



**Report to the Legislature
Status of the Criminal Justice Information Sharing System**

**Submitted by
Criminal Justice Information System
Governing Board
January 1, 2012**

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Criminal Justice Information System (CJIS) Governing Board

Agencies and Members

Office of Policy and Management
Mike Lawlor, Under Secretary
 (Governor’s Appointee and Co-Chair)
 Benjamin Barnes, Secretary

Office of Chief Court Administrator
Patrick L. Carroll, III, Judge,
 Deputy Chief Court Administrator,
 (Designee and Co-Chair)
 Barbara M. Quinn, Judge, Chief Court Administrator

Office of the Chief State's Attorney
Kevin Kane, Esq.,
Chief State's Attorney
 John Russotto, Esq., Deputy Chief State’s Attorney

Department of Public Safety, Div of State Police
Reuben F. Bradford, Commissioner
 Lt. Col. Gene Labonte (Designee)

Office of Chief Public Defender Services
Susan O. Storey, Esq.,
Chief Public Defender
 Brian Carlow, Esq., Deputy Chief Public Defender,
 (Designee)

Department of Correction, with Parole Functions
Leo C. Arnone, Commissioner
 Cheryl Cepelak, Deputy Commissioner, (Designee)

Board of Pardons and Paroles
Erika Tindill, Chair
 John De Feo
 Executive Director, (Designee)

Office of Victim Advocate
Michelle Cruz, Victim Advocate
 Merit LaJoie (Designee)

Connecticut Chiefs of Police Association
Richard C. Mulhall, Chief, (Designee)

Department of Administrative Services
Donald DeFronzo, Commissioner
 Mark Raymond, (Designee)

Department of Motor Vehicles
Melody Currey, Commissioner
 George White, (Designee)

Chairpersons and Ranking Members of the Joint Standing Committee of the General Assembly on Judiciary

Michael Pollard
(Designee for)
 Eric D. Coleman, Senator, Co-Chair

William Tong, Representative
(Designee for)
 Gerald M. Fox, Representative, Co-Chair

John A. Kissel, Senator, Ranking Member

John Hetherington,
Representative
Ranking Member

Executive Director

Sean Thakkar

Governor's Vision for Technology:

- Implementation of efficient, modern business processes that result in cost-effective delivery of services
- Open and transparent engagement with the citizens of the State
- Accurate and timely data for policy making, service delivery and results evaluation
- A secure and cost effective IT infrastructure, including greater use of shared services and applications wherever possible
- Easily accessible services to all constituents

Business Goals and Objectives:

- Optimize our current investments in technology and leverage existing infrastructure and resources
- Create a simple way to implement new technologies so that agencies can implement them smoothly
- Develop a secure environment which meets state and federal standards for security
- Provide independent and objective opinions and recommendations to the CJIS Governing Board
- Provide services that are boringly predictable and totally reliable

CJIS Committee Chairs

The committees and their chairpersons are as follows:

Administrative Committee

Larry D'Orsi

Judicial Branch, Court Operations Division

Technology Committee

Evelyn Godbout

Division of Criminal Justice

Implementation Committee

Chief Richard Mulhall

Connecticut Police Chiefs Association (CPCA)

Report to the Legislature

Criminal Justice Information Sharing System

This report is pursuant to Connecticut General Statutes sections 54-142s. The Criminal Justice Information System (CJIS) Governing Board provides the report.

Organization of the CJIS Governing Board

Connecticut General Statutes sections 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, who is one of the co-chairs. The Governor named Mike Lawlor as a designee, to be the other co-chair.

The table below shows how the CJIS portfolio of programs tracks against the requirements set forth in CGS Sec. 54-142q.

Business Objectives	CISS¹	CIDRIS	OBTS
Efficient modern business processes	✓	✓	✓
Open and transparent engagement	✓	✓	✓
Accurate and timely data for policy making, service delivery and results evaluation	✓	✓	✓
A secure and cost effective IT infrastructure	✓	✓	✓
Easily accessible services to all constituents	✓	✓	✓
Establish funding processes that will allow the State to measure and maximize its return on technology investments and to target funds to the agency and state priorities	✓	✓	✓
Ensure that the appropriate project management, transparency and accountability systems are in place for successful project implementation and completion	✓	✓	✓

¹ As designed in the RFP released on October 2010.

Business Objectives	CISS¹	CIDRIS	OBTS
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	✓	✓	✓

Accomplishments

The following is a list of major accomplishments since the July 2011 Legislative Report.

Connecticut Information Sharing System (CISS):

- The State and vendor Affiliated Computer Systems, Inc. (ACS), a division of Xerox, executed the long awaited contract to build and deploy the CISS system
- The CJIS Executive Director is working with OPM to hire the CISS Program Manager and other critical staff
- Project coordination efforts began in November 2011 with formal project work started in December 2011

Offender Based Tracking System (OBTS):

- The OBTS program is in production with release 7.0 and has started gathering requirements for release 7.1
- OBTS has had software upgrades and is being re-architected for performance
- Commenced the development of prototype reports that rely on OBTS data
- As part of our college internship program the interns assigned to the OBTS program developed a frame work for statistical sampling of OBTS data and have started to investigate OBTS data accuracy

Connecticut Impaired Driver Records Information System (CIDRIS):

- The CIDRIS team, DMV, DESPP and Judicial have completed the testing to redeploy troop B. DESPP, DMV and Judicial have agreed to complete the deployment of the rest of the troops over the next couple of months.
- The CIDRIS team has developed the technology and infrastructure to bring Key Performance Indicators (KPIs) and Dashboards for CIDRIS, OBTS and CISS to the CJIS community on PCs and wireless mobile devices. We are now in the process of creating dashboards and beta testing them. This technology is available to any CJIS agency for just the cost of the licenses

- The CIDRIS team has also implemented “best breed” collaboration software (IBM Jazz Rational) in order to bring efficiencies and best practices for software development to the CJIS community. This technology is also available to any CJIS agency for just the cost of the licenses
- The CJIS Business Analyst College Internship program designed to provide criminal justice work experience has taken in 12 interns from 10 schools for the summer semester and 3 interns from local colleges for the fall semester. Our interns assume projects to research CJIS applications and evaluate data

CJIS Programs Recommendations for Consideration

1. Language in PA 07-04 JSS Sec. 36 should define the CJIS Governing Board, its organizational hierarchy, relationship to Criminal Justice Agencies and DAS-BEST

Impact: There are two critical impacts created by the gap in the current legislation. The CJIS Governing Board cannot direct the use of this fund based on the board’s priorities and the act currently provides no visibility to the CJIS community how the funds are used. For example, DAS-BEST is not required to account for or report on its expenditures from revenues derived from the “contract for the provision of pay telephone service to inmates of correctional facilities,” to the criminal justice community. The CJIS Governing Board should be able to control and direct these funds.

The second impact is the lack of understanding and clear authority for the CJIS Governing Board. Currently, the CJIS Governing Board through its Executive Director lacks the authority to hire the resources necessary to accomplish the missions currently assigned to it. There is confusion as to whether the Executive Director of the board has the authority to carry out his responsibilities to implement the CISS system required by CGS Sec. 54-142q. In short, the relationships of the CJIS Governing Board and clear authority over activities and personnel should be defined.

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

2. Provide adequate support staff, administrative, technical, under the sole and direct supervision of the Executive Director, and accountable solely to the Executive Director.

Impact: The primary element for success is to have a talented pool of dedicated and skilled personnel reporting directly to Executive Director without first reporting to an external agency. The time line set for the hiring of key CISS employees in May and October was not met.

Nine key CISS project positions are considered critical to initial phases of the project. The Board unanimously voted to make these positions full time state employees. This would allow the State to garner institutional knowledge for CISS application and business requirements of the project. The expected hire dates for the key staff members are:

- 8/1/2011 Hire Senior Program Manager
- 11/1/2011 Hire Senior Technology Architect
- 11/1/2011 Hire two Senior Project Managers
- 11/1/2011 Hire Senior Business Analyst

The expected hire dates for additional project staff members are:

- 1/3/2012 hire 2 Senior staff developers
- 1/3/2012 hire Senior System Administrator

The CISS risk management consultant has repeatedly highlighted this as a critical CISS issue. The only team member hired was the business manager, programmed to start on 8/1/2011, who actually started pm 11/7/2011. The lack of a permanent full time Program Manager has shifted the workload for the program on to the contract project manager for CIDRIS.

The hiring of the Senior Technology Architect, Senior Business Analyst and Senior Project Managers is also being delayed beyond our timeline due to ongoing discussion with non-CJIS staff. This is of particular concern due to lessons learned during both the OBTS and CIDRIS projects. In these projects, critical staff was not in place when required at project milestones, resulting in significant delays and increased costs for both projects.

In addition, other state staff assigned to support the CJIS Governing Board projects at greater than 50% FTE should report directly to the CJIS Executive Director during the time in which they are at CJIS. The lack of a 'Direct Report' relationship has generated conflicting assignments and commitments from the employees' administrative agency with the assignments and commitments for CJIS.

Finally, the Executive Director has been working without an administrative assistant for six months. There are a great number of administrative requirements and large communication effort related to CISS, CJIS committees and Board meetings that fall to

the Executive Director and project staff to handle. This is a misallocation of state resources as senior staff is devoting a substantial amount of time to clerical tasks.

Recommendations:

1. The Legislature should approve the hiring of the full time employees necessary for the CISS program.
2. The Legislature should define the assignment of support staff for the CJIS Governing Board as a formal administrative assignment, reporting to the CJIS Executive Director.
3. The Legislature should approve the hiring a full time administrative assistant for the CISS program.

3. Operational Budget for the CISS Project and OBTS Program

Background: The Budget requests for 2012 and 2013 for the CISS project operational expenses and the on going expenses for the OBTS program did not make it into the Governor’s budget request considered by the legislature. Only the budget request for the CIDRIS project went forward and received funding for 2012 and 2013.

Impact: Without funding for the operational expenses of CISS and the on-going expenses of OBTS, the CJIS Governing Board will be not be able to pay the licensing and maintenance cost of either program. CIDRIS will have to slow down expansion to municipalities due to lack of resources to certify additional CAD/RMS vendors. The lack of funding will adversely affect the CJIS agencies’ ability to do a *lot more with a lot less*, because each program will be severely affected. It will take the Governing Board longer to deliver a *unified information sharing delivery system*. CISS will encompass both OBTS and CIDRIS when it is completed, further reducing the costs associated with these applications. The implementation of CGS Sec. 54-142s cannot proceed without the funds and the state will not reap the \$15.8 MM a year benefits envisioned for CISS.

Recommendation: The expansion budget request should to be considered by the Legislature, and passed at the level requested.

4. 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. A 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 time lines for providing support and resources. The items for SLA include service availability, disaster recovery, and quarterly resources for planned activities. With the new CIO taking the reigns of leadership at DAS-BEST, the Executive

Director believes that an SLA will be negotiated between the CJIS Governing Board and DAS-BEST, and it will become the model for service provisioning in the state. 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.

5. CJIS Governing Board should have full access to Public Safety Data Network (PSDN) and Connecticut On-Line Law Enforcement Teleprocessing (COLLECT) network for its applications.

Impact: The CJIS community agreed five years ago that CIDRIS would utilize the Connecticut On-Line Law Enforcement Teleprocessing (COLLECT) system's network. The CJIS Governing Board previously approved CIDRIS' utilization of the COLLECT network controlled by the Department of Emergency Management and Public Protection (DESPP), which transmits secure data from law enforcement throughout the state.

Recommendation: Provide legislation allowing CJIS Governing Board applications to use the PSDN and COLLECT network. Allocate funding for connection and ongoing operations of agency access to the network.

6. Change Conn. Gen. Stat. 54-142q to encompass all CJIS Governing Board applications exemption from FOIA.

Impact: The Legislature should exempt programs under the CJIS Governing Board portfolio from the provisions of FOIA as it has for the OBTS application. Like the OBTS application, CIDRIS and future CISS application, collect data from source agencies (Agency of Record) to share with criminal justice agencies that have a need for this data. Like OBTS, CIDRIS and CISS are not the source of original entry. FOIA requests should be directed to the agency that collected and entered and data initially. The Privacy subcommittee of the Administrative committee has been reviewing proposals for FOIA legislation and will present its recommendations to the legislature in the near future.

Recommendation: The Legislature should adopt the proposed legislation submitted by the CJIS Governing Board's Administrative Sub-Committee when it is forwarded to the legislature.

Connecticut Information Sharing System Status Report

Where We are Today

- A unified information sharing delivery system is the key to preventing tragedies such as the home invasion and triple murders in Cheshire.
- While the focus of CGS Sec. 54-142q is an increase in public and officer safety, the CISS project is also fiscally responsible. With the thoughtful application of

new technologies, CISS will reduce 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, CJIS will generate a cumulative benefit of \$59M after system goes into operation .

- CISS increases public and officer safety by providing additional and improved information to criminal justice staff when needed. The system also enhances business efficiency by increasing the velocity of information being exchanged electronically between agencies in a safe and secure manner.
- CISS reduces administrative costs by electronically capturing data and documents at their source and cataloging this data and information making it available to agencies needing the data without each agency having to copy file index and store each data element and document on their own.
- These capabilities significantly influence and create benefit to society by reducing recidivism, aiding re-entry programs, reducing delays in the justice process, and improving overall public safety in Connecticut's communities

Progress Made to Date

The CISS Program has achieved several milestones:

- DAS-BEST approved the contract with ACS on August 29, 2011.
- The Attorney General's Office approved the contract on September 16, 2011.
- The Contract with ACS for CISS was formally signed on September 19, 2011.
- The state held a project kick-off meeting with ACS on October 19, 2011. ACS introduced Ms. Nancy Collins, the senior executive in charge of the CISS effort for ACS and Mr. Phil Conen the ACS program manager.
- Ms. Nance McCauley started in her position as the CISS Business Manager on November 7, 2011.
- Project coordination efforts began in November 2011 with formal project work started in December 2011.
- The CISS team and selected agency business experts attended IBM's Jazz training in November 2011. Jazz is the collaboration tool that the State will use to carefully manage and track CISS requirements, test cases, and completed work.
- The CISS team completed the first pass review of the requirements with ACS in December 2011.

Next 180 Days Targets

- Hire key CISS staff (Program Manager, Project Managers, and key members of the development team) as soon as possible.
- Negotiate with stakeholder agencies for resource commitments to properly administer the CISS project at the CJIS agencies.

- Implement business metrics to measure the success of the CISS Program.
- Complete the requirement process by validating all contracted requirements with ACS. This process ensures the State and ACS understand the language used to describe what the States expects of CISS.
- Begin the CISS technical design process and implementation. This will be an iterative cycle based on groups of requirements by specific requirement affinity.
- Procure required hardware and software for the project.
- Implement the software products that will be used to create CISS on the CISS hardware once it has been acquired.
- Begin construction of CISS features and information exchanges.

As these efforts are completed, the CISS program will need to resolve risks and issues.

Risks and Issues Facing the Project

Risks:

- It is imperative that staff is hired for CISS to implement and maintain the project. The most critical staff members who need to be hired immediately are the Program Manager, Senior Technical Architect and the Project Managers. These positions are crucial for moving the project along at the velocity envisioned in the contract with ACS. This is discussed above.
The mitigation strategy is to hire contract employees under a right to hire agreement with the necessary skills and expertise to assist with the CISS project until full time positions are available.

Issues:

- This issue involves the Freedom of Information Act (FOIA). The CISS data store is a staging repository and not the official repository of record so it needs legislation to exempt it from FOIA requests and require those requests be submitted to the agencies that are the repository of record.
The mitigation strategy is for the administrative committee to address the FOIA issue and will develop the approach for legislation. This is discussed above.

Conclusion

- CISS was undertaken to comply with CGS Sec. 54-142q. CISS will increase public and officer safety by significantly improving information sharing among the justice agencies in the State of Connecticut.
- The system also enhances business efficiencies by increasing the amount and speed of information exchanged electronically.
- The unified information sharing approach can be used to provide similar benefits to many non-justice agencies with minimal investment.

Offender Based Tracking System (OBTS) Project Status Report

Where We are Today

- OBTS currently serves an average of approximately 500 unique users every day.
- OBTS processes approximately 30,000 criminal justice business transactions on a given work day.
- Moving toward implementing a sustainable maintenance model to provide for ongoing incremental improvements to OBTS, based on the prioritized objectives of the business community.

Progress Made to Date

The OBTS Program has achieved several milestones:

- The OBTS program completed its transition to the CIDRIS platform and uses the same operating system (Red Hat Linux) and database (Oracle 11g) thus reducing operating costs for OBTS by approximately \$100,000 annually, while also increasing its performance.
- Switched to a quarterly release schedule for delivery of improvements to the OBTS application.
- Started construction of the deliverables for OBTS sprint Release 7.1.
- Commenced the development of prototype reports and dashboards that rely on OBTS data.

Next 180 Days Targets

- Develop a Perpetual Data Quality Engine to monitor data sent to OBTS for errors prior to accepting and storing the data.
- Complete the OBTS Data Quality Project started by interns last summer to statistically assess errors in OBTS.
- Allocate funding and staff DAS-BEST CJIS Support Group (CSG) needs, currently five of the original eight requested positions are not staffed. Some positions have been eliminated through budget actions and would need to be reestablished.
- Build, test, and deploy OBTS sprint releases 7.1 and 7.2.

As these efforts are completed, the OBTS program will need to resolve several risks and issues.

Risks and Issues Facing the Project

Risk:

- DAS-BEST Application Hosting has lost key technical support staff to retirements and state budget cuts and is not able to replace these key resources. As a result, OBTS is reliant on a single key technical resource to support the OBTS application platform.

Issue:

- OBTS has no operational appropriation and is currently reliant on existing CJIS Carry Forward funds to meet expenses. This fund is expected to be exhausted by the close of FY2011

Recommendations

1. Replacement of key OBTS business and technical skilled resources is considered critical to ensuring that OBTS can provide effective business and technical support; a concern addressed by the OBTS Application Steering Committee.
2. Develop and implement a Service Level Agreement (SLA) between DAS-BEST and this CJIS Governing Board that clarifies, roles, responsibilities and agreed-upon service levels related to the expectation of DAS-BEST in support of OBTS.

Conclusion

These recommendations do require immediate action and continued, strong legislative support is critical.

**Connecticut Impaired Driver Records Information System (CIDRIS) Project
Status Report**

Where We are Today

- CIDRIS is an integrated, information sharing system developed in cooperation with local Law Enforcement, the Department of Public Safety, Department of Motor Vehicles, the Division of Criminal Justice, the Judicial Branch as well as NHTSA and ConnDOT. CIDRIS is currently in the Implementation Phase and expected to integrate fully all 12 DESPP troops.
- Problems found with the DESPP CAD/RMS with the deployment of Troop B prevent expansion to the remaining DESPP troops until the problems are resolved.
- CIDRIS has begun to reach out to the municipal law enforcement agencies to bring them into the program. This effort is called the CIDRIS Expansion Program.
- Currently the application is in limited production while DESPP corrects problems with their CAD/RMS system. Once this obstacle is surmounted, CIDRIS will rapidly deploy to all State Police Troops

Progress Made to Date

Since July 1st, 2011, the CIDRIS Program has achieved several milestones:

- Purchased a software program to create and publish executive dashboards and reports for the stakeholders. The CIDRIS team is leveraging this software for dashboards and reports on all CJIS projects.

- Purchased and implemented IBM Jazz collaboration tools for CIDRIS, OBTS, CISS and the CJIS community.
- Contacted all vendors selling CAD/RMS systems to local law enforcement agencies in Connecticut and invited them to participate in the CIDRIS Expansion Program.
- CIDRIS is now running its application on the production environment.

Next 180 Days Targets

- The CIDRIS expansion program is exploring an Application Programming Interface (API) that will allow new CAD/RMS vendors to connect to CIDRIS with significantly less effort and resources.
- Complete deployment of DESPP's 12 troops with DMV and Judicial.
- Transition to permanent application maintenance and support of CIDRIS by CSG.

As these efforts are completed, the CIDRIS program will need to resolve several risks and issues.

Risks and Issues Facing the Project

Issues:

- The main cost savings of the CIDRIS program results from the elimination of hard copy paper work in all participating agencies. The Judiciary and the Division of Criminal Justice currently can not receive electronic copies of OUI case documents.
- The majority of OUI cases originate with local police departments, until their CAD/RMS vendors are CIDRIS certified, local police departments will not be able to participate in the CIDRIS program.

Recommendation

1. The Judiciary and the Division of Criminal Justice need assistance in receiving electronic OUI paperwork.

These recommendations do require immediate action and continued, strong legislative support is critical.

CJIS Governing Board Committees' Updates

Administrative Committee

CJIS Data Confidentiality Form – The Committee approved the form to be completed by technical support staff/database administrators of a CJIS project regarding the data confidentiality requirements of the system. This proposed form was modeled after the form currently used for this purpose with the OBTS.

Technology Committee

No new significant information to provide. The committee continues to focus on technology standards and tactical issues.

Implementation Committee

The Implementation Committee held no meetings during this reporting period.