

I. Project Identification

Project Title: OPA Central Registry Abuse Investigation Database - Requirements

Agency Name	Agency Business Unit
Protection and Advoacay for Persons with Disabilities	

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II. Project Description

A. Project Dates

Proposed Start Date (MM/DD/YYYY)	Expected Completion Date (MM/DD/YYYY)	Project Duration (in months)
07/01/15	06/30/2017	24

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

The Protection and Advocacy Central Registry Abuse Investigation Database (PACRAID) is a web based investigative information and case management system which dramatically increases the state's ability to identify, respond to and ultimately reduce incidents and patterns of abuse and neglect by caregivers and furthers Connecticut's commitment to leading the nation in protecting our most vulnerable citizens. Project PACRAID will overhaul and replace several limited outmoded databases with one programmatic/forensic investigative case management information system overseen by The Office of

C. Summary.

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

The Office of Protection and Advocacy (OPA) is responsible for overseeing Connecticut's investigative and protective service response system to allegations of abuse and neglect involving individuals with intellectual disabilities. OPA is also statutorily responsible for maintaining a central registry for such abuse and neglect cases. Approximately twelve hundred referrals of suspected abuse and neglect are reported each year for response and investigation. As a practical matter, OPA's ability to competently handle this number of referrals requires the coordination and cooperation of several organizations, most notably the Department of Developmental Services (DDS) and the nearly two hundred private agencies that contract to provide services for DDS clients. All of these agencies share investigative responsibility. Yet, there is no single information system in place to facilitate the business of protecting citizens with intellectual disabilities.

For the last twelve years, OPA has been utilizing an internal ACCES database to track case activities throughout the state and serve as a central registry for case related information. Several man hours are required to keep this database up to date. DDS Division of Investigations has similarly been tracking abuse investigation cases by way of their own separate ACCES database. Provider agencies that conduct investigations are unable to access either OPA's or DDS's data systems, resulting in hundreds of investigative man hours having to be dedicated each month to maintaining the system throughout the state. The volume of investigative information generated and collected for case resolution is ever increasing and the demands for statistical information have mushroomed far beyond the parameters of the original ACCES product design. At least three agency reviews by the Auditors of Public Accounting have recommended that OPA receive appropriate funding to modernize its database system. The need to update this critically vital data system is real. During 2014 and into 2015, OPA completed a Lean Process in conjunction with the Connecticut Department of Labor relating to the Abuse Investigation Division and its Intake and Referral Process. As a result of that process the Center for Lean Government Services recommended that OPA develop a new database system.

During several meetings and consultations between the Department of Information Technology (DOIT and now BEST) and OPA over the last five years alternatives for replacing or upgrading the existing OPA database were explored. Most options were ultimately deemed to be impractical or cost prohibitive (or both). However, eventually certain web based investigative data system products were identified as being both powerful and relatively inexpensive ways to upgrade the OPA central registry database system. Further exploring revealed that such web based investigative products are presently in use throughout the country and primarily by law enforcement and child protection agencies. The advantages of these products over traditional mainframe systems appear to be many. These products are designed to accommodate the specific needs of investigative agencies and are continually updated in order to maintain state of the art information system technology. Web based systems can be accessed remotely by way of secured password networks, allowing investigators to consult the system from field locations. Web based systems are developed with variable control settings and access levels that allow authorized agencies and personnel to view or generate information without compromising case confidentiality. Web based investigative systems are also able to tap into available national forensic systems, generate complex statistical reports, send email notifications, capture photographic and auditory evidence, reinforce case management timelines and provide inter-case relationship analyses.

The Office of Protection and Advocacy has hosted multiple product demonstrations of this technology in which the features described above were substantially shown to be fully and reliably incorporated into a web based investigative case management system. This technology was observed by both BEST and OPA representatives. The potential now exists to transform all of Connecticut's protection systems by partnering with several different agencies through a shared database system that more closely and thoroughly monitors the progress of evidence collection and the delivery of protective services throughout the state. While the initiative presented here focuses on the Abuse Investigation functions

of the Office of Protection and Advocacy, similar systems could also be easily developed for other state agencies with investigative mandates.

Basically, the Protection and Advocacy Central Registry Abuse Investigation Database (PACRAID) system is a two year plan to upgrade Connecticut's abuse investigation information tracking system and introduce cross agency database access as in order to formulate a more effective regulatory oversight strategy which will generate long term cost savings. During Year One, OPA will replace its outdated database system with a web based design system with features as described above. Also during year one, the system will be introduced to the Department of Developmental Services (Division of Investigations, Contract Management) as part of a state-wide initiative to combine investigative information systems and certain key regulatory oversights. During year two, features of the system will be extended for use by the 193 or so qualified providers who contract with DDS to provide services to individuals with intellectual disabilities.

Features of the PACRAID system will include:

1. A comprehensive state wide investigative database.
2. Web based investigation intake and referral points of entry.
3. State-wide investigative case assignment and case management oversight.
4. State-wide individual protective services support tracking capabilities.
5. State-wide evidentiary data bank.
6. Uniform investigation reports.
7. Inter-agency investigation participation.
8. Automated email notifications to provider agencies, law enforcement officials, courts.
9. State-wide death report tracking capability
10. Automated sanctions for delayed or incompletd investigations.

Purpose – Describe the purpose of the project

The purpose of the project is to make Connecticut's abuse and neglect investigation response system a working network which operates in real time, captures all evidentiary documentation, reduces the time it takes to complete an investigation, has the capacity to regulate provider participants and generates accurate data and thorough investigation reports.

Importance – Describe why this project is important

This is an important project to help turn the curve with regard to the seemingly ever increasing demands that are placed on the state's relatively few and precious available investigative resources. The PACRAID system will be designed to meet several investigative outcomes and mandates through the operation of one single comprehensive investigative information system. PACRAID will streamline investigative functions between multiple agencies and also track the progress of any single investigation. The conversion to a single coordinated information information system will save both state government and private providers hundreds of man hours per year while at the same time allowing for more timely and detailed investigations to surface regarding the status of individuals who have been the alleged victims of abuse or neglect. It is also not an overstatement to mention that more timely investigative and protective service responses will undoubtedly operate to save lives.

Outcomes – What are the expected outcomes of this project

The expected outcomes are for Connecticut’s protective service and abuse investigation capacity to increase dramatically during the next two years without the state having to experience an increase in the number of dedicated professional investigative staff. The system should allow for more cases to be handled per person per year and should also result in more cases being resolved in a more timely manner.

Approach and Success Evaluation – Provide details of how the success of the project will be evaluated

The success of this project will be able to be evaluated in the following ways. Measuring the number of off-hours intakes and referrals received (Expectation is that total number of referrals will rise by up to 50% within two years); measuring the number of cases closed inside standard time frames (Expectation is increase in meeting goal of completing investigations in 90 days); measuring changes in how long protective service plans remain open (Expectation is for 30% drop in average number of open protective service plans); increase in Connecticut’s ability to meet federal tracking and regulatory expectations .

D. **Business Goals.** List up to 10 key business goals you have for this project, 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 50%". In the Expected Result column, please explain what data you will use to demonstrate the goal is being achieved and any current metrics.

Business Goal (Action Phase)	Target FY for Goal	Current Condition	Expected Result
Reduce OPA average investigation completion time frames by 30%	2015-2016	90 Days	90 – 27 = 63 Days
Reduce DDS average investigation completion time frames by 30%	2015-2016	75 Days	75 – 22.5 = 52.5 Days
Reduce private provider investigation completion time frames by 30%	2016-2017	90 Days	90 – 27 = 63 Days
Reduce copying, mailing and delivery costs by 50%	2016	(Need industry wide dollar estimate)	(Need industry wide dollar estimate)
Reduce investigative non compliance rate by 90%	2016-2017	(50)	(5)
Reduce average length of open protective service plans by 30%	2016	(13 months)	(10 Months)

E. **Technology Goals.** From a technical perspective, following the above example, list up to 10 key technology goals you have for this project and in which Fiscal Year (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 OPA current ACCES database with web based product.	2015-2016
Introduce features of PACRAID system to DDS.	2015-2016
Have Connecticut's qualified providers use PACRAID system	2016-2017

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	Multi-agency implications. Downstream cost savings through gains in efficiency.
Is this project aligned with business and IT goals of your agency?	Yes	Web based intake referral capability and real time access.
Does this project reduce or prevent future increases to the agency's operating budget?	Yes	Savings in man hours in both public and private agencies.
Will this project result in shared capabilities?	Yes	Capabilities extend to up to 200 organizations.
Is this project being Co-developed through participation of multiple agencies?	Yes	OPA and eventually DDS and its provider network.
Has the agency demonstrated readiness to manage project of this size and scope?	Yes	OPA already manages the state-wide investigative program which this tool will facilitate
Is the agency ready to deliver the business value proposed?	Yes	

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?

OPA's senior management is prepared to undertake this project. Key project decisions will be made by the Executive Director with the assistance of the Program Director of the Abuse Investigation Division. In addition to the material outlined above, in 2014 OPA completed an internal Lean process with regard to investigative functions which identified the need to upgrade to our current database system.

- H. **Project 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, has a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

It is estimated that the first phase of the PACRAID system could be in place and running by September, 2015. Key requirements are developing on line reporting parameters and provider network participation.

- 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?

It is believed that this system will be able to be hosted by the system developer.

- J. **Financial Estimates.** From IT Capital Investment Fund Financial Spreadsheet

Estimated Total Development Cost	Estimated total Capital Funding Request	Estimated Annual Operating Cost	One Time Financial Benefit	Recurring Annual Financial Benefit
	\$50,000 - \$125,000			
Explanation of Estimates				
This is an estimate of what OPA believes will be the costs associated with having a vendor work with the agency to identify all requirements and costs associated with developing the investigative case management data system. Agency believes this estimate to be reflective of what other Connecticut state agencies have experienced when working with vendors to develop data systems of similar scope.				

III. Expanded Business Case

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

(1) Impact Area (Vision)	Description of Project Impact
Will this project provide efficient and easily accessible services for all constituents?	Yes. It is designed to be accessed by several individuals from anywhere in the state with wireless access.
Will this project promote open and transparent government with the citizens of the state?	Yes. Web based referral reporting (with telephone contact follow-up) allows for anyone to report suspected abuse at any time.
Will this project establish efficient and modern business processes?	Yes. The system uses state of the art database capabilities which are designed to be time saving and business friendly.
Will this project increase accuracy and timeliness of data for policy making, service delivery and results evaluation?	Yes. This database is desperately needed to help Connecticut's service delivery system meet the demands of this century.

2) What is the expected impact of NOT doing this project?

The OPA investigative data system in its current condition is able to facilitate only in house investigations. It is not a reliable source for compiling investigative statistics or overseeing the investigative activities occurring throughout the state in many provider settings. The system, now twelve years old, requires many redundancies and man hours to maintain and will only become more anachronistic moving forward. There is also strong evidence to suggest that the OPA's present ACCES based system will no longer continue to operate properly as older computers are replaced with newer models which are not backward compatible. Presently all of OPA's dedicted investigative computers are over eight years old in order to remain compatible with the database system. It is becoming harder to maintain these computers which are now operating well beyond their original five year mean-time-to-failure estimate.

(3) How will you demonstrate achievement of benefits?

The achievement of benefits will be demonstrated when after two years, the PACRAID system becomes the industry standard for developing an investigative database system that can be extended to multiple government agencies and even beyond to private agencies. The system will have on line complaint reporting features which may be expanded to more than one state agency web page. This will immediately make Connecticut state government more accessible to the average citizen. The system will have multiple and reliable statistical information capabilities which are not currently available. The system will greatly increase the state's ability to respond to vulnerable citizens who may be experiencing abuse or neglect.

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

(1) Statutory / Regulatory Mandates:

1. C.G.S. § 46a – 11c. investigative mandate for the Office of Protection and Advocacy to investigate allegations of abuse and neglect involving citizens with intellectual disabilities and to maintain a central registry of such cases.

Federal Department of Health and Human Services waiver requirements to track and report incidents of a severe nature involving individuals receiving waiver based services and rule out abuse or neglect.

2. OPA will eventually not be able to maintain any capacity to track case data. The present system is already placed on an operating system which is no longer supported by Microsoft.

(2) Impact of non-compliance:

1. Risk that present system will fail irreparably.
2. Potential loss of data.
3. Potential increase risk of harm to target population.
4. Increased cost associated with waiting for system to fail rather than pro-actively upgrading system.
5. Continued "silo" information dumps which do not communicate with one another throughout the state.
6. More man hours per case required.

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

Primary beneficiaries are potential victims of abuse and neglect and their families; state service delivery agencies and staff; reporters of abuse and neglect such as police and hospitals; the DDS Division of Investigations; The DDS Case Management system; the State's Attorneys who ; individuals with intellectual disabilities who require protective and/or ongoing specialized services.