

Information Technology Capital Investment Program
Project Status Report

To: Information Technology Strategy and Investment Committee
John Vittner, Office of Policy and Management

From: W. Michael Regan, Department of Correction

Email: Michael.Regan@ct.gov

Agency: Department of Correction

Project: Offender Management Information System (OMIS)

Project Manager: Sumit Sajnani

Reporting Period: Project Inception through 06/30/2018

Total Funds Requested: \$4,375,000

Total Funds Allotted to Agency: \$3,075,000

Accumulative Total Capital Fund Expenditures to Date: \$1,575,000

Brief Project Description/Summary:

The DOC OMIS project will replace the existing set of complex, fragmented, duplicative and outdated systems with a comprehensive, modern and fully integrated system to support all CTDOC institutions, (Jails and Prisons), Board of Parole and Pardons, and the Division of Community Supervision, and to provide DOC offender data for consumption by other law enforcement entities (municipal, state and federal) and constituents. This project entails the purchase and implementation of a market leading, modified off the shelf (MOTS) system for managing all offender related functions within Department of Correction and the Board of Parole and Pardons. Offender related functions include (but are not limited to) intake, classification, sentence and time calculation, programs and treatment, movement, banking and commissary, parole, community supervision and reporting.

Summary of Progress Achieved to Date:

Through an RFP process, CTDOC identified and contracted with qualified vendors (1 prime + 1 sub) to deliver the new OMIS. The agreement was approved by the State CIO and CT Attorney General's office in June of 2015. The Gap Analysis phase was kicked off. The base product (pre-customization) was installed in a sandbox to help facilitate Gap analysis. To date DOC has received \$3,075,000 in IT Capital Bond Funds. Of that amount \$375,011 has been expended and \$1,199,989 has been encumbered. It is requested that the balance of approved funds (\$1,300,000) for this project be made available as follows: \$1,175,000 in January of 2017 and \$125,000 in January of 2018.

For purposes of Gap Analysis we have 4 separate teams working in parallel. Originally, the vendor had estimated 18 months to complete Gap Analysis. However, due to team ramp-up and other complexities, the vendor now estimates Gap Analysis will take 24 months. The additional 12 months will not have any financial implication on the project budget. Gap Analysis for this project is an extensive, deep dive into all pertinent CT statutes, business processes, rules, calculations, legacy data mapping and data scrubbing related to these systems. The scope of this project entails replacing 3 very large intertwined systems, numerous small to mid-size systems and migrating historical legacy data. Additionally, it includes automating capabilities which are currently done manually.

The modified off the Shelf (MOTS) system we are purchasing requires extensive customization to make it fit DO needs. The base product is designed for Corrections Systems, however every Corrections System is different especially Connecticut's as we are one of the only states with a unified prison and jail system. Additionally, the new system will replace numerous current electronic and manual systems and incorporate a very broad spectrum of functionality. It is the complexity of the new system that is driving the timeframe for the Gap Analysis.

01/30/17 Update

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The OMIS project is broken out into 4 implementation phases. Gap Analysis and design for all 4 implementation phases is being undertaken as one holistic SDM phase. We have 4 separate teams working in parallel on Gap Analysis. Originally, the vendor had estimated 12 months to complete Gap Analysis. However, due to team ramp-up and other complexities, the vendor now estimates Gap Analysis will take 24 months. The additional 12 months will not have any financial implication for or impact on the project budget. However, in an effort to mitigate a 12 month delay in the implementation of OMIS, we are evaluating further componentizing the implementation, possibly into 6 phases. This will also mean that we will need to split up the Gap Analysis and Design into components. Gap Analysis for this project is an extensive, deep dive into all pertinent CT statutes, business processes, rules, calculations, legacy data mapping and data scrubbing related to these systems. The scope of this project entails replacing 3 very large intertwined systems, numerous small to mid-size systems and migrating historical legacy data. Additionally, it includes automating capabilities which are currently done manually.

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07/30/17 Update

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The scope of OMIS entails replacing 3 very large intertwined systems, numerous small to mid-size systems and migrating 40 years of historical legacy data from 13 systems. Additionally, it includes automating capabilities which are currently done manually. In order to better manage this initiative it has been broken out into 4 incremental implementation phases (Releases). The "TO BE" Business Process and product specifications for all Releases is being undertaken upfront as one holistic SDM phase (instead of Release by Release). The project is nearing the completion of Business Process and Business Specifications for the first 3 Releases. Business Specifications for the 4th Release have been intentionally put on hold. Technical Design is currently underway. Some components of Technical Design such as data mapping, test cases etc. will be completed and signed off on a Release by Release basis while other components such as Architecture and Infrastructure will be completed upfront. Code for the first Release is expected to be delivered to the State in 3 progressive iterations beginning end of 2017 through end of 2018. All 3 iterations will be packaged as a single Release and will be deployed in 2019 after successful UAT completion. The first Release (large) will replace DOC's legacy Mainframe System.

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01/10/18 Update

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Design are will be completed and signed off on a Release by Release basis. First set of Code was delivered to the State in November 2017. Training to support UAT has been completed. UAT was kicked off in December 2017. 2 additional code delivers iterations are expected through end of 2018. All 3 iterations will be packaged as a single Release and will be deployed in 2019 after successful UAT completion. The first Release (largest) will replace DOC's legacy Mainframe System.

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07/01/18 Update

Through an RFP process, CTDOC identified and contracted with qualified vendors (1 prime + 1 sub) to deliver the new OMIS. The agreement was approved by the State CIO and CT Attorney General's office in June of 2015. The Gap Analysis phase was kicked off. The base product (pre-customization) was installed in a sandbox to help facilitate Gap analysis. It is requested that the balance of approved funds (\$1,300,000) for this project be made available in January of 2019.

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To date DOC has received \$3,075,000 in IT Capital Bond Funds. Of that amount \$1,035,248 has been expended and \$1,262,259 has been encumbered. It is requested that the balance of approved funds (\$1,300,000) for this project be made available in January of 2019.

Issues and Risks:

No high probability issues or risks are evident at this time.

01/30/17 Update

The vendor now estimates 24 months for Gap Analysis (see details above). This does not have a financial impact on project budget however, if we stay on the current 4 phased approach the implementation plan will be pushed out accordingly. In order to minimize delay of first implementation, DOC is looking into further componentizing the project into smaller phases.

07/30/17 Update

(1) The vendor is unable to deliver code as per agreed to time line: The vendor has agreed to an aggressive timeline for delivery of code starting end of 2017. Specifications for this code were signed off in July. There is a risk of delay from the vendor for delivery.

(2) Significant Legacy Data Issues: There is a substantial effort on DOC's part to review, clean and/or provide transformational rules to vendor for migration of all legacy data. Depending on the degree of "bad" data this could take longer than anticipated.

(3) UAT Timeframe: Given the large scope of the first Release which includes a number of complicated business cases such as Sentence and Time Calculations, Programs and Treatment etc. The allocated UAT time may not be sufficient.

01/10/18 Update

(1) The vendor is unable to deliver code as per agreed to time line: The vendor has agreed to an aggressive timeline for delivery of code for first release through 2018. Specifications for this code were signed off in July 2017. There is a risk of delay from the vendor for delivery.

(2) Significant Legacy Data Issues: There is a substantial effort on DOC's part to review, clean and/or provide transformational rules to vendor for migration of all legacy data. Depending on the degree of "bad" data this could take longer than anticipated.

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07/01/18 Update

1. Vendor's second deliverable (RT 2) from May 2018 did not meet DOC acceptance criteria due to a large number of bugs. Face to face sessions are underway between DOC and Vendor to resolve bugs so UAT can begin. This has caused 8 weeks delay.
2. The vendor is unable to deliver code as per agreed to time line: The vendor has agreed to an aggressive timeline for delivery of code for first release through 2018. There is a risk of delay from the vendor for delivery.
3. Significant Legacy Data Issues: There is a substantial effort on DOC's part to review, clean and/or provide transformational rules to vendor for migration of all legacy data. Depending on the degree of "bad" data this could take longer than anticipated.
4. UAT Timeframe: Given the large scope of the first Release which includes a number of complicated business cases such as Sentence and Time Calculations, Programs and Treatment etc. The allocated UAT time may not be sufficient.

Next Steps & Project Milestones:

Gap Analysis is underway and is expected to run January 2017.

01/30/17 Update

Gap Analysis is underway and is expected to run December 2018.

07/30/17 Update

Business specifications for first 3 Releases are nearing completion. Business Specifications for Release 4 are expected to run through December 2018. Technical Design Gap Analysis is underway and is expected to run through December 2018.

01/10/18 Update

Business specifications for first 3 Releases are nearing completion. Business Specifications for Release 4 are expected to run through December 2018. Technical Design Gap Analysis is underway and is expected to run through December 2018. UAT for first release has been kicked off.

07/01/18 Update

RT2 delivery expected end of August. UAT Cycle 1 for RT 2 to begin September 2018. UAT Cycle 2 for RT 1 currently in progress.

Spending Plan:

01/10/18 Update

Payment to software vendor per agreed to contract terms.

- The next payment milestone is: *Acceptance of Gap Analysis and Detail Design Part A* which should occur in February of 2018. The payment for the follow on milestone - *Acceptance of Gap Analysis and Detail Design Part B* - should occur by January of 2019.

Purchase of additional hardware and software for hosting of OMIS.

- Equipment purchases are scheduled to occur throughout 2018.

Based on an assessment of progress to date and of the work plan going forward, the Next IT Capital Fund capital infusion is not anticipated to be needed until January of 2019.

07/01/18 Update

Payment to software vendor per agreed to contract terms.

- The next payment milestone is: Acceptance of Gap Analysis and Detail Design Part A which should occur in November of 2018. The payment for the follow on milestone - Acceptance of Gap Analysis and Detail Design Part B - should occur in March of 2019.

Purchase of additional hardware and software for hosting of OMIS.

- Equipment purchases are scheduled to occur throughout 2018.

Based on an assessment of progress to date and of the work plan going forward, the Next IT Capital Fund capital infusion is not anticipated to be needed until January of 2019.