Access Request (CUAR), initiating the establishment of an electronic CISS user account. The CUAR will predicate training and will establish GFIPM claims for accessing appropriate data sources.

The Public Safety Liaison and Help Desk Manager are preparing for training and deployment of Release 1. The Learning Management System will enable Computer Based Training and Instructor Led Training (for POST credit hours). Recertification will be every two years.

Approximately 90 percent of the production of the training modules by the CJIS Help Desk, Xerox and NEOS, LLC has been finalized. The modules include the User Search Training, Administrator Training and Audit Training.

In summary, the CISS project is on schedule with the Release Plan, with some items finishing ahead of schedule, and preparations are underway for training. Infrastructure is being built to support CISS and to authenticate users.

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# Project Health Check Services

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## Project Health Check Services - Background

Project health checks are independent snapshots of the status of a project at a point in time and are typically performed at key milestones or when issues are noted. Project health check offers an objective assessment of how well the project is performing in substance against stated objectives and in accordance with relevant processes and standards. The Qualis project health check is performed quarterly, and the findings are presented at the quarterly CJIS Governing Board meetings. Data compiled in health check reports is gathered from stakeholder agency surveys and interviews. This report, which contains the most recent data collected, reflects the current status of stakeholder input on the CISS project.

## Project Health Check Services – Report

Agencies have reported their observation that the Governance Committee has been more involved in resolving key project issues over the past quarter. Since this increased engagement is having a very positive impact on the project, the CJIS Project Management Office (PMO) should continue to escalate unresolved issues to the Governance Committee’s issue log for resolution. Agencies are hopeful that Governance Committee decisions can continue to keep the project moving past many of these obstacles.

There are three new risks added to the Critical Risk register.

- Risk #1 deals with the potential of the project's change control to impact the budget and timeline.
- Risk #2 covers the cross-agency policies and procedures (workflows) that are needed to be in place to support various release implementations. (Both risks 8 and 9 have mitigations recommending that the Governance Committee work with agencies or the PMO to find solutions.)
- Risk #3 was added to address the delays in defect resolution.

## Overall Project Health (+.06)

Last Year Score            2.57

Last Quarter Score        2.67

Current Quarter Score    2.73

This score is calculated by averaging agency responses across all categories, which are: Scope, Development, User Involvement, Organization, Oversight, Project Management, Project Controls, Implementation, Contractor Performance, Technology, Alignment to Vision and Measurement. The overall project score increased from 2.67 to 2.73

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## Risks, Issues and Mitigations

Although scores rose in this last quarter the following new and pre-existing concerns are being addressed for the value of the CISS application to be fully realized.

- Stakeholder agency (s) will not agree on an outstanding parking lot issues (like data sharing and security), stalling the project. The project is at a critical point. The CJIS PMO needs assurances from all agencies that key data will be made available to the project in a viable timeframe. There are potentially critical project impacts if the project gets deep into requirements without assurances of which source systems will be available and the timeframe for allowed.

*The PMO needs to establish a high-level agreement with each agency from which the project will receive data to ensure the breadth and timeline to receive that data.*

- The 18 unfilled state full-time employee positions for the project are not filled. The vacancies cause operational support issues, and require the project to hire consultants using resources meant to fund later phases of the project. This is on hold until the Executive Director position is filled.

*Viable candidates for the Executive Director position were identified, and interviews were held. CJIS PMO did not lose or hire any project managers over the last quarter.*

- Change Control Management may not be flexible enough to quickly address required project changes. If changes to requirements are not addressed quickly, the system may be developed and implemented with a backlog of known issues, rendering the product unusable. The project may not have sufficient flexibility in the budget and timeline to manage these changes.

*The CJIS Change Control Board has been established to review agency changes that may impact the CISS Project.*

- Agencies will not have the support systems or procedures in place at implementation, impacting the project's success. If the project implements without the required support systems, policies, and procedures in place, it will likely impact the perceived success and could stall the productive use of the system until those items are addressed. Agencies need a document that aligns the project schedule with the agency's schedule and identifies the resources needed for each task and gaps.

*The PMO is updating the Level of Understanding document with each agency to estimate ongoing resource needs by release and date. The PMO is also discussing workflows with impacted agencies and will escalate any issues to the Governance Committee through the (acting) executive director.*

- The CJIS QA testing and Xerox defect resolution will continue to impact the project schedule. The high number of defects found by the CJIS QA team in the Xerox code for Release 1 is impacting the schedule and may impact future testing. If this process cannot be streamlined, each release could likely have similar delays.

*The CJIS QA testing team is working with the Xerox development and testing team to improve this process moving forward.*

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## Project Balance Tracking

Surveys suggest that overall agencies are optimistic about the resolution of key issues now that they see increased involvement by the Governance Committee. The Governance Committee, working with the PMO, should ensure that required supporting systems across the various agencies are in place when the project schedule necessitates by establishing mile-stones. This group should also work on standardization of policies and procedures for the cross-agency workflow. CJIS staff and the PMO are discussing workflows with impacted agencies and will escalate issues as they arise to the Governance Committee through the (acting) executive director. If issues and risks continue to be addressed timely, the project will be able to continue marching forward with stakeholder agencies that largely believe in the vision and want to work towards its successful implementation.

## Appendix A – CJIS Open Positions

The CJIS Governing Board approved all ranked 19 positions as full-time state employees, one of which was filled. For the remaining 18 positions, DAS is working to align the CJIS job requirements with their job classification system and compensation package.

Additionally, FCC changes may impact the pay phone revenue funding for these positions. Alternate funding is being explored. These positions need to be filled as soon as possible given that the first Production Release of CISS is scheduled for the first quarter of CY 2016.

Hiring Needed	Position Name	Needed Start Date	Status
1	Help Desk Lead	1/12/14	Hired
2	Senior Microsoft Certified System Engineer (MCSE) Administrator	2/17/14	On Hold
3	Senior SQL Database Administrator (DBA) (1 of 2 positions)	2/17/14	On Hold
4	Lead Senior .NET Developer (1 of 2 positions)	2/17/14	On Hold
5	CISS Application Trainer / Help Desk Support	2/17/14	On Hold
6	Enterprise Architect	2/17/14	On Hold
7	Senior SharePoint Developer (1 of 2 positions)	2/17/14	On Hold
8	Senior Project Manager	2/17/14	On Hold
9	Senior Test Lead	2/17/14	On Hold
10	Help Desk Analyst (1 of 3 positions)	2/17/14	On Hold
11	Senior .NET Developer (2 of 2 positions)	2/17/14	On Hold
12	Technical Writer	2/17/14	On Hold
13	Senior SQL Database Administrator (DBA) (2 of 2 positions)	6/16/14	On Hold
14	Technical Business Analyst	6/16/14	On Hold
15	Help Desk Analyst (2 of 3 positions)	10/20/14	On Hold
16	Help Desk Analyst (3 of 3 positions)	10/20/14	On Hold
17	Senior SharePoint Developer (2 of 2 positions)	11/03/14	On Hold
18	Business Analyst (1 of 2 positions)	11/03/14	On Hold
19	Business Analyst (2 of 2 positions)	11/03/14	On Hold

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## Appendix B - Acronyms

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AFIS = Automated Fingerprint Identification System  
AST = Application Support System  
BEST = Bureau of Enterprise Systems and Technology  
BICE = Bureau of Immigration and Customs Enforcement  
BOPP = Board of Pardons and Paroles  
CAA = Community Agency Administrator  
CAD = Computer Aided Dispatch  
CBT = Computer Based Training  
CCH = Computerized Criminal History (DESPP)  
CIB = Centralized Infraction Bureau (Judicial)  
CIDRIS = CT Impaired Driver Records Information System  
C-ISO = CJIS Information Officer  
CISS = CT Information Sharing System  
CIVLS = CT Integrated Vehicle & Licensing System  
CJIS = Criminal Justice Information System  
CJPPD = Criminal Justice Policy Development and Planning Division  
CMIS = Case Management Information System (Judicial - CSSD)  
COLLECT = CT On-Line Law Enforcement Communications Teleprocessing Network (DESPP)  
CPA = CT Police Chiefs Association  
CRCOG = Capital Region of Council of Governments  
CRMVS = Criminal Motor Vehicle System (Judicial)  
CSO = CT Information Security Officer  
CSSD = Court Support Services Division (Judicial)  
CUAR = CISS User Authorization Request  
DCJ = Division of Criminal Justice  
DAS = Dept. of Administrative Services  
DESPP = Dept. of Emergency Services and Public Protection  
DEMHS = Dept. of Emergency Management and Homeland Security  
DMV = Dept. of Motor Vehicles  
DMV LOBS = Dept. of Motor Vehicles / Line of Business (DMV)  
DOC = Department of Correction  
DOIT = Dept. of Information Technology  
DPDS = Div. of Public Defender Services  
Enhanced CBT = Instructor Led CBT (POST)  
FOIA = Freedom of Information Act  
GFIPM = Global Federated Identity and Privilege Management (security standard used by FBI)  
JMI = Jail Management System  
JUD = Judicial Branch  
LASO = Local Agency Security Officer  
LEA = Law Enforcement Agency  
LIMS = State Crime Laboratory Database

MNI = Master Name Index (DESPP)  
OBIS = Offender Based Information System (DOC)  
OBTS = Offender Based Tracking System  
OCPD = Office of Chief Public Defender  
OVA = Office of the Victim Advocate  
OVS = Office of Victim Services  
OSET = Office of Statewide Emergency Telecommunications  
POR = Protection Order Registry (DESPP)  
PRAWN = Paperless Re-Arrest Warrant Network (Judicial)  
PSDN = Public Safety Data Network  
RMS = Records Management System  
SCO = Superior Court Operations Div. (Judicial)  
SLEO = Sworn Law Enforcement Officer  
SOR = Sex Offender Registry (DESPP)  
SPBI = State Police Bureau of Identification (DESPP)  
SLFU = Special Licensing of Firearms Unit (DESPP)  
TAC = Terminal Access Coordinator  
UAR = Uniform Arrest Report

### Technology Related

ADFS = Active Directory Federated Services  
API = Application Program Interface  
COTS = Computer Off The Shelf (e.g., software)  
DNS = Domain Name System  
ECM = Electronic Content Management  
ETL = Extraction, Transformation, and Load  
FIM = Forefront Identity Manager (Microsoft)  
GUI = Graphical User Interface  
HAC = High Availability Clusters  
IAFIS = Integrated Automated Identification System  
IEPD = Information Exchange Package Document  
IExUI = Information Exchange User Interface  
IST = Infrastructure Support Team  
I-SIM = IBM Secure Identity Manager  
IST = Infrastructure Support Team  
LAN = Local Area Network  
LMS = Learning Management System  
MFA = Multi-Factor Authentication  
NAT = Network Address Translation  
ORI = Originating Agency Identification  
PCDN = Private Content Delivery Network  
POC = Proof of Concept  
RDB = Relational Database  
SAN = Storage Area Network  
SCOM = Systems Center Operations Manager  
SDLC = Software Development Life Cycle  
SDM = Software Development Model  
SME = Subject Matter Expert  
SOA = Service Oriented Architecture  
SQL = Structured Query Language