

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

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**Submitted by  
Criminal Justice Information System  
Governing Board  
July 1, 2011**

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**Criminal Justice Information System (CJIS) Governing Board**

**Agencies and Members**

<p><b>Office of Policy and Management</b>  <b>Mike Lawlor</b>                      (Designee and Co-Chair)                      Benjamin Barnes, Secretary                      Mike Lawlor., Under Secretary                      John Forbes</p>	<p><b>Office of Chief Court Administrator</b>  <b>Patrick L. Carroll, III, Judge,</b>                      Deputy Chief Court Administrator,                      (Designee and Co-Chair)                      Barbara M. Quinn, Judge, Chief Court Administrator                      Lawrence D’Orsi, II                      Terry Walker</p>	<p><b>Office of the Chief State's Attorney</b>  <b>Kevin Kane, Esq.,</b>  <b>Chief State's Attorney</b>                      John Russotto, Esq., Deputy Chief State’s Attorney                      Brian Austin</p>
<p><b>Department of Public Safety, Div of State Police</b>  <b>Reuben F. Bradford, Commissioner</b>                      George Battle, Capt.                      Mark Sticca, LT.</p>	<p><b>Office of Chief Public Defender Services</b>  <b>Susan O. Storey, Esq.,</b>  <b>Chief Public Defender</b>                      Brian Carlow, Esq., Deputy Chief Public Defender</p>	<p><b>Department of Correction, with Parole Functions</b>  <b>Leo C. Arnone, Commissioner</b>                      Cheryl Cepelak, Director of Administration (Designee)                      Robert Cosgrove</p>
<p><b>Board of Pardons and Paroles</b>  <b>Erika Tindill,</b>  <b>Chair</b>                      John De Feo                      Acting Executive Director</p>	<p><b>Office of Victim Advocate</b>  <b>Michelle Cruz,</b>  <b>Victim Advocate</b>                      Merit LaJoie</p>	<p><b>Connecticut Chiefs of Police Association</b>  <b>Richard C. Mulhall, Chief</b>                      (Designee for)                      Lisa Marzo-Bolduc, Chief, President                      James A. Cetran, Chief</p>
<p><b>Department of Administrative Services</b>  <b>Donald DeFronzo, Commissioner</b></p>	<p><b>Department of Motor Vehicles</b>  <b>Melody Currey, Commissioner</b>                      George White</p>	

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

<p><b>Michael Pollard</b>                      (Designee for)                      Eric D. Coleman, Senator, Co-Chair</p>	<p><b>William Tong, Representative</b>                      (Designee for)                      Gerald M. Fox, Representative, Co-Chair</p>	<p><b>John A. Kissel, Senator, Ranking Member</b></p>
<p><b>John Hetherington, Representative, Ranking Member</b></p>		

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**Executive Director**

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**Sean Thakkar**

**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

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**CJIS Committee Chairs**

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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 Section 40 (h), Public Act 08-01 of the January 2008 Special Session and explains the status of the information sharing system, specified under this legislation. The Criminal Justice Information System (CJIS) Governing Board provides the report.

**Organization of the CJIS Governing Board**

Public Act 08-01, Section 39, 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 Secretary of the Office of Policy and Management named Mike Lawlor as a designee, who was appointed by the Governor to be the other co-chair.

The table below shows how the CJIS portfolio of programs tracks against the requirements set forth in Public Act 08-01 section 40.

Program / Project	CISS	CIDRIS	OBTS
Provide for Agency Autonomy so they can accomplish missions	✓	✓	✓
Simplify implementation of new technologies	✓	✓	
Develop secure environment, meeting state and federal standards	✓	✓	✓
Provide services that are boringly predictable and totally reliable	✓	✓	
Optimize current investments leverage infrastructure and resources	✓	✓	✓

## Accomplishments

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

### **Connecticut Information Sharing System (CISS):**

- The State Bond Commission approved an \$8 million bond for the first year of funding for CISS
- The Proposal Review Team (PRT) completed reviews on all four proposals
- The PRT provided the initial evaluation report to DoIT Contracts and Purchasing Division (CPD)
- The PRT evaluated the cost submissions of the proposals and conducted a demonstration with the highest scoring proposer
- The PRT provided the final evaluation report to DoIT Contracts and Purchasing Division (CPD) and notifications have been issued to the proposers
- On April 21, 2011, the CJIS Governing Board appointed Mr. Sean Thakkar to be the CISS Contract Administrator
- Contract negotiations are underway between the Department of Information Technology Procurement Division and the vendor. As soon as the negotiations are completed, an announcement will be made as to who is the vendor. The goal is to complete the contract negotiation by August 3, 2011 and begin implementation of the project within the same month
- The CISS Project welcomed two interns who will be assisting on requirements validation

### **Offender Based Tracking System (OBTS):**

- OBTS technology refresh included updating 10 year old, out of support hardware and software to the latest technology. OBTS functionality was combined to save licensing fees of over \$100,000 a year
- Completed the Construction, Testing and Implementation Phases of OBTS R6.1
- Successfully deployed OBTS R6.1 into production
- Commenced work on OBTS R7.0, which entails migrating OBTS to the same Oracle platform shared by CIDRIS
- Completed initial testing on OBTS 7.0 relative to upgrade activities to the legacy OBTS environment that are prerequisites to the final upgrade to 11g. Successfully built OBTS R7.0 test database environments
- 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 are developing a frame work for statistical sampling of OBTS data to determine is accuracy

**Connecticut Impaired Driver Records Information System (CIDRIS):**

- The project is currently in a red status, the Department of Public Safety (DPS) Computer Assisted Dispatch / Records Management System (CAD/RMS) interface to CIDRIS is not fully operational. DPS is working with their vendor to complete the interface. This could delay the project for six months or more
- The CIDRIS expansion program is moving quickly. This will allow the local police departments to connect with CIDRIS rapidly
- With the exception of DPS troop B all future deployments of DPS troops are on hold until their CAD / RMS vendor can demonstrate complete compliance with the CIDRIS system
- Developed a college internship program which started late May the intern assigned to CIDRIS is developing electronic form to use with the CIDRIS Expansion project this summer

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**CJIS Programs Recommendations for Consideration**

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**1. 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 Executive Director provides the vision, thought leadership, expertise, and insights to meet the goals and targets that we have set. This frees him to roll up his sleeves and meet with constituent agencies and assist them with their needs and concerns in a timely manner. The time line set for the hiring of key CISS employees in May was not met. As of this date the CJIS Governing Board has not been given the authority to hire the key staff members shown below.

**Impact:** 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:

- 3/31/2011 Hire Senior Business Manager
- 3/31/2011 Hire Senior Program Manager
- 8/3/2011 Hire Senior Technology Architect
- 8/3/2011 Hire two Senior Project Managers

- 8/3/2011 Hire Senior Business Analyst

The expected hire dates for addition project staff members are:

- 10/1/2011 hire 2 Senior staff developers
- 10/1/2011 hire Senior System Administrator

**Impact:** CJIS Support Group (CSG) made up of eight staff members are currently part of DoIT organization. DoIT transferred one manager Level 2 from the group in July 2010, this position has not been backfilled. In April DoIT transferred a level 1 and the level 3 manager again without back filling the positions. In May one team member retired and this position was not backfilled. The DoIT has temporarily assigned the Director of the Business Development Division (BDD) to provide part time leadership to the remaining four CSG team members. The CSG group currently provides operational and maintenance support for OBTS. When CIDRIS becomes operational, CSG will also be responsible for that application as well. The CSG group's duties are expanding while its staff size has decreased by 50%.

**Recommendations:**

1. The Legislature should approve the hiring of the full time employees necessary for the CISS program.

**2. 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 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 Public Act 08-01 cannot proceed without the funds and the state will not reap the \$18 MM a year benefits envisioned for CISS.

**Recommendation:** The budget requests should to be considered by the Legislature, and restored to the levels requested.

**3. A Service Level Agreement (SLA) should be established with DoIT.**

**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 CJIS Governing Board and



DoIT. The Governing Board must know what services and resources DoIT will provide as well as the time lines for providing support and resources. The Executive Director provided DoIT with a proposed Service Level Agreement on June 22<sup>nd</sup>, 2010. The items for SLA include service availability, disaster recovery, and quarterly resource planned activities that are reconciled on a weekly basis. With the new CIO taking the reigns of leadership at DoIT, the Executive Director believes that and SLA will be negotiated between the CJIS Governing Board and DoIT, 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.

**4. Language in PA 07-04 JSS Sec. 36 should specify that CJIS Governing Board (rather than DoIT) will receive, at minimum, \$1.3 MM in revenue for the CJIS initiatives.**

**Impact:** The act currently provides no visibility to the CJIS community how the funds are used. DoIT currently makes no report to the CJIS Governing Board on how the funds should be used in support of CJIS activities, and the CJIS Governing Board cannot direct the use of this fund based on the board's priorities. The CJIS Governing Board should be able to control and direct how these funds should be used.

**Recommendation:** The Legislature should amend section 36 of PA-07-4 JSS to read "For the fiscal year ending June 30, 2008, and each fiscal year thereafter, any revenue derived by the Department of Information Technology from the contract for the provision of pay telephone service to inmates of correctional facilities that is remaining after any required transfer to the Department of Correction pursuant to section 18-81x of the general statutes, or that is remaining after any of such revenue is made available to ~~the Department of Information Technology~~ [The CJIS Governing Board] to administer the criminal justice information system, shall be transferred to the Judicial Department for staffing and services necessary for the state-wide expansion of the Probation Transition Program and the technical violation units. "

**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 Public Safety (DPS), which transmits secure data from law enforcement throughout the state.

**Recommendation:** Provide legislation requiring all CJIS Governing Board applications to use the PSDN and COLLECT 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 Public Act 08.01 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 over the five years of the project
- 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
- 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:

- On April 21, 2011, the CJIS Governing Board appointed Mr. Sean Thakkar to be the CISS Contract Administrator
- The Proposal Review Team (PRT) met and selected a vendor for the CISS Project. Contract negotiations are underway between the Department of Information Technology Procurement Division and the vendor. As soon as the negotiations are completed an announcement will be made as to who is the vendor. Eight

million dollars has been appropriated to get the CISS Project moving forward. The goal is to complete the contract negotiation by August 3, 2011 and begin implementation of the project within the same month

- The CISS Project welcomed two interns who will be assisting on requirements validation

#### **Next 180 Days Targets**

- Continue with the SDM Business Requirements Phase.
- Negotiate and execute a contract with the vendor
- Hire key CISS staff (Program manager, Business manager, Project managers, and key members of the development team) as soon as possible
- During the summer semester, interns are working to create a requirement traceability document in the collaboration tool. As each requirement is created in the tool the stakeholder agencies will be asked to review and send the team its list of errors, omissions, suggestions, and any scenarios that are missed. Once the stakeholders agree that the requirement is complete and correct the requirements is locked down for creation of a test plan and programming. Any change to the requirement will become a change control

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 Business and Program Managers. These positions are crucial for contract talks and connection points between agencies and vendors.  
*The mitigation strategy is to hire employees with the right skills and expertise to assist with the CISS project*

##### **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*

### **Conclusion**

- CISS was undertaken to comply with Public Act 08.01. 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

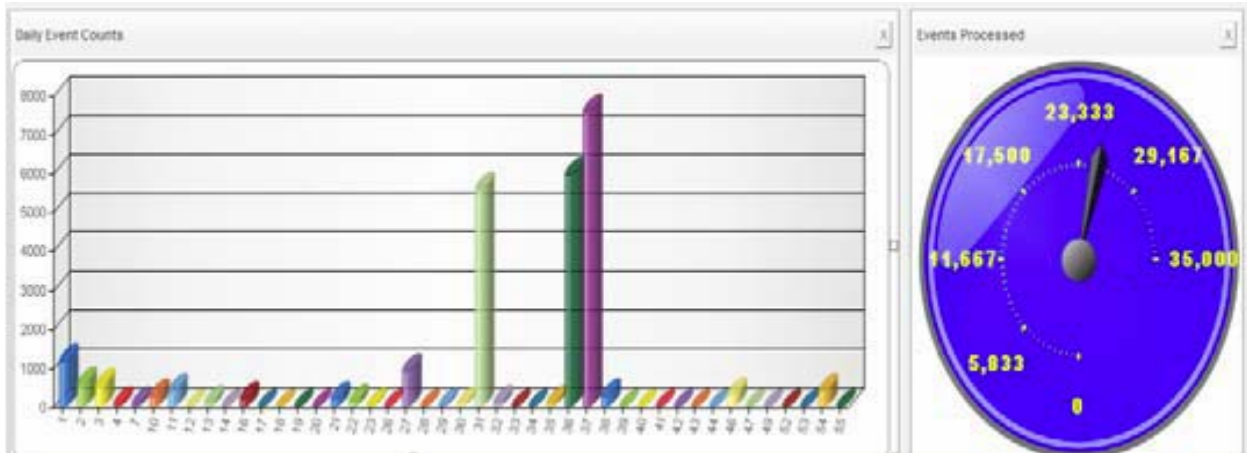
### **Progress Made to Date**

The OBTS Program has achieved several milestones:

- On April 1, 2011, OBTS R6.1 was put into production. This is a complete technology refresh for the application server. The primary objective for the R6.1 release was to improve message processing performance from a maximum of 2,000 messages per hour to 4,300 messages per hour; however, the new OBTS R6.1 can process well over 6,000 messages per hour
- The technology refresh included updating 10 year old, out of support hardware and software to the latest technology. Also, some OBTS functionality was combined to save licensing fees of over \$100,000 a year

### **Next 180 Days Targets**

- To facilitate the executive decision to do more with less, new reporting capabilities are being considered for OBTS and other CJIS initiatives. CJIS plans to use a Dashboard approach for reporting. The concept of a Dashboard is that information is distributed between objects or widgets. The end user can select an icon, then drag and drop the object on their Dashboard. The end result is a personalized report, tailored by the end user to assist in his or her job. To demonstrate using Dashboards to convey information, we created a Heads-Up display for monitoring OBTS application. Please see the dashboard example below



- Perform all of the prerequisite technology upgrades to the legacy Oracle database environment to prepare for the migration of OBTS to 11g

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

### **Risks and Issues Facing the Project**

#### **Risk:**

- DoIT Application Hosting has lost key technical support staff to retirements 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. Executive and Legislative support is requested for approval of the FY2012- FY2013 CJIS Biennial Budget, as submitted by the CJIS Executive Director.
2. 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.
3. Develop and implement a Service Level Agreement (SLA) between DoIT and this CJIS Governing Board that clarifies, roles, responsibilities and agreed-upon service levels related to the expectation of DoIT 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**

- The **Connecticut Impaired Driving Records Information System (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 DPS troops. The application passed unit, system, and user acceptance testing and is connected to DPS State Police Troop B, DMV, and the Superior Courts
- Problems found with the DPS' CAD/RMS with the deployment of Troop B prevent expansion to the remaining DPS 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 DPS 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 January 1<sup>st</sup>, 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
- 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**

- Certify CAD/RMS vendors serving the Connecticut Law Enforcement Community to allow their clients to connect to the CIDRIS application
- Connect all DPS State Police Troops to the CIDRIS Application
- 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 Department 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 CIDRIS project requires additional funding to certify CAD/RMS vendors, and the Judiciary and the Department of Criminal Justice need assistance in receiving electronic OUI paperwork.

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

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### **CJIS Governing Board Committees' Updates**

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No new information to provide.

#### **Administrative Committee**

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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**

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No new information to provide.

#### **Implementation Committee**

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The Implementation Committee held no meetings during this reporting period.