



State of Connecticut
Criminal Justice Information System

CJIS Governing Board Meeting

April 18, 2013 — 1:30 p.m.

300 Corporate Place, Rocky Hill

- Introduction
- Approval of January 2013 Minutes
- Independent Verification & Validation, MTG Consulting
- CISS Project Update
 - CISS Program Overview
 - CISS Planning – Schedules for Upcoming Waves
 - CISS Business Update
 - CISS Technology Update
 - Lessons Learned – Wave 0, Version 1
- CISS Security Demo
- Comments from Jeanine Allin, CJIS Public Safety Liaison

Agenda

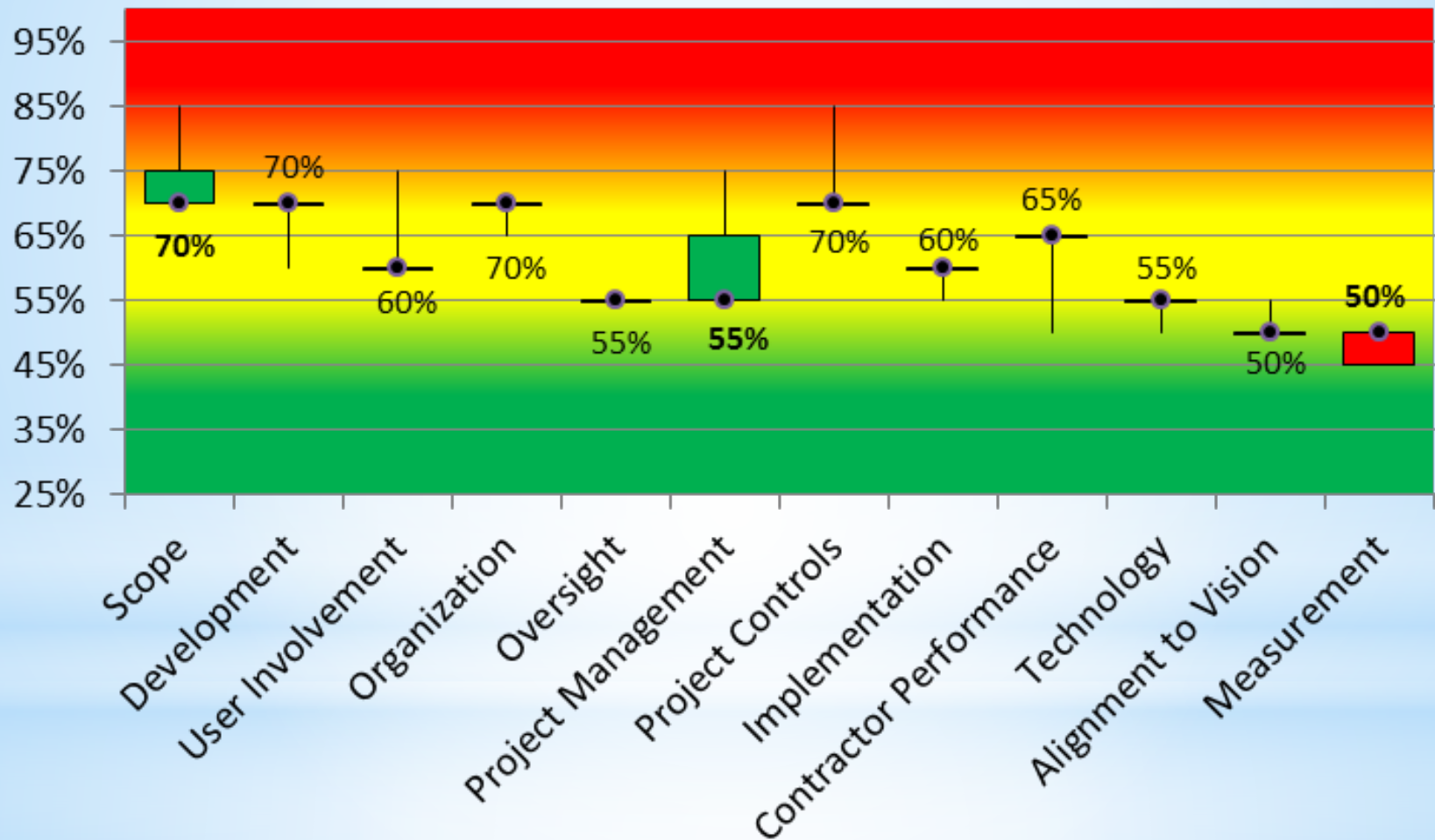


Independent Verification & Validation

Bob Kaelin, MTG



Independent Verification & Validation



Independent Verification & Validation

MTG Consulting was hired by the State to provide independent review of CJIS. The quality assurance effort focuses on relative risk to the program based on an independent point of view.

- Overall risk is at 61 percent
- Scope and project management risk decreased from Q3 2012.
- Measurement risk increased from Q1 2013.
- Program is still at a juncture – the implementation and deployment pace must increase to meet ROI expectations.

CISS — 2010 High Level Benefits

Citizens – Improved information-sharing results in crime reduction and increased public safety.

Justice Agencies – CISS enables justice agencies to streamline internal business processes and reduce data entry workload.

CJIS Governing Board – The benefits achieved through the Governing Board assists the legislature in achieving its public policy goals.

Legislature – CISS promotes and enables good public policy vis-à-vis the justice system.

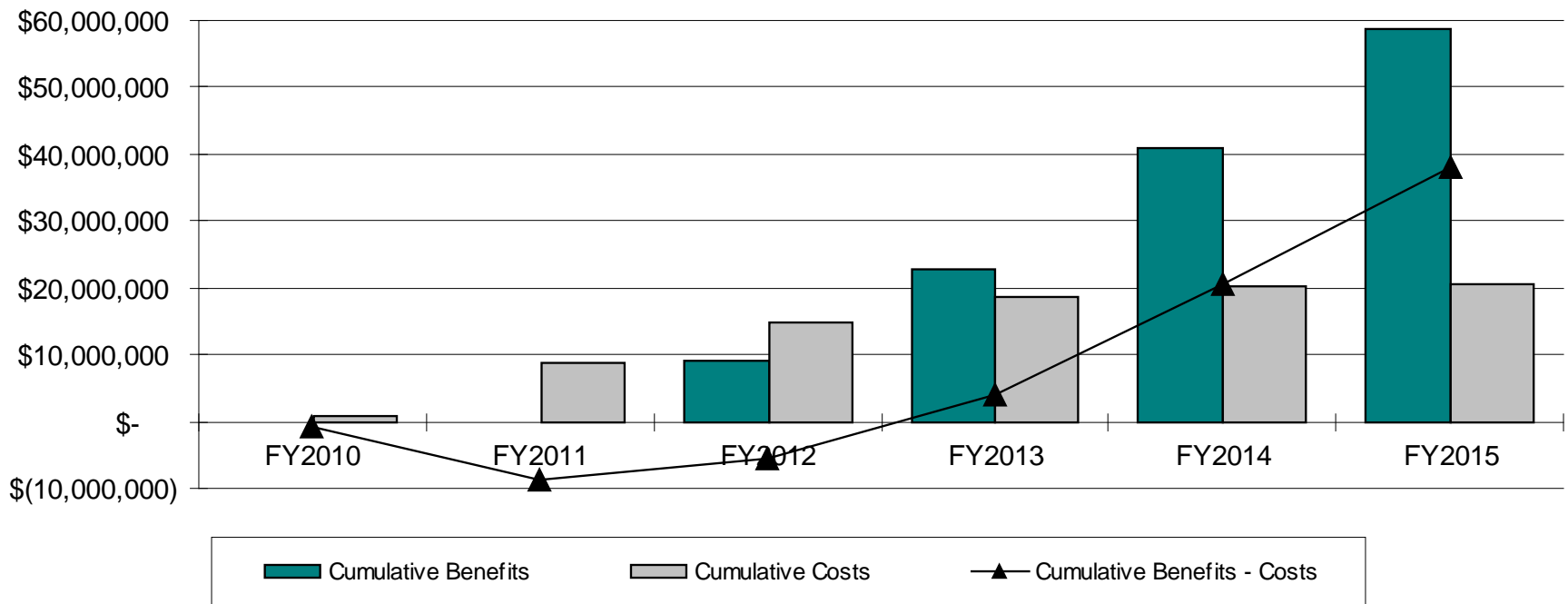
State – CISS allows state-wide justice information-sharing resulting in benefits and cost savings.



CISS — 2010 ROI

The **Total** of **all** exchanges annual benefit is estimated to be \$18M.
The cumulative benefit over 5 years is \$59M.

Cumulative Cost-Benefit Analysis



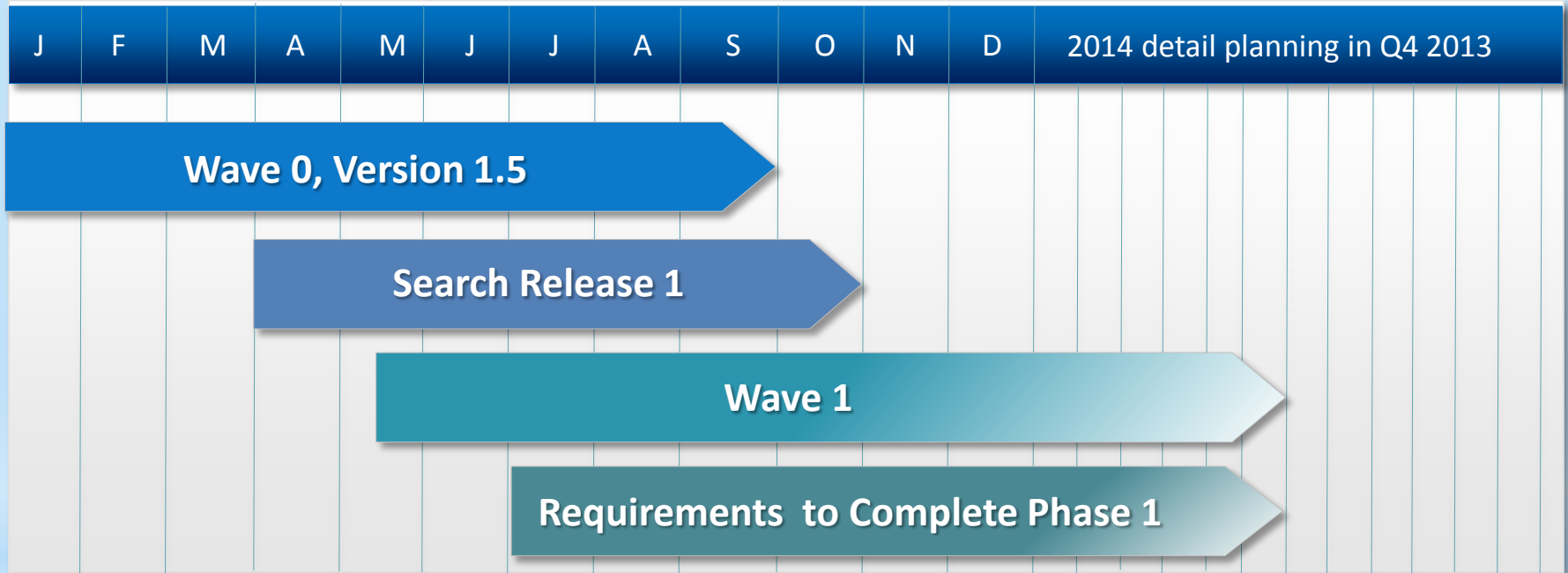
CISS — 2010 Top 12 Exchanges

| Exchange Number | Exchange Type | Involved Agency | Document | Estimated Annual Savings |
|-----------------|---------------|------------------------------|--------------------------------------|--------------------------|
| 1.01.03 | As-Is | Law – DCJ | Incident Report | \$4,212,000 |
| 1.01.29 | As-Is | Law – Judge | Case Report | \$1,645,313 |
| 4.48.52 | As-Is | Court Operations – Law | Disposition Abstract | \$1,620,000 |
| 2.21.01 | As-Is | Judge – Law | Arrest Warrant | \$1,023,047 |
| 1.01.15 | As-Is | Law – DCJ | Affidavit for Arrest Warrant | \$796,912 |
| 11.01.25 | <i>To-Be</i> | Law – Law | Incident Report | \$631,800 |
| 16.03.07 | <i>To-Be</i> | Law – State Repository | Family Violence Report | \$628,560 |
| 1.14.53 | As-Is | DCJ – Law | Request for Supplemental Information | \$499,350 |
| 9.97.01 | As-Is | Court Operations – Law | Seized Property Form | \$411,328 |
| 1.01.25 | As-Is | Law – Pretrial Services | Conditions of Release | \$393,864 |
| 6.76.17 | As-Is | Court Operations – Probation | Sentencing Order | \$392,137 |
| 13.01.25 | <i>To-Be</i> | Law – Law | Location Incident History | \$308,813 |

CISS Project Plan

2013

2014



Note: All dates on our schedule are “targets,” and as such are subject to change depending upon circumstances beyond our control. CISS is a complex, dynamic, and unique project; despite due diligence, unpredictable events can push our plans off schedule.



CISS— Project Management Overview

Tactical Plan for completing CISS Phase 1 by end of 2014

- **Planning:** detailed schedules for near-term; high-level planning for later waves.
- **Requirements:** Set up dedicated staff teams to finish defining all business, technical, and other requirements.
- After requirements are defined, pass on to Xerox for design, CJIS approval, build, and testing.
- **Implementation:**
 - “Advance team” meets with each agency to finalize data-sharing details.
 - “Search source team” specializes in source systems (see slide 17).
 - “Exchange team” specializes in all Information Exchanges (IEs).
 - “Tech team” specializes in all technical infrastructure.

CISS— Project Management Overview

Key Risk:

Background: Implementation of CISS has caused concerns among some stakeholders. These concerns stem from:

- fear of the unknown
- how CISS will affect each agency
- impact to their current and future resources

Risk: Some stakeholders are reluctant to share data with CISS.

Impact: This is causing schedule delays, increased costs, changes in scope, and potentially gaps of critical data needed by consumers of that data.

Mitigation: A small team composed of a negotiator, and business and technical leads will work with each agency to address their concerns individually and find a win-win solution.

CISS Success Metrics

Strategic Program Progress



92.9% Milestones Achieved
13 of 14 Milestones



7.7 Days Average Late Task Completion
72 total late tasks

Strategic Budget



40.1% Actual vs. Planned Expenditures
\$10,138 K – Actual
\$25,273 K – Planned



54% Funding Committed
\$20,420 K – Committed
\$37,810 K – Total Program Cost

All figures are from project start-up to 3/31/2013

<http://doit-wscjisy3vx/cissmetrics/DashBoard/Rollup.aspx>

CISS Success Metrics

Operational Budget



44% — Software Expenditure
\$5,074K Actual Expenditure
\$11,522K Planned Expenditure



21.1% — Maintenance Expenditure
\$654K Actual Expenditure
\$3,094K Planned Expenditure



24.6% — Hardware Expenditure
\$566K Actual Expenditure
\$2,033K Planned Expenditure



39.5% — Development Expenditure
\$1,178K Actual Expenditure
\$2,982K Planned Expenditure



49.6% — Staff Expenditure
\$2,667K Actual Expenditure
\$5,375K Planned Expenditure

Planned Requirements Implemented to Date



100% — Business Requirements Implementation
23 of 23 Implemented



100% — Technical Requirements Implementation
50 of 50 Implemented

All figures are from project start-up to 3/31/2013

<http://doit-wscjisy3vx/cissmetrics/DashBoard/Rollup.aspx>

CISS Target Milestones

Wave 0, Version 1.5 – Confirmed

- April — Development (DEV) environment complete
- June — System Test (SYSTEST) environment complete
- July — User Acceptance Testing (UAT) environment complete
- September — Production (PROD) environment complete

Search Release 1 – Pending agreement with stakeholders

- April — Conduct/validate data mapping for agency source systems (MNI/CCH, PRAWN, and POR)
- April — Establish connectivity with MNI/CCH, PRAWN, and POR
- May — Complete requirements for SR1
- July — Complete design and construction
- July — System testing with agency source systems
- August — User Acceptance Testing (UAT)
- September — User training
- October — SR1 launch into production

Wave 1 – UAR Information Exchanges – Work in progress

- May — Review Wave 1 workflows and project charter with stakeholders
- May — Finalize project schedule
- July — RMS certification package

Acronyms

MNI = Master Name Index

CCH = Computerized Criminal History

PRAWN = Paperless Re-Arrest Warrant Network

POR = Protection Order Registry

UAR = Uniform Arrest Report

Note: All dates on our schedule are “targets,” and as such are subject to change depending upon events beyond our control. CISS is a complex, dynamic, and unique project; despite due diligence, unpredictable events can throw plans off schedule.



CISS— Business Management

Field Visits to Observe and Discuss Agency Business Processes

- Department of Emergency Services & Public Protection (DESPP)
 - SLWRS
 - SOR
 - SPBI/AFIS
 - COLLECT
 - CAD/RMS
- Board of Pardons & Paroles (BOPP)
 - Demo of new Case Notes System
 - Prescreens for Pardon Hearings
 - Pardon Hearings
- To be scheduled: Court Support Services Division (CSSD)

Search Release 1 (SR1)

- Requirements for CISS user interface screen layout changes
- Requirements for prioritized items from Wave 0, Version 1
- Agency search system data mapping: PRAWN, POR, MNI/CCH

CISS Planning & Upcoming Tasks

- CISS RMS certification requirements
- Workflow 1 – UAR planning and requirements

Acronyms

SLWRS = Special Licensing & Weapons Registration System

SOR = Sex Offender Registry

SPBI = State Police Bureau of Identification

AFIS = Automated Fingerprint Identification System

COLLECT = CT On-Line Law Enforcement Comm. Teleprocessing Network

CAD = Computer Aided Dispatch

RMS = Records Management System

CISS— Business Management

The CISS workflow diagrams were prioritized for implementation as follows:

| Release Order | Workflow # | Workflow Name |
|---------------|------------|------------------------------|
| 1A | 1 | Uniform Arrest Report (UAR) |
| 1B | 6 | Common Exchanges |
| 2 | 3 | Misdemeanor Summons |
| 3 | 2 | Infractions |
| 4 | 4 | Arraignment/First Appearance |
| 5 | 5 | Post Arrest |
| 6 | 7 | Disposition |
| 7 | 8 | Post Judgment |

CISS— Business Management

| CISS Ranking** | Agency Source Systems for CISS Search |
|----------------|---|
| 1* | Master Name Index/Computerized Criminal History (MNI/CCH) – DESPP |
| 2* | Paperless Re-Arrest Warrant Network (PRAWN) – Judicial, Superior Court Operations |
| 3 | Special Weapons and Licensing Registration System (SWLRS) – DESPP |
| 4* | Protection Order Registry (POR) – Judicial, Court Operations |
| 5 | Offender Based Information System (OBIS) – Department of Correction (DOC) |
| 6 | Sex Offender Registry (SOR) – DESPP |
| 7 | Criminal Motor Vehicle System (CRMVS) – Judicial, Superior Court Operations |
| 8 | Case Notes System – Board of Pardons and Parole (BOPP) |
| 9a | Line of Business (LOB) Driver History – Department of Motor Vehicles (DMV) |
| 9b | Connecticut Integrated Vehicle and License Systems (CIVLS) – DMV including LOB |
| 10 | Case Management System – Division of Criminal Justice |
| 11 | Centralized Infractions Bureau (CIB) – Judicial, Superior Court Operations |
| 12 | Pre-Sentence Investigation (PSI) – Judicial, Court Support Services Division (CSSD) |
| 13 | Adult Case Management Information System (CMIS) – Judicial, CSSD |
| 14 | COLLECT (File 5 Wanted Persons) – DESPP |

* These source systems will be included in SR1.

**Based on consensus with law enforcement and agency stakeholders

CISS — Technology Management

- Completed construction of the Development environment; passed the systems to Xerox and its partners.
- Microsoft is currently providing training on technologies that CISS is adopting.
- Implemented CJIS storage system.
- CJIS team is defining and managing systems.
- Adding to our technical staff to support system infrastructure, operations, and technical business analysis.
- Building the SharePoint team site for Division of Public Defender Services (DPDS).
- Coordinating a certification process to interface law enforcement Record Management Systems (RMS) with CISS.



Records Management System (RMS) Certification Overview

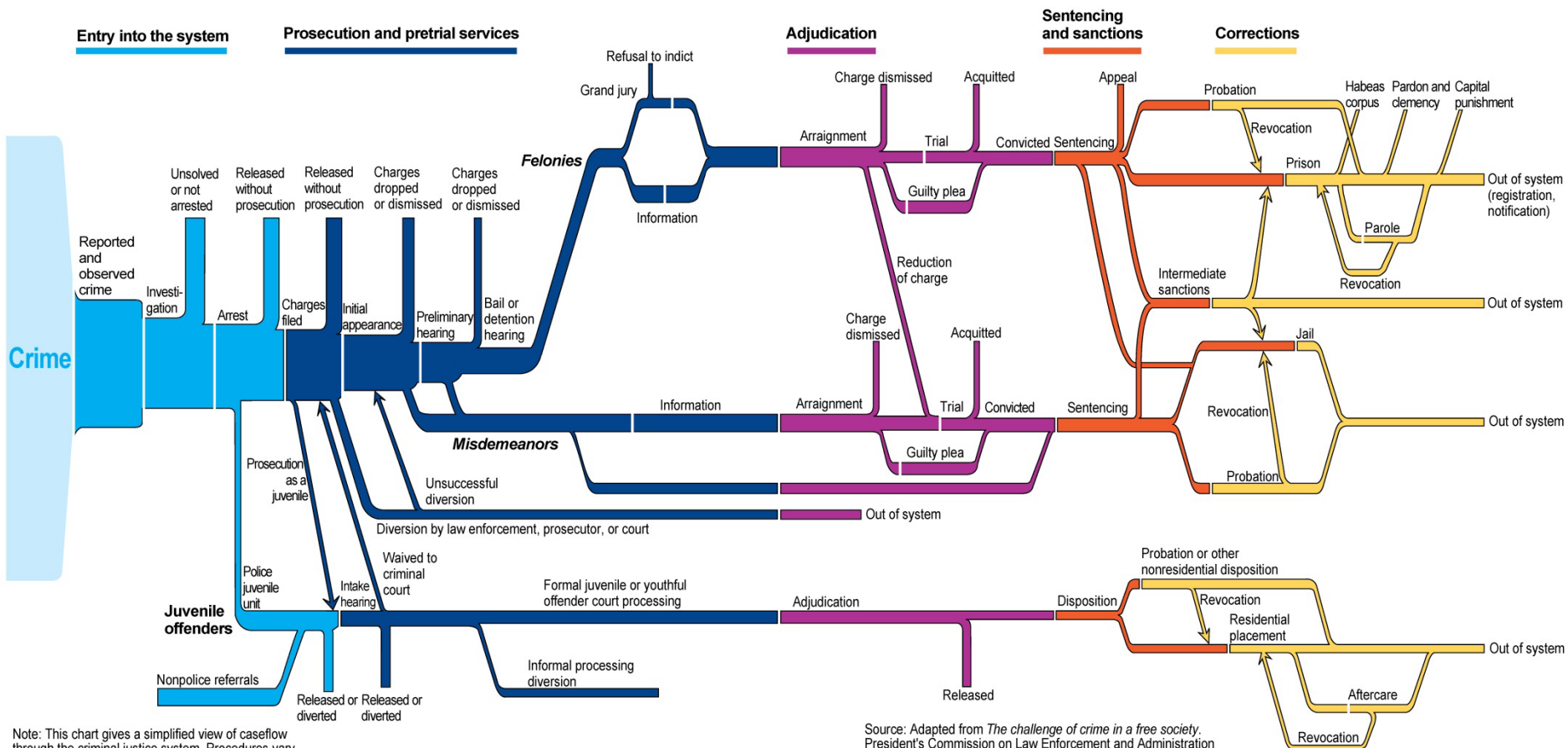


Primary Certification Requirements

Vendors must prove that they:

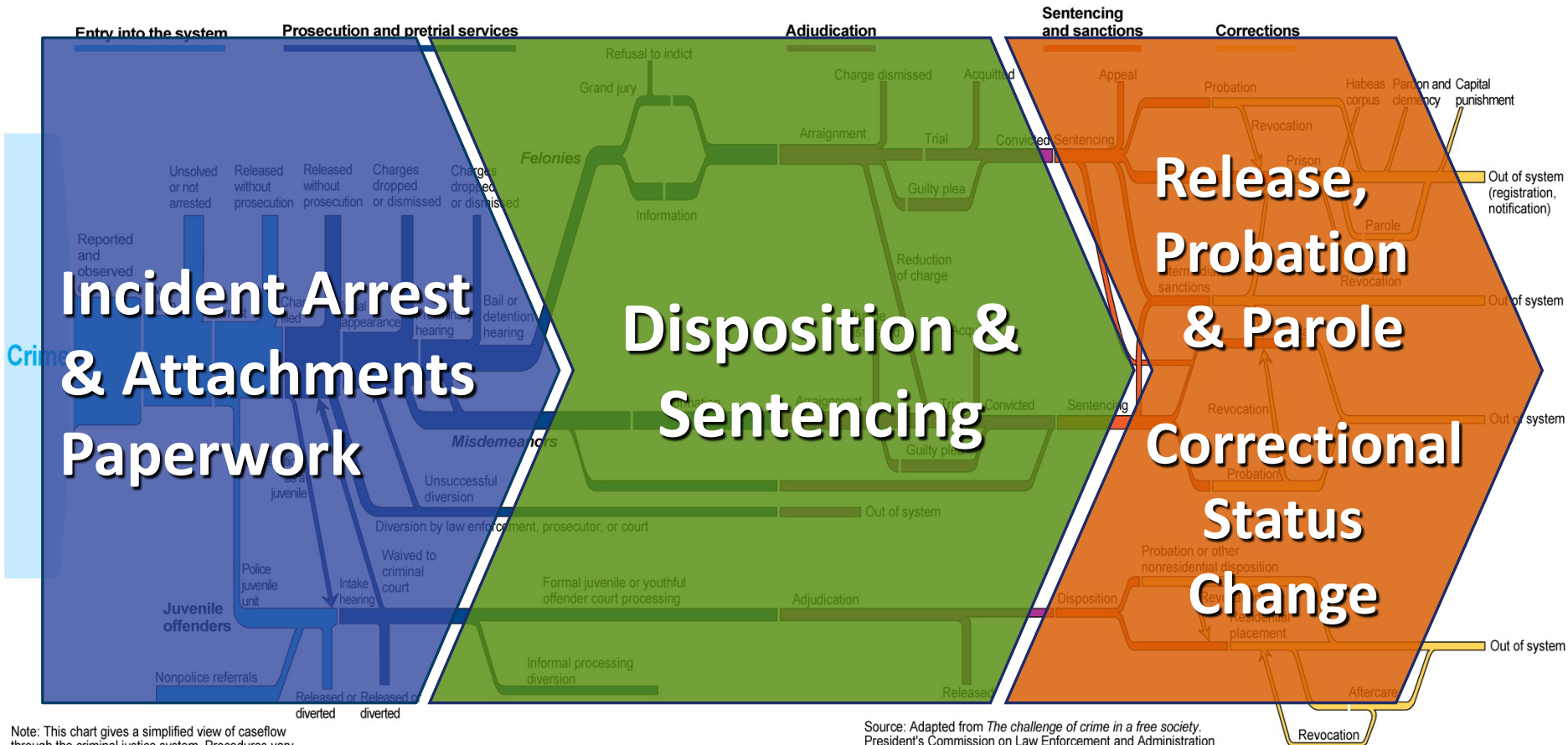
- ***Comply with Local and National Standards***
- ***Can publish and consume Information Exchanges***

Sequence of Criminal Justice Events



Source: Adapted from *The challenge of crime in a free society*. President's Commission on Law Enforcement and Administration of Justice, 1967. This revision, a result of the Symposium on the 30th Anniversary of the President's Commission, was prepared by the Bureau of Justice Statistics in 1997.

Criminal Justice Events & Information Exchanges



Note: This chart gives a simplified view of caseload through the criminal justice system. Procedures vary among jurisdictions. The weights of the lines are not intended to show actual size of caseloads.

Source: Adapted from *The challenge of crime in a free society*, President's Commission on Law Enforcement and Administration of Justice, 1967. This revision, a result of the Symposium on the 30th Anniversary of the President's Commission, was prepared by the Bureau of Justice Statistics in 1997.

RMS Certification & Information Exchanges

Where are we?

Completed:

- Incident Arrest
- Disposition & Sentencing

Next?

Working on:

- Probation & Parole
- Correctional Status Change



CISS— Lessons Learned

- The feedback from our W0V1 Lessons Learned sessions was analyzed.
- Key areas identified for improvement:
 - Timing — aggressive dates and shifting scope caused inefficiencies.
 - End-user input — end-user input not solicited early enough.
 - Environments — incomplete development and test environments.
 - Process — inconsistent use of Software Development Methodology (SDM) best practices, including inconsistent change control.
- Corrective action in progress:
 - Continue to establish and improve SDM best practices.
 - Wave 0, Version 1.5 underway — complete Environment build-out.
 - Stakeholder/end user input & feedback as part of task completion criteria.

CISS Basics

Phil Conen, Program Manager, Xerox

- ▶ CISS Guiding Principles
- ▶ CISS Security & Data Protection – Security Claims in Action

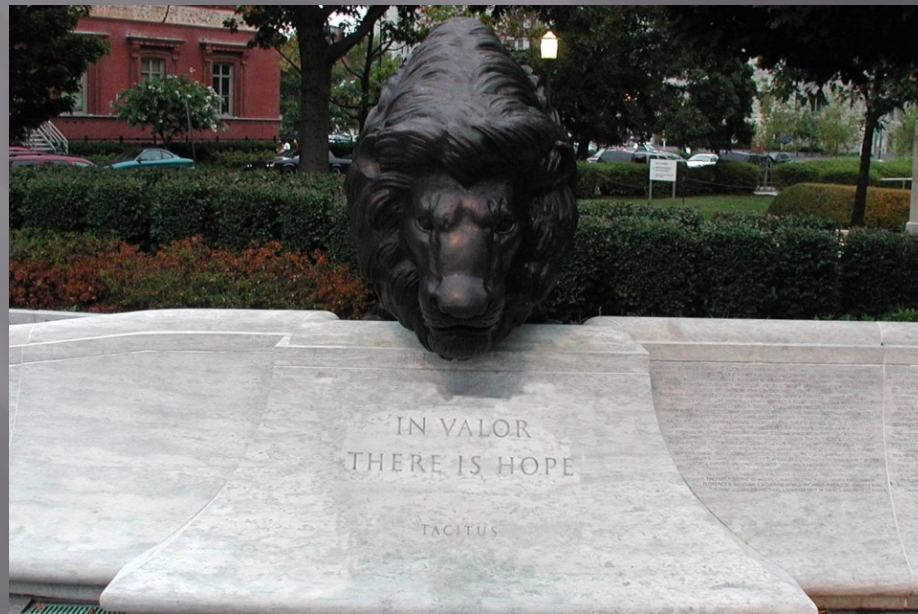
CISS Guiding Principles

- ▶ CISS is **not** a system of record.
- ▶ CISS facilitates information sharing between **authorized criminal justice agencies and users**.
- ▶ CISS automates or streamlines existing business processes, **subject to any business or security rules** that currently exist within those business processes.
- ▶ Stewardship of any data exchanged with CISS remains with the agency that produced and published the data.
- ▶ Decisions about what data can be shared and which organizations and individuals may see that data are made by the **owner of that data** based on state statute or agency policy and in accordance with existing or future information sharing agreements.
- ▶ Data owners are **encouraged to consider the needs** of the larger criminal justice community when deciding what information to share.

CISS Guiding Principles (cont'd.)

- ▶ To enhance application performance, ensure reliability, and provide the best user experience possible, CISS might, in some situations, store copies of agency data or subsets of that data within CISS. As with any data exchanged with CISS, access to such copies are governed by the business and security rules defined by the data owner.
- ▶ It is recognized that there may be situations where data owners are uncomfortable with CISS storing copies of agency data. Every effort will be made to respect and address such concerns, including, when necessary, alternate implementations that reduce or eliminate the need for CISS to store agency data.
- ▶ Data owners are encouraged to actively participate in pre-release testing to ensure that their business and security rules have been correctly implemented. Depending on the severity of any problems found, production releases may be delayed until the issue is corrected to the satisfaction of the data owner.
- ▶ We're all on the same team.

THE CASE FOR THE CONNECTICUT INFORMATION SHARING SYSTEM



MASTER POLICE OFFICER PETER J. LAVERY



December 30, 2004
57 Mountain View Drive, Newington, CT



HUSBAND AND FATHER
PUBLIC SERVANT FOR 22 YEARS
MAY 13, 1957 — DEC. 30, 2004



WE CAN PREVENT SENSELESS TRAGEDY.



Appendix: Acronyms

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
CAD = Computer Aided Dispatch
CCH= Computerized Criminal History (DESPP)
CIB = Centralized Infraction Bureau (Judicial)
CIDRIS = Conn. Impaired Driver Records Information System
CISS = Conn. 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 (CSSD)
COLLECT = CT On-Line Law Enforcement Comm. Teleprocessing Network
CPCA = Conn. Police Chiefs Association
CRMVS = Criminal and Motor Vehicle System (Judicial)
CSSD = Court Support Services Division (Judicial)
DCJ = Division of Criminal Justice
DAS = Dept. of Administrative Services
DESPP = Dept. of Emergency Services & Public Protection
DEMHS = Dept. of Emergency Management & Homeland Security
DMV = Dept. of Motor Vehicles
DOC = Department of Correction
DOIT = Dept. of Information Technology
DPDS = Div. of Public Defender Services
GIS = Geographic Information System
IST = Infrastructure Support Team
JMI = Jail Management System
JUD = Judicial Branch
LEA = Law Enforcement Agency
LAW = Local Law Enforcement (e.g., DPS, CPCA)
LIMS = State Crime Laboratory Database
MNI = Master Name Index (DESPP)
OBIS = Offender Based Information System (Corrections)
OBTS = Offender Based Tracking System
OCPD = Office of Chief Public Defender

OVA= Office of the Victim Advocate
OVS = Office of Victim Services
RMS = Records Management System
OSET = Office of Statewide Emergency Telecommunications
PERU = Passenger Endorsement Review Unit
POR = Protection Order Registry (Judicial)
PRAWN = Paperless Re-Arrest Warrant Network (Judicial)
PSDN = Public Safety Data Network
SCO= Superior Court Operations Div. (Judicial)
SOR = Sex Offender Registry (DESPP)
SPBI = State Police Bureau of Identification (DESPP)
SLWRS = Special Licensing and Weapons Registration System (DESPP)
SLFU= Special Licensing of Firearms Unit (DESPP)

Technology Related

ADFS = Active Directory Federated Services
COTS = Computer Off The Shelf (e.g., software)
ETL = Extraction, Transformation, and Load
FEA = Federal Enterprise Architecture
FIM = Forefront Identity Manager (Microsoft)
FIPS = Federated Information Processing Standard
GFIPM = Global Federated Identity & Privilege Management
GUI = Graphical User Interface
IAFIS = Interactive Automated Fingerprint Information System*
IEPD = Information Exchange Package Document
III = Interstate Identification Index
LAN = Local Area Network
PCDN = Private Content Delivery Network
POC = Proof of Concept
RDB = Relational Database
SAN = Storage Area Network
SDLC = Software Development Life Cycle
SOA = Service Oriented Architecture
SQL = Structured Query Language

Appendix: Sources & Resources

For more information about CJIS-related topics, such as technology security, please click the **FAQS** tab on the [CJIS Web Site](#). All of the links below are active hyperlinks in the PDF version of this deck. [Useful Web Sites](#)

State of Connecticut

www.ct.gov/cjis

CJIS Success Metrics -- [http://doit-](http://doit-wscjisy3vx/cissmetrics/DashBoard/Rollup.aspx)

[wscjisy3vx/cissmetrics/DashBoard/Rollup.aspx](http://doit-wscjisy3vx/cissmetrics/DashBoard/Rollup.aspx)

[CGA Legislative Library](#)

[OPM: CJIS Governing Board Agendas/Minutes](#)

[Connecticut Judicial Branch](#)

[Connecticut General Assembly - Staff Offices](#)

[Conn. General Assembly](#)

[CRCOG: Capitol Region Council of Governments, Connecticut](#)

[Bureau of Enterprise Systems and Technology](#)

[Board of Pardons and Paroles](#)

[Connecticut Police Chiefs Association](#)

[Dept of Motor Vehicles](#)

[Division of Public Defender Services](#)

[Office of the Victim Advocate](#)

Criminal Justice Statutes

[Public Records Laws \(PDF\)](#)

[CHAPTER 961a* CRIMINAL RECORDS](#)

[CHAPTER 188 STATE LIBRARY](#)

[Public Act 08-1 - establishing CJIS](#)

Technology Related

[Global Standards Council](#)

[GFIPM.net](#)

<http://www.fbi.gov/about-us/cjis/cjis-security-policy/cjis-security-policy/view>

[Federal Enterprise Architecture \(FEA\) | The White House](#)

[Claims-Based Identity Model](#)

[HTG Explains: Understanding Routers, Switches, and Network Hardware - How-To](#)

Criminal Justice & Public Records

[Connecticut State Library Home Page](#)

[Records Retention Schedules for State Agencies](#)

[Office of Public Records Administrator Forms, Guidelines and Publications](#)

www.cslib.org/publicrecords/RMTerms2011.pdf

www.cslib.org/publicrecords/stateretsched/agncyunique/DOCPardons120901.pdf

www.cslib.org/publicrecords/stateretsched/agncyunique/DCJChiefStateAttorney111101.pdf

www.cslib.org/publicrecords/stateretsched/agncyunique/DOCGen120301.pdf

Other State and National Criminal Justice Information Organizations

[Center for Digital Government](#)

<http://www.search.org/>

[Alabama Criminal Justice Information Center](#)

[California Dept of Justice](#)

[Colorado Bureau of Investigation](#)

[Massachusetts Criminal Justice Information System](#)

[Maryland Dept of Public Safety and Correctional Services \(DPSCS\)](#)

[New York Criminal Justice Services](#)

[Oregon Criminal Justice Data Services](#)

[Oregon Criminal Justice](#)

[Hawaii Criminal Justice Data Center \(HCJDC\)](#)

[Idaho State Police](#)

[Vermont Criminal Justice Services](#)

[Wyoming Criminal Justice](#)