

# **State of Connecticut Criminal Justice Information System Governing Board**

## **Connecticut Information Sharing System Quarterly Project Health Check Services Report**

**03/24/2018 – 06/22/2018**

**Prepared By:**



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## 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.

Risk	Why Critical
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 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>

### 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.

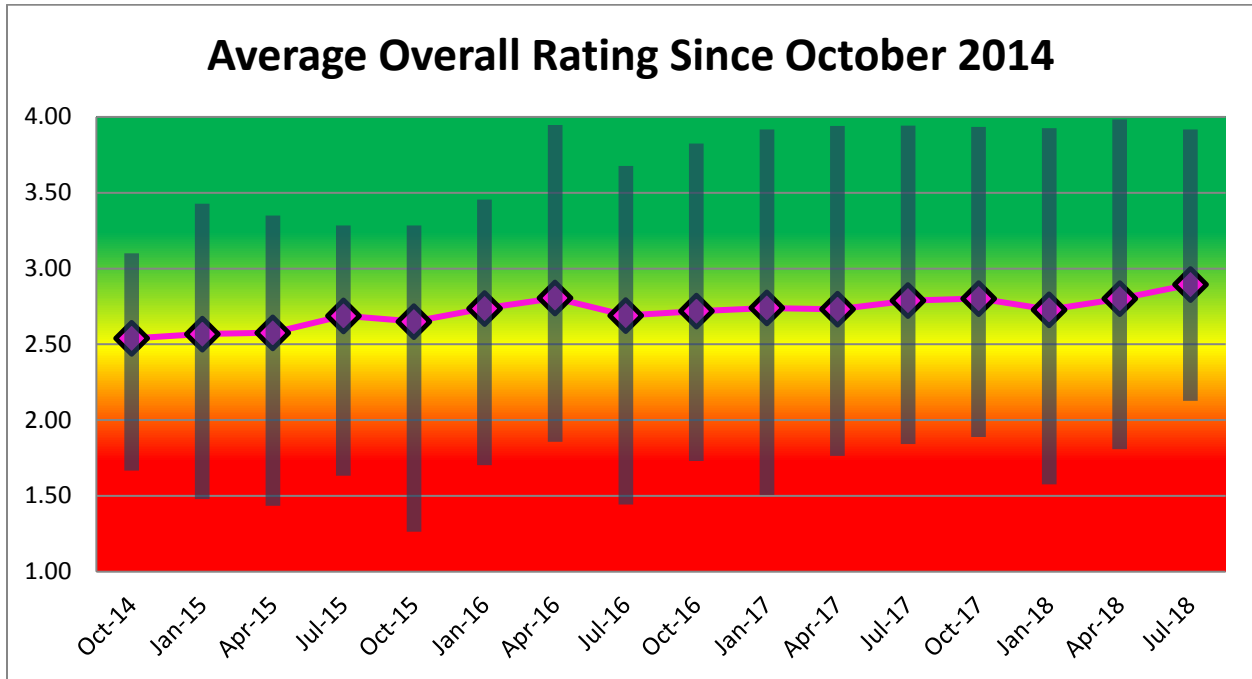
## Org Chart

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



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.

### **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.

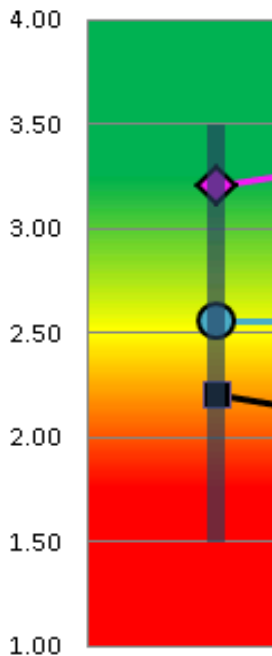
**Stakeholders Involved in earlier in QA Testing**

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

The graphs are color coded in a stoplight scheme to clearly illustrate project strengths and weaknesses. The pink diamond  represents this quarter's values. The range of values for the current quarter is represented by the vertical grey bar. In the example to the left, the range of values for the current quarter extends from 1.5 to 3.5.



The graph values fall into the levels below:

- |             |          |
|-------------|----------|
| Above 3.0   | Strong   |
| 2.5 to 3.0  | Average  |
| 2.0 to 2.49 | Weak     |
| Below 2.0   | Critical |

#### Definitions for Graph Levels:

Strong – Category is perceived as consistently high across agencies

Average – Category is perceived with mixed perspectives

Weak – Category is perceived to contain improvement opportunities

Critical – Category is perceived as warranting immediate action

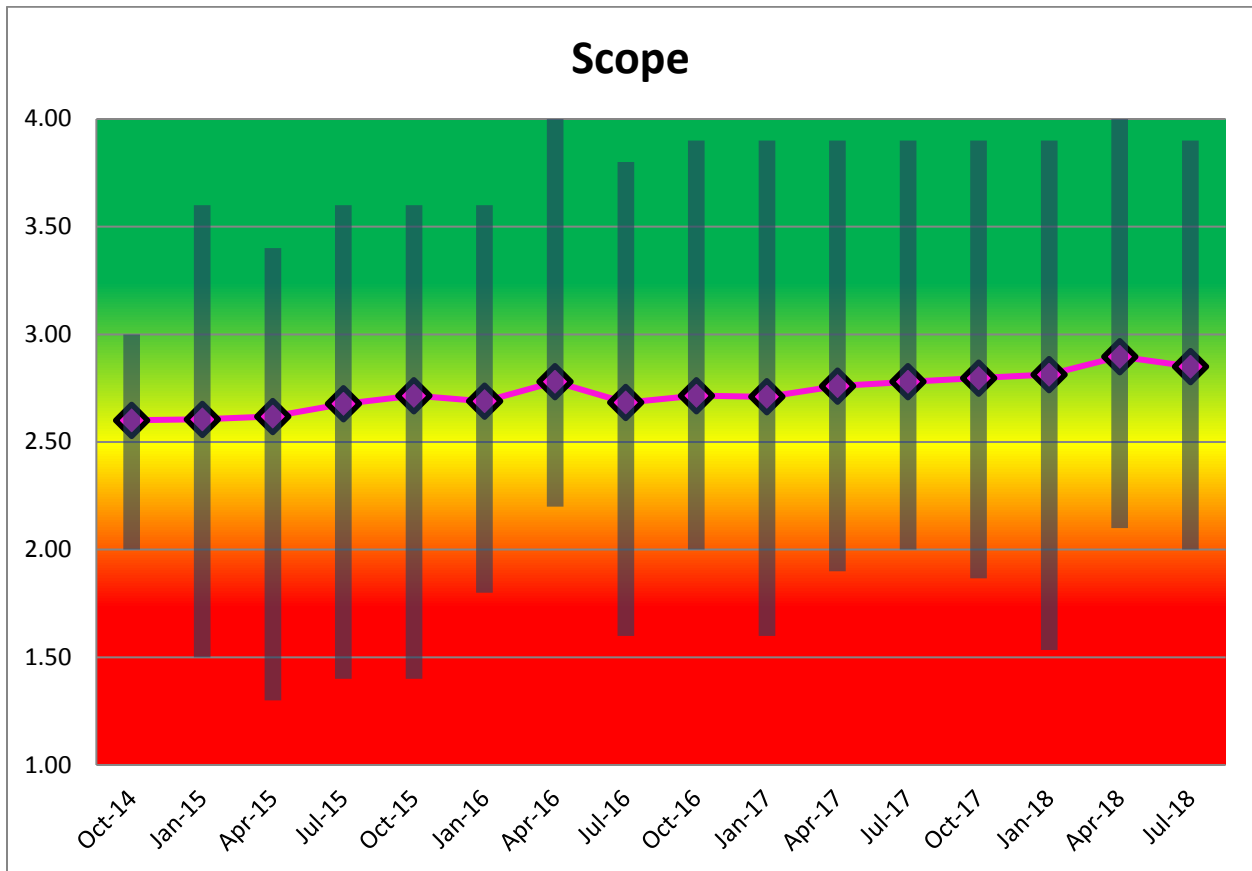
## Appendix A: Findings Details

The following are the details for each category. It contains the overall category score from a year ago, last quarter and the current quarter score, which corresponds to the values for that category in the Project Health Overview section. The first historical quarters' scores are presented to show the trend in scoring for the category. Below the score is an overview of the section, followed by a graph, and any recommendations.

The graphs in this section are scores by project activity category versus who is actually responsible (i.e. Project Groupings: Conduent, PMO, and Agency). This is to give a view toward the overall project health within a specific set of project activities and their dependencies with one another. This could reveal a situation where Conduent and the Agency are perceived by agencies as doing great with their contributions, but the project activity overall is slipping. This detailed breakdown allows for quick analysis and problem resolution. To see which survey questions are assigned to which category, please see Appendix B.

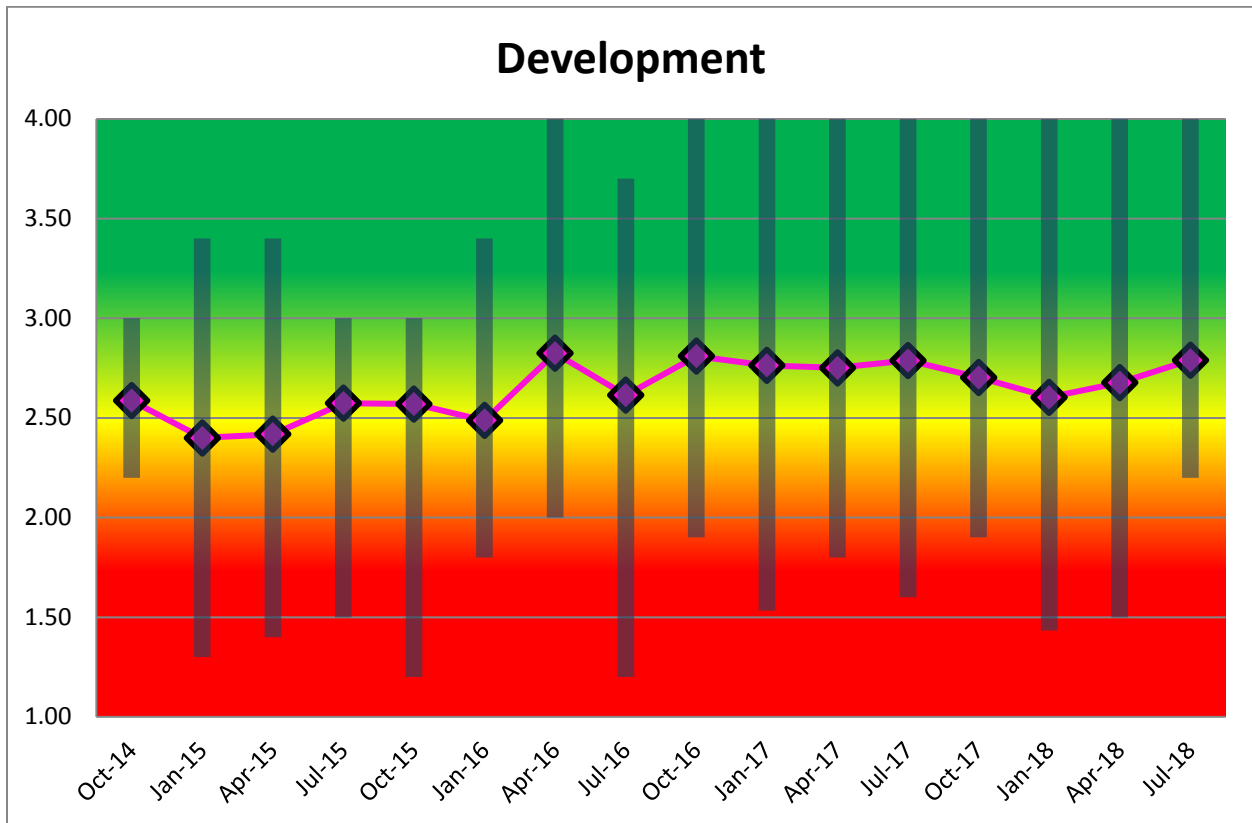
A note on question values versus overall values: The values in the graph below are average answer across all 10 stakeholder agencies. The overall score for each of the categories below is the average score of all questions in the category, averaged again by all agencies. Because of how the overall scores are calculated and how the data below are presented, the overall score may be slightly higher or lower than averaging the values on the graph. The same is true for the calculations used in the Project Balance Ranking graph.

Category A: Scope



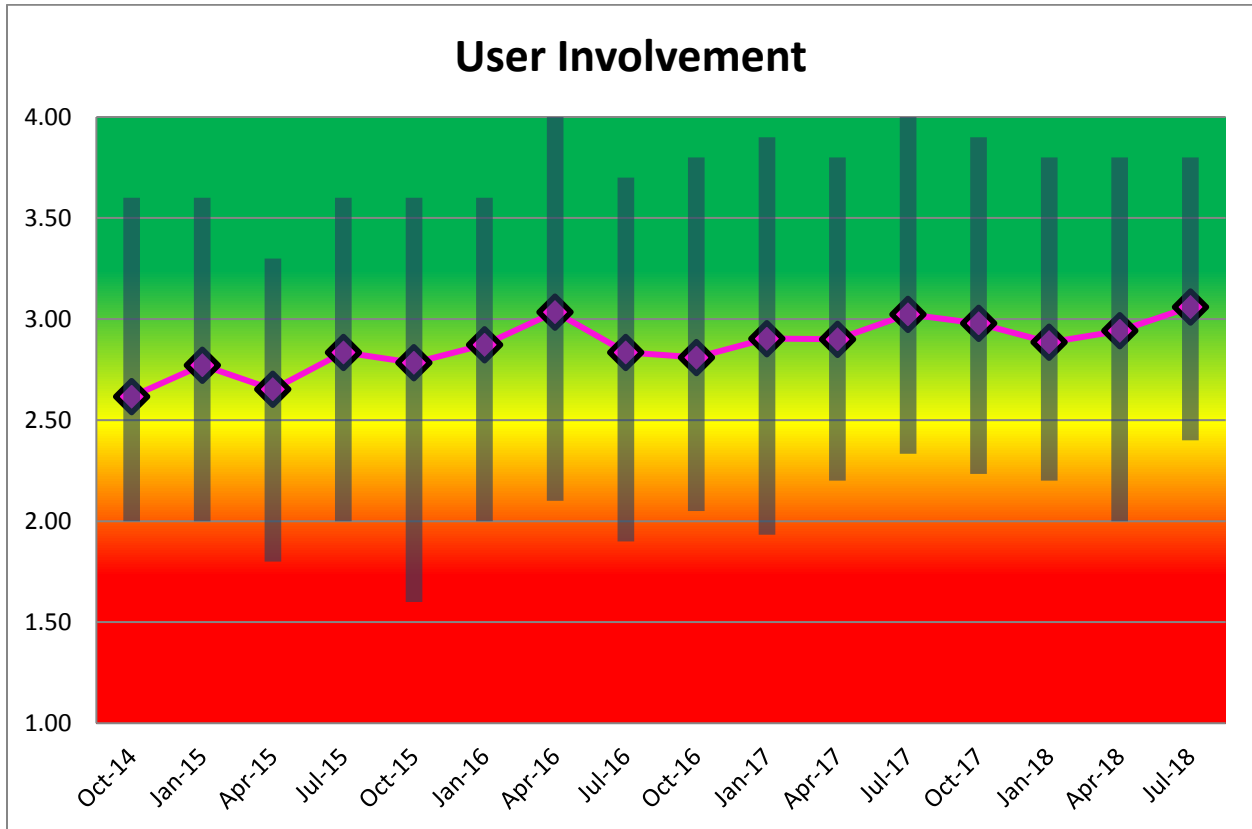
Scope scores dipped slightly this quarter. Stakeholders are worried that the full scope of the project will not implement in a timely fashion. Many agencies feel their benefit increases substantially only when nearly all the Phase 1 data is included and the workflow pieces are in place.

Category B: Development



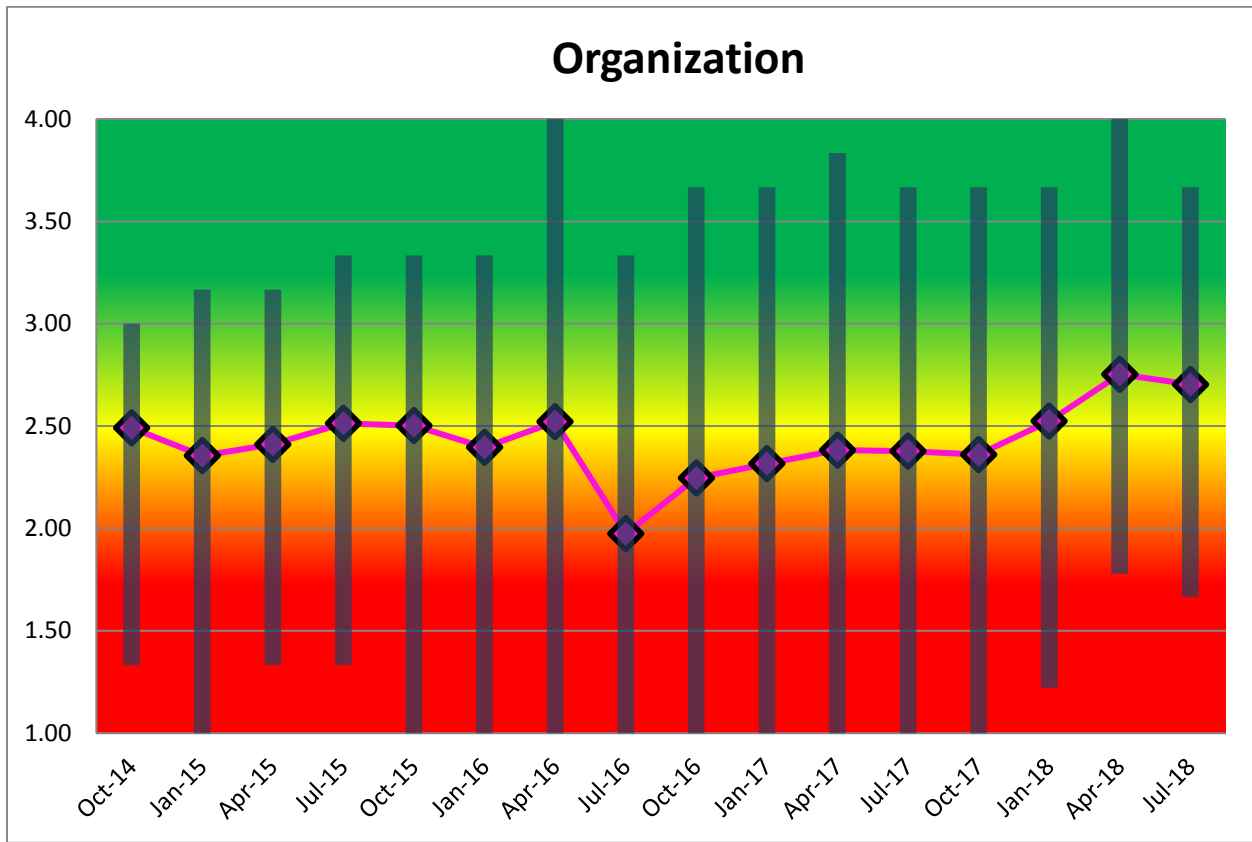
Development increased again this quarter, but remains below the high from April 2016. At that point there was a lot of optimism that the relatively rapid implementation of Release 1 would continue through for the remainder of the project. Agencies have seen good progress since the implementation of Release 6, but are cautious until they see testing with Conduent conclude.

### Category C: User Involvement



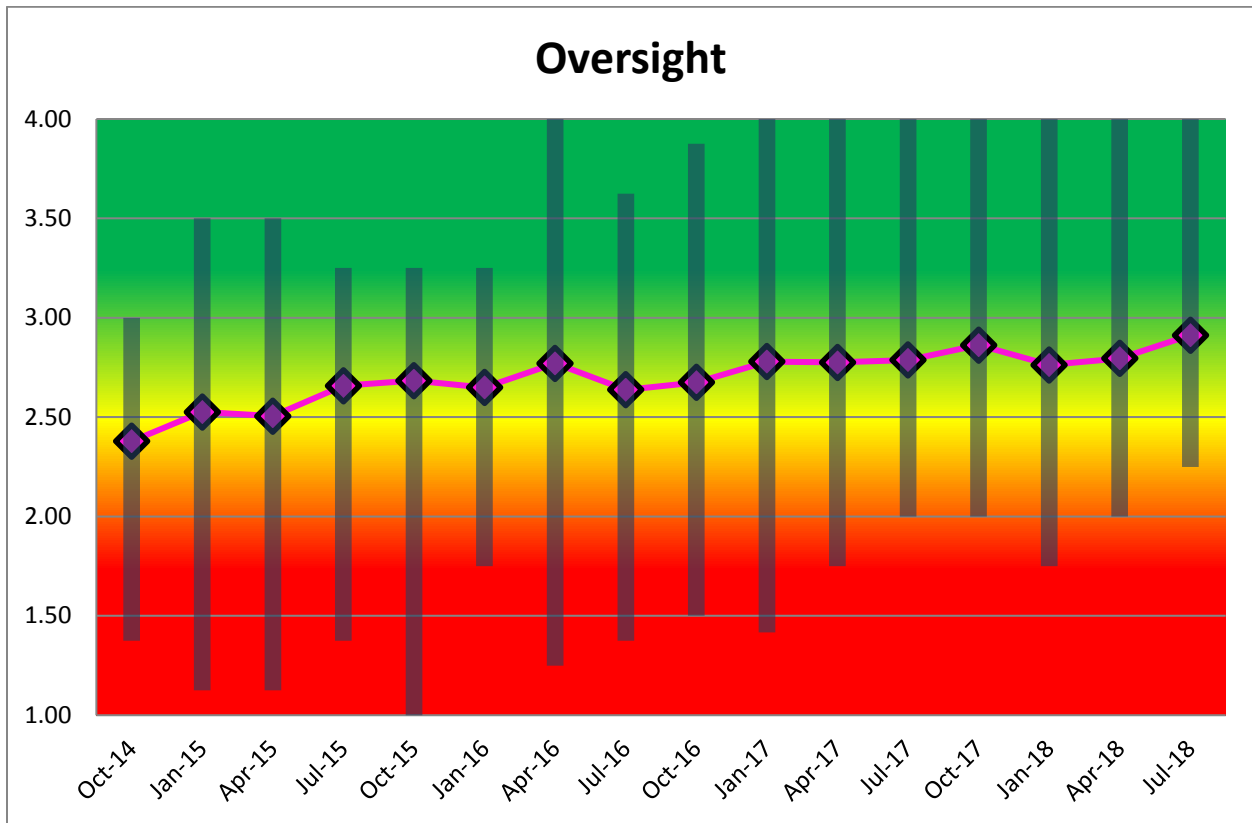
User Involvement is at an all-time high. Stakeholders are engaged in the project as needed. Their staff is being trained as needed. User Involvement needs to stay strong through full implementation and workflow deployment. The PMO needs to make sure transparent communication provides a clear picture of what the project can do and what data is available so users are not oversold and let down. This could lead to users abandoning the system.

Category D: Organization



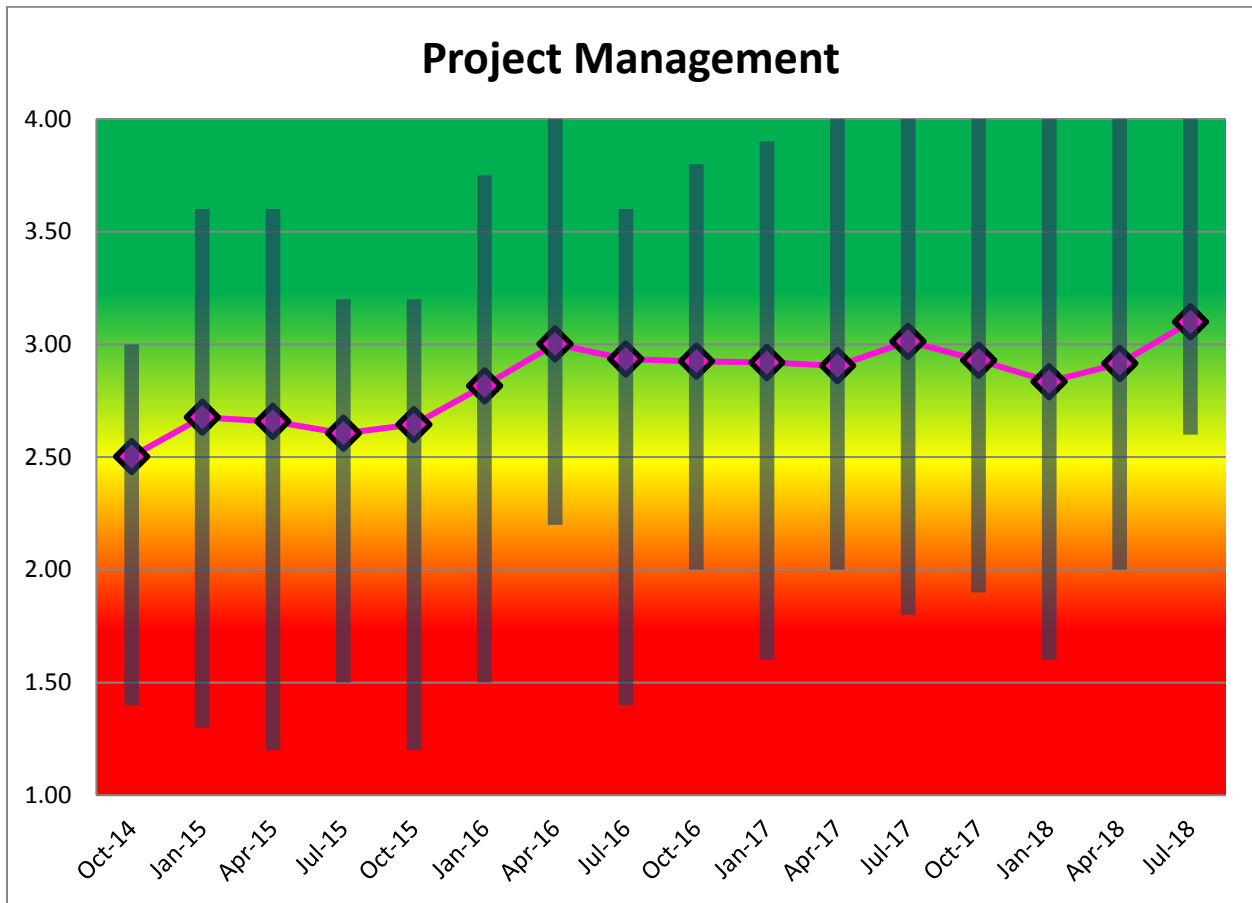
Organization decreased from last quarter’s high. Agencies worry about the ongoing funding for the project. Stakeholders want to see commitment from their agencies and from the new administration, when in place. If the State believes in this project, stakeholders want to see it fully funded through implementation and operational support.

Category E: Oversight



Oversight is at its highest level. Agencies feel the project can complete the remaining tasks and implement a useful system given an extension with Conduent and ongoing resources from the State. The recent communications from the PMO have given stakeholders much needed insight into the project's progress.

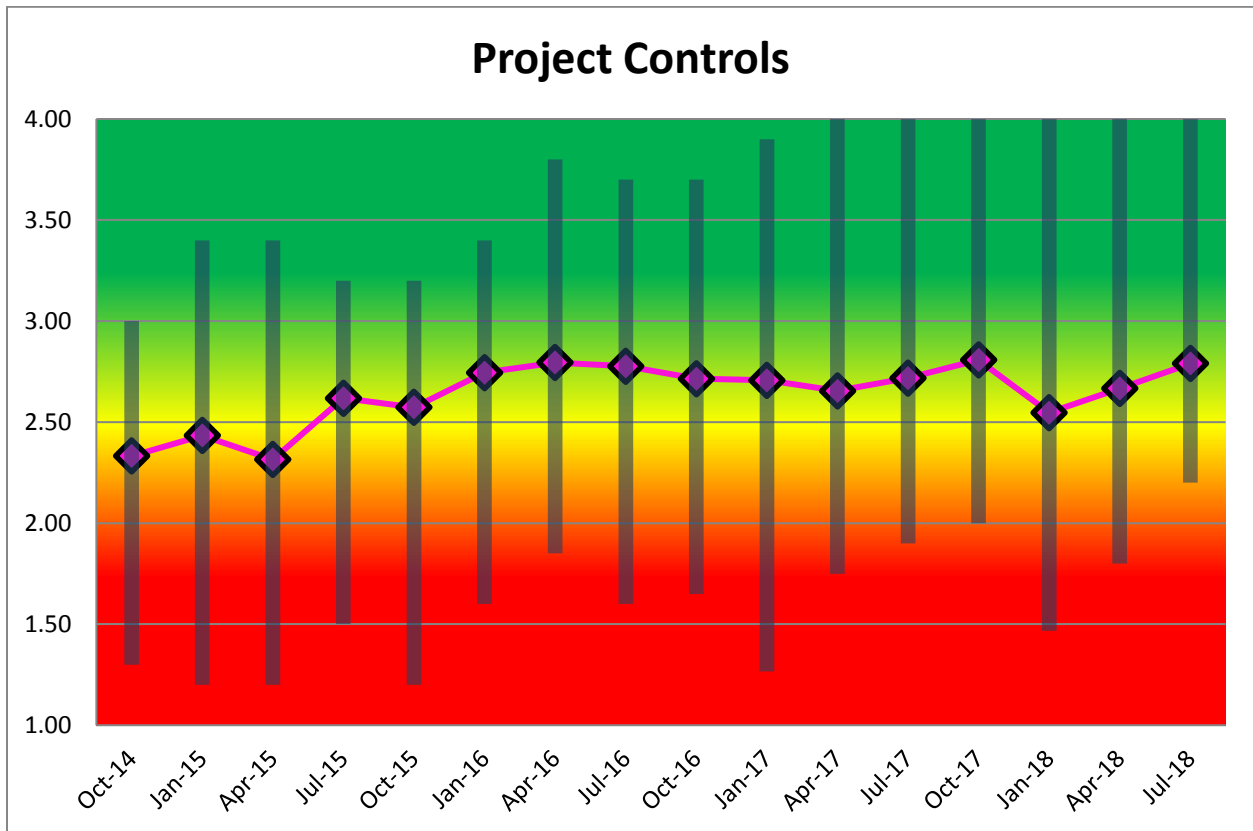
Category F: Project Management



The Project Management category is also at its highest point since this data started to be collected in 2014. The current make up of the CISS team and PMO are viewed as strong by most stakeholders. There is quite a bit of concern that the use of durational positions on the project will cause issues going forward as these employees will look for more permanent employment. Communication has improved and is more consistent and the relationship is greatly improved between the PMO and agencies.

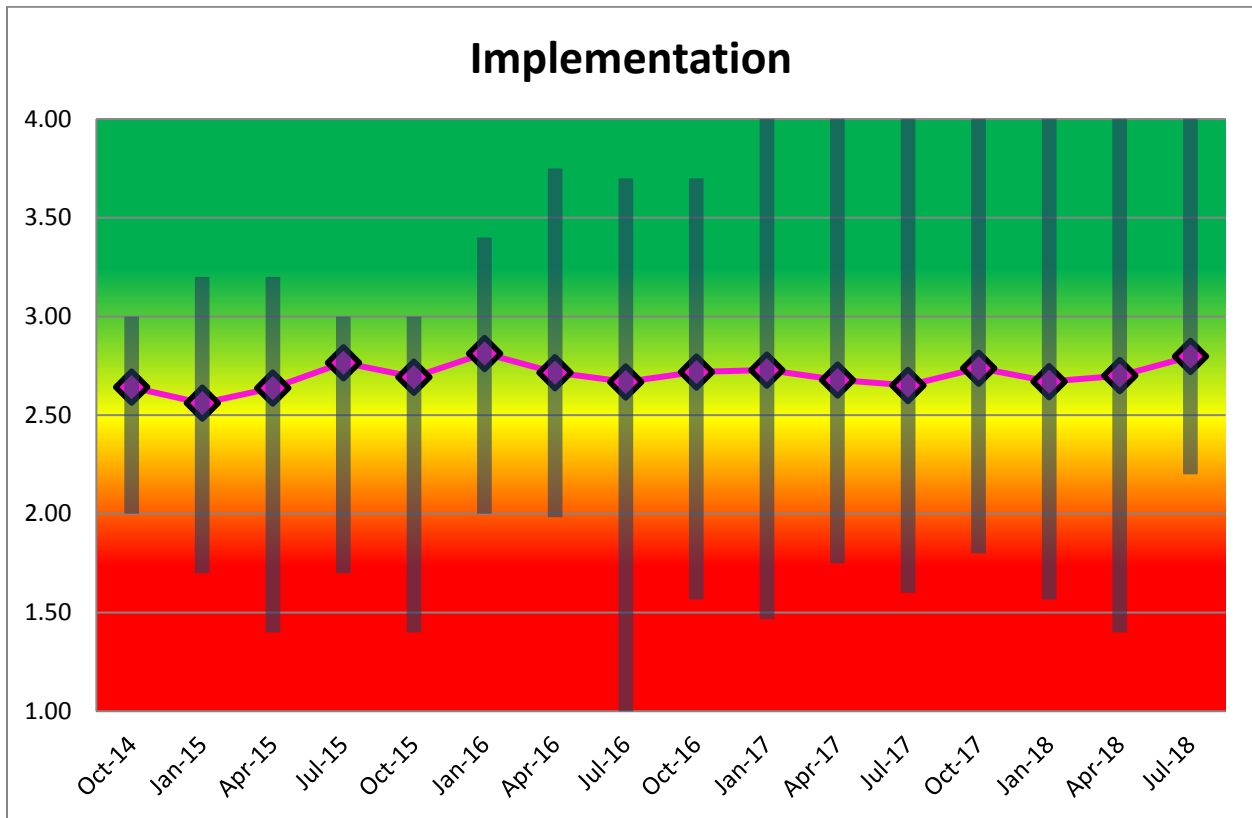


Category G: Project Controls



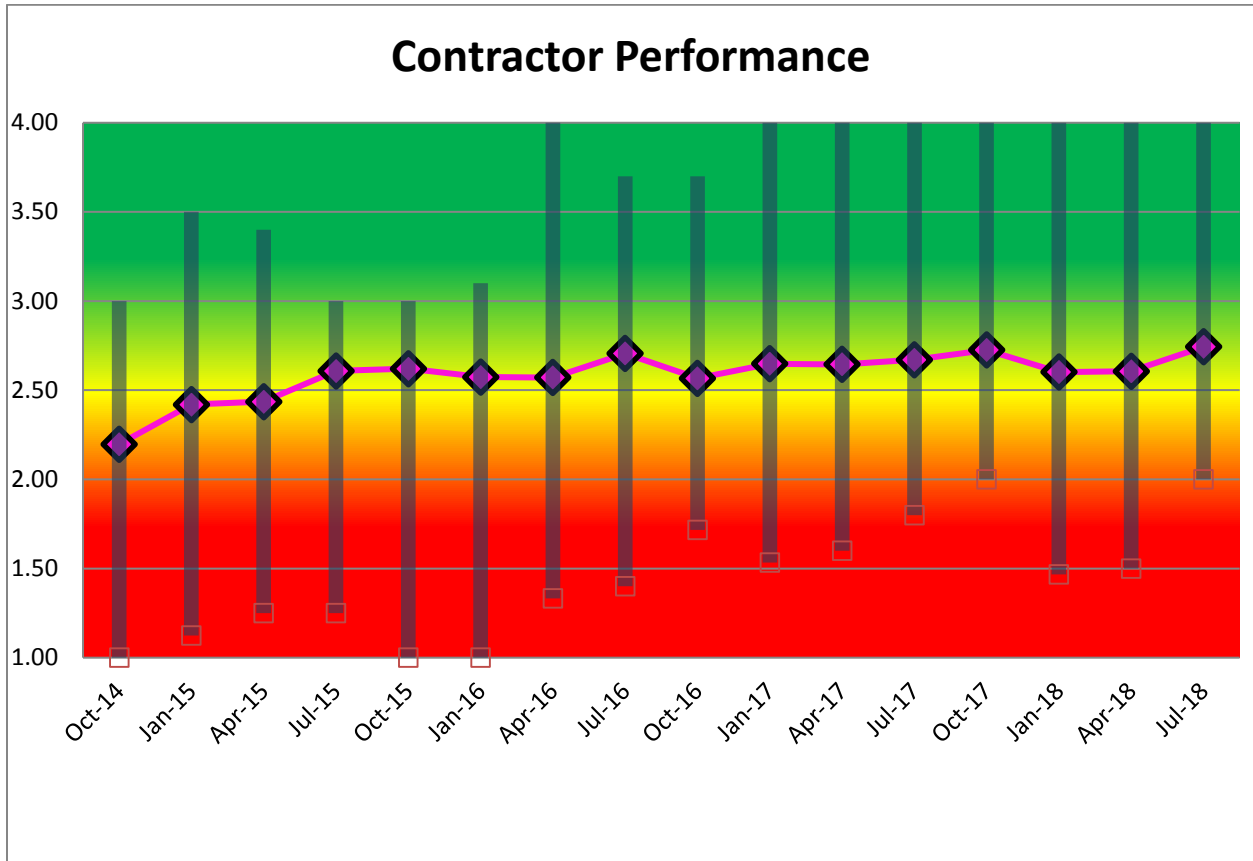
Although Project Controls increased this past quarter, stakeholders worry that either funding or a change in direction by a new administration could halt the project’s progress or change the scope.

Category H: Implementation



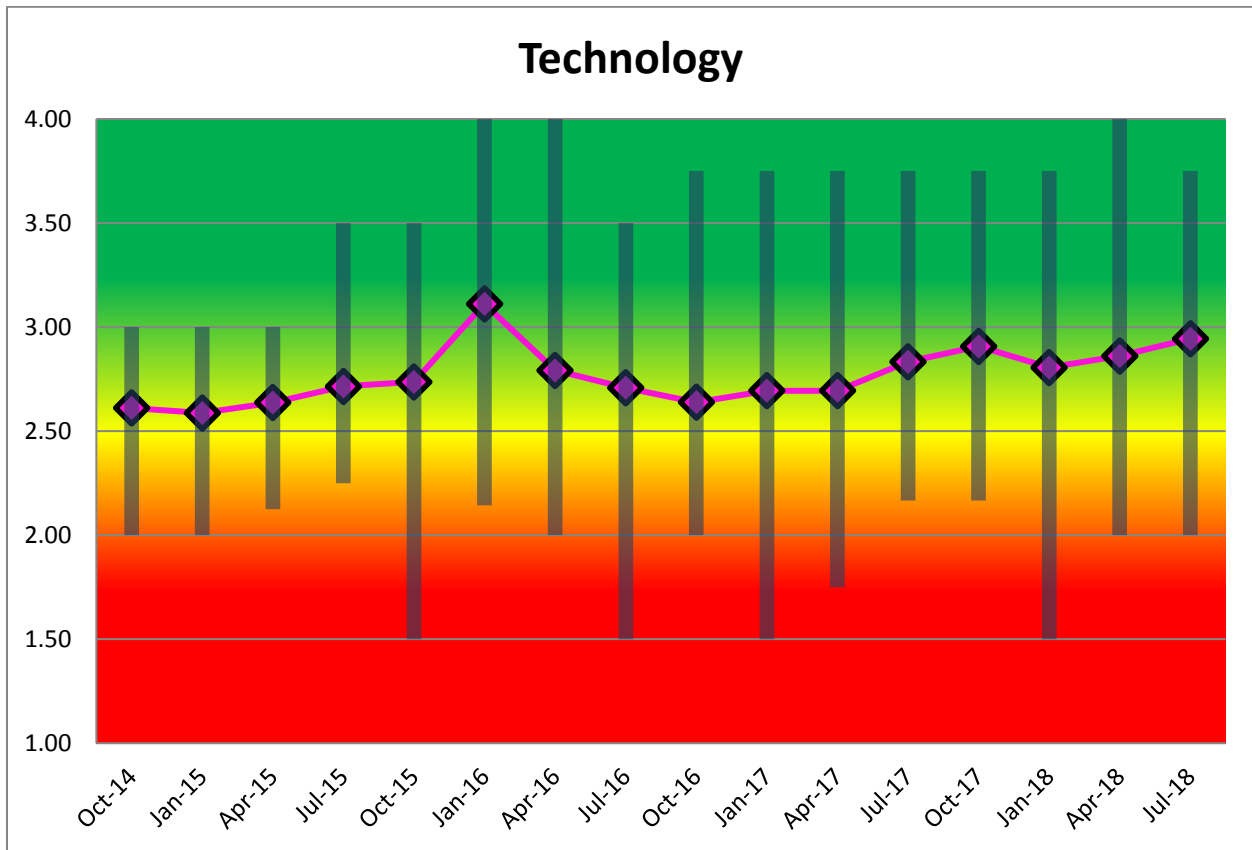
This category should be much higher at this point in the project. Agencies are well aware that much work is left to fully implement Phase 1. Stakeholders fully recognize how much work Conduent and the PMO and agencies have completed to get the project to this point, however they do not want to get overly optimistic.

Category I: Contractor Performance



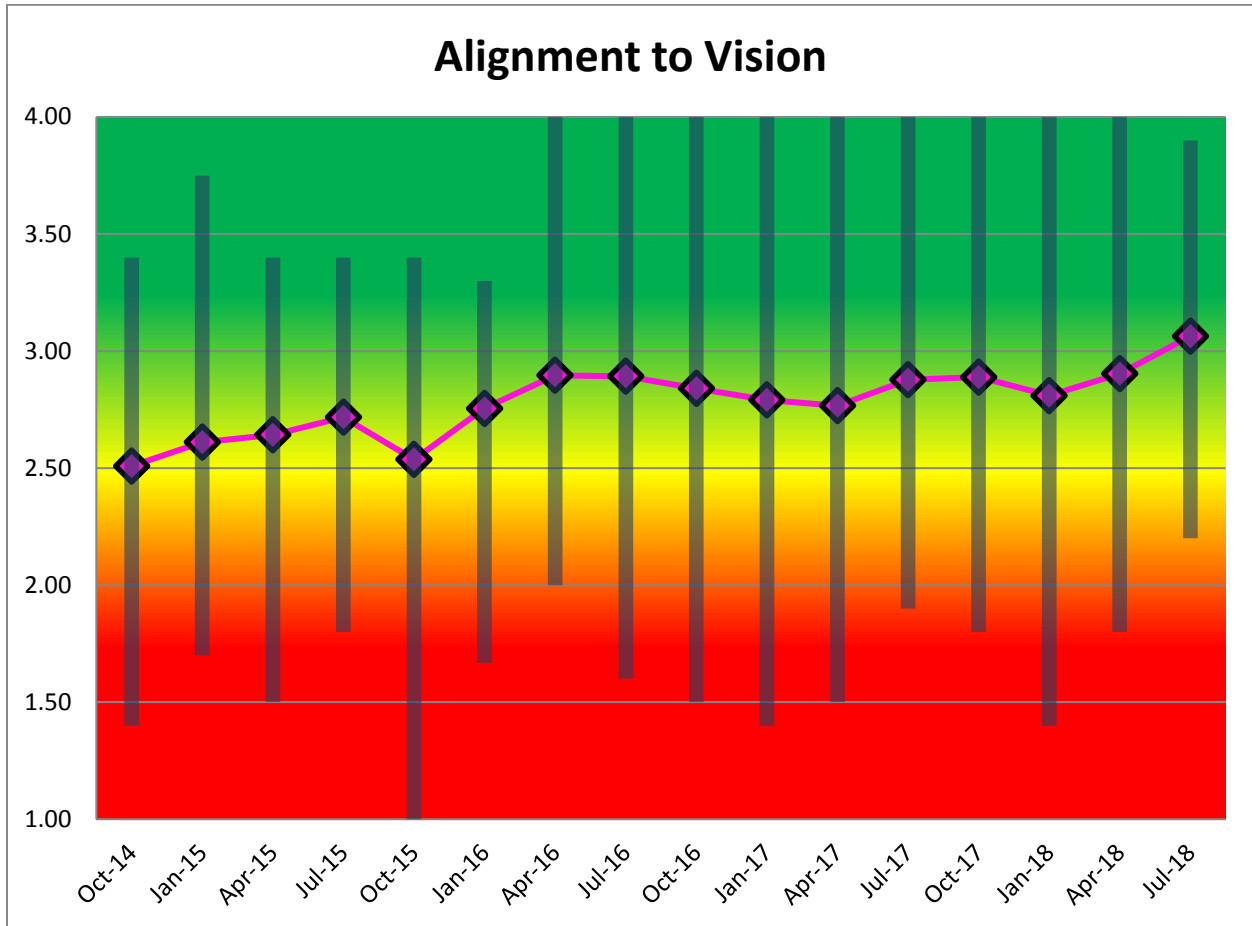
Contractor Performance has hovered just above average after the contract extension was signed in early 2015. Stakeholders eagerly await the completion of testing so the project can focus on full implementation.

Category J: Technology



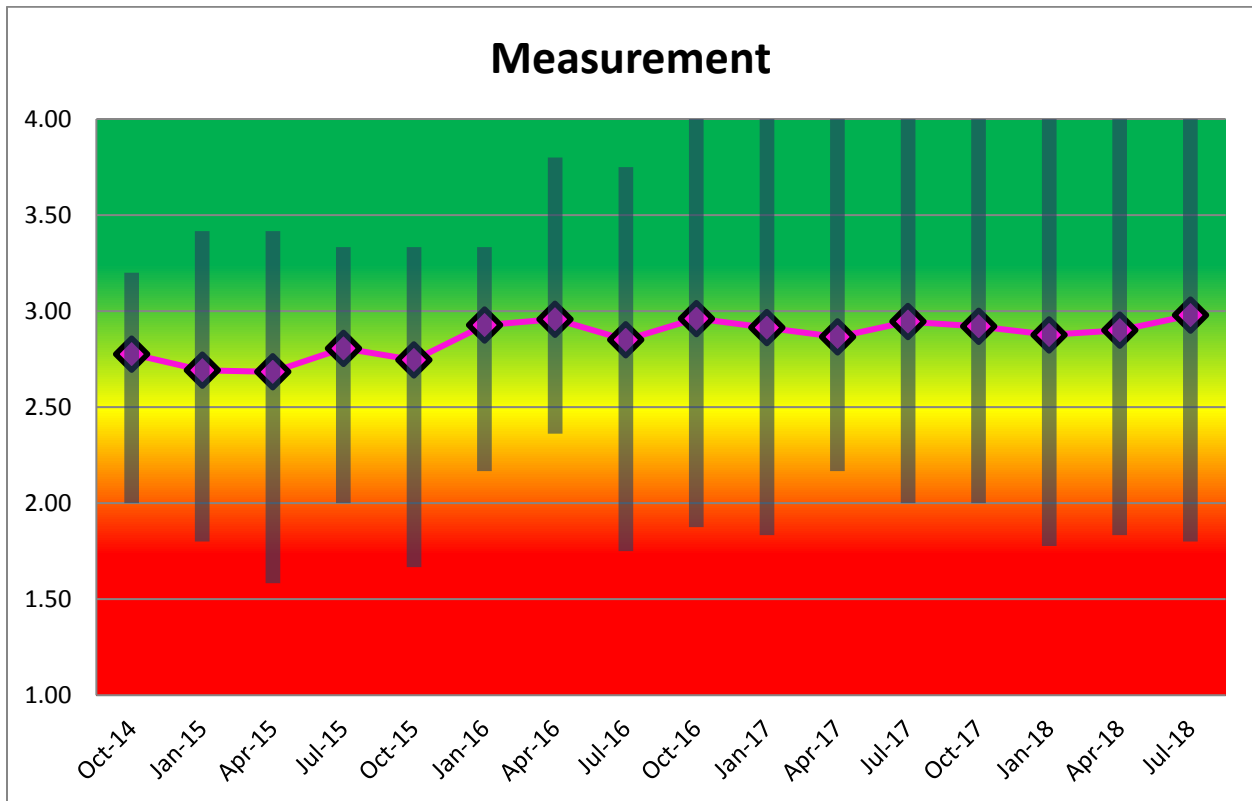
Stakeholders are anxiously awaiting full implementation to verify that the system will give them the data they need in a timely manner. Agencies feel like they have a good understanding of the technology but need to see it in action to ensure the workflow meets their needs.

Category K: Alignment to Vision



The Alignment to Vision category score for this quarter were the highest since these reports started tracking it four years ago. Stakeholders have the clearest picture yet of what functionality will be available at which points, though they would like even more clarity. There are some agencies that feel that the current scope does not meet the early promises for the project. These agencies are hopeful that Phase 2 upgrades will include those not included in Phase 1 scope.

Category L: Measurement



Most of the questions in the Measurement category have to do with understanding the project and the benefit derived from the system as well as the PMO’s ability to understand risks and deliver on-time. These scores have not changed much since early 2016. Although the scores are at their highest level, one would hope that at this point the scores were much higher into the green.

## Appendix B: Project Group Category Details

The following are the survey questions with their related Project Activity Category, as well as the Project Group Category of PMO, Conduent, and Agency.

Project Activity Category	Project Group Category	Question
A - Scope	PMO	The CISS project's scope includes all the pieces needed to meet the stated project goals for my agency.
A - Scope	PMO	CJIS project staff members inform me of approved change controls.
A - Scope	PMO	CJIS project staff work to clarify requirements and communicate them to my agency.
A - Scope	PMO	CJIS project staff informs me of progress toward project goals.
A - Scope	Agency	I feel my agency has the proper number of resources to meet my agency's CJIS project-related needs?
B - Development	Agency	The schedule is realistic for my agency.
B - Development	Conduent	The CISS development methodology is transparent and consistently applied.
B - Development	Conduent	The CISS implementation approach is transparent and consistently applied.
B - Development	Conduent	The CISS Release Plan balances the needs of our agency with the overall CISS program.
B - Development	Conduent	The Release Plan presents releases that make sense.
C. User Involvement	Conduent	I feel my agency is given the opportunity to review and approve requirements, design and testing scenarios when appropriate.
C. User Involvement	PMO	I feel my agency is asked for input when appropriate.
C. User Involvement	PMO	I am kept abreast of the CISS project status through regular communication.
C. User Involvement	Agency	The project team in my agency is informed and engaged concerning funding for CISS work.
C. User Involvement	Agency	I have a clear understanding of the work my agency needs to do with CISS.
D. Organization	Agency	We have the resource expertise to complete the tasks required to meet CISS project milestones for our agency.
D. Organization	Agency	The CISS project is expected to deliver cost savings to my agency after implementation.
D. Organization	Agency	Our agency has or will have sufficient funding to complete all planned project tasks for CISS.

Project Activity Category	Project Group Category	Question
E. Oversight	PMO	The CISS progress monitoring processes are clearly understood and consistently implemented by the CISS program team
E. Oversight	PMO	Our agency receives a sufficient level of support from the CISS project management team.
E. Oversight	PMO	The project milestones are attainable as currently scheduled for my agency.
E. Oversight	Agency	My team has a clear understanding of the CISS project status and our related work for CISS.
F. Project Management	PMO	I feel that the CJIS PMO has the experience needed to lead the CISS project successfully.
F. Project Management	PMO	Our agency has consistent and bi-directional communication with the CJIS PMO.
F. Project Management	PMO	I believe the CJIS project managers have credibility to succeed in my agency.
F. Project Management	PMO	The CISS project management approach is consistent and uses best practices to work with my agency.
F. Project Management	Agency	The relationship between our agency and the CJIS PMO is good.
G. Project Controls	Conduent	The planning for this project over the last quarter is sound and credible.
G. Project Controls	PMO	The status of the CISS project is consistently and accurately communicated to our agency.
G. Project Controls	PMO	Formal CISS project scope changes are well planned and effectively communicated to our agency.
G. Project Controls	Agency	CISS project issues are effectively tracked and addressed at the appropriate level with our agency.
G. Project Controls	PMO	I have confidence that the CJIS project will be completed close to the current plan/schedule.
H. Implementation	Conduent	The requirements gathering activities that my agency has participated in have sufficiently documented our agency's needs in the analyzed area.
H. Implementation	PMO	The project documentation that has been developed to date is comprehensive and accessible.
H. Implementation	Conduent	I have the confidence that the relationship between the Conduent team and my agency will enable successful implementation of CISS.



Project Activity Category	Project Group Category	Question
H. Implementation	Conduent	Our agency has confidence that the Conduent team will deliver CISS according to requirements and schedule.
H. Implementation	Conduent	I believe that the relationship between the CJIS team and the Conduent team will enable CISS to be implemented successfully.
I. Contractor Performance	Conduent	The Conduent scope documents are clear, available and represent the current state of the project for your agency.
I. Contractor Performance	Conduent	Does the vendor, Conduent, interact with line staff at your agency at the appropriate level and at the right times?
I. Contractor Performance	Conduent	The project iterations are effectively managed and documented by the vendor.
I. Contractor Performance	PMO	The working relationship between the agency, PMO, and Conduent is open, transparent and effective.
I. Contractor Performance	Conduent	I believe that Conduent has a clear plan for transitioning my agency to the CISS system.
J. Technology	Conduent	I feel comfortable that Conduent understands all my agency's security concerns related to the development of the CISS System.
J. Technology	Agency	I believe that my agency's technical resources have the right level of technical understanding to complete CISS integration successfully.
K. Alignment to Vision	Agency	My agency understands how its information will be exchanged with other agencies using CISS.
K. Alignment to Vision	Agency	I believe that when completed, the CISS search capability will meet my needs.
K. Alignment to Vision	Agency	I am comfortable that my agency understands the authentication and GFIPM claims required for secure CISS access.
K. Alignment to Vision	Agency	My agency is confident that audit processes will ensure the confidentiality and integrity of the CISS system.
K. Alignment to Vision	Conduent	I believe the right people are involved in fully understanding and documenting my agency's business rules for CISS.
L. Measurement	PMO	The progress of the CISS project is objectively measured and clearly communicated to my agency.
L. Measurement	Agency	Staff members from my agency that are involved with CISS understand the project well.

Project Activity Category	Project Group Category	Question
L. Measurement	Agency	My agency understands the benefits it will derive from CISS.
L. Measurement	Agency	My agency has identified the risks and issues associated with the implementation CISS and have formally communicated them to the CJIS team.
L. Measurement	Conduent	My agency trusts that the CJIS and Conduent teams will successfully implement the CISS project.
L. Measurement	Agency	I believe the impact of the CISS Project will have on my agency will be positive.

## 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 D: Methodology

Qualis Health will be conducting four Project Health Check Reports over the next year. For each report, SMEs from each agency, the PMO, and Conduent are sent a 55 question survey (Appendix B). The survey was comprised of questions covering the following 12 categories:

- Scope
- Development
- User Involvement
- Organization
- Oversight
- Project Management
- Project Controls
- Implementation
- Contractor Performance
- Technology
- Alignment to Vision
- Measurement

Survey respondents were asked to evaluate each question on a 1 to 4 scale:

- 4 – Strongly Agree
- 3 – Agree
- 2 – Disagree
- 1 – Strongly Disagree
- N/A – could be used for both “Not Applicable” or “Not Sure”

The approach is to have survey responses received, prior to stakeholder interviews, to allow for a more focused dialog. SMEs from each agency were interviewed, as well as two Project Managers from the PMO and two Project Managers from the contractor, Conduent. The interviews allowed Qualis Health to ask follow-up questions, receive clarifications, and note recommendations. The information gathered from the interviews, together with the survey results, informed the risks, issues, and recommendations presented in this report.

The data from survey responses were synthesized into Excel for analysis. The compiled data provided an across-agency view of the Project’s Health from the key stakeholder’s perspective.

Each quarter the survey, with the same questions, will be sent to the same SMEs. This allows project progress to be marked by the stakeholders, removing the subjectivity of the interviewer. This is a change to the methodology compared to reports that were produced previously for the CJIS Governing Board. The first quarter’s results establish a project baseline with which future quarters will be compared to show areas of project health gains, as well as new opportunities for project improvements.

The graphs in this document all utilized the same 1 to 4 scale, which corresponds to the scale from the survey responses. All the questions were asked in such a way so that the value of 4 corresponded to the highest level of project health and 1 corresponded to the lowest. Any

response of “N/A” was removed from consideration. Qualis Health received at least one survey result from each agency. Some agencies met internally to respond to the survey as a team, while other agencies had multiple SMEs respond to the survey. Responses were averaged by agency (for those agencies choosing multiple respondents) and then were averaged across all agencies. This ensured equal weight for all agencies. All the graphs in this document only contain data from the 10 Stakeholder Agencies, which are:

- Bureau of Enterprise Systems and Technology (BEST)
- Department of Emergency Services and Public Protection (DESPP)
- Office of the Victim Advocate (OVA)
- Division of Public Defender Services (DPDS)
- Connecticut Police Chiefs Association (CPCA)
- Division of Criminal Justice (DCJ)
- Board of Pardons and Paroles (BOPP)
- Department of Motor Vehicles (DMV)
- Department of Corrections (DOC)
- Judicial Branch