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

July 18, 2013

Connecticut Information Sharing System (CISS)

Connecticut Impaired Driver Records Information System (CIDRIS)

Offender Based Tracking System (OBTS)

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Criminal Justice Information System (CJIS) Governing Board

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Technology Committee
Evelyn Godbout
Information Technology Manager
Division of Criminal Justice

Executive Summary

Sean Thakkar, Executive Director

Governor's Vision for Technology

The Governor's vision for technology provides the foundation upon which CJIS works. 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.

- <u>Accurate and timely data</u> for policy making, service delivery and results evaluation.

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

- <u>Easily accessible services</u> to all constituents.

CJIS Governing Board's Business Goals and Objectives

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

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

- **Security** — Develop a secure environment that meets state and federal standards for security.

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

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

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

Criminal Justice Information System (CJIS)

This report is pursuant to Connecticut General Statute (CGS), 54-142q. The Criminal Justice Information System (CJIS) Governing Board provides this report and directs the projects within this report in order to meet the CJIS Goals.

Organization of the CJIS Governing Board

CGS, Section 54-142q, expanded the membership of the CJIS Governing Board. In summary, co-chairs were established and the membership was expanded to include representation from the Legislative Branch through the chairpersons and ranking members of the Joint Standing Committee of the General Assembly on Judiciary. Each member of the CJIS Governing Board may appoint a designee.

The legislation specifies the Chief Court Administrator and a person appointed by the Governor from the CJIS Governing Board membership to be co-chairs. The co-chair appointments were immediately made to facilitate the further organization of the CJIS Governing Board. The Chief Court Administrator designated Judge Patrick L. Carroll III, Deputy Chief Court Administrator, to be one of the co-chairs. The Governor named Mike Lawlor, Under Secretary, as the other co-chair (and designee).

The CJIS portfolio of programs — CISS, CIDRIS, and OBTS — all meet the business objective requirements set forth in CGS Section 54-142q:

- ✓ 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

Connecticut Information Sharing System (CISS)

Summary of Accomplishments:

- Completed CISS high level project plan to finish the project in 2014.

- Implementing Wave 0, Version 1.5 (new hardware and software platforms), Search Release 1 (PRAWN, OBIS and other source systems), and started Wave 1 (UAR Workflow information exchanges).

- Constructed first Software Development Life Cycle (SDLC) environment called Development.

- Began construction of second SDLC environment called System Test.

- Added Offender Based Information System (OBIS) to SR1 scope.

- Created new CISS Team Sites for DPDS and exhibited prototype for LEA Team Site.

- Continue implementation phase of Wave 0 v1.5 to build, install and configure all of the servers, software and testing for the four environments needed for CISS.

- Completed requirements activity for Search Functionality, Pre-defined Reports, System Administration, and Alerts.

- Hired additional resources needed for large work effort to meet deliverable goals.

- Created and implementing plan to complete all of the business, technical, and functional requirements by the end of 2013.

Critical Enablers for Continued Success

1. **Compared to 2012, the workload for CISS has increased exponentially in 2013. During this build out of technical, business, and process systems with the CJIS community, a lot of institutional knowledge is created. Given that most of the CISS staff are currently consultants, we recommend that the state open twenty state employee positions, thirteen of which are critical, required 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, complex, high-visibility project like CISS.**

   Update - CJIS is working with DAS-BEST to open two key state positions. Once completed, we expect to move forward with the additional state positions.

   Impact: The primary element for success is to have a talented pool of dedicated and skilled, CJIS Governing Board personnel. The CJIS team has hired consultants to do the work. If thirteen out of the twenty people are not hired during the 2nd or 3rd quarter of 2013, much of the domain knowledge during the build of CISS will be lost when the consultants leave.

   The thirteen key CISS project positions are considered critical to the project. 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 following thirteen out of the twenty positions need to be approved as full-time state employees as soon as possible:

1. Senior Technology Architect (Manager)
2. Senior Project Manager
3. Senior Project Manager
4. Senior Java Developer
5. Senior Java Developer
6. Application Database Administrator
7. SharePoint Developer
8. SharePoint Developer
9. Senior Test Lead
10. Senior Information Security Officer
11. Senior Systems Administrator
12. Executive Assistant
13. Software Engineer (New; Replaced Senior Communications Manager)

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

Recommendations: The state needs to re-classify the thirteen positions listed above to allow for the experience needed and have starting salaries closer to market rates.

Update – CJIS is working with DAS-BEST in this effort.

2. **Service Level Agreements (SLA) must be established with DAS-BEST and stakeholder agencies.**

   Impact: SLAs are an industry best practice. SLAs are created to define services provided, response times, resources required, and cost of service. SLAs provide transparency and accountability to the agencies signing the agreement, and help reduce cost by reducing redundancy and waste. An SLA should be established between the CJIS Governing Board and DAS-BEST. The Governing Board must know what services and resources DAS-BEST will provide as well as the timelines for providing support and resources. The items for SLAs include service availability, disaster recovery, and quarterly resources for planned activities. The provisioning of services using SLA agreements should be encouraged by the Legislature to allow agencies to evaluate their service levels and reduce costs.

   Recommendation: The Legislature should encourage agency use of SLA agreements as a best practices method of standardizing IT application performance requirements and results-based accountability. A draft SLA was delivered to DAS-BEST in December 2012 for review and negotiation in order to implement the first SLA.

   Update - Since December 2012, the SLA has been put on hold until the CISS infrastructure build out is completed. Once done, the SLA will be updated and passed on to DAS-BEST for agreement.

Connecticut Information Sharing System (CISS) Status Report

CISS — Background

A unified information-sharing and delivery system is the key to preventing tragedies like the 2007 home invasion and triple murder in Cheshire.

While the focus of CGS Sec. 54-142q and CISS is to improve public and officer safety, this project will also reap significant dividends in the efficient use of scarce funding. With the smart, innovative application of new technologies, CISS will reduce overall costs through easier access to information, increased efficiencies in process, and less rework of data entry errors. By managing the investment in the development of the system, CISS will generate a cumulative benefit of $59M after the system goes into full operation.

CISS will increase public and officer safety by providing more and improved information to criminal justice staff on demand. The system will also enhance business efficiency by increasing the speed of electronic information exchange between agencies — all in a safe and secure manner.

CISS will reduce administrative costs by electronically capturing data and documents at their source, cataloging and storing this data in a central repository, where it will be available to all member agencies. This will create great economies of scale compared to individual agencies having to copy, file, index, and store all data elements.

These capabilities will provide valuable benefits to society by reducing recidivism, aiding re-entry programs, reducing delays in the judicial process, and improving overall public safety for Connecticut's citizens and public safety officers.

CISS Key Accomplishments – Period Ending June 2013

CISS Wave 0, Version 1.5
- Completed construction of Development, one of four SDLC environments:
    - Created utility servers to provide secure network access, manage resource directories and user identities.
    - Installed an integrated systems administration center.
    - Completed knowledge transfer sessions for staff for the new virtual machine environment.
- Constructed second SDLC Environment – System Test.
- Created approximately 58 virtual servers.
- Updated documentation to support knowledge transfer of server configurations.
- CJIS staff began work to take over CISS infrastructure from vendor.
- Began processes to implement the remaining two environments, User Acceptance Testing & Training, and Production.

- Purchased utility servers for Microsoft System Center environment.

- Purchased FileNet software for electronic content management.

- Completed firewall and networking design.

CISS Search Release 1 (SR1)

- Initiated software detail design activities.

- Established PRAWN connectivity with Judicial.

- Completed requirements definition for SR1 functionality.

- Estimating to complete design activities for PRAWN, Portal Taxonomy, System Admin, Search Functionality and User Interface screens in July.

- Completed prototype work on SharePoint team sites for DPDS.

- Estimating to complete technical work to replicate CIB database into CISS environment.

- Continued progress on Learning Management System (LMS) upgrades for SR1 training tasks.

CISS Wave 1

- Work has begun on the Requirements phase of Wave 1.

- The initial focus is on requirements related to the transmission of incident arrest data and associated paperwork from law enforcement agencies into the CISS system.

- Circulated RMS certification package for final CJIS review.

CISS Planning

- The Project Charter for Wave 1-UAR was created and signed off by the CJIS Project team and Xerox. The Charter defines the scope and deliverables of the Wave.

- The scope and high level schedule for Wave 1 was reviewed with each of the agencies involved in the Wave. During this process, details of the scope were clarified. The agencies also identified any constraints, such as resource availability, to be taken into consideration during detailed planning.

- A high level schedule has been created for the completion of the Requirements phase for the rest of CISS Phase 1 by the end of 2013.

CISS Operational

- Additional resources were added to the CISS Operations team in order to manage the large CISS technical infrastructure being built.

- Patricia Meglio was hired as Technical Writer to fill a recently-vacated position.

- Active efforts continue to increase and improve communication with our stakeholders.
  In addition to various other efforts, our regular communications include:

  - A CJIS Roadmap monthly newsletter.
  - CISS Monthly Status Meetings, which are held the second Wednesday of every month.
  - A CJIS website, including a new section for FAQs and additional information.
  - Bi-annual Legislative Report and quarterly report and presentation to the CJIS

Governing Board members.
  ▪ Meetings as needed with stakeholders.

CISS Anticipated Activities – Next 90 Days

CISS Wave 0, Version 1.5

- Complete configuration and build out for second SDLC environment — System Test.

- Begin and complete construction of third and fourth SDLC environments - User Acceptance Testing & Training (UAT) and Production.

- Complete design of clustered and high-availability servers.

- Install new CJIS firewalls.

- Install FileNet software.

CISS Search Release – SR1

- Continue SR1 detail design.

- Initiate code development for SR1.

- Conduct UAT for DPDS, LEA SharePoint team sites.

- Establish connectivity with Centralized Infraction Bureau (CIB) and Offender Based Information System (OBIS) search sources.

CISS Wave 1

- Continue work on the Requirements phase of Wave 1-UAR with all CJIS Agencies.

- Send RMS certification package to a few RMS vendors for review and feedback.

- Begin work on the Design phase of Wave 1-UAR.

Future CISS Waves for Information Exchanges

- Begin work on the Requirements phase of Wave 2-Misdemeanor Summons.

- Begin work on the Requirements phase of Wave 3-Infractions.

- Begin work on the Requirements phase of Wave 4-Arraignment/First Appearance.

CISS — Risks, Issues, and Mitigation Strategies

Risk 1: The realization that implementation of both the Search and Information Exchanges is imminent has caused concern among some stakeholders. The root causes of many of these concerns are primarily fear of the unknown, how CISS will impact each agency, and impact to current and future resources. The risk for the CISS project are schedule delays, increased costs, changes in scope, and potentially having gaps of critical data that CISS is obliged to provide to our information consumers.

Mitigation: CJIS has assembled a small team composed of a negotiator/manager, business leads, and technical leads that will work with each agency individually to address each of their concerns and find a win-win solution that brings a significant positive net benefit to that agency.

The team will also follow up with the implementation agreement.

Risk 2: The late hiring of state positions, filling important positions with contractors, and not converting these to state positions presents risk to 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 currently working with DAS-BEST to open two key state positions. We have had difficulty filling key 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.

Risk 3: The uncertainties of whether CISS will be able to receive, transmit, or store "FBI data" and its relationship to the CJIS Security Policy is causing significant risk to the project.

Mitigation: CJIS will bring in a criminal justice information security policy expert with the experience, credentials, and affiliations to help facilitate a solution for FBI data relating to CISS and help implement a security policy agreement.

Issue 1: 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 repositories of record.

Mitigation: The Administrative Committee proposed language for legislation to correct and clarify this, which the Governing Board approved at its July 2012 meeting. A second attempt will be made to get this passed into legislation.

CISS — Conclusions

The next significant Wave (Wave 0, Version 1.5), which encompasses the build-out of all of the hardware and software that will house CISS moving forward, is expected to go into production in the second half of 2013.

CISS will complete the build out for System Test, and begin construction of the User Acceptance Testing & Training (UAT) and Production environments.

Currently in the test phase, thirty-five team sites for DPDS offices throughout the state are targeted to be in production by mid-August. The Law Enforcement Agencies (LEAs) team site prototype is awaiting approval. Once approval is given, this prototype will be made available to those law enforcement agencies that wish to use it.

Development, testing, and implementation will continue on the CISS Search Release 1. The team will establish connectivity with OBIS and other search sources in addition to the connectivity established for PRAWN. This is expected to be in production in the second half of 2013.

Wave 1 for the Uniform Arrest Report (UAR) information exchanges has begun. This is the largest Wave encompassing all of the CJIS agencies. Production is targeted for 2014.

We look forward to working with all of our stakeholders, the CJIS Community, and our vendors to successfully implement the CISS project and help bring the expected benefits of improved public and officer safety.

Offender Based Tracking System (OBTS) Status Report

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 other criminal justice agencies.

OBTS Anticipated Activities – Next 90 Days

For the foreseeable future, the CJIS team will be maintaining the OBTS operational environments with the focus on identifying, analyzing, and fixing issues with the OBTS-CISS search interface. Except for functionality that is required to support CISS, no major new functionality will be introduced until the CISS system is placed into a new server environment. New requirements will only be sought to support issues which require immediate attention.

- As part of the 7.5 release cycle, the CJIS team continues preparations for moving the existing OBTS to a new SQL server system architecture. The goal of this database work is to enhance the system's ability to support future CJIS/CISS enterprise applications.

- The CJIS and DAS/BEST teams continue the work to upgrade OBTS servers to enhance the system's ability to support future CJIS/CISS enterprise applications.

- A technical review of the Department of Correction's OBIS system has begun. Data errors identified during the evaluation will be prioritized; high priority items will be addressed during future releases.

- As the CISS application build-out continues, CJIS plans to evaluate future use of the OBTS database. Considerations include use of OBTS as an archive of historical information or further integration with the CISS information exchanges.

CT Impaired Driver Records Information System (CIDRIS) Status Report

The Connecticut Impaired Driver Records Information System (CIDRIS) is an integrated information-sharing system designed to automate the collection and delivery of Operating Under the Influence (OUI) information among state criminal justice stakeholders. CIDRIS was developed in cooperation with local law enforcement, the Department of Emergency Services

and Public Protection (DESPP), the Department of Motor Vehicles (DMV), the Division of Criminal Justice (DCJ), and the Judicial Branch, as well as the Department of Transportation (DOT) and the National Highway Traffic Safety Administration (NHTSA). Development of CIDRIS was completed in 2010. Interfaces to DESPP, DMV, and Judicial agency source systems were created in 2011. Implementation for roll-out to DESPP troops started in mid-December 2011 and was completed in August 2012.

CIDRIS Anticipated Activities – Next 90 Days

- CIDRIS has reached a stage of process improvement. CJIS and DESPP team members continue to evaluate and improve the accuracy of messages being sent through CIDRIS.

- The current objective is to focus on submission rejection by DMV and Judicial review processes and correct the underlying problems.

- CJIS will continue planning with DCJ. Our next objectives are to review current business and technical environments with emphasis on identifying administrative and operational constraints of integrating agency computer systems to CIDRIS.

- A business plan will be developed to figure out the best way to interface CIDRIS with the CISS Information Exchanges.

Governing Board Committee Updates

Administrative Committee

The Administrative Committee met in April to discuss how best to share information about their respective agencies with the various community members. The committee also agreed that a change control process should be put in place immediately to ensure that changes at the project level are handled within the specific project management tasks. If required, changes will be brought to the Administrative Committee for discussion. One of the focuses of the Administrative Committee meeting will be the CJIS Security Policy.

Technology Committee

The Technology Committee met in May to continue work on developing the CJIS Security Policy. The goal of the Committee is to create a security policy that protects criminal justice information transmitted and stored by CISS. One primary objective is to ensure that the CISS application contains the same level of protection for data provided by each source agency. Security policy discussions are expected to continue over the next few months.

Implementation Committee

Mark Tezaris, CJIS Program Manager, will be working with Chief Richard Mulhall, head of the Connecticut Police Chiefs Association, to develop the CISS implementation schedule for Connecticut municipal police departments going forward.

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Appendix B –Commonly Used Acronyms

AFIS = Automated Fingerprint Identification System

BEST = Bureau of Enterprise Systems and Technology

BOPP= Board of Pardons and Paroles

CAD = Computer Aided Dispatch

CCH= CT Criminal History (DESPP)

CIB = Centralized Infraction Bureau (Judicial)

CIDRIS = CT Impaired Driver Records Information System

CISS = CT Information Sharing System

CIVLS = CT Integrated Vehicle & Licensing System

CJIS = Criminal Justice Information System

CJPPD = Criminal Justice Policy Development & Planning Div.

CMIS = Case Management Information System (CSSD)

COLLECT = CT On-Line Law Enforcement Communications Teleprocessing network

CPCA = CT 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

DMV = Dept. of Motor Vehicles

DOC = Department of Correction

DPDS = Div. of Public Defender Services

IST = Infrastructure Support Team

JMI = Jail Management System

JUD = Judicial Branch

LEA = Law Enforcement Agency

LIMS = Laboratory Investigative Mgmt. System

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

POR = Protection Order Registry (Judicial)

PRAWN = Paperless Re-Arrest Warrant Network (Judicial)

PSDN = Public Safety Data Network

SCO = Superior Court Operations Div. (Judicial)

SLEO = Sworn Law Enforcement Officer

SOR = Sex Offender Registry (DESPP)

SPBI = State Police Bureau of Identification (DESPP)

SLFU= Special Licensing of Firearms Unit (DESPP)

Technology Related

ADFS = Active Directory Federated Services

COTS = Commercial Off The Shelf (e.g., software)

ETL = Extraction, Transformation, and Load

FIM = Forefront Identity Manager (Microsoft)

GFIPM = Global Federated Identity & Privilege Mgmt.

IEPD = Information Exchange Package Document

LAN = Local Area Network

NAS = Network Attached Storage

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