

**Report on the Status of the  
Criminal Justice Information System (CJIS)  
to the  
Connecticut Legislature  
Submitted by  
The CJIS Governing Board  
January 1, 2019**



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# Criminal Justice Information System (CJIS) Governing Board

## Agencies and Members

### Office of Policy and Management

Mike Lawlor, Under Secretary;  
Governor's Appointee and Co-Chair, (Designee)  
**Benjamin Barnes, Secretary; Member**

### Department of Administrative Services / Bureau of Enterprise Systems and Technology

**Melody Currey, Commissioner; Member**  
Mark Raymond, CIO; (Designee)

### Board of Pardons and Paroles

**Carleton Giles, Chairperson; Member**  
Richard Sparaco, Executive Director; (Designee)

### Office of the Chief State's Attorney

**Kevin Kane, Esq., Chief State's Attorney; Member**  
John Russotto, Esq., Deputy Chief State's Attorney; (Designee)

### Connecticut Police Chiefs Association

**Chief James Cetran, President; Member**  
Chief Marc Montminy, Director; (Designee)

### Office of the Victim Advocate

**Natasha M. Pierre, Esq., State Victim Advocate; Member**  
Hakima Bey-Coon, Esq., Staff Attorney; (Designee)

### Office of the Chief Court Administrator

**Judge Patrick L. Carroll, III, Chief Court Administrator; Co-Chair, Member**  
Judge Elizabeth Bozzuto, Deputy Chief Court Administrator; (Designee)

### Department of Motor Vehicles

**Michael Bzdyra, Commissioner; Member**  
George White, Division Chief; (Designee)  
Cindy Zuerblis, Division Manager; (Designee)

### Department of Correction

**Scott Semple, Commissioner; Member**  
Cheryl Cepelak, Deputy Commissioner; (Designee)

### Department of Emergency Services and Public Protection

**William J. Hackett, Acting Commissioner; Member**  
Brian Clonan, Chief Information Technology Officer; (Designee)

### Division of Public Defender Services

**Christine Perra Rapillo, Esq., Chief Public Defender; Member**  
John R. Day, Esq., Deputy Chief Public Defender; (Designee)

### Chairpersons and Ranking Members of the Joint Standing Committee of the General Assembly on Judiciary

**Paul R. Doyle, Senator, Co-Chair**  
**William Tong, Representative, Co-Chair**  
**John A. Kissel, Senator, Ranking Member**  
**Rosa C. Rebimbas, Representative, Ranking Member**

### CJIS Committee Chairs

**Administrative Committee**  
Larry D'Orsi, *Deputy Director, Criminal Matters, Court Operations Division*

**Implementation Committee**  
Chief James Cetran  
*Connecticut Police Chiefs Association*

**Technology Committee**  
Evelyn Godbout  
*Information Technology Manager  
Division of Criminal Justice*

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## CJIS Background

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The State of Connecticut established the Criminal Justice Information System (CJIS) Governing Board to primarily engage in activities that constitute the administration of criminal justice. 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 in accordance with the Connecticut General Statutes § 54-142q(f).

In 2007, Influenced by the 2004 shooting death of Master Police Officer, Peter J. Lavery, and the 2007 Cheshire home-invasion murders, the State of Connecticut undertook a review of its Criminal Justice processes. As a result of that review, State of Connecticut Public Act 08-01(P.A. 08-01) was passed. P.A.08-01 not only provided for change to the penal code, it also provided for change to current criminal justice information sharing processes with emphasis on providing 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 the responsibility to design and implement a statewide information sharing technology system to be used by Criminal Justice Agencies and Law Enforcement Agencies (LEAs) in Connecticut to share justice information in a secure environment, thereby enhancing informed decision-making. The state-wide system would facilitate the sharing of information between all State Agencies that are responsible for managing criminal records and other information that is used in the pursuit of criminal justice. Through P.A. 08-01, the plan for the Connecticut Information Sharing System (CISS) was established.

Information that is shared in CISS can only be accessed by authorized criminal justice personnel that have been approved by the Criminal Justice Information System (CJIS) Governing Board, in accordance with Federal Justice Information Sharing Regulations and the Connecticut General Statutes. CISS users accessing FBI data will be authorized by the CJIS Systems Officer (CSO) in accordance with a 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), 54-142s. The CJIS Governing Board provides this report and directs the projects within this report in order to meet CJIS goals.

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## Executive Summary

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The Connecticut Information Sharing System (CISS) is providing software release updates for two applications, *Search* and *Workflows*. The applications were developed to improve safety for law enforcement officers, improve public safety, and to aid in the reduction of recidivism. *Search Releases* share criminal justice information from 14 state agency source systems through a single user interface portal. *Workflows Releases* will replace current paper-based workflow methods with automated email notifications, system-to-system data sharing, and electronic content management (ECM). Through these process management efficiencies, it is anticipated that CISS will save an estimated \$15 million per year through efficiencies for the State of Connecticut when all Releases are fully implemented.

The CISS Releases that have been implemented are already providing several timesaving capabilities and production-based efficiencies to the Criminal Justice Community in Connecticut, while meeting the CJIS mandate.

CISS Project code development was complete as of June 30, 2018, for all major Phase 1 deliverables. During the last quarter of 2018, Judicial Disposition and Case Update Feeds were successfully enabled for the Criminal Motor Vehicle System (CRMVS). User Acceptance Testing cycles are in progress for the remaining CISS Releases with deployment to production anticipated during the first quarter of 2019. Any code defects that may be found during testing cycles are being addressed, at the time of such occurrence, with the development vendor, Conduent (formerly Xerox). CJIS and Conduent will continue testing the developer's code until satisfactory User Acceptance is achieved for the production ready code.

The next Phase for the CISS Project is the Deployment to 13,000 Search Users and the Implementation of CISS Workflows to the various CJIS Partner Agencies as per plan.

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## CISS Releases Currently in Production

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- I. Search - Release 1 (R1), Judicial's Paperless Re-Arrest Warrant Network (PRAWN) has been in production since in 2016.
- II. Workflows - Release 2 (R2), Uniform Arrest Report (UAR) and Misdemeanor Summons has been in production since in 2016.
- III. Search - Release 3 (R3), Judicial's Protection Order Registry (POR) and Criminal Motor Vehicle System (CRMVS) is complete and has been in production since July 31, 2017.
- IV. Search, Release 6 (R6), includes Judicial's Centralized Infraction Bureau (CIB) ticket data, the Department of Correction (DOC) and Board of Pardons and Paroles' (BOPP) shared Case Management System, the CISS Portal User Interface (UI), and the CISS Document Library. Release 6 was deployed to production during the first quarter of 2018.
- V. Search, Release 10 (R10), contains DESPP's Master Name Index (MNI), Computerized Criminal History (CCH), and Weapons Registry source systems; the CISS Portal User Interface (UI), Notification and Data Quality Management (DQM). R10 was deployed to production during July of 2018.

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## CISS Future Releases

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- I. Search, Release 5 (R5), includes the Wanted Persons File from the Department of Emergency Services and Public Protection (DESPP), CISS Search and Retrieval Electronic Content Management (ECM), the CISS Portal User Interface (UI) and Reporting functionality. R5 is currently in the User Acceptance Testing (UAT) Environment with deployment to production anticipated for the first quarter of 2019.
- II. Search, Release 9 (R9), includes Department of Emergency Services and Public Protection (DESPP) Sex Offender Registry (SOR), Judicial's Case Management Information System (CMIS), the Department of Motor Vehicles' (DMV) Drivers and Vehicles data, CISS Portal, UI and Agency based Security. R9 completed testing in the SYSTEST Environment during the third quarter of 2018 and is currently testing in the UAT Environment as of September 2018. Completion for UAT testing is anticipated for the first quarter of 2019.
- III. Workflow, Release 11 (R11), combines Releases 4 and 8, and Release 2.1 (R2.1), Data Integrity Enhancement into one release. R11 contains code to enable Workflows for Uniform Arrest Reports (UAR's), Misdemeanor Summons, Full Arrest Data and Documents, Post Arrest, Arraignment, Disposition, and Post Judgement. R11 completed testing in the SYSTEST Environment during the third quarter of 2018. Disposition and Case Update feeds were enabled in the 4<sup>th</sup> quarter of 2018. UAT environment testing is in progress for RMS vendors that have developed upgrades for their proprietary RMS software to enable their systems for CISS Workflows integration.

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## Summary of CISS Critical Risks

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The value of the CISS project lies in its full implementation of all pertinent criminal justice data sources for Search and Workflows. The following risks will need to be addressed to maximize the full value of the CISS project in moving forward effectively:

- 1) Loss of domain knowledge due to temporary Consultants being used in critical business and technical positions. By definition, consultants are not long-term employees and move from position to position, driven by market conditions.
- 2) Current state budgets available to CJIS stakeholder agencies do not include funding for resources to implement the CISS application. Additionally, retirements of key personnel at stakeholder agencies are not always backfilled and therefore compound this risk.
- 3) Unforeseen issues and stakeholder dependencies push back timelines for deployment of the remaining CISS releases and the rollout to 13,000 users. This risk is anticipated to continue throughout the implementation and deployment of CISS.
- 4) Insufficient funding will stop the Deployment and Implementation of CISS and ultimately cause the project to fail. CISS Deployment, Implementation, and Operational Support will be severely impacted due to lack of funding. Critical consultants will leave the project and maintaining and completing the Deployment and Implementation of CISS will not happen without sufficient funding. Bond Funds requested to complete Deployment and Implementation of CISS have not been approved to date. General Fund request for Operational Support for FY-20 and FY-21 is pending approval.

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## CISS Risks and Mitigation Strategy

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There are new and 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>
Loss of domain knowledge due to temporary Consultants being used in critical business and technical positions. By definition, consultants are not long-term employees and move from position to position, driven by market conditions.
<b>Impact</b>
As CJIS consultants leave the project, technical and business knowledge is lost, and the continuity of CISS development is impacted. As pointed out by the Project Health Services vendor, Qualis Health, a lack of qualified, experienced State employees 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. Competitive market conditions, low starting salaries, and durational status for CJIS technical positions have limited the pool of applicants for recruitment and CJIS has been unable to fill the open State Positions for SQL Developer and .Net Developer.
<b>Mitigation</b>
CJIS was successful in hiring a System Architect and is working with DESPP human resources and Office of Policy and Management to successfully complete hiring the open State Positions. Additionally, training has taken place for existing state employees to learn the new technologies. Knowledge Transfer from the solutions provider to the state employees has started. CJIS has selected a support vendor and the service contract is pending final approval and signature.
<b>Risk 2</b>
Current state budgets available to CJIS stakeholder agencies do not include funding for resources to implement the CISS application. Additionally, retirements of key personnel at stakeholder agencies are not always backfilled and therefore compound this risk.
<b>Impact</b>
With work being done concurrently on remaining releases, demand on stakeholder resources is increasing. Stakeholder agencies voiced concern that personnel reductions make it difficult to complete their CISS-related tasks. These factors cause delays in the CISS schedule and increase the overall cost of the project.
<b>Mitigation</b>
CJIS Project Management maintains ongoing communications with stakeholder agencies to stay informed about fluctuations in resources working on CISS. Tiger Team resources from CJIS have been successfully engaged to help carry the workload for Judicial, DESPP, DAS, DCJ and DMV. Stakeholder agencies are also testing earlier in the release cycle. CJIS will work and plan the deployment with key stakeholders for 2019.



### Risk 3

Unforeseen issues and stakeholder dependencies push back timelines for deployment of the remaining CISS releases and the rollout to 13,000 users. This risk is anticipated to continue throughout the implementation and deployment of CISS.

#### Impact

This risk has led to project schedule delays. The original project design timeline that did not allow for the successful mitigation of unique issues or stakeholder dependencies that have resulted in project delays. This impact is expected to continue throughout the implementation and deployment of CISS.

#### Mitigation

CJIS Project Management completed a GAP analysis which exposed obsolete scope and missing requirements. CJIS has addressed these issues through critical change requests. Creation of a Model Office will engage stakeholders on future Workflow process changes.

### Risk 4

Insufficient funding will stop the Deployment and Implementation of CISS and ultimately cause the project to fail. CISS Deployment, Implementation, and Operational Support will be severely impacted due to lack of funding. Critical consultants will leave the project and maintaining and completing the Deployment and Implementation of CISS will not happen without sufficient funding. Bond Funds requested to complete Deployment and Implementation of CISS have not been approved to date. General Fund request for Operational Support for FY-20 and FY-21 is pending approval.

#### Impact

Project failure will result in a statewide non-compliance with Title 54 Criminal Procedure Code of the Conn. Gen. Statutes for the entire criminal justice community in Connecticut. CJIS stakeholders are mandated to comply with Conn. Gen. Statutes Sec. 54-142s that requires integration of all criminal justice information systems and database applications with CISS. Non-compliance will fail to provide the mandated information sharing technology and electronic workflows that are critical for Law Enforcement and State Agencies having any cognizance over criminal justice matters in Connecticut.

#### Mitigation

A plan for Operational Support for Phase 1 was developed and is partially implemented. The Contract for the vendor selected for CISS support and Infrastructure maintenance is awaiting final approval. Ensuring that the project is fully funded through implementation and supported operationally is essential. CJIS is working with the Governance Committee, CJIS Governing Board and OPM to request the funding required.

## Bond Fund Overview (as of 09/30/2018)

The current approved Bond Funds are \$60,920,000.

<b>CISS PHASE-1 BOND FUND BUDGET SUMMARY TO 09/30/18</b>		
<b>FUNDING</b>		<b>TOTALS</b>
Bond Funds Provided from 2011 to 2018 Inclusive	\$ 60,920,000	
<b>CISS Budget Commitment*</b>		<b>\$60,920,000</b>
<b>CISS BOND EXPENDITURES</b>		
<b>BUDGETED FISCAL YEAR</b>		
FY 2012 - FY 2019 Inclusive	\$ 54,395,452	
<b>Total CISS Expenses from Bond Fund</b>	<b>\$ 54,395,452</b>	
<b>CISS EXPECTED FUTURE BOND EXPENDITURES FROM 10/01/18 TO DATE 08/31/19</b>		
<b>Phase 1:</b>		
Consultant Labor**	\$ 2,756,018	
Xerox Contract Remaining Costs	\$ 1,768,530	
RMS Vendor Connectivity Budget	\$ 900,000	
CISS Budget for Hardware Infrastructure Completion	\$ 1,100,000	
<b>Total Future Expected Cost</b>	<b>\$ 6,524,548</b>	
<b>*Total Expected Costs for CISS Phase -1***</b>		<b>\$60,920,000</b>
<b>Expected Bond Funds Remaining for CISS Phase-2</b>		<b>\$0</b>
<b>Note:</b>		
* Bond funds received to date.		
** The Consulting Labor costs to complete the work are greater than the available funds. CJIS will revise financial plans and work with OPM to help close the gaps until the Bond funds requested are available.		
*** Planned 18 state positions not filled and budgeted to be paid from inmate phone revenues. Consultants are used instead of state employees who are paid from bond funds.		

CISS code development is complete for Phase 1. The CJIS Governing Board has fully integrated eight of the fourteen Agency Source Systems for CISS into production over the last three years during the period of January 1, 2016 to December 31, 2018. Conduent (formerly Xerox), the code development vendor for CISS, is working with the CJIS team to complete testing of their remaining code for Release 11, 5 and 9. The development vendor's code is currently in the User Acceptance Testing (UAT) environment. Promotion to the production environment is scheduled for the first quarter of 2019, thus completing Phase 1 of the CISS Project. The above funding completes Phase 1 and transitions the CJIS team's efforts to support and maintenance of the CISS system and begins the scope for deployment of Workflows and the rollout to 13,000 Search users. An additional Bond Fund for \$8.9 million has been formally requested by the CJIS Governing Board for FY-20 and FY-21 to complete the Deployment, Implementation and the remaining information exchanges that have been discussed with the CJIS Governing Board and OPM.

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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 State of Connecticut's criminal justice agencies, in compliance with the FBI's Criminal Justice Information Services Security Policy. The State of Connecticut commissioned the development of a scalable, service-oriented architecture for 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 for CISS includes information searches across CJIS source systems through CISS and system-to-system information exchanges using standards conformance messaging. CISS utilizes Global Federated Identity and Privilege Management (GFIPM) claims-based user authorization applied to control access to sensitive information as defined in federal and state statutes.

This consolidated data environment will enable the State of Connecticut's criminal justice agency systems to interact seamlessly to send and receive data and documents. Systems integration through CISS will allow users to search for people, locations, events and property across all of the connected information sources from within a single user interface portal and will allow for communication expansion to share CJIS with other states and Federal CJIS systems.

## CISS Key Accomplishments – Period Ending December 31, 2018

The CJIS Governing Board developed business and technical requirements that describe the anticipated components of the CISS system. The aim of CISS is to provide the State of Connecticut's Criminal Justice agencies with the capability to seamlessly share, integrate, and exchange data that is used to make criminal justice decisions. All project requirements and designs for the remaining CISS releases are complete. The CJIS Project Management (PMO) team and the development vendor, Conduent (formerly Xerox), have worked diligently testing the developer's code during the third and fourth quarters of 2018. Promotion to the production environment for the releases remaining in the Phase 1 scope is anticipated for the first quarter of 2019.

CISS Key Accomplishments during the third and fourth quarters of 2018 were as follows:

1. The development vendor for the CISS Solution is required to design and implement the business and technical requirements that were set forth by the CJIS Governing Board. To that end, the CJIS PMO has created a Requirements Traceability Matrix for CISS development compliance tracking. The compliance status, as of the writing of this report, is that the development vendor has met 82% of the total requirements. The vendor is on track to complete 100% of the development contract requirements before the project close out.
2. Judicial Disposition and Case Update Feeds were successfully enabled for the Criminal Motor Vehicle System (CRMVS) during the fourth quarter of 2018.

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3. Search, Release 2.1 (R2.1), is a Data Integrity Enhancement add-on software package for R2<sup>1</sup> completed User Acceptance Testing (UAT) during the fourth quarter of 2018, with production ready code as of October 15, 2018. R2.1 has been combined into the R11 release planned for for Workflows in the first quarter of 2019.
  4. Search, Release 5 (R5), includes the Wanted Persons File from the Department of Emergency Services and Public Protection (DESPP), CISS Search and Retrieval Electronic Content Management (ECM), the CISS Portal User Interface (UI) and Reporting functionality. R5 completed testing in the SYSTEST Environment and was successfully promoted to UAT during the third quarter of 2018.
  5. Search, Release 9 (R9), includes Department of Emergency Services and Public Protection (DESPP) Sex Offender Registry (SOR), Judicial's Case Management Information System (CMIS), the Department of Motor Vehicles' (DMV) Drivers and Vehicles data, CISS Portal, UI and Agency based Security. R9 completed testing in the SYSTEST Environment and was promoted to UAT during the third quarter of 2018.
  6. Search, Release 10 (R10), was deployed to production in July of 2018. R10 contains DESPP's Master Name Index (MNI), Computerized Criminal History (CCH), and Weapons Registry source systems; the CISS Portal User Interface (UI), Notification and Data Quality Management (DQM).
  7. The formal process establishing Agency Based Security was implemented in July of 2018 through the rollout of CISS Search Release 10 to production. The significance of Agency Based Security is the enhanced level of protection it provides for the information that can be viewed in CISS. Agency Based Security for CISS takes the previously implemented claim-based information security model to the next level. Established by the U.S. Federal Bureau of Investigations (FBI) for electronic information sharing, the Global Federated Identity and Privilege Management (GFIPM) security model enables or restricts access rights to view criminal justice information through the CISS Search application by assigning claims to individual users' profiles. The Agency Based Security enhancement uses the same GFIPM model to add a hierarchy of claims above the individual user level through defined sets of GFIPM Claims for each CJIS Partner Agency. The Agency Based GFIPM Claims are hard-coded into CISS to restrict the occurrence of any improper assignments of GFIPM claims that are not within the allowable set of claims for that Agency. The new Agency Based Approval process incorporates a security review by the participating agencies and also a data element mapping from source systems to Consumer Agency position (job) descriptions. The detailed mappings have been instituted as the Security Audit Standard by which all participating agencies must abide.
  8. Workflows, Release 11 (R11), completed testing in the SYSTEST Environment and was promoted to the UAT environment for testing during the third quarter of 2018. R11 includes Uniform Arrest Report (UAR) & Misdemeanor Summons Arrest Paperwork, Post Arrest, Arraignment, Disposition, and Post Judgement Information Exchanges. Model Office including the results of the Gap Analysis, Distribution of Arrest Documents with support for Redaction and Controlled Release, and Electronic Content Management included in the system scope are incorporated into R11 as demonstrated to stakeholders.

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<sup>1</sup> R2 includes UAR (Uniform Arrest Report) and Misdemeanor Summons – Early Arrest Notifications.

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9. Gaps resolved by the CJIS development in core service support; Judicial and Department of Criminal Justice (DCJ) agencies are leveraging new capabilities to model new workflow processes. During the third quarter of 2018, the CJIS Infrastructure team allocated Tiger Team resources to assist the Department of Criminal Justice (DCJ) with completing the build of two servers that will interface with CISS when the new case management system (being developed by the DCJ) is complete.
  10. CJIS has completed a training class schedule for Law Enforcement users that require Instructor Led CISS Search Training. The current schedule will include classes at CJIS Headquarters in Hartford, and at 99 East River Drive in East Hartford, over a 14 month period from November 2018 to December 2019. Expansion to other common locations throughout the state for law enforcement to take instructor led CISS training is included in the training plan.
  11. CISS Search User Onboarding is progressing as anticipated. CISS Users are selected by their agency head based on their job description and duties. The selected users must complete CISS Authorization Training and pass the CISS certification exam in order to receive access rights and their user credentials to begin using the CISS Search Portal User Interface.
    - a. As of November 26, 2018, the total number of Active CISS User Accounts was **762**. Approximately 75% of the 762 Active CISS Search Users consist of sworn law enforcement and approximately 25% are non-law enforcement users from the CJIS Partner Agencies. Breakdown of the Active CISS Search Users is as follows –
      1. CISS Search Users – CJIS Partner Agencies (non-law enforcement) 144
      2. CISS Search Users – Municipal Police Departments 575
      3. CISS Search Users – DESPP Connecticut State Police Troops 43
  12. As of November 19, 2018, the total number of CISS Users in Training, was **799**. (Includes all users signed up and waiting for training).
    - a. On November 8, 2018, at the meeting of the Police Officer Standards and Training Council (POST-C), the Council voted to approve Review Training Credit Hours<sup>2</sup> for CISS Search User on-line training courses. General Notice 18-03 – Connecticut Information Sharing System was officially announced on the POST-C website as of November 13, 2018, and a copy of General Notice 18-03 was mailed to all Agencies. This change in policy is significant because it will allow for faster CISS Search User onboarding for seasoned Law Enforcement officers. Previously, all Law Enforcement were required to take instructor led classroom training for their CISS Search User Certification in order to receive POST credit hours.
  13. The Automated CISS User Authorization Request (CUAR) project was a priority initiative during the third and fourth quarters of 2018. The final ISIM and AutoCUAR elements are anticipated to be complete by the start of the 2019 year. This will enable all the elements of the AutoCUAR solution to be promoted to the Staging/UAT environment. The significance of the AutoCUAR solution is the elimination of the paper application and manual approval process for CISS User Authorization Requests. The Auto CUAR portal will provide users with online tools to apply for CISS Search User training and a messaging system to automate the approval process for CISS training and certification.

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<sup>2</sup> Police Academy Recruits will still be required to take the classroom-led training for CISS Search User Certification.

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14. Communication to Stakeholders has been ongoing and consistent throughout the 2018 year. CJIS Executive Director, Humayun Beg, sends a monthly, internal CISS Project update report to stakeholders, via email, with the subject line “Connecticut Information Sharing System Monthly Status” to a list of 377 project stakeholders.
  
  15. The CJIS Roadmap Newsletter, a monthly, public periodical is prepared in PDF format and distributed to stakeholders in email. All newsletters are saved to the CJIS website's document archive for public viewing and download. The newsletter's email subscriber base has grown to a total of 879 subscribers in the last 6 months. The 879 subscribers include an original subscription base of 490 project stakeholders and a growing list of 389 local and state law enforcement officers that began receiving the publication in the third and fourth quarters of 2018.
    - a. CISS in Production: Use Cases – The CJIS Roadmap Monthly Newsletter continues to showcase feedback from Agency stakeholders that have implemented CISS into their work routines, share usage statistics, and provides helpful user tips from questions we receive from the CISS Search user community.
  
    - b. Chris Pleasanton, Court Operations Program Manager, stated, “As the Program Manager responsible for oversight of the Judicial Branch’s Drug Intervention Programs, I have become an enthusiastic user of the CISS system. CISS allows me to monitor the case progress of program participants, and maintain important tracking statistics including case continuances, program completion and recidivism.  
  
I have found CISS to be much more user friendly than prior systems. It is visually pleasing, easy to navigate, and contains a great deal of useful information in one place. Without a doubt, CISS has made my work faster, easier and more effective.” – *CISS in Production: Use Cases, Spotlight on Stakeholder Agency Usage*, CJIS Roadmap Newsletter July 2018.
  
    - c. Readers gained perspective on the way CISS is revolutionizing the police investigation process through use case feedback provided by CJIS Public Safety Liaison and CISS Training Instructor, Henry “Hank” Lindgren, (Sergeant Ret., Guilford Police Department). During his interview, Hank provided an historical overview of the police investigation process before CISS, stating, “...when you wanted information about a person, or a case, or something that had happened, you needed to go back to the records room. In the records room there was...a Rolodex table...that contained...thousands of 3 by 5 cards...you alphabetically went through the 3 x 5 cards found the one you were looking for pulled it out and on there would be type written case numbers and information... After the case numbers and information you still have to locate the case file...in the file cabinets...alphabetically and numerically...find that one. Then pull that particular case out and read the paperwork... Law Enforcement is finally at the point where, if somebody asks a question about something they can go to a computer and find it. I'm hoping that someday, as a result of our efforts here, that when one cop asks another cop for some information he'll say, 'I don't know but I'll CISS it.' – *Get to Know Henry Lindgren*, CJIS Roadmap Newsletter July 2018.

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16. CISS Search Outreach Educational Presentations – The CJIS Team has been showcasing the enhanced capabilities of CISS Search to a variety of audiences and in a variety of formats. CJIS Governing Board Members and authorized project stakeholders were given a live demonstration of the CISS Search application during an Executive Session at the Quarterly meeting of the CJIS Governing Board on July 26, 2018. Feedback received by those in attendance for the live demonstration was extremely positive. Examples of the positive feedback received were as follows:

- a. After many years and many meetings discussing the CISS concept, Chief Cetran stated it was “An eye opening experience,” to finally see CISS Search in action. The CPCA President also stated that, “Seeing a visual presentation of CISS Search was very effective,” and recommended that law enforcement see a visual demonstration of CISS to quickly understand what the system can do now to streamline the investigative process. – *A Word from the Chief on CISS*, CJIS Roadmap Newsletter, August 2018, Vol. 7, No. 5, Phone interview with CJIS Governing Board Member, Chief James Cetran, CPCA President and Officers from Wethersfield Police Department.
- b. Wethersfield Police Sargent, Anthony Demonte, stated, “As a detective, a lot of time is spent on research going through several different databases to gather information on a suspect’s known addresses, DMV records, DOC incarcerations, probation, etc. With CISS everything you are looking for is in one place.” – *A Word from the Chief on CISS*, CJIS Roadmap Newsletter, August 2018, Vol. 7, No. 5, Phone interview with CJIS Governing Board Member, Chief James Cetran, CPCA President and Officers from Wethersfield Police Department.
- c. Wethersfield Police Detective, James Darby, stated, “Learning that we [Law Enforcement] can access infractions information through CISS was fantastic for us. We get a lot of cases with a partial registration.” – *A Word from the Chief on CISS*, CJIS Roadmap Newsletter, August 2018, Vol. 7, No. 5, Phone interview with CJIS Governing Board Member, Chief James Cetran, CPCA President and Officers from Wethersfield Police Department.

17. CJIS Website Migration – The new CJIS website went live on October 5, 2018. The modern look and feel is more user-friendly. HTML5 coding provides mobile friendly viewing from most mobile devices and the new site utilizes Hypertext Transfer Protocol Secure (HTTPS) encryption to protect users from attacks from compromised networks.

18. The Tiger Team concept continues to be utilized. Cooperative /collaborative “Tiger Team” working relationships are established as needed in an effort to optimize all available CISS Project resources to complete project goals and deadlines. At the time of this report, the status of CJIS Tiger Teams are as follows:

- a. DAS-Best Tiger Team Resource – Working to complete Router Connectivity for PDs
- b. Judicial & DOC Tiger Team Developer – Working with Judicial to complete code
- c. PD Network Configuration Tiger Team – Resources are aligned to assist PD connectivity

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## **CISS Anticipated Activities – Next 180 Days (January 1, 2019 to June 30, 2019)**

We are pleased to report that all CISS releases in production are performing as expected. Contract closeout with the development vendor, Conduent (formerly Xerox), is anticipated for the first quarter of 2019. The CISS RFP Phase 1 Requirements Traceability Matrix will be used to evaluate compliance with all Phase 1 code deliverables in the development contract's scope requirements. Code promotion to the production environment for the remaining CISS releases will coincide with the final contract closeout with the development vendor.

The envisioned value-added benefits to public safety are reaching fruition. Both safety and cost-savings benefits are expected to increase exponentially when all Phase 1 releases are fully deployed to production. CISS Anticipated Activities for the Next 180 Days are as follows:

1. Criminal Justice Information Sharing Improvement will be achieved through the rollout of the remaining CISS Releases – (Search R9 and R5, Workflows R11, and R2.1 data integrity enhancement) scheduled for the first quarter of 2019.
2. AutoCUAR QA Testing is anticipated for the first quarter of 2019. The Division of Public Defender Services has volunteered IT resources to aid in the QA testing process. They have opted to wait to onboard their remaining CISS users until the electronic AutoCUAR application is implemented. DPDS has agreed to be the primary Stakeholder as part of the QA Test Plan.
3. CJIS Help Desk – CISS User Onboarding efforts will continue to Ramp Up during the first half of 2019.
  - a. The Division of Public Defender Services (DPDS) houses 450 potential CISS users. Onboarding of all remaining DPDS users is anticipated for completion during the first quarter of 2019.
  - b. The Division of Criminal Justice (DCJ) houses approximately 600 potential CISS users. Onboarding the 600 DCJ users is In Scope for the next 180 days, with dependencies on successful completion of the case management system that DCJ is developing.
  - c. A target goal to onboard 1,000 local law enforcement officers per month will begin starting in March of 2019.
4. The CJIS team will continue the ongoing outreach efforts to CISS Search Users. Use Case feedback received from CISS production users will continue to be published in the CJIS Roadmap Monthly Newsletter along with stakeholder questions and answers, and user tips.
5. CJIS Development is continuing to work with Judicial and the Department of Criminal Justice (DCJ) to support development of CISS data staging and integration applications. Superior Court Operations (SCO) Clerk and Administrator Queue applications are in system test. Work with the DCJ interface vendor is underway to build similar functionality for CISS Off-Ramp data staging.



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6. Evaluation of outstanding and new CISS Information Exchange requests are In Scope for the next phase of the CISS Project.
    - a. Original information exchange requests<sup>3</sup> will be first priority. Evaluation will occur to determine if an information exchange is necessary to access the requested information or if access to the information can be achieved through CISS Search and Reports.
    - b. New information exchange requests will be evaluated to determine if an information exchange is necessary. Agencies impacted will be identified and urgent information exchanges will be prioritized accordingly.
  
  7. CJIS will continue to work with OPM to secure operational support funding for the CISS System.
    - a. A hybrid model for operational support has been partially implemented consisting of a mix of Consultants, State Employees, and an RFP support vendor that has been selected. The vendor's contract is pending approval and signing is anticipated in the first quarter of 2019.
    - b. Open State Employee Positions for SQL Developer, .Net, and Business Manager are In Scope to be filled during the second and third quarter of 2019.

## RMS Certification

### 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. RMS vendor companies provide records management systems and data warehousing [record storage] services for municipal police organizations and State Police Troops throughout Connecticut. The CJIS Project Management Team has been working with Records Management System (RMS) vendor companies that have made commitments to upgrading their proprietary RMS technology to comply with CISS Workflows. Although the purpose of their business is the same, the proprietary Records Management Systems developed by each RMS vendor are quite unique.

### RMS Certification Key Accomplishments – Period Ending December 31, 2018

Significant progress has been made with the Law Enforcement Agencies (LEAs) and their Record Management System (RMS) vendors toward sending in Early Arrest Notifications to CISS. RMS Certification Key Accomplishments for the Period Ending December 31, 2018, were as follows:

1. RMS vendor, Accucom, completed all testing for its RMS software upgrade for Level 1 CISS Workflows during the third quarter of 2018. The vendor has rolled out the upgrade to 9 of its 14 local police department (PD) customers from the towns of Coventry, Easton, Orange, Plainville, Plymouth, Redding, Thomaston, Torrington, and Windsor Locks.
2. RMS vendor, NexGen, has completed the development for their Level 1 RMS software during the 3rd Quarter of 2018. The vendor has deployed the L1 software to an ALPHA Test group of Police Departments from the towns of Farmington, Trumbull, and Danbury. NexGen is

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<sup>3</sup> Currently the CJIS team has completed development for 46 of the original information exchange requests.

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waiting for CJIS to move Release 11 into production before they can activate their new software to begin sending L1 Workflows for Early Arrest Notifications to CISS.

3. NexGen has initiated its Level 2 Workflows development cycle and will now be dedicating software development efforts to achieve L2 workflows integration with CISS to transmit Uniform Arrest Reports, Misdemeanor Summons, and all Arrest Paperwork with document attachments through its RMS software. The first L2 kickoff session with NexGen occurred on December 13, 2018 at CJIS Headquarters.
4. A streamlined, top-down approach to onboarding law enforcement agencies (LEAs) for Workflows was implemented during the fourth quarter of 2018. A Chief's Meeting was held at CJIS Headquarters on November 2, 2018, for the first group of local PDs in scope. Fifteen town Police Departments attended. The streamlined approach moves away from the previous traveling Demonstration and Presentation strategy. Current focus is a series of facilitated working sessions where CJIS presents an overview of CISS to a group of Police Chiefs and their leadership staff to establish expectations and the appropriate point(s) of contact for CISS onboarding. After expectations are communicated to leadership, individual follow up sessions with each town police department are scheduled with the established point(s) of contact(s). The CISS Project Team reviews all of the actions, in detail, that need to be taken to complete onboarding during the follow up session. At the close of the follow up session, a customer-centric project plan has been created with the PD having made firm commitments to the timelines established for the PD's Command Staff and the CISS Project Team.

### **RMS Certification Anticipated Activities – Next 180 Days (January 1, 2019 to June 30, 2019)**

Upon successful completion of RMS L1 Certification requirements and deployment of R11 into production, onboarding for State Police and local Police Departments that are under contract with the RMS vendor NexGen, will begin sending their Early Arrest Notifications (EANs) Workflows to CISS. NexGen is anticipated to be the first RMS vendor to complete L2 development for the Arrest Process Workflow. L2 will transmit data from Police Departments to CISS and then to Judicial and DCJ for consumption into their respective case management systems. Dispositions and Case Updates to the Police Departments and other CJIS Partner Agencies will also be part of the Workflows process.

1. NexGen is expected to complete Level 2 (L2) RMS Certification requirements by the end of the second quarter of 2019. L2 Certification requires participating RMS vendors to upgrade their proprietary records management software to incorporate functionality for transmitting a complete Arrest Packet to CISS. L2 includes transmission of all documents contained within the Uniform Arrest Report (UAR) as part of the CISS integrated Workflow application.
2. Accucom is expected to have their RMS L1 Workflows upgrade installed for 12 of its local PD customers by the end of the first quarter of 2019. Accucom PDs scheduled to receive L1 upgrades in 2019 are the towns of Derby, Seymour, Wolcott, Winchester, and Weston.
3. Accucom's contract with the State expired and a renewal is required before they can begin additional work for their L2 development.
4. Contract discussions and technical sessions for CISS Workflows will continue with non-participating RMS vendor companies. Figure 1 on the next page shows the percentage of arrest records managed by the private RMS vendor companies who are the holders of record for arrest data from the State Police and Municipal Police Departments within the State of Connecticut.

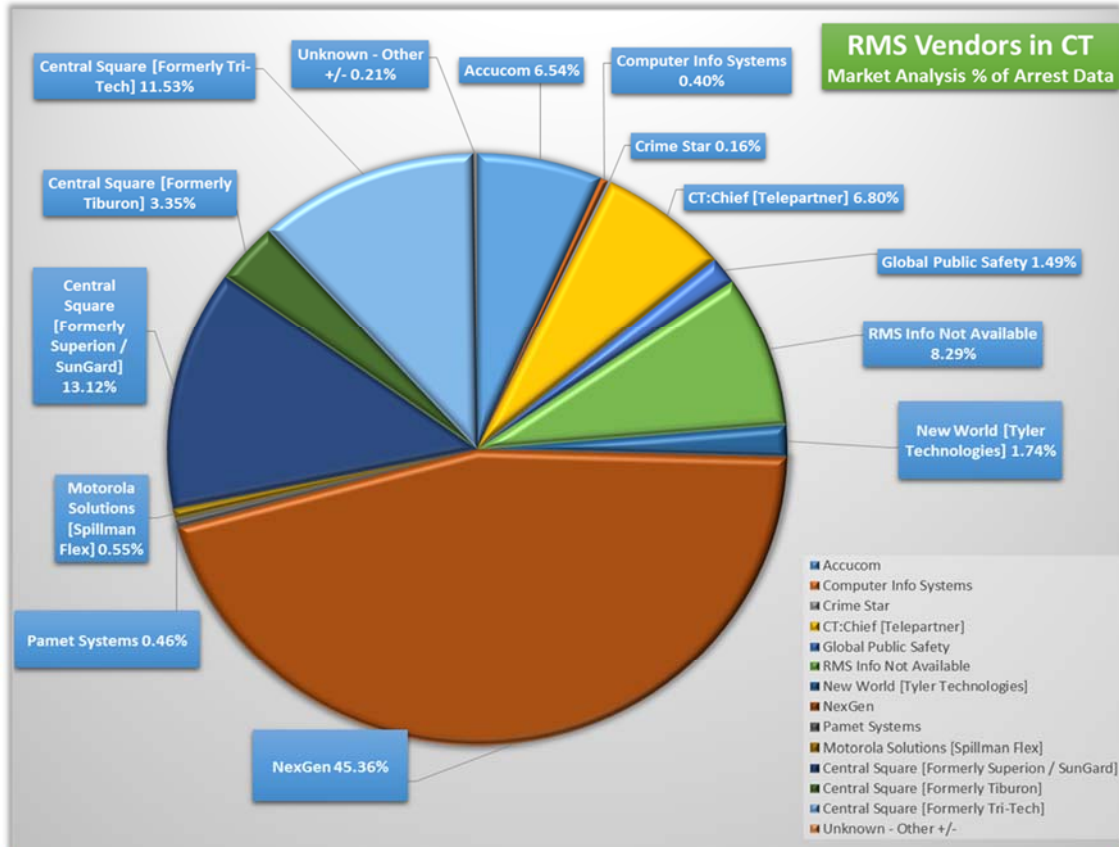


Figure 1 - Pie Chart representing the percentage of total arrest data managed by RMS Vendor companies in Connecticut. Arrest data used for market analysis was taken from the Crimes in Connecticut 2017 Annual Report of the Uniform Crime Reporting Program. State of Connecticut, Department of Emergency Services and Public Protection, Crimes Analysis Unit. Retrieved 12/10/2018 from: <https://www.dpsdata.ct.gov/dps/ucr/ucr.aspx>

RMS Vendor	# of Arrests*	% of Arrests
Accucom	6651	6.54%
Computer Info Systems	410	0.40%
Crime Star	165	0.16%
CT:Chief [Telepartner]	6915	6.80%
Global Public Safety	1515	1.49%
RMS Info Not Available	8434	8.29%
New World [Tyler Technologies]	1772	1.74%
NexGen	46132	45.36%
Pamet Systems	470	0.46%
Motorola Solutions [Spillman Flex]	558	0.55%
Central Square [Formerly Superior / SunGard]	13338	13.12%
Central Square [Formerly Tiburon]	3405	3.35%
Central Square [Formerly Tri-Tech]	11725	11.53%
Unknown - Other +/-	210	0.21%
<b>Total # of Arrests*</b>	<b>101700</b>	<b>100.00%</b>

\*Connecticut Arrest Data used from the State of Connecticut Department of Public Safety Uniform Crime Reports: Publications & Queriable Statistics, *Crime in Connecticut 2017, Annual Report of the Uniform Crime Reporting Program*, State of Connecticut, Department of Emergency Services and Public Protection, Crimes Analysis Unit. Retrieved 12/10/2018 from <https://www.dpsdata.ct.gov/dps/ucr/ucr.aspx>

Table 1 – RMS Vendor Market Share of Connecticut Arrest Data. Statistics Breakdown of Total number of Arrests and Percent of Total Arrest Data.

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# RMS Network

## RMS Network – Background

The CJIS team has been working with the Department of Administrative Services / Bureau of Enterprise Systems and Technology (DAS/BEST), the Department of Emergency Services and Public Protection (DESPP), the Connecticut Education Network (CEN) and the Enterprise Networking Services (ENS) group to install network equipment along the dark fiber of the Public Safety Data Network (PSDN) that has been allocated for the transmission of secure information exchanges between CISS and its CJIS Partner Agencies.

## RMS Network Key Accomplishments – Period Ending December 31, 2018

1. The hardware upgrade to replace DELL R910 and VNX7500 is in its first phase. During the third and fourth quarters of 2018, quotes were collected from hardware vendors and storage was purchased and racked to address migration for management and backup off the VNX7500.
2. A comprehensive project plan for CISS onboarding was completed during the third quarter of 2018. The established protocol for CJIS Router connectivity and connection to CISS were recorded in the plan as milestones with specific sub-tasks that complete each milestone. Project milestones and sub-tasks for RMS Network connectivity were recorded in the detailed project plan as follows:
  - a) Connectivity tasks (Milestone)
    - Router Purchased
    - Router racked and mounted
    - Survey PD for infrastructure and network configuration
    - Determine if flat network exists
    - If yes, PD separates their network
    - Apply BEST configuration
    - Create PD-side firewall rules, NAT policies, and Configure DNS forwarder
    - Open CJIS-side firewall
    - Test URLs/Validate CJIS Router connectivity
  - b) RMS connectivity (Milestone)
    - Install new CISS code base for RMS
    - All Officers trained on usage (EAN)
    - Submission Credentials
    - PSDN Connectivity for Servers
3. The CISS onboarding plan was further streamlined in the fourth quarter. The CISS project team's resources were reallocated to align project plan milestones and sub-tasks with subject matter experts that included handoff of networking support for local PDs to a network engineer that works for CJIS, adding an additional Public Safety Liaison to provide more resources for CISS classroom training, and centralized CISS training locations for law enforcement.

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## **RMS Network Anticipated Activities – Next 180 Days (January 1, 2019 to June 30, 2019)**

1. The hardware upgrade to replace DELL R910 and VNX7500 and build HCI is anticipated for completion by the second quarter of 2019. The first phase of the upgrade is to build a scaled-out platform, migrate production and UAT workloads to the new infrastructure as well as migrate management components and backup protection groups off the VNX7500.
2. The CJIS team will work with DESPP during the first quarter of 2019 to review the CJIS Security Policy and add language on Federation to the document. A GAP analysis will also be performed by the CJIS Security Compliance team to ensure compliance with the FBI's CJIS Security Policy.
3. NexGen, is anticipated to move into Level 2 RMS development programming work on or before the start of the first quarter of 2019.
4. Most of the Local Police Departments that are using temporary access via the COLLECT network to access Search will be transitioned to the CJIS Network in the first quarter of 2019. Going forward, networking support for local PDs will be handled by a network engineer that works for CJIS and a close integration with the PM will drive the scheduling and communication with the next PDs that will be engaged.
5. A major push has been instituted to drive the onboarding of CISS Search Users. The new process for completing the networking for Router connectivity at local PDs has increased potential for onboarding new users. The current availability has reached about 100 a month. The new process has a target to reach 1,000 potential new users a month starting in March 2019.
6. A new streamlined User onboarding process has been designed and will be implemented in the first quarter of 2019. The new process will enable new users with CISS Search login credentials upon successful completion of their CISS Search User Training Certification exam.
7. Some of the CJIS Routers that were previously installed at local PDs are reaching their 5 year end-of-life period. CJIS is working with DESPP and DAS/BEST to come up with a technology replacement plan for all CJIS and COLLECT Routers. It is expected that the new Router Replacement Plan will provide CISS Workflows compliant equipment to PDs that have not purchased a CJIS Router.

## CISS - Conclusion

As CISS Search is fully deployed to the planned 13,000 Search users, and CISS Workflows are fully deployed to CJIS Partner Agencies, we expect to realize the envisioned improvements for the safety of the public and law enforcement officers. The envisioned cost savings of approximately \$15 million per year will be gained through more efficient, computer-assisted Workflows. In order to fully realize the full potential for cost savings that CISS technology will provide for Connecticut, all criminal records management systems (RMS) and stakeholder agency source systems must be successfully integrated with CISS. The code developed for Workflows is currently being tested for participating RMS vendor systems. The CJIS team anticipates rollout of all CISS Search and Workflows Releases by the end of the first quarter of 2019.

### CISS Search

CISS Search Source Systems and current status of the Search Releases are as follows in Table 2:

Search Release	Scope	Status as of January 1, 2018
Release 1	PRAWN & OBIS Search	Deployed
Release 3	POR & CRMVS Search	Deployed
Release 6	CIB (including ticket images) & DOC/BOPP Case Notes Search	Deployed
Release 10	MNI/CCH & Weapons Search	Deployed
Release 9	DMV, SOR, Wanted, CMIS (JUD) Search	In UAT
Release 5	RMS and ECM Search	In UAT

**Table 2 – Represents the software releases for CISS Search, the source systems integrated for each release of CISS Search and the status of each release as of January 1, 2019.**

### CISS Workflows

CISS Workflows include Release 2 (R2), R2.1 Enhancement, and Release 11 (R11), the components and status of each Workflows release are seen below in Table 3:

Release	Scope	Status as of January 1, 2019
Release 2	UAR & Misdemeanor Summons -Early Arrest Notice	Deployed
Release 2.1	UAR & Misdemeanor Summons -Early Arrest Notice Update	Pending API enhancement testing with RMS vendors
Release 11	UAR & Misdemeanor Summons Arrest Paperwork, Post Arrest, Arraignment, Disposition, and Post Judgement Information Exchanges	In UAT

**Table 3 – Represents the software releases for CISS Workflows, data transmitted for each Workflow release and the status of January 1, 2019.**

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# Qualis 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. A project health check offers an objective assessment of how well the project is performing against stated objectives and in accordance with relevant processes and standards. The Qualis Project Health Check was performed quarterly, and the findings were presented at the quarterly CJIS Governing Board meetings. Data compiled in health check reports was gathered from stakeholder agency surveys and interviews. A new project health provider RFP is in process to continue having independent health evaluations of the CISS Project by an RFP vendor.

*The below excerpts are key points from the most recent report provided by the independent project health services vendor, Qualis Health, in their report entitled, Connecticut CISS Project Health Check Services Report 3/23/2018 – 6/22/2018. A comprehensive trend analysis of results was provided for stakeholder agency surveys and interviews that had been administered over the four-year contract period spanning from October 1, 2014 to June 22, 2018. Qualis Health Reports are available on the CJIS website at <https://portal.ct.gov/CJIS/Content/Publications/Meetings>*

## Connecticut CISS Project Health Check Services Report 3/23/2018 – 6/22/2018

### Executive Summary

The project has reached a major milestone. Project development is done and final testing is planned to complete in the coming months. Stakeholders are excited that the project has reached this point and acknowledge the large amount of work that has been completed in just the past couple years. The project has also benefitted greatly from having a full-time Executive Director. Stakeholders have noted improved communication and feel like there is more attention given to their main outstanding concerns (operational support, and the long-term funding) since the filling of the Executive Director position. Agencies also understand how much work there is left to do. Stakeholders hope that the project is given the time and resources needed to fully implement.

The first three risks below are the same critical risks from last quarter. These risks have been reported for years with little movement. One new risk is added:

- Lack of secure project funding going forward
- Potential of CJIS PMO and CISS staff leaving the project
- The lack of an Operational Support Plan
- Potential that contract extension with Conduent is not quickly resolved (new)

A slightly different approach was taken for this quarter. The same Quarterly Project Health Check Survey was given to all stakeholders. Instead of showing the trend from just the last year, we have shown the trend since this data was first collected in October of 2014. In the onsite interviews this quarter, questions were focused on two areas: What are the major concerns going forward and what were the major lessons learned for this project?

The layout of this report is different as well. The first section lists risks and stakeholder concerns. The second section trends the overall score of the project since 2014 followed by the stakeholder's lessons learned for the project.

The lessons learned from the stakeholders should be reviewed and applied to the project going forward, as many could provide immediate benefit. More detail is provided in the Lessons Learned section, but below is the compiled list of the most common lessons learned:

- Pre-project Roadblock Removal**
- Ensure Full Buy-in From State and Agencies**
- Limit Scope/Agile Approach**
- Advertise Successes**
- Continually Work on Trust**
- Faster Issue Resolution**
- Streamlined Meetings**
- Stakeholders Involved Earlier in QA Testing**

## Risks and Stakeholder Concerns

### Critical Risks for the Project

Below are key risks that could still have very negative impacts if not addressed.

<b>Risk</b>	<b>Why Critical</b>
Lack of secure project funding going forward	<b>Recurring funding for operational support, Phase 1 rollout, and Phase 2 are not secured. The long-term success of the project requires quick action on this front.</b>
Potential of CJIS PMO and CISS staff leaving the project	<b>Many key employees working with the PMO and CISS have durational positions. These resources could be tempted away from their CISS work for permanent positions taking institutional knowledge and impacting relationships with State agencies. Securing funding for the project should include a piece to make these positions, permanent State employees.</b>
The lack of funding for an Operational Support Plan	<b>An Operational Support Plan is not in place. Project success may hinge on whether or not a fully funded operational support plan is in place prior to end-user access.</b>
Conduent contract extension not quickly resolved	<b>A prolonged contract extension will likely further delay the project and could lead to loss of institutional knowledge.</b>



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## Top Stakeholder Concerns

Below are the main concerns voiced by stakeholders this past quarter:

### Funding

This is the main concern for most stakeholders (all three risks above are related to funding). Agencies worry about the long-term fiscal health of this project. Will the project be sufficiently funded to support ongoing operations and management? Will the project be able to support future development? Will the next administration support this project?

**Recommendation:** The PMO should work with the Governance Committee to develop a **Continuity Plan**. This plan should layout strategies for procuring funding and for building support for the project with a new administration. There should be multiple options for pursuing if the primary path is unsuccessful. The PMO is working towards procuring funding, but a formal document of these potential approaches, with support from the Governance Committee and Governing Board would be beneficial.

### Staffing

Much of the concern with staffing is tied to funding. Stakeholders are worried about losing the staff currently hired as durational employees. The risk of losing key staff in a wave of turnovers is too great to not do something.

**Recommendation:** It is unclear what actions can be taken to make the durational positions permanent, but the Governance Committee should explore all avenues to make this happen.

### Expectation Setting

State employees that are trained and given access to the system could be disappointed by the lack of data and lack of workflow currently in the system. This could lead to end-users not using the system, and thus a failed project.

**Recommendation:** The PMO should work with agencies to set expectations. It is important for agencies to evaluate when the system will have enough data and functionality to add significant benefit. End-users should be trained to use the system but informed which data and workflows will be available at which points. Agencies should work closely with the PMO to determine when the system should be utilized by their employees.

### Org Chart

Stakeholders continually state that they do not have a clear picture of who does what at CISS and CJIS. Agencies want a clear picture of roles so they know who to contact for different questions. This will be critical for operational support.

**Recommendation:** As part of the regular communication from the Executive Director, and updated organization chart should be included.

## Project Health Trends and Lessons Learned

### Project Health Average Score Trended

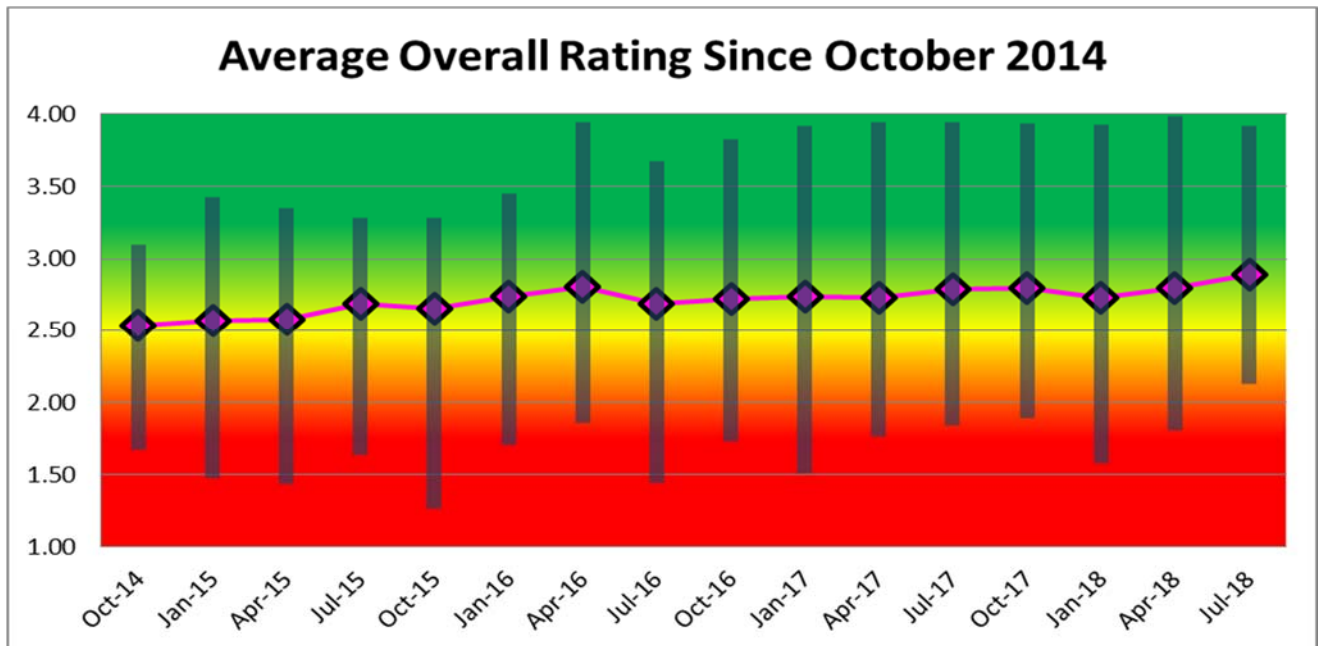


Figure 2 - CISS Project Health Average Score Trended as Reported by Qualis Health, in Connecticut CISS Project Health Check Services Report 3/23/2018 - 6/22/2018

Trending the four years of quarterly report scores illustrates that project perspective has increased over this period. There are some notable jumps in scores as well as clear drops. This section will review what was going on at those points to potentially offer lessons for future work.

July 2015 – **Large Increase** – After three static months on the project, the updated contract was completed with Xerox (now Conduent). This gave stakeholders hope that the project would gain serious traction.

April 2016 – **Large Increase** – This was the high point of the project in terms of Agency scores (until the present quarter). Release 1 had recently and successfully implemented, work on other releases was happening at a quick pace. Budget cuts were looming but details were not yet known. Agencies were optimistic that the project would continue to implement releases quickly and on schedule.

July 2016 – **Large Decrease** – The quarter after the April 2016 high saw the largest drop in scores for the project. It was becoming clearer how extensive the budget cuts would be. Agencies were beginning to make cuts in anticipation and were worried additional cuts would be needed. Stakeholders now worried that their resources would struggle to meet CISS related obligations.

January 2018 – **Large Decrease** – Release 6 delays continue to cause project fatigue. Another quarter without noticeable progress causes stakeholders to worry about the feasibility of the timeframe.

July 2018 – **Large Increase** – Agencies are seeing an incredible amount of work happening in a short amount of time. There are still many valid concerns, but there is optimism that as long as the project is sufficiently funded, it will be able to complete a useful system that can be improved and added to moving forward.

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## **Lessons Learned**

Phase 1 is not complete, as implementation will continue for the foreseeable future. But with development complete and the end of testing in sight, it is important to look at what lessons were learned on the project. These lessons should be applied to the ongoing implementation, future development, and future projects.

### **Pre-project roadblock removal**

Prior to the project beginning, a project group should work to anticipate potential roadblocks and work on removing them well before they cause issues. This project had many roadblocks that stakeholders feel should have been avoided. FBI data, an operational support plan, Xerox contract extension, and RMS vendor data agreements are a few of the items that impacted the project but could have been resolved prior to becoming issues.

### **Ensure Full Buy-in From State and Agencies**

Prior to starting a project the State should ensure there is buy-in from all agencies and the project is fully funded through the life of the project, including operational support. The Governing Board should also make sure that the project is staffed with permanent state positions to limit turnover. Projects without full support should not be pursued. As part of this approach, agencies would like the project to develop and work towards a clearly defined mission statement that had the support of all involved.

### **Limit Scope/Agile Approach**

Break up large-scale projects into smaller deliverable phases. Project fatigue becomes an issue for projects that drag on for years. Agencies would rather have seen several small projects that implemented quickly with development following an agile approach. These small successes and constant improvements would have created a more engaged community that was using parts of the system earlier. This could also have streamlined which agencies needed to be involved at which points in the project.

### **Advertise Successes**

Release 1 was implemented with little fanfare. As part of the stakeholders' desire to see smaller phases delivered more quickly, they want to see the project market those successes to the stakeholders and the wider community. It is believed this would build both public support and stakeholder buy-in.

### **Continually Work on Trust**

Although trust did improve significantly over the last several years, stakeholders indicated they would have liked to see the project work to build trust from the get go. Many felt the project had an adversarial nature in the beginning that hurt the project for many years. A constant, intentional approach to building trust should have been used from the beginning.

### **Faster Issue Resolution**

Stakeholders expressed concern that major issues would take too long to be escalated to the Governing Board and that once there they would often take months or years to resolve. Agencies would like to see major issues that cannot be quickly resolved by the PMO be escalated to the Governing Board for quick resolutions. Stakeholders expressed that they would like decisions made on escalated issues at the following Governing Board Meeting after the issue was initially presented.

## Streamlined Meetings

Agencies noted that often they would arrive at project meetings with no clear agenda and with attendees that were not needed, or key attendees absent. Stakeholders would like to see agendas delivered well in advance of meetings with it clearly documented what decisions would be made in the meeting and who was required. Placeholder meetings should be cancelled well in advance if either key attendees cannot make it or if the agenda does not require a full meeting. If decisions are needed in the meeting, the attendees should be given the full power (by their agencies) and prep material needed to make decisions on the spot.

## Stakeholders Involved in earlier in QA Testing

Stakeholders would like to be involved early in QA testing. It is believed that involving the end users earlier it could avoid a lot of rework and speed up the testing process.

## How to Read the Graphs in the Quarterly Report

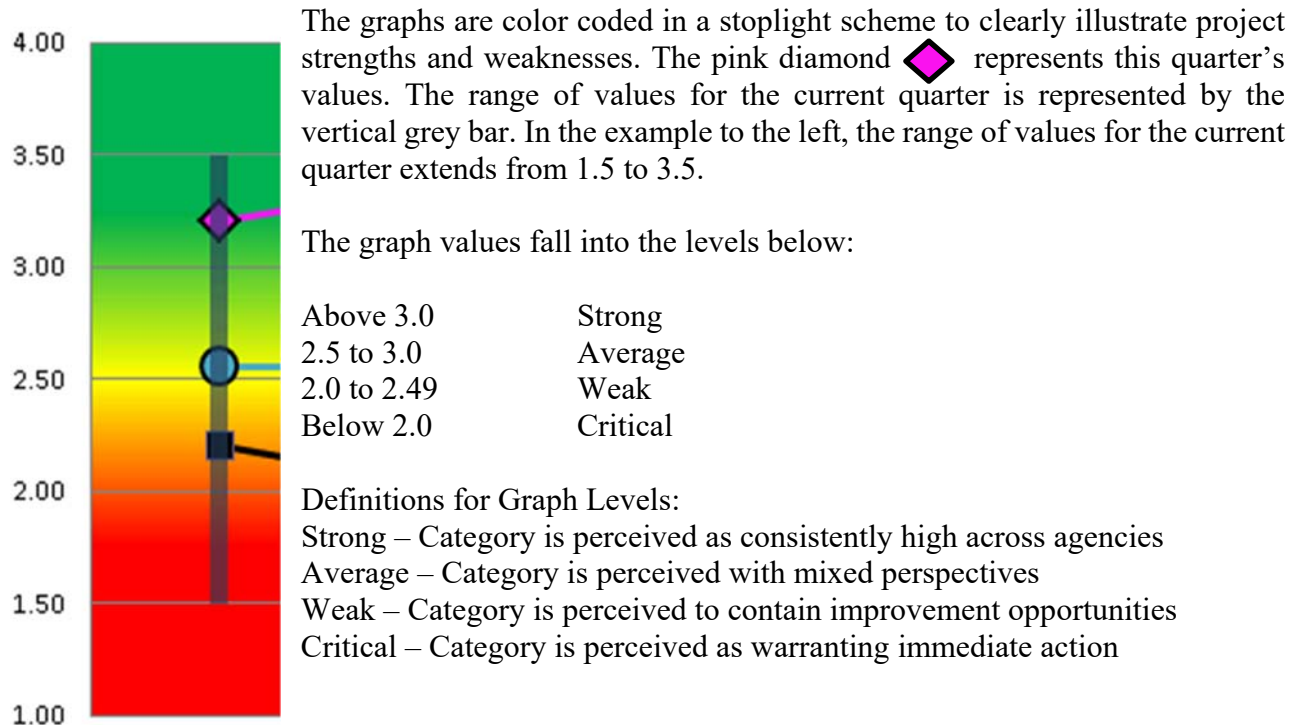


Figure 3 - Legend image representing How to Read the Graphs in the Quarterly [Qualis Health] Report

## [Qualis Health] Appendix C: Purpose

Qualis Health was contracted to provide a Quarterly Project Health Check Report to the CJIS Board. Qualis Health views its role as a partner with the goal of establishing a sustainably healthy project.

This report is the culmination of surveys and on-site interviews with agencies, the PMO, and Conduent. Qualis Health's methodology, detailed in the report, provides a data driven approach to measuring the project's health. Important to note, the data is perception driven, based on how the agency participants feel with regards to the questions asked. In each report, Qualis Health will identify project issues and risks as well as strengths that should be continued. The recommendations will help guide the PMO in addressing risks and issues with the intent of improvement to overall project health.

## Appendix A – CJIS Open Positions

The CJIS Governing Board approved all ranked 19 positions as full-time state employees, two of the 19 positions have been filled. An interim support model has been implemented for CISS Operational Support. The support team consists of a mix of State Employees, short-term-contract consultants, and pending select support services from an RFP vendor<sup>4</sup>.

Table 4 – Status of State Positions Approved for CJIS

	Position Name	Needed Start Date	Status
1	ITA3 Help Desk Manager C7, N15	1/12/14	Hired
2	Senior Microsoft Certified System Engineer (MCSE) Administrator N15	2/17/14	On Hold
3	Senior SQL Database Administrator (DBA) N8	2/17/14	Open
4	Lead Senior .NET Developer N5	2/17/14	Open
5	Business Analyst N1	2/17/14	On Hold
6	ITM2 Solutions (Enterprise) Architect N4	2/17/14	Hired
7	ITA3 Senior SharePoint Developer N10	2/17/14	On Hold
8	Business Manager G2	2/17/14	Open
9	Senior Application Tester S16	2/17/14	On Hold
10	Help Desk Analyst 2 <sup>nd</sup> Shift Support N16	2/17/14	On Hold
11	IT SME .NET Developer N6	2/17/14	On Hold
12	Technical Writer N9	2/17/14	On Hold
13	QA Manager N14	6/16/14	On Hold
14	Technical Business Analyst N12	6/16/14	On Hold
15	Help Desk Analyst 3 <sup>rd</sup> Shift Support N17	10/20/14	On Hold
16	Public Safety Liaison S4	10/20/14	On Hold
17	ITA3 Senior SharePoint Developer N10	11/03/14	On Hold
18	Business Analyst N1	11/03/14	On Hold
19	Admin-System Center S14	11/03/14	On Hold

DAS is working to align CJIS job requirements and starting salaries with their job classification system and equivalent compensation packages for three critical support positions: Senior SQL Database Administrator, Lead Senior .Net Developer, and Business Manager.

The remaining positions need to be filled as soon as possible. Permanent support positions are needed to retain domain knowledge. Hiring State Employees will ensure long term success for the CISS Project as the remaining releases of CISS are deployed to production and 13,000 CISS users are on boarded during the 2019 year.

<sup>4</sup> RFP vendor agreement originally sent out for bid was revised to limit the scope to support services falling outside of the skill sets of employees and contractors currently working on the Project. Support services remaining in-house will result in significant cost savings with the ability for 'on-demand' purchase of additional services. Proposed service agreement will include 300 support hours per month and will be sent to the evaluation team for approval.

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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)  
CPCA = 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  
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

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