

I. Program Identification

Project Title:

Agency Name:

Dept. of Emergency Service and Public Protection	State Police Bureau of Identification
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II. Program Description

A. Project Dates

Proposed Start Date (Month/Year)	Expected Completion Date (Month/Year)	Project Duration (in months)
<input type="text" value="07/1/2013"/>	<input type="text" value="1/31/2016"/>	<input type="text" value="30"/>

B. Project Description This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

The current project seeks to modernize Connecticut’s CCH, re-architecting the application and underlying database so that it can meet the current and future needs of the criminal justice community and private citizens in our state. In rebuilding CCH with modern technology, we will be able to provide real-time rap-back notifications to various subscribing agencies; online payments and online requests for background checks integrated into the CCH; fluid integration with other important information sharing systems, including the Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT, the state’s gateway to NCIC/NLETS), the Connecticut Information Sharing System (CISS), and the Weapons Registration System; and technology that can more adequately address the growing backlog of background checks in our state.

C. Summary.

Summary - Describe the high level summary of this project in plain English without technical jargon

DESPP proposes to design, convert, and build a web-based records management system that will provide more timely and complete processing of arrest and disposition records in the state criminal history repository (MNI/CCH). DESP also proposes to implement new automated procedures to replace existing manual steps in the MNI/CCH process. This will improve the availability, accuracy, and completeness of criminal histories records in the repository.

The MNI/CCH Modernization will encompass several activities, including converting the obsolete programming code to modern programming code, developing a web-based electronic record management application, and automating various manual operations. The resultant application will provide more timely and complete electronic disposition of criminal history records from the courts than now takes place with the COBOL-based version of MNI/CCH and related manual procedures.

DESPP seeks to rewrite this legacy MNI/CCH application so that it is on the same modern, supportable, and adaptable platform as the state's rewritten NCIC and NLETS gateway system, COLLECT, the Connecticut On-Line Law Enforcement Communications Teleprocessing system. This will allow for cross-application support of the two primary law enforcement applications in the state.

Purpose – Describe the purpose of the project

Modernization of Connecticut's CCH is needed for several reasons. First and foremost, newer technology is needed to facilitate ongoing maintenance and critical system modifications. The current CCH was written with a 30 year-old application-development tool (TELON) that generates programs in an old language (COBOL) no longer taught in universities. It is exceedingly difficult to find programmers with sufficient expertise in the old language or the application development tool, making it costly and risky to make even routine modifications to the CCH. Connecticut has just one full-time developer with only limited exposure to new CCH technologies, and this developer will be retiring in just a few years. A modernization effort must commence immediately in order to complete the project prior to the retirement of our CCH developer. The CCH modernization would replace the old CCH with more mainstream application technologies – technologies that are taught in universities, that align with State technology architecture standards, and that have many skilled developers in the labor market.

Second, the modernization project is needed to seamlessly integrate with important new technologies in Connecticut. Recently, we modernized the COLLECT System, which serves as the state's gateway to NCIC and NLETS and otherwise serves as the main information hub for criminal justice agencies in Connecticut. The new COLLECT System provides modern electronic interfaces (web service interfaces) to various information systems, including CCH; however, the interface to CCH is a mainframe retrofit, rather than a robust, maintainable end-point for information exchange. A modernized CCH would replace the retrofit interface with a modern interface to COLLECT. We are seeking funds to modernize our Special Licensing and Weapons Registration System (SLWRS), which is used to manage all gun sale authorizations and pistol permits in the state. Currently, SLWRS receives CCH data via screen-scraping technology, technology that requires human visual inspection and data entry in order to process criminal history data. As part of the modernization of SLWRS, the new system will be capable of receiving CCH data through a modern electronic interface, an interface that has the CCH data pre-parsed into recognizable data fields, which can be processed automatically by SLWRS. Unfortunately, the CCH system needs to be modernized in order for that system to expose a modern interface to SLWRS. Finally, the state is in the middle of implementing CISS, a new statewide criminal justice information sharing system. This system is built upon state-of-the-art technology that provides real-time integrated access to various state databases, including CCH. While CISS technology can make use of the current CCH, the current CCH cannot take advantage of some of the benefits of CISS, including a statewide tracking number for persons in the criminal justice system. A modernized CCH would be able to consume data from CISS through modern interfaces, thus improving interoperability with this important new system.

Third, CCH needs to be modernized to handle the increasing demand of background check services in the state. Over the past ten years, several state laws have been enacted which require fingerprint-supported criminal background checks for certain job applicants (e.g., bus drivers, long-term health care employees, foster care providers ... etc.) and

persons seeking certain credentials (pistol permits, pawn shop permits ... etc.). We anticipate that the demand for these services will continue to increase in the future. At the same time, the state's human resources to handle these services have not increased. The result has been an ever-growing backlog of criminal history checks, where the average turn-around time for background checks is over eight weeks (without considering delays external to our agency). To address this growing backlog, we are seeking to automate background check processes as much as possible, including automating some of the processing done in our Automated Fingerprint Identification System (AFIS), providing the capability for persons to request and pay for background check services online, and further automating processes in CCH. In order to realize this automation, we need to rewrite our CCH so that it uses more modern technology and more modern interfaces. Simply put, there is only so much automation that we can do with the current technology, without running the risk of compromising current CCH functionality.

Finally, CCH needs to be modernized in order to pave the way for Connecticut to attain National Fingerprint File (NFF) compliance. For years, Connecticut has been unable to address compliance with NFF due to the age of our technology and our limited ability to enhance such technology. Compliance with NFF would be a monumental undertaking, given our present technology. While we recognize the importance of eventually complying with NFF, at present we cannot move toward such compliance until our CCH is on a more modern technology platform, where enhancements could be achieved without significant risk to current operations. Once CCH is modernized, we can recommence the process of planning NFF compliance. Similarly, a modernized CCH would make it easier for Connecticut to take advantage of important new services to be offered by the FBI, including federal rap-back capabilities.

Importance

Connecticut's Computerized Criminal History System (CCH) provides official arrest and conviction records to several information consumers in the state, including all law enforcement agencies, many state and local government agencies, and private citizens. CCH provides law enforcement with relevant background information on persons of interest; it provides government agencies with information used to disqualify certain job applicants or to deny certain persons seeking pistol permits; and it provides private citizens with the ability to obtain official criminal records for themselves or other persons. CCH is a critical component of Connecticut's criminal justice information system (CJIS), having direct or indirect interfaces with mission critical systems in various state agencies – systems that continue to evolve in complexity, scope, and integration requirements.

Despite its business importance to the criminal justice system and community, CCH is over 30 years old and technologically obsolete. Integrations between CCH and other systems often involve workarounds that significantly compromise our efforts to automate and streamline the flow of information across the criminal justice information pipeline. Requirements concerning rap-back (arrest and conviction notification system), ecommerce (online requests and payments for services), and NFF compliance cannot be met adequately with the current CCH. Also, with the current CCH and its limited automation capabilities, there is an unacceptable turn-around time for job applicant background checks, a delay that may grow as the volume of background checks (especially employment- and firearm-related checks) in our state steadily increases. Finally, the current CCH has only limited integration with the state's Special Licensing and Weapons Registration System (SLWRS), which is used to manage gun sale authorizations and registrations and pistol permits. SLWRS receives CCH data via "screen scraping" technology, which is not capable of fully processing criminal history data.

The current project seeks to modernize Connecticut's CCH, re-architecting the application and underlying database so that it can meet the current and future needs of the criminal justice community and private citizens in our state. In rebuilding CCH with modern technology, we will be able to provide real-time rap-back notifications to various subscribing agencies; online payments and online requests for background checks integrated into the CCH; better integration with evolving, state-of-the-art information sharing systems, including the Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT, the state's gateway to NCIC/NLETS) and the Connecticut Information Sharing System (CISS); technology that is capable of moving toward NFF compliance; and technology that can more adequately address the growing backlog of background checks in our state.

Outcomes

The project will result in a new Criminal History System with several features:

- Written on the latest Java and DB2 platforms
- Provides source code management, which the current system lacks
- Integrates more efficiently with the FBI via the new COLLECT system
- Provides integrated online self-service name/DOB-based checks
 - Allows for automated responses when there is no hit on name/DOB.
 - Significantly reduces the number of manual name/DOB searches conducted by SPBI Staff (est. reduction of 1,000 criminal history checks/week).
- Provides integrated criminal history check workflows and electronic tracking
- Provides canned and ad-hoc reporting to accommodate information requests from law enforcement agencies and legislative leaders.
- Includes additional security measures to be in compliance with state and federal regulations and law to ensure protections against possible intrusions and threats via internet
- Lays the technological foundation for utilization of FBI's rap back capabilities (nationwide conviction notification services) and further compliance with FBI standards (National Fingerprint File).
- Includes miscellaneous quality control code to ensure that all data are entered correctly

Approach and Success Evaluation

The project will be successful to the extent that (a) each of the above features are implemented without significant defect and utilized by the intended users, (b) a significant percentage (>60% after two years) of name/DOB criminal history checks are initiated and paid for via online self-service capabilities, and (c) no security vulnerability is identified for which there is no imminent fix.

D. **Business Goals.** List up to 5 key business goals you have for this program, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 25%". In the metrics column, please explain what data you will use to demonstrate the goal is being achieved and am current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Value	Expected Value
Provide on-line payment and requests for name/DOB checks	FY15	All name/DOB checks are requested via paper forms and paid for via check, money order, or cash.	A significant percentage of name/DOB checks are requested via online electronic form and paid for via online credit card payment processing service.
Provide full integration with new Weapons Registration System (SLWRS)	FY16	The criminal history system is minimally integrated with the SLWRS. Duplicate data entry occurs	The criminal history system will be fully integrated with SLWRS, with data linkages on State ID Number (SID) and the ability for SLWRS to lookup person data in MNI/CCH.
Provide complete, real-time state-level rap-back services for all subscribing agencies.	FY16	There is limited, monthly rap-back capabilities for some agencies.	Any agency can subscribe to state conviction notification services and receive real-time notifications of

			convictions as they are processed by SPBI.
Provide integration with federal rap-back services.	FY16	There is no integration with federal rap-back services.	Any agency can subscribe to federal conviction notification services and receive real-time notifications via MNI/CCH.

E. **Technology Goals.** List up to 3 key technology goals you have for this program and when (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

Technology Goal		Target FY for Goal	
Replace antiquated programming code with modern, enterprise programming language code.	FY16	All application functionality is provided by COBOL and Assembler programming code.	All application functionality is provided by Java programming code.
Replace two-tier architecture with three-tier (web, application, database) architecture	FY14	Replace two-tier architecture with three-tier (web, application, database) architecture	FY14

F. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

Priority Criterion	Y/N	Explanation
Is this project aligned with the Governor's Key Priorities?	Yes	The project will increase the number of user friendly, e-government (online) services offered by the state.
Is this project aligned with business and IT goals of your agency?	Yes	The project will improve efficiencies in agency services offered to the public and reduce backlogs for these services.
Does this project reduce or prevent future increases to the agency's operating budget?	Yes	The project will prevent future increases to the agency's operating budget. Without this project, the agency could spend many tens of thousands of dollars on consultants to maintain the old programming code
Will this project result in shared capabilities?	Yes	The project will improve interoperability with the federal government and state agencies by introducing real-time rap-back services .
Is this project being Co-developed through participation of multiple agencies?	Yes	BEST would host the web, application, and database servers.
Has the agency demonstrated readiness to manage project of this size and scope?	Yes	Yes, the agency has a project manager who can manage the project from its inception.
Is the agency ready to deliver the business value proposed?	Yes	Yes, we are confident that the business value will be delivered with the implementation of the product.

G. **Organizational Preparedness.** Is your agency prepared to undertake this project? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

DESPP is prepared to undertake this project. Senior management recognizes the importance of this project, and they are willing to commit resources to ensure the project's success. The project will be managed by a dedicated project manager. In addition, IT staff will coordinate work of consultant programmers.

H. **Program Ramp Up.** If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any of these already been started? For example, is a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

Ramp up time will be approximately 3 - 6 months. The key requirement is to interview and hire a Business Analyst and technical writer to research and document the requirements. The intention is to then transition DESPP staff and consultants currently working on the COLLECT V2 to the new project. This transition can begin as soon as 7/2013.

I. **Organizational Skills.** Do you have the experienced staff with the proper training to sustain this initiative once it's a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

One of the keys to this project is to develop the application using the same technologies as in the COLLECT V2. The agency has committed to training existing developers and to hiring two new JAVA developers.

J. **Financial Estimates.** Include summary from 1B Spreadsheet ?

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
\$2,882,511	\$2,882,511	\$ 140,000	\$0	\$175,000
Explanation of Estimates				
Estimates include the cost of consultants to perform the coding, Business Analyst and Technical writer for documentation, and a software tester. This estimate includes hardware and software purchases to support the same. Included are estimates to upgrade the mainframe to support an additional load.				

III. Expanded Business Case

- A. **Program Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this program have, if any, in the targeted areas below 2) What would be the impact of not doing this program 3) How will the program demonstrate benefits are achieved.

(1) Impact Area (Vision)	Description of Program Impact
Provide efficient and easily accessible services for all constituents	Project will ultimately establish a framework for allowing the public to access their histories on-line.
Provide a faster response time for requests.	Project accomplishes this by eliminating many of the manual steps currently involved in processing requests for histories.
Establish efficient and modern business processes	Project accomplishes this by allowing the business to access electronic workflows

2) Impact of NOT doing this program:

The MNI/CCH application will soon be unmaintainable. The technology used is no longer being taught and the current developer is nearing retirement age. Failure to do this project will affect all agencies that rely on accurate and timely criminal histories. Also affected will be the ability of DESPP to fill requests in a timely manner. Recently there have been significant backlogs in filling requests from the public. Other units within the agency are moving to automate processes, failure to update the MNI/CCH and automate the workflow will cause an bottleneck.

(3) How will you demonstrate achievement of benefits:

We will demonstrate achievement of benefits by keeping track of (a) the number and percentage of name/DOB checks that are requested and paid for via online services, (b) the number and percentage of no-hit responses initiated via online services, (c) the number of subscriptions to state and federal rap-back services, (d) the number of conviction notifications sent to subscribing agencies, and (e) the lines/percentage of COBOL/Assembler code transitioned to Java.

- B. **Statutory/Regulatory Mandates.** 1) Cite and describe federal and state mandates that this program in intended to address. 2) What would be the impact of non-compliance?

(1) Statutory / Regulatory Mandates:

The State Police Bureau of Identification (SPBI) conducts state-mandated criminal history checks on tens of thousands of individuals each year. The statutes that mandate these checks include: 6-32g, 7-148w, 7-169d, 7-169i, 10-212, 10-221d, 10a-22c, 12-286, 12-330b, 12-436, 12-456, 12-559, 12-578, 12-586f, 12-586g, 12-815a, 13b-97, 14-9a, 14-44, 14-69, 14-73, 17a-6a, 17a-114, 17a-115a, 17a-151, 17a-227a, 17a-450c, 17b-651a, 17b-749k, 17b-750, 18-81l, 19a-40a, 19a-80, 19a-87b, 19a-491b, 20-678, 20-691, 21-40, 21-100, 22a-6m, 22a-6o, 29-17a, 29-17b, 29-29, 29-36g, 29-145, 29-152f, 29-155, 29-156a, 29-161q, 29-349, 30-17b, 36a-70, 36a-102, 36a-437a, 36a-488, PA-12-96, 38a-660, PA-12-131, PA-13-3.

(2) Impact of non-compliance:

Each year SPBI is mandated to perform yet additional criminal history checks. Without attention to modernizing MNI/CCH and automating many processes in MNI/CCH, SPBI cannot handle their evolving workload. Furthermore, without MNI/CCH being on a maintainable platform, the State risks future downtime and system failure of criminal history checks.

C. Primary Beneficiaries. Who will benefit from this program (citizens businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way?

Citizens, businesses, government agencies and municipalities when requesting histories

IV. Financial Analysis

A. Estimated Program Development/Implementation Costs- Total Costs.

1) Total **Cost Estimate.** Please go to the TOTAL Program Cost Spreadsheet and estimate the total program costs by program year. Totals should correspond to entries in part II.XXXXXX of this form.

2) **Assumptions.** Please list key assumptions you are using to estimate program development and implementation costs.

FileNet and IBM Case Management software products already installed at BEST will be used as the base for the development of this case management solution. This application will take full advantage of the web portal, online authentication, public self serve account management webpage, and the online epayment options. All of these features are currently being developed for the UST / Stormwater online registration project.

B. Estimated Program Development/Implementation Costs - IT Capital Bond Funded Costs, what portion of total program costs do you expect will be funded from IT Capital Bond Funds? Please go to the IT Capital Bond Fund Program Cost spreadsheet in the 113 Excel Workbook, and estimate the IT Capital Bond funded portion of program costs by program year using as many columns as needed.