Quarterly Program Status Report
to the
Criminal Justice Information System (CJIS)
Governing Board

July 19, 2012

Connecticut Information Sharing System (CISS)

Connecticut Impaired Drivers Record Information System (CIDRIS)

Offender Based Tracking System (OBTS)

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Criminal Justice Information System (CJIS) Governing Board

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Governor's Vision for Technology
The Governor's vision for technology provides the foundation upon which CJIS is working. This vision is predicated on the following:

- Implementation of <u>efficient, modern business processes</u> that result in cost-effective delivery of services;

- <u>Open and transparent engagement</u> with the citizens of the State;

- Development of <u>accurate and timely data</u> for policy making, service delivery, and results evaluation;

- Creation of a <u>secure and cost effective IT infrastructure</u>, including greater use of shared services and applications wherever possible;

- Provide <u>services that are easily accessible</u> for all constituents.

Business Goals and Objectives:

- Optimize our current investments in technology and leverage existing infrastructure and resources.

- Create a simple way to implement new technologies, so that agencies can implement them smoothly.

- Develop a secure environment which meets state and federal standards for security.

- Provide independent and objective opinions and recommendations to the CJIS Governing Board.

- Provide services that are "boringly predictable" and totally reliable.

- "Information any way you want it" — Provide all of our stakeholders with the data they need, on the platform they want, and in the most accessible format to suit their needs and business practices.

Summary of Accomplishments

<u>Connecticut Information Sharing System (CISS):</u>

- The CJIS Technology Architect, and two Senior Project Managers started during the second quarter of 2012. In addition, a Senior Communications Specialist, two Java developers, two SharePoint developers, a Database Administrator, and a Technical Analyst were hired in June 2012. This completes the hiring for staff needed currently.

- The CJIS Team met with the agency business and technical stakeholders to further validate the CISS business requirements in more detail.

- The CJIS Team also met with the agency business stakeholders to review the documents that will be shared between agencies in CISS; this information is being reviewed for accuracy and comprehensiveness.

- The CJIS Team is working with the agency technical stakeholders to identify the agency source systems and their data structures that will be connected to CISS.

- The high level CISS Search, Security, System, "webMethods," and Integration Environment Solution Architecture Designs have been delivered from Xerox for the State's review and comment.

- CISS Success Metrics are being updated to show the CISS project status on a Strategic, Operational, and Tactical level for the July 19, 2012 Governing Board meeting.

- The CJIS Team procured the hardware, technology and infrastructure to build CISS. This means that we will demonstrate *only a narrow part* of the search solution. DAS-BEST successfully built the new development environment within the new hardware.

- The first Proof of Concept (POC) software is being developed to demonstrate the search capabilities of the CISS environment using the Offender Based Tracking System (OBTS) and will be shown at the July 19 Governing Board meeting; subsequent POCs are scheduled for late 2012 and early 2013.

- The first CJIS Roadmap monthly newsletter was created and published in May 2012; it is designed to improve communications between the CISS team and the CJIS community focusing on business, technical, scheduling, planning, and other information important to our stakeholders.

- CJIS began technical meetings with the stakeholders concerning the technologies being implemented within the CISS environment.

- We are identifying technologies to streamline information transfer between agency source systems and CISS.

Offender Based Tracking System (OBTS):

- The OBTS program implemented Release 7.2 in May 2012; deliverables are being constructed for Release 7.3, with an implementation date planned for August 2012.

- OBTS implemented software upgrades and was re-architected for performance gains.

- OBTS data is being analyzed in order to identify data accuracy opportunities that will be prioritized and implemented for improved quality.

- Commenced the development of prototype reports for the CJIS Community that rely on OBTS data.

Connecticut Impaired Driver Record Information System (CIDRIS):

- The CIDRIS team, DMV, DESPP and Judicial began the redeployment of CIDRIS.

- As of June 20, Troops B – Canaan, L – Litchfield, A – Southbury, I – Bethany, F – Westbrook, and G — Bridgeport have been deployed.

- The CIDRIS implementation team continues to meet weekly to monitor implementation activities and issues. Current issues include quality of electronic data submissions from DESPP, concurrent and timely receipt of electronic messages and paper delivery, and access to CIDRIS from patrol cars out in the field. Our implementation team is working to develop creative solutions.

- Five remaining Troops are scheduled for July and August 2012.

- The CIDRIS team has also begun a pilot effort to prepare DESPP for discontinuing delivery of paper OUI Case Documents to DMV and Judicial. This includes review of existing paper workflow, analysis of current systems, and development of a new web-based application called *CJIS Forms Viewer*, which provides electronic viewing of all OUI documents and On-Demand printing for Judicial and other stakeholders.All stakeholders will need to approve this solution to move forward.

- The CJIS Business Analyst College Internship program, designed to provide criminal justice work experience to students, has taken on three interns for the spring semester and three for the summer semester from local colleges. Our interns research CJIS applications and evaluate data.

Critical Enablers for Continued Success

- **Open the remaining seven of the nine State employee positions requested for the current needs of the CJIS Operational Team working on CISS, OBTS, CIDRIS and other CJIS projects. These positions require the right skills and experience in order to successfully deliver a large, complicated, high visibility project like CISS.**

  Impact: The primary element for success is to have a talented pool of dedicated and skilled personnel reporting directly to Executive Director. The timeline set for the hiring of key CISS employees in May and October was not met.

  Nine key CISS project positions are considered critical to initial phases of the project. The Board unanimously voted to make these positions full-time State employees. This would allow the State to garner institutional knowledge for CISS application and business requirements of the project. Currently, only the CJIS Program Manager and the CJIS Business Manager have been made full-time state employees. The updated remaining seven positions that need to be approved for full time state employees are:

  Senior Technology Architect (Manager); Senior Project Manager; Senior Project Manager; Senior Java Developer; Senior Java Developer; Application Data Base Administrator; SharePoint Developer.

  The consultant company hired to do the Independent Verification & Validation, (IV&V) has repeatedly highlighted this as a critical CISS risk.

  Recommendations: Because the above positions have not been opened as State employee positions, we hired consultants to fulfill our deliverable obligations as per the contract with the CISS vendor. The State needs to re-classify the seven positions listed above to allow for the starting experience needed and have the starting salary closer to the market rates.

- The Legislature should amend Section 36 of PA-07-4 JSS and CGS Sec. 54-142q to define the Criminal Justice Information Systems Governing Board purpose, authority, organization structure, and formal relationship to other agencies. In addition, the amendment should define reporting responsibilities for agencies where their efforts relate to CJIS Governing Board project(s) or funds.

- A mutually-supportable Service Level Agreement (SLA) needs to be developed and implemented between the Department of Administrative Services – Bureau of Enterprise Systems and Technology (DAS-BEST) and the CJIS Governing Board. This SLA should clarify roles, responsibilities, and service levels related to support of CJIS. This SLA will require a Memorandum of Understanding (MOU) regarding funding that is predictable, reliable, and auditable, similar to the Pay-Phone Revenue Fund.

- Legislation needs to be created to allow CJIS Governing Board electronic applications to use the Public Safety Data Network, (PSDN) and COLLECT Network. Allocate funding for connection and ongoing operations of agency access to the network.

Cooperation is needed from all CISS stakeholder agencies to share their information as agreed in the CISS requirements by each stakeholder agency. One of the major values that CISS will bring to the State of Connecticut is the sharing of CJIS information based on statutory rules and security in order to improve public and officer safety. This can only happen if *all* CJIS agencies fulfill their original commitment to sharing information specified in the requirements.

CJIS Governing Board's Business Goals and Objectives

Business Objectives	CISS[1]	CIDRIS	OBTS
Efficient modern business processes	✓	✓	✓
Open and transparent engagement	✓	✓	✓
Accurate and timely data for policy making, service delivery and results evaluation	✓	✓	✓
A secure and cost effective IT infrastructure	✓	✓	✓
Easily accessible services to all constituents	✓	✓	✓
Establish funding processes that will allow the State to measure and maximize its return on technology investments and to target funds to the agency and state priorities	✓	✓	✓
Ensure that the appropriate project management, transparency and accountability systems are in place for successful project implementation and completion	✓	✓	✓
Better align agency and state information technology plans and priorities with agency and state priority business and resources available	✓	✓	✓
Provide for agency autonomy so they can accomplish their missions	✓	✓	✓
Simplify implementation of new technologies	✓	✓	
Develop secure environment, meeting State and Federal standards	✓	✓	✓
Optimize current investments to leverage infrastructure and resources	✓	✓	✓

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[1] As designed in the RFP released on October 2010.

1.0. CISS — Background

The **Connecticut Information Sharing System (CISS)** project's overarching goal is to improve information sharing throughout the State's criminal justice community to comply with Public Act 08-01.

CISS will be a comprehensive, statewide system to promote the immediate and seamless sharing of information between all law enforcement and criminal justice agencies in Connecticut. Connecticut's criminal justice community consists of 11 justice agencies with over 23,000 staff members and utilizes 52 information systems to support its business needs.

CISS will provide the first statewide, unified information sharing system. This will allow the State to *do a lot more with a lot less* and provide this *information any way you want it* by building on the frameworks established with OBTS and CIDRIS.

1.1. Key Accomplishments – Period Ending June 2012

Progress Made to Date

The following is a synopsis of the program's noteworthy accomplishments over this reporting period:

- The CJIS Team validated the CISS requirements with the CJIS agency stakeholders. This process ensures that the State and Xerox understand the language describing what the State expects of CISS.

- The CISS technical design process was started by the CISS Team. This will be an iterative cycle based on groups of requirements by specific requirement affinity.

- Project hardware and software were procured and configured in the system lifecycle environments.

- The CJIS Team reviewed the documents that will be shared through the information exchanges with the agency business stakeholders; data fields on the documents are being analyzed in order to begin the mapping process to the agency source system data structures.

- The CISS designs were presented by the Xerox team to DAS-BEST in May 2012; it was presented to the agency business and technical stakeholders on June 13 and 14.

- The CJIS Team hired Glenda Woods as a CIDRIS Business Analyst on April 9; John Cook as the CIDRIS Project Manager on April 23; Richard Ladendecker as the CJIS Technology Architect on May 8; Margaret Painter as the CJIS Senior Communications Specialist on May 30; and Lucy Landry started as CISS Senior Project Manager on June 18.

- Six technical staff joined CJIS in June and early July: two Java developers, Dmitri Donskoy and Kumara Subramanian; two SharePoint developers, Dhananjay Khose and Vani Hegde; a Database Administrator, Ram Reddy Tippani; and a Technical Analyst, Mark Bertorelli.

- Business metrics were defined to measure the success of the CISS Program.

- The Baseline Assessment of the Quarterly Independent Verification and Validation was completed on April 30.

- The first POC for CISS Search is being developed and will be shown at the CJIS Governing Board meeting on July 19.

- The CJIS and DAS-BEST teams built the Phase I development environment to platform the POC demonstration.

- The Project Management Office was established and processes are being mobilized.

1.2. Anticipated Activity – Next 180 Days

The OBTS Program is expected to accomplish the following objectives or milestones over the next 180 days:

- Create schedule of deliverables that the State will need to provide to Xerox for CISS and complete the Master Schedule of CJIS Project Portfolio.
- Communicate to the CJIS stakeholders proposed dates and resource commitments needed from stakeholder agencies to properly administer the CISS project within those agencies.
- Plan the CISS on-and-off ramp data exchange with each agency.
- State approval of Xerox designs.
- Begin construction of CISS features and information exchanges.
- Create production support plan for CISS.
- Re-baseline contract milestones and payment schedule to more closely align with the development and implementation strategy.
- Transition entire CJIS team to IBM Jazz (collaboration Software Development Life Cycle, SDLC).
- Create, test, implement, and demonstrate to the CJIS community Proof of Concept 2 and 3.
- Implement all of the required Project Management Office processes.
  Please see the Appendix for additional CISS milestones and target dates.

1.3. CISS Program Issues and Risks with Mitigation Strategy

Risk:

The late hiring of State positions, filling important positions with contractors, and not converting these to State positions, presents risk in the project plan and the long-term support and stability of CISS.

Mitigation:

We are hiring consultants to fill the current positions needed by the CISS team that have not been approved. This will allow us to get the work done that we are contractually required to produce and assure the successful implementation of CISS for the State.

We are working with DAS to open the required positions and change the Job Classifications for the Technical Architect and two Senior Project Managers. We have had difficulty filling these positions due to relatively low starting salaries offered by the State compared to the private sector. We need to hire people with the right skill set and experience with large, complex, multi-million dollar, multi-year projects. We need to offer salaries close to market rates in order to be successful. Until this is done, the risk exists that the State will lose technical and domain knowledge when the consultants leave.

Issues:

There is an issue concerning the Freedom of Information Act (FOIA) stemming from the fact that official state repositories are subject to FOIA. The CISS data store is a staging repository and not the official repository of record; therefore, it needs legislation to exempt it from FOIA requests and to require those requests be submitted to the agencies that are the repository of record.

Mitigation:

The mitigation strategy is for the Administrative Committee to address the FOIA issue and to develop the approach for legislation.

Conclusions

The CISS project is off to a good start overall. A project of this size and complexity faces many risks that we have identified, are tracking, and are working to mitigate. We are also using the information, risks, and recommendations provided in the Independent Verification & Validation reports from MTG Consulting to help team members continuously and rapidly improve the way we plan, manage, and implement CISS. Over the next two quarters we plan to have the first deliverable in production. This will be Wave 0, which will include the CISS SharePoint Portal with the first searchable system being the Offender Based Tracking System (OBTS).

2.0. OBTS — Background

The **Offender Based Tracking System (OBTS)** is an integrated, information sharing system developed with all the state criminal justice agencies to respond to the growing demand for access to comprehensive information on offenders. Officially launched in 2004, OBTS is used daily by local, state, and federal law enforcement as well as select state agencies.

2.1. Key Accomplishments – Period Ending June 2012

The following is a synopsis of the program's noteworthy accomplishments over this reporting period:

- The CJIS Operational Team successfully deployed the OBTS 7.2 release on schedule. Key changes were memory and performance enhancements, and general database maintenance.

- Started constructing the deliverables for OBTS Sprint Release 7.3.

- The second OBTS/CIDRIS/AFIS User Group Meeting was held on May 23.

- Successfully established data access to the Judicial branch's source systems for the data purity initiative. The CJIS Operational Team started the data mapping process.

- John Blauvelt joined the team on May 4 as a CSG System Administrator (state employee) to support the CJIS applications.

- Nastel training for CJIS and DAS-BEST technical teams was conducted June 26 and 27.

- A CSG Application DBA to support the CJIS applications started in early July.

2.2. Anticipated Activity – Next 180 Days

The OBTS Program is expected to accomplish the following objectives or milestones over the next 180 days:

- Build, test, and deploy OBTS Release 7.3.

- Finalize OBTS Release 7.4 requirements; construct, test and deploy.

- Continue data mappings of the Judicial branch's source systems and begin comparing OBTS data to Judicial. This process includes creating a data dictionary, writing code for the comparison, and documenting the data that requires updating.

- Reach out to Department of Corrections to kick-off the data purity initiative for the OBIS system.

- Use the Nastel performance tool to identify system performance problem areas.

- Finalize OBTS training schedule.

2.3. OBTS Application Release Schedule

The following release schedule is planned over the coming 12 months. To provide a more stable and predictable product upgrade cycle for OBTS, the content of each maintenance release will be guided by the priorities identified by the OBTS / CIDRIS User Group. This group will meet quarterly to review program accomplishments, re-assess program priorities and approve proposed release schedules.

Release Dates	Release Objectives
OBTS R7.3 August 2012	**Maintenance Release** – Smart and Exact name Inquiry performance search enhancements and data purity efforts.
OBTS R7.4 November 2012	**Maintenance Release** – Final release content to be determined based on the priorities of the OBTS community.
OBTS R7.5 February 2013	**Maintenance Release** – Final release content to be determined based on the priorities of the OBTS community.
OBTS R7.6 May 2013	**Maintenance Release** – Final release content to be determined based on the priorities of the OBTS community.

2.4. Program Issues and Risks with Mitigation Strategy

Issues:

Several project team members are performing work activities and roles normally provided by other personnel. As a result, personnel resources are sparse and unavailable for other important work tasks. Any temporary loss of work may significantly delay project.

The Project Team is dependent on access and cooperation of subject matter experts residing in source agencies. Due to current workload activities and changing priorities, subject matter experts may not be available as needed.

Mitigation:

The mitigation strategy is to closely monitor work efforts and provide corrective action as necessary.

Conclusions

With the new platform in place and the User Group formed and engaged, the OBTS Operational Team will focus future application maintenance releases on improving performance and data quality in OBTS.

Recommendations for the Board

Develop and implement a Service Level Agreement (SLA) between DAS-BEST and the CJIS Governing Board that clarifies, roles, responsibilities, and agreed-upon service levels related to the expectation of DAS-BEST in support of OBTS and CIDRIS.

3.0. CIDRIS — Background

The **Connecticut Impaired Driving Records Information System (CIDRIS)** is an integrated, information sharing system developed in cooperation with local Law Enforcement, the Department of Public Safety, the Department of Motor Vehicles, the Division of Criminal Justice, and the Judicial Branch, as well as NHTSA and ConnDOT. CIDRIS is in the Implementation Phase, which it expects to complete with the integration of all 11 DPS troops starting in mid-December 2011 based on the new schedule by DESPP.

3.1. Key Accomplishments – Period Ending June 2012

- The CIDRIS team, DMV, DESPP and Judicial has begun the redeployment of CIDRIS.

- As of June 20, Troops B - Canaan, L - Litchfield, A – Southbury, I – Bethany, F – Westbrook, and Troop G – Bridgeport have been deployed.

- CIDRIS implementation team continues to meet weekly to monitor implementation activities and issues. Current issues include with quality of electronic data submissions, concurrent and timely receipt of electronic messages and paper delivery, and access to CIDRIS from patrol cars out in the field. Our implementation team is working together to develop creative solutions.

- The CIDRIS team has also begun a pilot effort to prepare DESPP for the discontinuance of delivering paper (OUI Case Documents) to DMV and Judicial. This includes a review of existing paper workflow, analysis of current systems, and development of a new web-based application called CJIS Forms Viewer that provides electronic viewing of all CIDRIS-supported OUI documents and On-Demand printing for Judicial and other stakeholders.

- The CJIS Business Analyst College Internship program, designed to provide criminal justice work experience, has taken on three interns for the spring semester and three for the summer semester from local colleges. Our interns research CJIS applications and evaluate data.

3.2. Anticipated Activity – Next 180 Days

- Work with Judicial, DESPP, and DMV to complete the deployment of the five remaining Troops (H, D, C, K, and E) in August and September.

- Move forward with the pilot technology and business processes needed to go paperless with the OUIs for Judicial, DMV, and DESPP, and let the stakeholders decide how they want to proceed at the end of the pilot.

3.3. Program Issues and Risks with Mitigation Strategy

Issues:

CIDRIS validates all messages received by DESPP, DMV, and Judicial. Messages that do not pass validation are rejected and prevented for use by other stakeholders. If the amount of messages rejected by CIDRIS continues to remain at higher than acceptable levels, these problematic messages may impede ability of CJIS stakeholders to fully leverage system capabilities.

Mitigation:

To help reduce error count, the CIDRIS team, DESPP, DMV and Judicial will continue to monitor and classify message errors to locate additional technical and training solutions.

Conclusions

DESPP, DMV, Judicial, and the CJIS Operational team have committed to deploying the rest of the Troops. As we deploy the rest of the Troops, the CIDRIS team will be working on a pilot plan with the stakeholders for OUIs to go paperless using CIDRIS. All stakeholders will have to agree on the solution.

3.4. OBTS/CIDRIS Application User Group

The OBTS / CIDRIS Application User Group is charged with the responsibility to provide the Executive Director with program guidance and application governance that reflect the highest priorities of the OBTS user community. The CJIS team conducted the second User Group meeting on May 23; the team presented OBTS, CIDRIS and CISS status updates and shared the OBTS "Help Us Help You" survey results. After the presentations, an open forum discussion with the group was initiated to solicit feedback for continuous improvement.

Chairperson

> Chief Douglas S. Fuchs

OBTS Data Consumers

> Chief Richard Mulhall – Connecticut Police Chiefs Association (CPCA)

> Michelle Cruz – Office of the Victim Advocate (OVA)

> Andrew Mosley – Board of Pardons and Paroles (BOPP)

> John Morrison – Office of the Public Defender (OPD)

> Evelyn Godbout – Division of Criminal Justice (DCJ)

> *(continued on next page)*

OBTS Data Suppliers

Offender Based Information System (OBIS)

Robert Cosgrove – Department of Corrections (DOC)

Lynn Milling – Department of Corrections (DOC)

Master Name Index / Computerized Criminal History (MNI/CCH)

Captain David E. Rice – Department of Public Safety

Joan Hilliard – Department of Public Safety

Judicial Information Systems (CRMVS, CIB, PRAWN, POR)

Terry Walker – Judicial Branch

Larry D'Orsi – Judicial Branch

4.0. Appendix

CISS Development Milestones 2012-2013

Legend: X = Primarily Xerox Team (hatched), S = Primarily State Team (solid)

Phase	AMJ	J	A	S	O	N	D	J	F	M	A	M
Infrastructure	X											
Requirements — Wave 1	S											
Proof of Concepts (POC) Design	X											
Requirements — Wave 2	S	S										
POC Development		X	X	X	X							
Design OBTS Search & Portal		X	X									
Develop OBTS Search & Portal				X	X	X	X					
Design Uniform Arrest Workflow					X	X	X					
Acceptance — OBTS Search/Portal								S				
Develop Uniform Arrest Report (UAR) Workflow								X	X	X		
Deploy OBTS Search/Portal										X	S	
Acceptance UAR Workflow										S		
Deploy UAR Pilot										X	S	
Deploy UAR Full											S	S
Design Infractions Workflow									X	X		
Develop Infractions Workflow											X	X
Acceptance — Infractions Workflow												

▨ Primarily Xerox Team

■ Primarily State Team