State of Connecticut

Traffic Records Assessment

April 18, 2017

National Highway Traffic Safety Administration

Technical Assessment Team

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Executive Summary

Out of 391 assessment questions, Connecticut met the Advisory ideal for 147 questions (37.6%), partially met the Advisory ideal for 66 questions (16.9%), and did not meet the Advisory ideal for 178 questions (45.5%).

As Figure 1 illustrates, within each assessment module, Connecticut met the criteria outlined in the *Traffic Records Program Assessment Advisory* 52.6% of the time for Traffic Records Coordinating Committee Management, 81.3% of the time for Strategic Planning, 77.3% of the time for Crash, 35.9% of the time for Vehicle, 40% of the time for Driver, 57.9% of the time for Roadway, 29.6% of the time for Citation / Adjudication, 11.4% of the time for EMS / Injury Surveillance, and 46.2% of the time for Data Use and Integration.

Figure 1: Rating Distribution by Module

Legend: Meets Advisory ideal | Partially meets Advisory ideal | Does not meet Advisory ideal
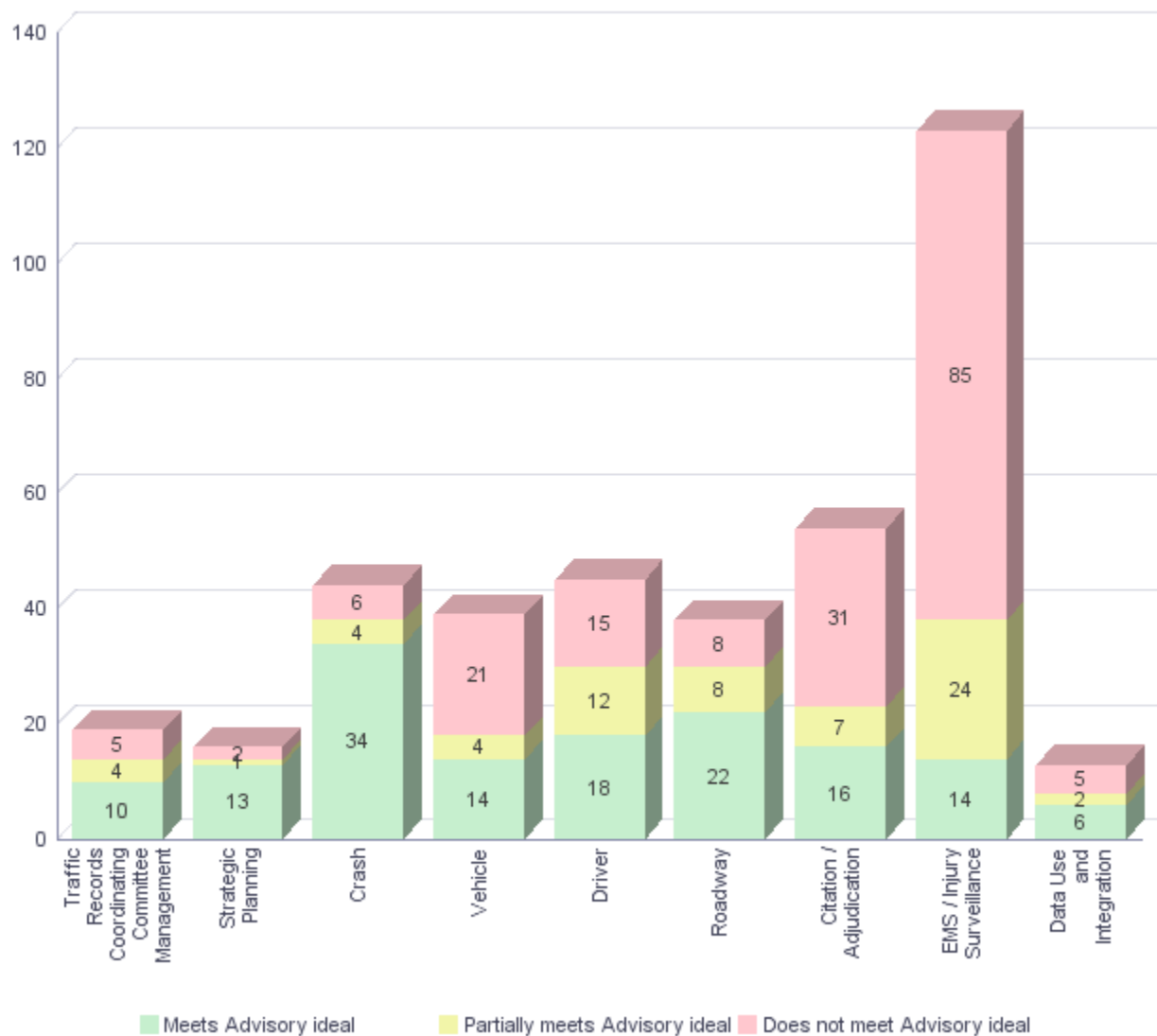
Recommendations

Figure 2 shows the aggregate ratings by data system and assessment module. Each question's score is derived by multiplying its rank and rating (very important = 3, somewhat important = 2, and less important = 1; meets = 3, partially meets = 2, and does not meet = 1). The sum total for each module section is calculated based upon the individual question scores. Then, the percentage is calculated for each module section as follows:

$$Section\ average\ (\%) = \frac{Section\ sum\ total}{Section\ total\ possible}$$

The cells highlighted in red indicate the module sub-sections that scored below that data system's weighted average. The following priority recommendations are based on improving those module subsections with scores below the overall system score.

Figure 2: Assessment Section Ratings

	Crash	Vehicle	Driver	Roadway	Citation / Adjudication	EMS / Injury Surveillance
Description and Contents	97.6%	66.7%	93.3%	93.3%	86.0%	56.9%
Applicable Guidelines	100.0%	100.0%	100.0%	66.7%	61.4%	66.7%
Data Dictionaries	93.3%	52.4%	58.3%	86.7%	33.3%	53.3%
Procedures / Process Flow	100.0%	53.0%	77.5%	100.0%	49.4%	56.3%
Interfaces	40.0%	63.6%	81.0%	94.4%	54.8%	33.3%
Data Quality Control Programs	89.9%	52.0%	45.3%	62.8%	65.4%	39.2%

	Crash	Vehicle	Driver	Roadway	Citation / Adjudication	EMS / Injury Surveillance
Overall	89.6%	59.9%	67.5%	79.7%	57.9%	47.8%

	Overall
Traffic Records Coordinating Committee Management	74.7%
Strategic Planning for the Traffic Records System	90.5%
Data Use and Integration	68.7%

According to 23 CFR Part 1200, §1200.22, applicants for State traffic safety information system improvements grants are required to maintain a State traffic records strategic plan that—

> *"(3) Includes a list of all recommendations from its most recent highway safety data and traffic records system assessment; (4) Identifies which such recommendations the State intends to implement and the performance measures to be used to demonstrate quantifiable and measurable progress; and (5) For recommendations that the State does not intend to implement, provides an explanation."*

Connecticut can address the recommendations below by implementing changes to improve the ratings for the questions in those section modules with lower than average scores. Connecticut can also apply for a NHTSA Traffic Records GO Team, for targeted technical assistance.

Crash Recommendations

Improve the interfaces with the Crash data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Vehicle Recommendations

Improve the data dictionary for the Vehicle data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the procedures/ process flows for the Vehicle data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the data quality control program for the Vehicle data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Driver Recommendations

Improve the data dictionary for the Driver data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the data quality control program for the Driver data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Roadway Recommendations

Improve the applicable guidelines for the Roadway data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the data quality control program for the Roadway data system to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Citation / Adjudication Recommendations

Improve the data dictionary for the Citation and Adjudication systems to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the procedures/ process flows for the Citation and Adjudication systems to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the interfaces with the Citation and Adjudication systems to reflect best practices identified in the Traffic Records Program Assessment Advisory.

EMS / Injury Surveillance Recommendations

Improve the interfaces with the Injury Surveillance systems to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Improve the data quality control program for the Injury Surveillance systems to reflect best practices identified in the Traffic Records Program Assessment Advisory.

Introduction

A traffic records system consists of data about a State's roadway transportation network and the people and vehicles that use it. The six primary components of a State traffic records system are: Crash, Driver, Vehicle, Roadway, Citation/Adjudication, and Injury Surveillance. These components address driver demographics, licensure, behavior and sanctions; vehicle types, configurations, and usage; engineering, education, enforcement measures; crash-related medical issues and actions; and how they affect highway traffic safety.

Quality traffic records data exhibiting the six primary data quality attributes—timeliness, accuracy, completeness, uniformity, integration, and accessibility—is necessary to improve traffic safety and effectively manage the motor vehicle transportation network, at the Federal, State, and local levels. Such data enables problem identification, countermeasure development and application, and outcome evaluation. Continued application of data-driven, science-based management practices can decrease the frequency of traffic crashes and mitigate their substantial negative effects on individuals and society.

State traffic records systems are the culmination of the combined efforts of collectors, managers, and users of data. Collaboration and cooperation between these groups can improve data and ensure that the data is used in ways that provide the greatest benefit to traffic safety efforts. Thoughtful, comprehensive, and uniform data use and governance policies can improve service delivery, link business processes, maximize return on investments, and improve risk management.

Congress has recognized the benefit of independent peer reviews for State traffic records data systems. These assessments help States identify areas of high performance and areas in need of improvement in addition to fostering greater collaboration among data systems. In order to encourage States to undertake such reviews regularly, Congress' Moving Ahead for Progress in the 21st Century (MAP-21) legislation requires States to conduct or update an assessment of its highway safety data and traffic records system every 5 years in order to qualify for §405(c) grant funding. The State's Governor's Representative must certify that an appropriate assessment has been completed within five years of the application deadline.

Background

In 2012, the National Highway Traffic Safety Administration published an updated *Traffic Records Program Assessment Advisory* (Report No. DOT HS 811 644). This *Advisory* was drafted by a group of traffic safety experts from a variety of backgrounds and affiliations, including: State highway safety offices, the Governors Highway Safety Association (GHSA) and the Association of Transportation Safety Information Professionals (ATSIP), as well as staff from NHTSA, FMCSA, and FHWA. The *Advisory* provides information on the contents, capabilities, and data quality of effective traffic records systems by describing an ideal that supports quality data driven decisions and improves highway safety. In addition, the *Advisory* describes in detail the importance of quality data in the identification of crash causes and outcomes, the development of effective interventions, implementation of countermeasures that prevent crashes and improve crash outcomes, updating traffic safety programs, systems, and policies, and evaluating progress in reducing crash frequency and severity.

The *Advisory* is based upon a uniform set of questions derived from the ideal model traffic records

data system. This model and suite of questions is designed to be used by independent subject matter experts in their assessment of the systems and processes that govern the collection, management, and analysis of traffic records data in a given State.

Methodology

A State initiates the assessment process by submitting a formal request to its NHTSA Regional Administrator. Once that request is passed onto the NHTSA National Center for Statistics and Analysis Traffic Records Team, it appoints an assessment facilitator to work with the State Governor's Representative to identify a State assessment coordinator and appropriate State respondents for each assessment question. Respondents enter the data into NHTSA's State Traffic Records Assessment Program (STRAP), the Web-based application for the assessment. The assessment facilitator works with the State assessment coordinator to prepare for the assessment and establish a schedule consistent with the example outlined in Figure 3. Actual schedules can vary as dates may be altered to accommodate State-specific needs.

Figure 3: Traffic Records Assessment Time Table

Upon NHTSA TR Team receipt of request		Initial pre-assessment conference call
1 month prior to kickoff meeting		Facilitator introduction pre-assessment conference call
Between facilitator conference call and kickoff		State Coordinator assigns questions, enters contact information into STRAP, and builds initial document library
Assessment	Monday, Week 1	On-site kickoff meeting
	Tuesday, Week 1 – 12pm EST, Friday, Week 3	**Round 1 Data Collection**: State answers standardized assessment questions
	Friday, Week 3 – Wednesday, Week 5	**Round 1 Analysis**: Assessors review State answers, rate the responses and, if needed, request clarifications
	Thursday, Week 5 – 12pm EST, Friday, Week 7	**Round 2 Data Collection**: State responds to the assessors' initial ratings and requests for more information
	Friday, Week 7 – Wednesday, Week 9	**Round 2 Analysis**: Assessors review additional information from the State and, if needed, adjust initial ratings
	Thursday, Week 9 – 12pm EST, Friday, Week 11	**Round 3 Data Collection**: State provides final response to the assessors' ratings
	Friday, Week 11 – Monday, Week 13	**Round 3 Analysis**: make final ratings
	Tuesday, Week 13 – Monday, Week 14	Facilitator prepares final report
Week 15		NHTSA delivers final report to State and Region
(After completion of assessment)		NHTSA hosts webinar to debrief State participants

Following a kickoff meeting that explains the assessment process, schedule, and confirms question assignments, each respondent is sent an email with a token enabling them to log onto STRAP and answer assessment questions that had been assigned to them. The respondents may (a) answer a question, (b) answer the question and refer that question to another person to answer it as well, (c) refer the question—decline the question and send the question to someone else to answer—or (d) decline the question.

Figure 4: State Schedule for the Traffic Records Assessment

Kickoff	January 11, 2017
Begin first Q&A Cycle	January 11, 2017
End first Q&A Cycle	January 27, 2017
Begin second Q&A Cycle	February 09, 2017
End second Q&A Cycle	February 24, 2017
Begin third Q&A Cycle	March 09, 2017
End third Q&A Cycle	March 24, 2017
Assessors' Final Results Complete	April 06, 2017
Final Report Due	April 18, 2017
Debrief	April 25, 2017

The traffic records assessment is an iterative process that includes three question-answer cycles. In each, State respondents have the opportunity to answer each question assigned to them before the assessors examine their answers and supporting evidence, at which point the assessors rate each response. The second and third question and answer cycles are used to clarify responses and provide the most accurate rating for each question. In an attempt to prioritize the capabilities of each system being assessed, each question is ranked as "very important," "somewhat important" or "less important." To assist the State in responding to each question, the *Advisory* also provides State respondents with standards of evidence that identify the specific information necessary to answer each assessment question.

A group of qualified independent assessors rates the responses and determines how closely a State's capabilities match those of the ideal system outlined in the *Advisory*. Each system component is evaluated independently by two or more assessors, who reach a consensus on the ratings. Specifically, the assessors rate each response and determine if a State (a) meets the description of the ideal traffic records system, (b) partially meets the ideal description, or (c) does not meet the ideal description. The assessors write a brief narrative to explain their rating for each question.

In order for NHTSA to accept and approve an assessment each question must have an answer. When appropriate, however, a State may answer questions with "no, we do not have this capability/use this practice" etc. These responses constitute an acceptable answer and will receive a "does not meet" rating. An assessment with unanswered or blank questions will not be acceptable and cannot be used to qualify for §405 grant funds.

The complete traffic records assessment process is outlined in Figure 5 below.

States are encouraged to use the conclusions of this report as a basis for the State data improvement program strategic planning process, and are encouraged to review the conclusions at least annually to gauge how the State is addressing the items in this report. NHTSA can provide support in addressing these conclusions by means of GO Teams. NHTSA's Traffic Records GO Team program helps States improve their traffic records systems by deploying teams of subject matter experts to deliver tailored technical assistance and training based on States' actual needs.

Figure 5: State Traffic Records Assessment Process
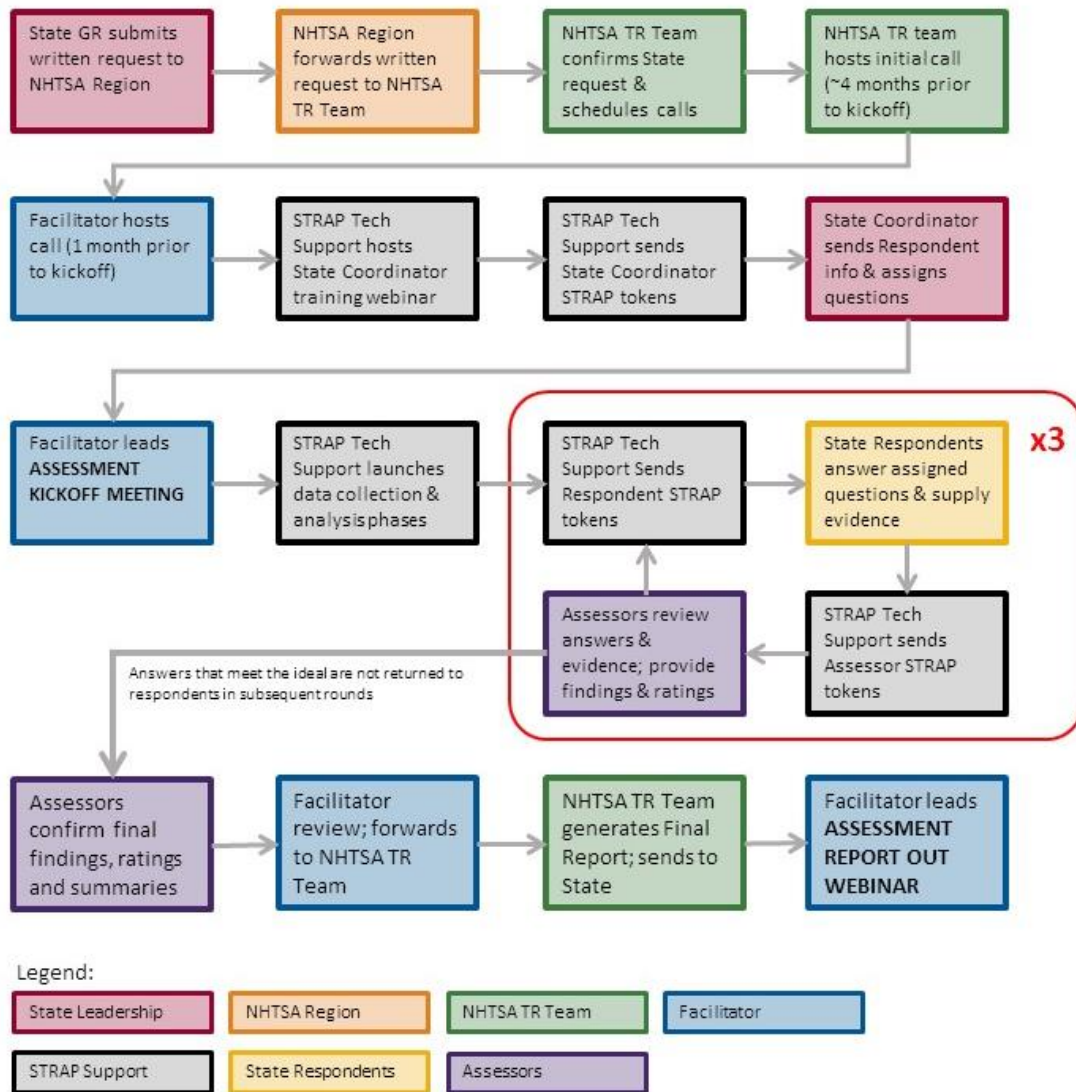
Results

For each question, a rating was assigned based on the answers and supporting documentation provided by the State. The ratings are shown as three icons, depicting 'meets', 'partially meets', or 'does not meet'.

Legend:

Meets	Partially meets	Does not meet

Traffic Records Coordinating Committee Management

The Connecticut Traffic Records Coordinating Committee (CT-TRCC) is established by a Charter signed by the Governor's Highway Safety Representative. The Charter describes the mission of the CT-TRCC along with some of the principal operations. Connecticut aggregates all of its TRCC documentation, including the Traffic Records Strategic Plan, under the umbrella of its Highway Safety Plan (HSP), allowing all reference documents to be accessed by page number in the HSP.

The CT-TRCC is comprised of only the technical level group. A brief charter dated June 26, 2015 describes the role of the CT-TRCC as well the roster showing names, affiliations, and titles for the technical committee. Connecticut is encouraged to consider establishment of an executive level. The executive group provides the opportunity to better understand the importance of traffic records systems in the State's safety programs and gives them the required background when called upon to support the funding and resources necessary to maintain the systems. Executive members hold positions within their agencies that enable them to establish policy, direct resources within their areas of responsibility, and set the vision and mission for the technical CT-TRCC. It appears, based on the roster, that the technical committee does include some executives. There are often two challenges that States deal with in creating a successful statewide safety program. One is finding a champion that is well respected across State agencies, and the second is finding individuals within each State agency who can make decisions and advance safety programs within their realm of influence. The executives who serve on an executive TRCC can be effective when they see how a State TRCC (the executive and technical committees working together) advances their agency goals and enhances success. A fully engaged executive group can play a critical role in this effort.

Connecticut indicated that the CT-TRCC is in the process of updating their inventory. A partial inventory is in place and it is clear that the inventory is in the process of development. It includes a description of each traffic record system, sometimes a contact for the system, a series of questions relevant to the system's status, and a placeholder for the system's data dictionary. The content of a formal traffic records system inventory as described in Advisory may include, but is not limited to, all traffic records data sources, system custodians, data elements and attributes, linkage variables, linkages useful to the State, and data access policies.

The CT-TRCC does not directly allocate funds, but it does influence decision-making. The State Highway Safety Office is directly involved in monthly CT-TRCC meetings and has the greatest influence for allocating Section 405c and 402 funding. It appears that the CT-TRCC takes a bottom-up approach to determining and implementing projects, and delegates management of projects to the agency that is statutorily responsible for the traffic records system in question.

Opportunities

Connecticut is encouraged to create and establish an executive TRCC committee. The executive group provides the opportunity to better understand the importance of traffic records systems in the State's safety programs and gives them the required background when called upon to support the funding and resources necessary to maintain the systems. Executive members hold positions within their agencies that enable them to establish policy, direct resources within their areas of responsibility, and set the vision and mission for the technical CT-TRCC.

Question 1:

Does the State have both an executive and a technical TRCC?

Standard of Evidence:

Provide a charter and/or MOU. Also provide a roster with all members' names, affiliations, and titles for both the executive and technical TRCC.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut Traffic Records Coordinating Committee (CT-TRCC) is comprised of only the technical level group. A brief Charter dated June 26, 2015 describes the role of the CT-TRCC as well the roster showing names, affiliations, and titles for the technical committee. Connecticut is encouraged to consider establishment of an executive level. The executive group provides the opportunity to better understand the importance of traffic records systems in the State's safety programs and gives them the required background when called upon to support the funding and resources necessary to maintain the systems. Executive members hold positions within their agencies that enable them to establish policy, direct resources within their areas of responsibility, and set the vision and mission for the technical CT-TRCC.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 2:

Do the executive TRCC members have the power to direct the agencies' resources for their respective areas of responsibility?

Standard of Evidence:

Provide a charter and/or memorandum of understanding (MOU). Also provide a roster with all members' names, affiliations, and titles for the executive TRCC.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC does not include an executive group. It appears, based on the roster, that the technical committee does include some executives. There are often two challenges that States deal with in creating a successful statewide safety program. One is finding a champion that is well respected across State agencies, and the second is finding individuals within each State agency who can make decisions and advance safety programs within their realm of influence. The executives who serve on an executive TRCC can be effective when they see how a State TRCC (the executive and technical committees working together) advances their agency goals and enhances success. A fully engaged executive group can play a critical role in this effort.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 3:

Does the executive TRCC review and approve actions proposed by the technical TRCC?

Standard of Evidence:

Provide a narrative example of recent actions or programs approved by the executive TRCC (e.g., an approved project or funding proposal).

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC only includes the technical group. It uses a bottom-up approach incorporating stakeholder involvement in selecting and moving projects forward.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 4:

Does the TRCC include representation from the core data systems at both the executive and technical levels?

Standard of Evidence:

Identify the executive and technical TRCC members that represent the core data systems: crash, driver, vehicle, roadway, citation and adjudication, and injury surveillance.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC is comprised only of the technical group. The technical group includes representation from the core traffic record data systems.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 5:

Does the TRCC consult with the appropriate State IT agency or offices when planning and implementing technology projects?

Standard of Evidence:

Provide a narrative example of the TRCC's process of consulting the appropriate IT agency or offices. Identify the appropriate agency or offices and their responsibilities.

Question Rank:
Somewhat Important

Assessor conclusions:

The CT-TRCC roster includes members of the Connecticut Department of Transportation (CTDOT) Office of Information Services (OIS). Such IT resources were involved in the development and implementation of Connecticut's MMUCC PR-1 crash form and reporting system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 6:

Is there a formal document authorizing the TRCC?

Standard of Evidence:

Provide the authorizing document (e.g. MOU, charter).

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC Charter is brief and includes the TRCC objectives, goals, and functions. The State might consider expanding on the powers and duties as specified in the State's legislation.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 7:

Does the TRCC provide the leadership and coordination necessary to develop, implement, and monitor the TRCC strategic plan?

Standard of Evidence:

Provide a narrative describing the TRCC's role in developing the TRCC strategic plan as well as implementation of a project detailed in the plan.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC has a role in the traffic records project selection and ultimate inclusion in the strategic plan. The TRCC ad hoc subcommittees are formed to address specific projects and initiatives to support traffic records systems. In addition, TRCC efforts were cited as effective in delivering the State's updated eCrash and eCitation programs. However, it would be helpful to better describe in the CT-TRCC Charter and/or the Strategic Plan regarding the TRCC's role/responsibility for the Plan's development, approval, implementation, or monitoring.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 8:

Does the TRCC influence policy decisions that impact the State's traffic records system?

Standard of Evidence:

Provide a narrative describing a specific example of how the TRCC is engaged by component agencies in the course of their decision-making processes.

Question Rank:
Somewhat Important

Assessor conclusions:

The CT-TRCC played an active role in moving forward a number of traffic records-related projects. Those included partnering with the University of Connecticut (UCONN) for the development of the Crash Data Repository, developing a working group to look at the outdated crash report form (PR-1), recommending the adoption of the MMUCC Guideline criteria, and partnering with the Capitol Region Council of Governments for a pilot test of a new eCrash application.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 9:

Does the TRCC allocate federal traffic records improvement grant funds?

Standard of Evidence:

Specify what funds the TRCC is responsible for allocating (e.g., §405(c)) and provide a narrative describing how the TRCC allocated the most recent program year's funding.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC does not directly allocate federal funds. It does influence decision-making. The State Highway Safety Office is directly involved in monthly CT-TRCC meetings and has the greatest influence for allocating Section 405c and 402 funding.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 10:

Does the TRCC identify core system performance measures and monitor progress?

Standard of Evidence:

Provide at least one performance measure for each of the six core systems and describe how the TRCC identified it and has tracked its progress over time.

Question Rank:
Very Important

Assessor conclusions:

Performance measures were identified based on deficiencies cited in the previous Traffic Records Assessment. Performance measure progress is provided by the stakeholders at the TRCC meetings. A performance measure was available along with its progress for most but not all traffic record systems.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 11:

Does the TRCC enable meaningful coordination among stakeholders and serve as a forum for the discussion of the State's traffic records programs, challenges, and investments?

Standard of Evidence:

Provide the charter or MOU and minutes from the two most recent technical TRCC meetings.

Question Rank:
Somewhat Important

Assessor conclusions:

The CT-TRCC provides meaningful coordination among stakeholders and serves as a forum for the discussion of the State's traffic records programs, challenges, and investments. The Charter describes a clear approach to an open dialogue regarding traffic records issues by the State's safety stakeholders.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 12:

Does the TRCC have a traffic records inventory?

Standard of Evidence:

Provide the traffic records inventory.

Question Rank:
Somewhat Important

Assessor conclusions:

The CT-TRCC is in the process of updating their inventory. A partial inventory was available and it is clear that the inventory is in the process of development. It includes a description of each traffic records system, sometimes a contact for the system, a series of questions relevant to the system's status, and a placeholder for the system's data dictionary. The content of a formal traffic records system inventory as described in Advisory may include, but is not limited to, all traffic records data sources, system custodians, data elements and attributes, linkage variables, linkages useful to the State, and data access policies.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 13:

Does the technical TRCC have a designated chair?

Standard of Evidence:

Provide a position description, identify the individual, and describe the chair's responsibilities.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC technical group chair was identified along with a description of the chair's responsibilities.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 14:

Does the TRCC have a designated coordinator?

Standard of Evidence:

Provide a position description, identify the individual, and describe the coordinator's responsibilities.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC has a designated traffic records coordinator. The individual was identified along with the position's role and description of the coordinator's duties. The Traffic Records Coordinator is a full-time position at the State Highway Safety Office (HSO) with shared responsibility as the coordinator and program area manager.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 15:

Does the executive TRCC meet at least once annually?

Standard of Evidence:

Provide a schedule of executive meeting dates from the past two program years.

Assessor conclusions:

The CT-TRCC does not include an executive group.

Question Rank:
Somewhat Important

Respondents assigned	1	Responses received	1	Response rate	100%

Question 16:

Does the technical TRCC meet at least quarterly?

Standard of Evidence:

Provide a schedule of technical TRCC meeting dates for the past program year. If the TRCC has topical sub-committees, identify these groups, their purposes, and meeting dates as well.

Assessor conclusions:

It is clear from the CT-TRCC activities that the committee meets often. The Technical Committee's 2016 schedule included ten scheduled meetings.

Question Rank:
Somewhat Important

Respondents assigned	2	Responses received	1	Response rate	50%

Question 17:

Does the TRCC oversee quality control and quality improvement programs impacting the core data systems?

Standard of Evidence:

Provide meeting minutes or reports that document the quality control activities that the TRCC undertakes regularly.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC seems aware and supports the need for quality control for all systems. A slide presentation from the CT-TRCC December 2016 meeting included Connecticut's efforts in establishing performance measures and how previous Strategic Plans addressed overall quality improvement measures for the State's traffic record systems. In addition, the committee is involved in hands-on quality control of the crash system (edit rules, testing, crash reporting validation), system testing, and implementation of the UCONN crash repository.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 18:

Does the TRCC address technical assistance and training needs?

Standard of Evidence:

Document TRCC discussion of technical assistance and training needs with meeting agendas or minutes.

Question Rank:
Somewhat Important

Assessor conclusions:

The committee or its members participate in training and technical assistance as a result of new system implementation or updates. A slide presentation from the December 2016 CT-TRCC meeting described training and technical assistance regarding the updated crash system development. The State might consider a formal technical assistance and training program that includes identification, promotion, and offering of training needs assessments. Examples of the program might include presentations detailing needs and participation in relevant trainings as part of the technical TRCC's regular meetings. Participation in training programs that addresses the importance and use of traffic records systems as well as training sessions held at the International Forum on Traffic Records and Highway Safety Information Systems is encouraged.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 19:

Does the TRCC use a variety of federal funds to strategically allocate resources for traffic records improvement projects?

Standard of Evidence:

Provide an inventory of federal funds used to support traffic records improvement projects in the last program year.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC makes the decision about funding of traffic record system improvement projects. Projects are funded through federal sources including 405c, 402, 148, and SaDIP programs. An inventory of federal funds used to support traffic records improvement projects in the last program year was available for review.

Respondents assigned	2	Responses received	1	Response rate	50%

Strategic Planning

Connecticut's Traffic Records Strategic Plan, developed by the Traffic Records Coordinating Committee (CT-TRCC), is a comprehensive and well laid out document. Deficiencies from the previous Traffic Records Assessment are incorporated in the document and it is identified how each will be addressed. The Plan identifies a vision on where the State would like to go for the future management of their data systems.

The Plan, entitled the Connecticut Strategic Plan for Traffic Records, is dated 2016-2017. The CT-TRCC uses a consensus process for its development. It is a multi-year plan that is updated annually and/or as needed to address the timeliness, accuracy, completeness, uniformity, integration, and accessibility of all traffic-related data and systems. Although key committee resources prepare the actual document, the CT-TRCC plays a proactive role in the strategic planning process. The Plan is formally approved at a committee meeting.

A formal management process is used for coordinating the Plan's activities and project selection. All stakeholders are included in the project selection process. They provide input for individual candidate projects along with their priorities. After results are tallied, the project list and the overall priorities are sent to the State Highway Safety Office (HSO) for final review.

The State's strategic plan, describes each of the six core systems through the perspective of the six performance quality attributes. Detailed descriptions of each of these six performance areas are provided in the document as part of the review of each system. The CT-TRCC is encouraged to build on these efforts to implement formal performance measures for the management of all traffic records systems. Once implemented, the performance measures can provide immediate feedback for the CT-TRCC vision, project selection, prioritization, and evaluation.

As with any planning process and its documentation there are always opportunities to improve. The State might consider just a few of these suggestions to enhance the strategic plan already in place. None of these are indicative of problems within Connecticut's strategic plan but are offered with the goal of improving the State's safety systems and reducing motor vehicle-related death and injury.

Project timelines are not included in the information included in the strategic plan. The timelines appear to be established by the agencies sponsoring the projects and managed through oversight of the project steering committees. CT-TRCC members may influence project schedules based on their participation on the steering committee or grant funding constraints such as the federal fiscal year cycle. The sponsoring agency has ultimate responsibility for the projects; however, overall success can benefit from open communication and periodic reporting in the Plan and at CT-TRCC meetings.

The CT-TRCC relies on the responsible agency for determining system lifecycle costs and does not have a process for identifying and tracking such costs for projects supported in the strategic plan. The State may want to consider engaging a Business Analyst during the project planning process and adding the estimated life cycle cost to the Plan's project description. Having a sense of when system upgrades may be needed will help with future budget planning. Life cycle costs

may include funding beyond the basic hardware, software, and implementation costs and include security patches, software maintenance costs, system upgrades, or ongoing data storage costs.

The Strategic Plan does not include a formal process for coordinating with federal data systems. Even though close communication is maintained with members of Federal agencies impacted by safety system improvements, the State might consider formalizing such a process to identify and resolve project issues.

Question 20:

Does the TRCC develop the TRCC strategic plan?

Standard of Evidence:

Document the process undertaken by the TRCC in developing the strategic plan.	**Question Rank:** Very Important

Assessor conclusions:

The Connecticut Traffic Records Coordinating Committee (CT-TRCC) develops the strategic plan, entitled the Connecticut Strategic Plan for Traffic Records. The plan is dated 2016-2017. The CT-TRCC uses a consensus process for creating the strategic plan. Although key committee resources prepare the actual plan document, the CT-TRCC plays a proactive role in the strategic planning process. The plan is formally approved at a committee meeting.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 21:

Does the TRCC strategic plan address existing data and data systems deficiencies and document how these deficiencies are identified?

Standard of Evidence:

Identify, with appropriate citations, how the strategic plan addresses existing data and data systems deficiencies and documents how they were identified.	**Question Rank:** Very Important

Assessor conclusions:

The Strategic Plan describes Connecticut's traffic records deficiencies, how they were identified, their priority, and the approach to address each. The plan's deficiency section details the State's process to identify deficiencies by documenting the strengths, limitations, and improvement opportunities for each of the core systems. In the annual strategic plan, areas of improvement are prioritized and addressed through traffic records projects that address the identified deficiencies.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 22:

Does the TRCC strategic plan identify strategies that address the timeliness, accuracy, completeness, uniformity, integration, and accessibility of the six core data systems?

Standard of Evidence:

Identify, with appropriate citations, how the strategic plan identifies strategies that address the timeliness, accuracy, completeness, uniformity, integration, and accessibility of the six core data systems.

Question Rank:
Very Important

Assessor conclusions:

The State identifies strategies, overall and for each project, that address a planned records system improvement. The State's plan identifies and tracks, in a table format, the quality characteristics (timeliness, accuracy, completeness, uniformity, integration, accessibility) and the core systems to which they apply. The current improvement projects are focused on the crash and citation/adjudication systems and the performance measures reflect this. The State does a commendable job at providing this information in its plan and can further enhance its strategic plan by adopting additional language that speaks to bigger picture strategies aimed at achieving its goals.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 23:

Does the TRCC strategic plan indicate what funds are used to undertake efforts detailed in the plan and describe how these allocations contribute to the plan's stated goals?

Standard of Evidence:

Identify, with appropriate citations, how efforts detailed in the plan are funded and explain how these allocations address the plan's stated goals as specified in the strategic plan.

Question Rank:
Very Important

Assessor conclusions:

For each project identified and monitored in the strategic plan, costs and funding are identified. The funding is limited to NHTSA funding (primarily 405c), but it is associated with each project and is sometimes allocated for multiple years. The strategic plan describes the process sufficiently and funding is reviewed and allocated each year for its priority projects.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 24:

Does the TRCC have a process for prioritizing traffic records improvement projects in the TRCC strategic plan?

Standard of Evidence:

Identify, with appropriate citations, how the TRCC prioritizes traffic records improvement projects as specified in the strategic plan.

Question Rank:
Very Important

Assessor conclusions:

All stakeholders are included in project selection through a formal process. Stakeholders are contacted, to which they can respond with their feedback on the individual candidate projects as well as their priorities. After results are tallied, the project list and the overall priorities are sent to the State Highway Safety Office (HSO) for the final review.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 25:

Does the TRCC have a process for identifying performance measures and corresponding metrics for the six core data systems in the TRCC strategic plan?

Standard of Evidence:

Identify, with appropriate citations, how the TRCC identifies performance measures and any corresponding metrics for each of the six core data systems as specified in the strategic plan.

Question Rank:
Very Important

Assessor conclusions:

The State's strategic plan describes each of the six core systems through the perspective of the six performance areas. Detailed descriptions of each of these six performance areas are provided in the document as part of the review of each system. The State has developed a list of performance measures and their associated metrics.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 26:

Does the TRCC have a process for identifying and addressing technical assistance and training needs in the TRCC strategic plan?

Standard of Evidence:

Identify, with appropriate citations, how the TRCC identifies and addresses technical assistance and training needs as specified in the strategic plan.

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut described a process for identifying general and specific training and technical assistance needs within the Strategic Plan. The presentation offered at the December 2016 CT-TRCC meeting described training and technical assistance regarding the updated crash system development.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 27:

Does the TRCC have a process for leveraging federal funds and assistance programs in the TRCC strategic plan?

Standard of Evidence:

Identify, with appropriate citations, how the TRCC leverages federal funds and assistance programs as specified in the strategic plan.

Question Rank:
Somewhat Important

Assessor conclusions:

All aspects of project selection, prioritization, cost determination, and final submission of each year's list of projects in the Strategic plan are the responsibility of the CT-TRCC. While the primary funding source for each year's projects is 405c funding, other federal funds sources are sought at times for improvements.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 28:

Does the TRCC have a process for establishing timelines and responsibilities for projects in the TRCC strategic plan?

Standard of Evidence:

Identify, with appropriate citations, how the TRCC establishes timelines and responsibilities for projects in the plan.

Question Rank:
Very Important

Assessor conclusions:

The CT-TRCC does not have a process to establish timelines. Project timelines appear to be established by the agencies sponsoring the projects and through oversight provided by project steering committees. CT-TRCC members may influence project schedules based on their participation on the steering committee and grant funding constraints such as the federal fiscal year cycle. The Strategic Plan and the Judicial Branch project application were available for review. The Strategic Plan provided a good description of the project, but did not include a project timeline or schedule. The Judicial Branch project application included a project timeline and the steering committee actions for each project phase. However, the application appears to be that of the State agency rather than identifying the role of the CT-TRCC in the development of the project schedule.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 29:

Does the TRCC have a process for integrating State and local data needs and goals into the TRCC strategic plan?

Standard of Evidence:

Identify, with appropriate citations, how the TRCC integrates State and local data needs and goals into the TRCC strategic plan.

Question Rank:
Very Important

Assessor conclusions:

A TRCC, when functioning as it should, is itself the process for integrating State and local needs into the strategic plan. Excellent examples of creating and implementing projects that fulfill the integration of State and local needs are found in the current strategic plan. Connecticut is to be commended for its progress, which brings greater accessibility of traffic records data to local as well as State users. Given as an example are the projects to promote the broad use of the eCrash and eCitation applications.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 30:

Does the TRCC consider the use of new technology when developing and managing traffic records projects in the strategic plan?

Standard of Evidence:

Identify, with appropriate citations, a project or projects in the strategic plan whose development included the application or consideration of new technology.

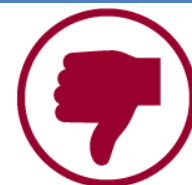**Question Rank:**
Somewhat Important

Assessor conclusions:

The strategic plan provides evidence that Connecticut readily adopts new technologies when appropriate to the State's needs, and has been doing so over many years. There are numerous examples of projects in the current strategic plan that demonstrate consideration and application of the latest technology.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 31:

Does the TRCC consider lifecycle costs in implementing improvement projects?

Standard of Evidence:

Identify, with appropriate citations, a project or projects in the strategic plan whose development included consideration of lifecycle costs.

Question Rank:
Somewhat Important

Assessor conclusions:

The CT-TRCC relies on the agency responsible for the system to determine lifecycle costs and does not have a process for identifying and tracking such costs for projects supported in the strategic plan. The State may want to consider engaging with a Business Analyst during the review process for new projects and adding an evaluation of the product's lifecycle to the description of the project in the strategic plan. Having a sense of when upgrades may be needed will help with future budget planning. Life cycle costs may include funding beyond the basic hardware, software, and implementation costs and include hardware and software maintenance costs, system upgrades, or ongoing data storage costs.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 32:

Is the strategic plan responsive to the needs of all stakeholders, including local users?

Standard of Evidence:

Identify, with appropriate citations, specific instances demonstrating that local stakeholder needs are incorporated into the TRCC's strategic plan.

Question Rank:
Somewhat Important

Assessor conclusions:

The CT-TRCC includes stakeholders' needs through its diverse membership. The CT-TRCC is an open forum where all stakeholders are encouraged to voice their needs and advocate for projects that will serve local jurisdictions. Accessibility of traffic records data from the State Crash Data Repository by State and local users and the timeliness of crash reporting under the new MMUCC PR-1 System are examples of being responsive to all stakeholders.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 33:

Does the strategic plan make provisions for coordination with key federal traffic records data systems?

Standard of Evidence:

Provide a narrative demonstrating how the strategic plan coordinates with key federal traffic records data systems. Provide citations from the strategic plan if appropriate.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does not have a formal process for coordinating with federal data systems, but several projects in the strategic plan, supported by the CT-TRCC, have focused on improvements in submitted crash data to the FARS and FMCSA systems. Further, the strategic plan includes a project to improve roadway data through further compliance to the MIRE guide. While no language exists in the strategic plan indicating that the State considers federal systems in its overall planning, the projects themselves do take into consideration benefits of the State system improvements to meet federal system needs. Federal partners are members of the CT-TRCC, attend meetings, and are available to discuss any impediments and offer options to resolve any issues.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 34:

Does the TRCC have a process for identifying and addressing impediments to coordination with key Federal traffic records data systems?

Standard of Evidence:

Provide a narrative detailing the processes used by the TRCC to identify and address impediments to coordination with key Federal traffic records data systems. Provide citations from the strategic plan if appropriate.

Question Rank:
Very Important

Assessor conclusions:

CT-TRCC membership includes the key federal agencies representing their respective data systems. The level of communication between CT-TRCC and these representatives appears healthy. As a result, the structure is sufficient to serve as the primary process for identifying and addressing deficiencies and opportunities with the federal systems.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 35:

Is the TRCC's strategic plan reviewed and updated annually?

Standard of Evidence:

Provide a narrative detailing the frequency and depth of strategic plan reviews and updates. Identify the stakeholder agencies represented in the review process. Provide a schedule or cite the plan itself if appropriate.

Question Rank:
Very Important

Assessor conclusions:

Following each year's submission of the strategic plan on July 1st, and implementation beginning on October 1st, the review and update process continues. The CT-TRCC is kept up-to-date on ongoing project updates, as it looks ahead to the planning process for the following year.

Respondents assigned	2	Responses received	2	Response rate	100%

Crash

The Connecticut Crash System is consolidated into a single database housed within the Connecticut Department of Transportation (CTDOT).   Connecticut's law enforcement agencies report all fatal, injury, and property damage only (PDO) crashes over $1000 to the State electronically via a secure FTP site.

However, the State's law enforcement agencies can record crashes occurring in non-trafficway areas (e.g., parking lots, driveways) and these reports can be submitted to the repository, although it is not required. The reports submitted through the secure FTP site are required to pass edit checks for accuracy, completeness, and location prior to being accepted by the repository. The State's data quality control clerks are provided with limited state-level correction authority to amend obvious errors in the database without returning the report to the originating officer. The clerks cannot modify the actual report, instead they must be returned for revision.

Connecticut provides the data supplied to the crash repository to the Connecticut Transportation Safety Research Center and planning organizations for construction and engineering projects. This data allows research to be completed that will identify high crash locations and allow them to provide a cost-benefit analysis and appropriate countermeasures. The State allows local users access to crash data in order to prioritize law enforcement activity. The State's crash data is also used to generate information for Data-Driven Approaches to Crime and Traffic Safety (DDACTS) studies, including local heat maps and various reports of crash data including driver/vehicle/non-motorist demographics and driver behaviors.

Connecticut utilizes ANSI D.16 and D.20 in conjunction with MMUCC as primary sources for defining its crash system. Connecticut is 99.7% MMUCC V4-compliant. Connecticut also received the 2015 Association of Transportation Safety Information Professionals (ATSIP) Best Practices award for the development of their crash data processing system and the Crash Data Repository. It is anticipated that the MMUCC 5th edition will be released in 2017. Since the last MMUCC review, NHTSA has recently released MMUCC Mapping Guidelines to help states with this process.

Connecticut's crash data system contains crash data from 1995. The State's retention and archival storage of this data allows safety engineers and other users the long-term access to the crash data.

Connecticut has various opportunities for improvement or expansion of data linkages, interfaces, and integration amongst the State traffic records systems. As the traffic records systems data becomes more widely used, system interfaces and data integration will be crucial.

Overall, the Connecticut crash system is functioning well, with 100% electronic crash reporting and data accessibility for end-users. Data accessibility is vital for crash data users. By focusing engineering and law enforcement efforts on locations with the greatest crash risk, traffic fatalities and injuries can be reduced resulting in safer roadways.

Question 36:

Is statewide crash data consolidated into one database?

Standard of Evidence:

Provide a description of the statewide database and specify how the data is consolidated.

Question Rank:
Somewhat Important

Assessor conclusions:

The State operates a single repository for crash data. All law enforcement agencies submit crash reports to a secure FTP site. These reports are required to pass edit checks for accuracy, completeness, and location prior to being accepted by the repository.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 37:

Is the statewide crash system's organizational custodian clearly defined?

Standard of Evidence:

Identify what agency has the custodial responsibility for the statewide crash system, detail the extent of the agency's role, and provide all relevant statutes.

Question Rank:
Very Important

Assessor conclusions:

The Statewide crash system's custodian is the Connecticut Department of Transportation (CTDOT).

Respondents assigned	2	Responses received	1	Response rate	50%

Question 38:

Does the State have criteria requiring the submission of fatal crashes to the statewide crash system?

Standard of Evidence:

Provide the fatal crash inclusion criteria for the statewide crash system.

Question Rank:
Very Important

Assessor conclusions:

The State has specific criteria that require the submission of fatal crashes to the statewide crash system. The criteria is specified by statute and administered by the Commissioner of Transportation.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 39:

Does the State have criteria requiring the submission of injury crashes to the statewide crash system?

Standard of Evidence:

Provide the injury crash inclusion criteria for the statewide crash system.

Question Rank:
Very Important

Assessor conclusions:

The State has five possible criteria to choose from on the crash report in order to indicate if an injury was observed from the crash. The State statute 14-108a requires investigations of motor vehicle crashes involving injury to be supplied within five days.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 40:

Does the State have criteria requiring the submission of PDO crashes to the statewide crash system?

Standard of Evidence:

Provide the PDO crash submission criteria for the statewide crash system.

Question Rank:
Very Important

Assessor conclusions:

The State requires that any PDO crash which results in at least $1000 in damages to be submitted to the repository.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 41:

Does the statewide crash system record crashes occurring in non-trafficway areas (e.g., parking lots, driveways)?

Standard of Evidence:

Provide the non-trafficway reporting criteria for the statewide crash system.

Question Rank:
Somewhat Important

Assessor conclusions:

The State's law enforcement agencies can record crashes occurring in non-trafficway areas (e.g., parking lots, driveways) and these reports can be submitted to the repository, although it is not required.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 42:

Is data from the crash system used to identify crash risk factors?

Standard of Evidence:

Provide example reports and/or analyses that examine locations, roadway features, behaviors, driver characteristics, or vehicle characteristics as they relate to crash risk. If referencing large documents like the SHSP, please cite relevant page numbers.

Question Rank:
Very Important

Assessor conclusions:
The State's crash data collected from the repository is dissected and used to determine crash risk factors for specific intersections statewide.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 43:

Is data from the crash system used to guide engineering and construction projects?

Standard of Evidence:

Describe the State's network screening and countermeasure selection processes. Describe how construction projects are funded based on the analysis of crash data. If referencing large documents like the SHSP, please cite relevant page numbers.

Question Rank:
Very Important

Assessor conclusions:

The Crash Data Repository is available to the Connecticut Transportation Safety Research Center and planning organizations for construction and engineering projects. Projects are prioritized based on analysis of high crash locations identified in the Suggested List of Study Survey Sites and cost-benefit analysis of appropriate countermeasures.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 44:

Is data from the crash system regularly used to prioritize law enforcement activity?

Standard of Evidence:

Provide a sample location-based analysis and any associated law enforcement activities. If a State DDACTS program exists, provide details.

Question Rank:
Very Important

Assessor conclusions:

The State provides local users access to data from the crash system in order to prioritize law enforcement activity. The State's crash data is used to generate data useful in Data-Driven Approaches to Crime and Traffic Safety (DDACTS) studies including local heat maps and various reports of crash data including driver/vehicle/non-motorist demographics and driver behaviors.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 45:

Is data from the crash system used to evaluate safety countermeasure programs?

Standard of Evidence:

Describe how crash data is used to evaluate safety countermeasure programs. If referencing large documents like the SHSP, HSP, or Crash Facts, please cite relevant page numbers.

Question Rank:
Very Important

Assessor conclusions:
The crash data system is used to assist the State in evaluating safety countermeasures.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 46:

Is MMUCC a primary source for identifying what crash data elements and attributes the State collects?

Standard of Evidence:

Provide a narrative description of the process by which MMUCC was used to identify what crash data elements and attributes are included in the crash database and on the Police Accident Report (PAR).

Question Rank:
Very Important

Assessor conclusions:
The State utilizes MMUCC as the primary source for identifying what crash data elements and attributes are collected by the State.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 47:

Are the ANSI D-16 and ANSI D-20 used as sources for the definitions in the crash system data dictionary?

Standard of Evidence:

Provide a narrative description of the process by which ANSI D-16 and ANSI D-20 were used to define data elements in the crash system's data dictionary and user manual.

Question Rank:
Somewhat Important

Assessor conclusions:

The State utilized ANSI D-16 and ANSI D-20 in conjunction with MMUCC as their sources for the definitions in the crash system data dictionary.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 48:

Does the data dictionary provide a definition for each data element and define that data element's allowable values?

Standard of Evidence:

Provide a copy of the crash system data dictionary.

Question Rank:
Very Important

Assessor conclusions:

Descriptions of data elements are provided in the Crash Data Guidelines.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 49:

Does the data dictionary document the system edit checks and validation rules?

Standard of Evidence:

Provide a copy of the crash system data dictionary. If the crash system edit checks and validation rules are documented elsewhere, provide the appropriate document.

Question Rank:
Somewhat Important

Assessor conclusions:

The Validation Rules (Errors and Warnings) are present in the Crash Data Guidelines.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 50:

Is the data dictionary up to date and consistent with the field data collection manual, coding manual, crash report, and any training materials?

Standard of Evidence:

Describe the processes to update the crash system's data dictionary, field data collection manual, coding manual, crash report, and training manuals. Specify which of the documents exist and describe processes to keep them consistent with each other.

Question Rank:
Very Important

Assessor conclusions:

The State's manual was written in 2014 and has been updated periodically since.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 51:

Does the crash system data dictionary indicate the data elements populated through links to other traffic records system components?

Standard of Evidence:

Provide a list of data elements that are populated in the crash system through linkages to other traffic records system components (e.g., the driver file, the vehicle file, the roadway inventory, or statewide mapping system).

Question Rank:
Somewhat Important

Assessor conclusions:

The State is able to import data elements from sources such as NCIC and collect through links, although not all approved software providers offer this service.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 52:

Do all law enforcement agencies collect crash data electronically?

Standard of Evidence:

Provide a list of all reporting agencies and specify their data collection methods. Specify any State plans for achieving 100% electronic in-field data collection.

Question Rank:
Somewhat Important

Assessor conclusions:
All law enforcement agencies collect crash data electronically.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 53:

Do all law enforcement agencies submit their data to the statewide crash system electronically?

Standard of Evidence:

Describe—using a narrative or flow diagram—all data submission processes used to transmit data from collecting agencies to the statewide crash data system. Include the percentage of total data submitted for each specified method.

Question Rank:
Very Important

Assessor conclusions:
All law enforcement agencies submit their crash data to the system electronically in XML format.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 54:

Do all law enforcement agencies collecting crash data electronically apply validation rules that are consistent with those in the statewide crash system prior to submission?

Standard of Evidence:

Describe the validation processes used by the collecting agencies. Specify if the validation rules are applied to the data prior to submission to the statewide crash system. Include, in the description, how the validation rules are distributed to the collecting agencies and how the State checks the submitted data for consistency to rules in the statewide crash system.

Question Rank:
Very Important

Assessor conclusions:

All law enforcement agencies collecting crash data electronically apply validation rules that are consistent with those in the statewide crash system prior to submission. All approved software vendors are required to incorporate the State's edits and validations into their software.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 55:

Does the State maintain accurate and up to date documentation detailing the policies and procedures for key processes governing the collection, reporting, and posting of crash data—including the submission of fatal crash data to the State FARS unit and commercial vehicle crash data to SafetyNet?

Standard of Evidence:

Provide a process flow diagram (preferred) or narrative description documenting key processes governing the collection, reporting, and posting of crash data—including the submission of fatal crashes to the State FARS unit and commercial vehicle crashes to SafetyNet.

Question Rank:
Very Important

Assessor conclusions:

The State does have accurate and up-to-date documentation detailing the policies and procedures for key processes governing the collection, reporting, and posting of crash data and has made available a crash data flow diagram that illustrates those partners that assist in the process.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 56:

Are the processes for managing errors and incomplete data documented?

Standard of Evidence:

Provide a process flow diagram (preferred) or narrative description documenting the processes for managing errors and incomplete data.

Question Rank:
Very Important

Assessor conclusions:

The State has processes for tracking, managing errors, and documenting incomplete data. The State does this through internal reports, which also allows them to provide feedback and guidance to approved software vendors on what errors need fixed.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 57:

Do the document retention and archival storage policies meet the needs of safety engineers and other users with a legitimate need for long-term access to the crash data reports?

Standard of Evidence:

Provide a copy of the retention policy.

Question Rank:
Somewhat Important

Assessor conclusions:

The State's crash data system contains crash data from 1995. The retention and archival storage of this data allows safety engineers and other users the long-term access to the crash data but not the reports themselves.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 58:

Does the crash system interface with the driver system?

Standard of Evidence:

Provide narrative description of the crash-to-driver system interfaces that enable: verification and validation of the driver's personal information, access to driver records, identification of inconsistencies between the crash and driver records, and/or identification of the driver's prior crash involvement?

Question Rank:
Somewhat Important

Assessor conclusions:
The crash system does not interface with the driver system.

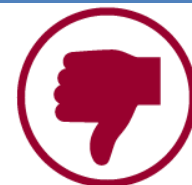| Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 59:

Does the crash system interface with the vehicle system?

Standard of Evidence:

Provide narrative descriptions of the crash-to-vehicle system interfaces that enable: verification and validation of the vehicle information, access to vehicle records, and/or identification of inconsistencies between the crash and vehicle records.

Question Rank:
Somewhat Important

Assessor conclusions:
The crash system does not interface with the vehicle system. Local law enforcement and FARs analysts can manually access the vehicle system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 60:

Does the crash system interface with the roadway system?

Standard of Evidence:

Provide narrative descriptions of the crash-to-roadway interfaces that enable: verification and validation of the roadway information, and/or identification of inconsistencies between the crash and roadway records.

Question Rank:
Somewhat Important

Assessor conclusions:

The State's crash system has merged three roadway elements with the roadway system. The State is in the process of merging an additional 40 elements in order to allow the State to do a more in-depth analysis of roadway and crash correlations.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 61:

Does the crash system interface with the citation and adjudication systems?

Standard of Evidence:

Provide narrative descriptions of the crash-to-citation and -adjudication interfaces that enable: verification and validation of citations and/or alcohol or drug test information in the crash record; identification of any inconsistencies between crash and citation records; and access to criminal history, contact history, and location history.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does not currently have an interface between the citation and adjudication systems. An MOU is currently being negotiated to set up a secure database and server to merge data from 2000 to present.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 62:

Does the crash system interface with the injury surveillance system?

Standard of Evidence:

Provide narrative descriptions of the crash-to-injury surveillance interfaces that enable: verification and validation of EMS information, and identification of inconsistencies between crash and EMS records.

Question Rank:
Somewhat
Important

Assessor conclusions:

The State's crash system does not interface with the injury surveillance system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 63:

Are there automated edit checks and validation rules to ensure that entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks or validation rules ensure entered data falls within the range of acceptable values and is logically consistent between fields.

Question Rank:
Very Important

Assessor conclusions:

The State has built in automated edit checks and validation rules; if the report submitted does not meet all of the edit checks it is rejected.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 64:

Is limited state-level correction authority granted to quality control staff working with the statewide crash database to amend obvious errors and omissions without returning the report to the originating officer?

Standard of Evidence:

Provide the formal methodology or describe the process by which limited state-level correction authority is granted to quality control staff working with the statewide crash database.

Question Rank:
Somewhat Important

Assessor conclusions:

The State's data quality control clerks are provided with limited state-level correction authority to amend obvious errors and omissions. The clerks do not modify the actual report.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 65:

Are there formally documented processes for returning rejected crash reports to the originating officer and tracking resubmission of the report in place?

Standard of Evidence:

Provide the formal methodology or describe the process by which rejected crash reports are returned to the originating officer and then resubmitted to the statewide crash database.

Question Rank:
Very Important

Assessor conclusions:

The State does have a formal process for returning rejected crash reports. If a report is rejected, an automated email is sent to the supervisor on record for that department from which the file was rejected. The email contains a notification as to the error and the report case ID.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 66:

Are there timeliness performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of crash system timeliness measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State does track the timeliness performance measures in regards to the crash report being received by the State and the processing time for each report.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 67:

Are there accuracy performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of crash system accuracy measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State does have performance measures that compare the incoming data to the errors and warnings in the Crash Data Guidelines.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 68:

Are there completeness performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of crash system completeness measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State can extract a report on the completeness of information in each report and the report can be used by data managers and data users.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 69:

Are there uniformity performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of crash system uniformity measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State is able to compare uniformity performance measures in some specific instances and tailors these reports to the needs of data managers and data users.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 70:

Are there integration performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of crash system integration measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State indicated they do not have integration performance measures.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 71:

Are there accessibility performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of crash system accessibility measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Somewhat Important

Assessor conclusions:

The State indicated they count individual users, queries, and downloads as the method for measuring accessibility. They also conduct a count of users and queries from the Crash Data Repository and this report was supplied.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 72:

Has the state established numeric goals—performance metrics—for each performance measure?

Standard of Evidence:

Provide the specific, State-determined numeric goals associated with each performance measure in use.

Question Rank:
Very Important

Assessor conclusions:

The State does not have a set of established numeric goals—performance metrics—for each performance measure.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 73:

Is there performance reporting that provides specific timeliness, accuracy, and completeness feedback to each law enforcement agency?

Standard of Evidence:

Provide a sample report, list of receiving law enforcement agencies, and specify the frequency of issuance.

Question Rank:
Very Important

Assessor conclusions:

The State has developed a "crash report card" which provides law enforcement agencies a report on how well they are doing on submitting crash reports electronically.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 74:

Is the detection of high frequency errors used to generate updates to training content and data collection manuals, update the validation rules, and prompt form revisions?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to generate new training content and data collection manuals, update the validation rules, and prompt form revisions.

Question Rank:
Very Important

Assessor conclusions:

The State employs two Crash Data Liaisons (retired police officers) who review internal reports and produce new training content for law enforcement agencies across the State. The liaisons work with the law enforcement agencies on various issues and report back to the DOT as well as publish the resolution to the issues in a monthly newsletter.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 75:

Are quality control reviews comparing the narrative, diagram, and coded contents of the report considered part of the statewide crash database's data acceptance process?

Standard of Evidence:

Provide the formal methodology or describe the process by which quality control reviews comparing the narrative, diagram, and coded contents of the report are considered part of the statewide crash database's data acceptance process.

Question Rank:
Somewhat Important

Assessor conclusions:

The State utilizes a quality control process that analyzes the narrative, diagram, and data fields to improve the data quality.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 76:

Are independent sample-based audits periodically conducted for crash reports and related database contents?

Standard of Evidence:

Describe the formal audit methodology, provide a sample report or other output, and specify the audits' frequency.

Question Rank:
Somewhat Important

Assessor conclusions:

The State has conducted limited independent audits of the crash database.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 77:

Are periodic comparative and trend analyses used to identify unexplained differences in the data across years and jurisdictions?

Standard of Evidence:

Describe the analyses, provide a sample report or other output, and specify the analyses' frequency.

Question Rank:
Very Important

Assessor conclusions:

The State conducts periodic comparative and trend analyses to identify unexplained differences in the data.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 78:

Is data quality feedback from key users regularly communicated to data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform changes.

Question Rank:
Somewhat Important

Assessor conclusions:

The State reports its data quality feedback to key users regularly in a newsletter that is sent to over 300 subscribers per month.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 79:

Are data quality management reports provided to the TRCC for regular review?

Standard of Evidence:

Provide a sample quality management report and specify how frequently they are issued to the TRCC.

Question Rank:
Very Important

Assessor conclusions:
The CT-TRCC is provided quality management reports on a regular basis.

Respondents assigned	2	Responses received	2	Response rate	100%

Vehicle

Connecticut's vehicle registration and titling data is maintained in a separate system from its driver data. The strong points of this system include the use of software to validate the vehicle identification numbers, real-time processing, use of NMVTIS in real-time, and querying the NMVTIS system prior to issuing a Connecticut title. The vehicle system uses NMVTIS brand codes and the State participates in the PRISM system at the gold level. Additionally, the State has developed process flows for most of its vehicle-related processing. These are all best practices and deserve recognition.

The State's data dictionary for the system is a combination of the NMVTIS information, AAMVA D.20 data elements, and State-specific data elements. These aspects of the data dictionary should be combined into a Connecticut vehicle data dictionary that is limited to the State's data and definitions and contains its data edits and validation rules. It is commendable that the State uses NMVTIS and AAMVA documentation, as that provides for uniformity, but data users and collectors benefit more from a concise listing of the State's data elements and definitions.

There are some areas in which the State can improve its data, processes, and documentation to further improve an already good system. While the State has developed an error-handling process, it is not contained in the process flows; an error-handling process flow would help to ensure that this information is reviewed and updated as needed. Stolen vehicle flags are not added to the registration system upon reporting by law enforcement, with State reliance on NMVTIS in lieu of flagging. However, State-level registration system flags would improve the timeliness of such reporting and could help to ensure that, upon recovery, such vehicles could be immediately cleared on the State system. In the same light, brand history from NMVTIS can be carried forward on to Connecticut titles, but such brands that are listed on out-of-state titles are not necessarily copied onto the Connecticut title. Changing this procedure would help to ensure that brands are not inadvertently washed from titles when moving from State to State.

One concern about uniformity within the State is the fact that personal information is not collected in the same format on the vehicle file as it is on the driver file. The discrepancies are due to the fact that the files are of varying ages and one has greater capacity than the other. It would behoove the State to review the current conventions for collecting and recording names and attempt to make those consistent.

Finally, a comprehensive data quality management program should be initiated for the vehicle data. The State has made efforts to improve its data quality and assumes that those practices and technology have made data quality better. However, the only way to ensure that data quality is and remains improved is to develop specific measures and to take and record those measurements on a regular basis. It is an often faulty assumption that all errors are prevented by data edits. That is not the case and auditing for errors that might have bypassed the edits is a good way to develop additional edits if needed and to ascertain where training or procedures might need to be updated.

Random audits of the data, independent of customary State processes, help to find and fix problems. A small number of files, randomly selected and reviewed on a regular basis can help to

determine what types of transactions are most likely to result in errors, to develop regular audit procedures for most-risky transaction types, and to provide feedback to data collectors and data entry staff in order to improve accuracy.

Performance measures regularly monitored and reported to the TRCC will aid in maintaining the quality of the data and data system that Connecticut has developed.

Question 80:	
Does custodial responsibility of the identification and ownership of vehicles registered in the State—including vehicle make, model, year of manufacture, body type, and adverse vehicle history (title brands)—reside in a single location?	
Standard of Evidence:	
Provide the custodial agency's name.	**Question Rank:** Somewhat Important
Assessor conclusions:	
Custodial responsibility for the registration and titling of motor vehicles in the State of Connecticut resides with the Department of Motor Vehicles (DMV).	

Respondents assigned	3	**Responses received**	1	**Response rate**	33.3%

Question 81:	
Does the State or its agents validate every VIN with a verification software application?	
Standard of Evidence:	
Describe the circumstances in which the VIN is validated and used.	**Question Rank:** Less Important
Assessor conclusions:	
Connecticut's DMV verifies Vehicle Identification Numbers (VIN) with CVINA software using the registration data system. CVINA is integrated into the workflow of the Connecticut Integrated Vehicle and Licensing System (CIVLS) software and validates that VIN information as it is entered.	

Respondents assigned	3	**Responses received**	1	**Response rate**	33.3%

Question 82:

Are vehicle registration documents barcoded—using at a minimum the 2D standard—to allow for rapid, accurate collection of vehicle information by law enforcement officers in the field using barcode readers or scanners?

Standard of Evidence:

Provide a sample document, and identify the information encoded.

Question Rank:
Very Important

Assessor conclusions:

Neither the registration nor the title documents have 2D (PDF417) barcodes. Instead, they have linear 1D code 128 barcodes that contain limited information. 2D barcodes can contain much more data than traditional UPC style 1D barcodes. Connecticut should pursue more advanced barcode symbology like PDF417, matrix, etc.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 83:

Does the vehicle system provide title information data to the National Motor Vehicle Title Information System (NMVTIS) at least daily?

Standard of Evidence:

Explain how and how often the State uploads data to NMVTIS, specifying the manner of transmittal and its frequency (e.g., real-time, nightly, weekly).

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut provides title information to NMVTIS daily in real time, as part of registration transaction processing.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 84:

Does the vehicle system query the National Motor Vehicle Title Information System (NMVTIS) before issuing new titles?

Standard of Evidence:

Provide the NMVTIS query processing instructions or provide a screen print of the query tool.

Question Rank:
Very Important

Assessor conclusions:

NMVTIS is queried through the CIVLS system prior to title issuance in the State.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 85:

Does the State incorporate brand information on the vehicle record that are recommended by AAMVA and/or received through NMVTIS, whether or not the brand description matches the State's brand descriptions?

Standard of Evidence:

Provide the list of the State's title brands and their definitions.

Question Rank:
Very Important

Assessor conclusions:

Connecticut uses brand codes that are consistent with NMVTIS.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 86:

Does the State participate in the Performance and Registration Information Systems Management (PRISM) program?

Standard of Evidence:

Provide the PRISM processing instructions or a screen print.

Question Rank:
Very Important

Assessor conclusions:

Connecticut participates in the PRISM system at the gold level.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 87:

Does the vehicle system have a documented definition for each data field?

Standard of Evidence:

Provide a narrative description of the data dictionary and provide an extract.

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut's vehicle data system has a data dictionary with definitions available for each data field/element.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 88:

Does the vehicle system include edit check and data collection guidelines that correspond to the data definitions?

Standard of Evidence:

Provide a narrative description of the data dictionary's edit check and data collection guidelines and provide an extract.

Question Rank:
Somewhat Important

Assessor conclusions:

The documentation provided, a data dictionary, NMVTIS manual, and an AAMVA D20 manual, did not contain information about the Connecticut system related to edit checks.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 89:

Are the collection, reporting, and posting procedures for registration, title, and title brand information formally documented?

Standard of Evidence:

Provide a narrative description of the data dictionary's procedure for applying title brands and provide a copy of the brands applied.
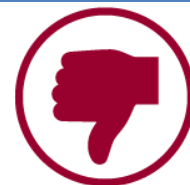
Question Rank:
Very Important

Assessor conclusions:

State Statutes and the NMVTIS manual are used to determine when to use which title brands. No information related to the procedure for applying title brands, nor a copy of the actual brands that are applied in Connecticut, was available for review.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 90:

Is there a process flow diagram describing the vehicle data system?

Standard of Evidence:

Provide the process flow diagram.

Question Rank:
Somewhat Important

Assessor conclusions:

Although a process flow exists for the vehicle data system, it was not available for review.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 91:

Does the vehicle system flag or identify vehicles reported as stolen to law enforcement authorities?

Standard of Evidence:

Provide a narrative description of the procedures for flagging and identifying vehicles reported as stolen. Provide the appropriate excerpt from the instruction manual.

Question Rank:
Very Important

Assessor conclusions:

Connecticut DMV staff can identify stolen vehicle marker plates and pass that information to law enforcement. Ideally, flagging of stolen vehicles would be integrated into the system in the future. The Connecticut system does check NMVTIS for stolen vehicle status at the time of vehicle purchase and that result can be added to the title application via a DE 133 discretionary edit. However, the Connecticut registration system does not include stolen vehicle flags.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 92:

If the vehicle system does flag or identify vehicles reported as stolen to law enforcement authorities, are these flags removed when a stolen vehicle has been recovered or junked?

Standard of Evidence:

Provide a narrative description of how the flags are removed. Provide the appropriate excerpt from the instruction or procedures manual.

Question Rank:
Very Important

Assessor conclusions:

The CIVLS vehicle system does not flag or identify vehicles reported as stolen to law enforcement authorities. Since the flags are not within the vehicle system, they cannot be automatically removed. Ideally, this would be a future enhancement to the system. CIVLS has the ability to flag a title via a discretionary edit, but no information was available that shows how a stolen vehicle flag might exist and then be removed from the registration system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 93:

Does the State record and maintain the title brand history (previously applied to vehicles by other States)?

Standard of Evidence:

Provide a narrative description of how title brand information is applied.

Question Rank:
Very Important

Assessor conclusions:

Connecticut does not maintain title brand history from previous States of record, but has the capacity to carry forward brands listed on NMVTIS to the Connecticut title. When a physical title from another State is transferred in and that State does not fully participate in NMVTIS, there is no method for entering those previous title brands.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 94:

Are the steps from initial event (titling, registration) to final entry into the statewide vehicle system documented in a process flow diagram?

Standard of Evidence:

Provide the process flow diagram. If diagram does not exist, provide a narrative describing the process in detail.

Question Rank:
Very Important

Assessor conclusions:

Flow charts for registration and titling are very good and provide a clear view of the title and registration processes.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 95:

Is the process flow diagram or narrative annotated to show the time required to complete each step?

Standard of Evidence:

Provide the process flow diagram. If diagram does not exist, provide a narrative describing the process in detail.

Question Rank:
Somewhat Important

Assessor conclusions:

Process flows have been developed, but they do not show the amount of time to complete each step. The State notes that this addition is underway. Such information is helpful in efforts to streamline or improve processes and can indicate improvements made due to such technological or process changes.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 96:

Does the process flow diagram or narrative show alternative data flows and timelines?

Standard of Evidence:

Provide the process flow diagram that specifies alternative data flows and timelines. If diagram does not exist, provide a narrative describing the process in detail.

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut has flowcharts that show alternative data flows. Timelines are not currently included, but should be a focus of future enhancements.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 97:

Does the process flow diagram or narrative include processes for error correction and error handling?

Standard of Evidence:

Provide the process flow diagram that specified the processes for error correction and error handling. If diagram does not exist, provide a narrative describing the process in detail.

Question Rank:
Somewhat Important

Assessor conclusions:

Process flows have not been developed for error handling and correction in the Connecticut vehicle data system. The State reports that such diagrams are under development.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 98:

Does the process flow diagram or narrative explain the timing, conditions, and procedures for purging records from the vehicle system?

Standard of Evidence:

Provide the process flow diagram that specifies the schedule and process for purging records. If diagram does not exist, provide a narrative describing the process in detail.

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut follows the retention periods listed in the General Statutes, and provided a list of retention periods for various data and documents. It would be beneficial to develop procedures by which retention and purging are conducted, such as manual/scheduled tasks, or exemptions.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 99:

Are the driver and vehicle files unified in one system?

Standard of Evidence:

Provide a narrative description of the unified system's main components and identify the variables that link the vehicle and driver files.

Question Rank:
Somewhat Important

Assessor conclusions:

Driver and vehicle files are stored in separate systems, with vehicle records stored on the newer of the two systems, CIVLS, and driver records in legacy system housed at the Connecticut Administrative Technology Center (CATER).

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 100:

If the driver and vehicle files are separate, is personal information entered into the vehicle system using the same conventions used in the driver system?

Standard of Evidence:

When the driver and vehicle systems are separate, provide extracts from the driver and vehicle system manuals detailing the data entry conventions for each.

Question Rank:
Very Important

Assessor conclusions:

Personal information is entered into the driver and vehicle systems using different conventions, due to the restrictions of smaller fields in the older driver files. This lack of consistency makes integration of the two files more difficult and makes it difficult for law enforcement officers to find potential vehicle information on suspects. To the extent possible, effective data governance would include methodologies to consistently capture customer names throughout State files to prevent fraud and duplicate records, as well.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 101:

Can vehicle system data be used to verify and validate the vehicle information during initial creation of a citation or crash report?

Standard of Evidence:

Provide a narrative description of the procedures governing the use of vehicle system data to verify and validate vehicle information during initial creation of a citation or crash report. ALTERNATIVE EVIDENCE: Describe how the vehicle system is accessed, if it is, to validate and verify vehicle information during crash report creation.

Question Rank:
Somewhat Important

Assessor conclusions:

Law enforcement has access to the vehicle file and can use that information to verify and validate information provided during crash reporting and citation issuance. Law enforcement has a programmatic interface to the CIVLS system and utilizes that interface for data import into citation and crash reports.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 102:

When discrepancies are identified during data entry in the crash data system, are vehicle records flagged for possible updating?

Standard of Evidence:

Provide an appropriate extract from the vehicle system manual that details the process for addressing a record flagged by the crash system.

Question Rank:
Less Important

Assessor conclusions:

The crash repository is the responsibility of the Connecticut Department of Transportation, and data from that file is not used to update the vehicle file if there are discrepancies. This is a missed opportunity for data quality improvements in Connecticut.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 103:

Are VIN, title number, and license plate number the key variables used to retrieve vehicle records?

Standard of Evidence:

Identify the key variables used to retrieve vehicle records.

Question Rank:
Very Important

Assessor conclusions:
Vehicle records can be retrieved by the VIN, title number, or plate number.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 104:

Is the vehicle system data processed in real-time?

Standard of Evidence:

Provide a narrative statement explaining the answer.

Question Rank:
Very Important

Assessor conclusions:
Vehicle data is processed in real-time in the CIVLS system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 105:

Are there automated edit checks and validation rules to ensure that entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks or validation rules ensure entered data falls within the range of acceptable values and is logically consistent between fields.

Question Rank:
Very Important

Assessor conclusions:
The State uses CVINA software to verify Vehicle Identification number (VIN), model, make, year, and other data found in the VIN. No other edit checks embedded in the vehicle data system software were noted, so it is unknown what back-end or extended processes may exist to assist the data validation and enforce the policies.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 106:

Is limited state-level correction authority granted to quality control staff working with the statewide vehicle system to amend obvious errors and omissions?

Standard of Evidence:

Name the authority that allows quality control staff to correct the statewide vehicle database.

Question Rank:
Somewhat Important

Assessor conclusions:

Quality control staff members in the vehicle section have the authority to make corrections of obvious errors or omissions, based on system security matrix and employee protocol, apparently based on policies and procedures.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 107:

Are there timeliness performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of vehicle system timeliness measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

There are no timeliness performance measures for the vehicle system, which functions in real-time. The system developer, though, does have service level agreements related to timeliness. Apparently, there is some triggering mechanism to denote when those agreements have been violated, so that would be a good place to start with a timeliness measure, since it is important to management and it appears to be monitored regularly.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 108:

Are there accuracy performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of vehicle system accuracy measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

CVINA and NMVTIS are used to increase accuracy of vehicle data. However, it is rare that any software catches every error in a data system, and the mere use of those tools does not correlate to a measured level of performance. A good performance measure would be: Number of fatal errors or critical errors found in vehicle data. This type of measure is helpful in ensuring that the software is doing its job.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 109:

Are there completeness performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of vehicle system completeness measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

Completeness performance measures have not yet been established. Generally, for a vehicle data system, a completeness measure would be percentage of vehicle files with no missing critical data elements or no missing data elements, or: the percentage of unknowns or blanks in critical data elements for which unknown is not an acceptable value. Monitoring any of these helps to keep a finger on the pulse of the health of the vehicle data system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 110:

Are there uniformity performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of vehicle system uniformity measures the State uses, including the most current baseline and actual values for each.

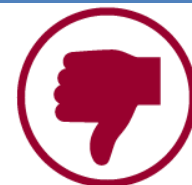**Question Rank:**
Very Important

Assessor conclusions:

Obviously, CVINA and NMVTIS are tools that help to create uniformity in vehicle data. However, those aspects of data still need to be measured, as does the performance of these tools, particularly in light of any errors found, and in tracking non-standard VINs. The State does have uniformity tools in place to help data quality, but no defined metrics are in place to examine the performance of those tools.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 111:

Are there integration performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of vehicle system integration measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

Integration performance measures for the CIVLS system should be developed, since none currently exist. If a transition in maintenance is underway, it is a good time to determine how to measure the system's performance and to capture baseline data for later comparison.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 112:

Are there accessibility performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of vehicle system accessibility measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut has no vehicle data accessibility measures. Possible measures may relate to requests for vehicle data, perhaps in the aggregate, by authorized users and the number of those requests that were able to be completed within three or five days, or some other measurement chosen by the State. These measures become more important as the number of requests for data grows to the point that the State has a difficult time fulfilling them and needs to seek new resources. However, it is also important from a data standpoint to track the number of entities or individuals who have access to the vehicle data file. These might be relatively easy counts and can be monitored at regular intervals.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 113:

Has the State established numeric goals—performance metrics—for each performance measure?

Standard of Evidence:

Provide the specific, State-determined numeric goals associated with each performance measure in use.

Question Rank:
Very Important

Assessor conclusions:

Since there are no formal performance measures for the vehicle system, it is a good time for the State to develop both the measures and some goals for those measures (metrics). Consistent measurement can be an excellent warning system for minor degradation in the data system performance that can be addressed quickly and without major effort if it is known immediately that problems are developing.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 114:

Is the detection of high frequency errors used to generate updates to training content and data collection manuals, update the validation rules, and prompt form revisions?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to generate new training content and data collection manuals, update the validation rules, and prompt form revisions.

Question Rank:
Very Important

Assessor conclusions:

While it appears that tracking of errors, particularly high-frequency errors is taking place, it would be best to have a procedure for addressing them when they are noted and even for determining which errors are high-frequency. Data users are generally an excellent source of error reporting, as well. Review of errors that are not due to IT efforts, such as unclear instructions on forms, or lack or improper training of staff, can be addressed in other ways.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 115:

Are independent sample-based audits conducted periodically for vehicle reports and related database contents for that record?

Standard of Evidence:

Describe the formal audit methodology, provide a sample report or other output, and specify the audits' frequency.

Question Rank:
Somewhat Important

Assessor conclusions:

PRISM and SAFER reports tend to be limited to certain records and types of data. Thus, it is also helpful, on a regular basis, to pick a small random sample of vehicle records to audit in-house. This effort can help to determine which types of transactions are more likely to result in errors and will provide ways to detect and prevent those common errors, or to develop edit checks within the software to guard against such errors.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 116:

Are periodic comparative and trend analyses used to identify unexplained differences in the data across years and jurisdictions?

Standard of Evidence:

Describe the analyses, provide a sample report or other output, and specify the analyses' frequency.

Question Rank:
Very Important

Assessor conclusions:

No current trend analyses are conducted, but they could be undertaken as a result of the new system. Trend analyses are a good way to find data discrepancies, particularly within specific counties or agencies. Trend analyses also help determine the types of vehicles registered within the State and can be compared to crash involvement to discern if there is over-representation of any type of vehicle in crashes in Connecticut, such as certain types of motorcycles or commercial vehicles, for example. The vehicle file can provide a great deal of information to the "Problem ID" for the State, in terms of its traffic safety initiatives.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 117:

Is data quality feedback from key users regularly communicated to data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform changes.

Question Rank:
Somewhat Important

Assessor conclusions:

The State has a means of tracking errors and providing that information to data managers to be addressed. End-user feedback is acquired through the TrackIT system and that feedback is communicated to data collectors through appropriate IT channels.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 118:

Are data quality management reports provided to the TRCC for regular review?

Standard of Evidence:

Provide a sample quality management report and specify how frequently they are issued to the TRCC.

Question Rank:
Very Important

Assessor conclusions:

Performance measures and their metrics should be provided to the TRCC. Sharing of such information in the TRCC can help to coordinate on shared concerns, provide helpful information about data availability and use, and encourage data-sharing. States spend a great deal of money on data collection and should encourage use of the available data to improve highway safety, prevent fraud, and reduce costs to all citizens. Data quality discussions are a great way to inform the State's TRCC of the data that is collected, the collection methods and technologies used, and any anomalies that users might find in the data. These discussions also provide a platform for healthy competition between data owners and collectors in the various component systems to have the best system possible.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Driver

Connecticut's driver system has a number of excellent qualities. Purges of data in the system are made according to State Archival policies. The State keeps an audit log of changes to driver records, including the identity of the employee who made the change, and provides employees with the policy and procedure manual in an electronic format. Additionally, conviction data is relayed electronically from the courts in a nightly batch for upload and posting to the driver history file. The driver file also contains information about driver improvement training, and novice driver training is available in a paper-based file. The State uses a combination of its own data dictionary, the AAMVA D.20 data dictionary, and depends on its driver license vendor to keep the system documentation up-to-date.

To ensure compliance with the Driver Privacy Protection Act, the State has developed Memoranda of Understanding with its data users and audits them regularly.

Connecticut has good external fraud detection policies, procedures, and training. However, there is no enterprise-wide effort to detect internal fraud. Internal fraud can be detected through data audits to ensure that no single office is over-represented in any single type of transaction, and that no licensing transactions take place outside of normal business hours. Additionally, hard stops programmed into the system can prevent issuance of a license without required documentation, such as Commercial Driver's Licenses without appropriate medical or hazmat documentation. A gap analysis might aid the State in determining what measures to take to improve internal fraud detection and prevention.

Additionally, even a good system can benefit from best practices. The system's data dictionary is minimal and the State appears to depend mostly on AAMVA's D.20 data dictionary. This effort does provide uniformity necessary to address exchange of information with other States, but does not always provide the breadth of information about the data in the system to in-State users and staff. A Connecticut-specific data dictionary would help to ensure that consistency and uniformity were practiced within the State and that any State-developed data edits and null values were included in the documentation. Documentation should be updated on a schedule that addresses Connecticut's needs, such as at the end of each legislative session or when policy and procedure manuals are updated.

Development and review of data process flows would help to ensure that processing is as efficient as possible, and is a valuable tool in initiating dialogue from those directly involved in work processes about efficiency and the importance of the various aspects of data quality. Development and consistent review of such process flows can serve as a continuous improvement process and ensure that data processes are streamlined as much as possible.

Connecticut does not have a comprehensive data quality management program. Such a program focuses on collection and maintenance of the data, adequate data governance, and ensures that the State can easily discern where improvements are needed. While the State has goals related to its data, the actual qualities of the data in the systems do not appear to be measured with any consistency, nor is the level of data quality shared with members of the Traffic Records Coordinating Committee (TRCC).

Simple performance measures that are regularly monitored and reported help States to understand what types of situations result in degradation of data quality, and thereby, serve to prevent that from happening. The State's commercial driver license data is regularly audited and, while important, that constitutes a small percentage of the entire data file. It would help the State to develop measures to see if the goals and mandates for data quality are actually being met. Unfortunately, having mandates for timeliness does not, in and of itself, ensure that data is submitted or recorded in a timely manner. It is also helpful and morale-boosting to know when data timeliness is substantially better than what a mandate calls for. Other important aspects of a data quality program include data quality feedback, not just to the information technology group, but to those who input or initiate the collection of data. One way to accomplish this is through random in-house audits conducted periodically and outside the normal auditing functions of the driver licensing staff. Measurement of data quality attributes and reporting those to the TRCC on a regular basis help to maintain effective data governance within the State and promote understanding of the type and potential uses of the various datasets within the traffic records system. The behavior aspects of drivers that are captured in the driver history are invaluable in development of countermeasures that may be used to improve traffic safety for all the citizens of the State of Connecticut.

Finally, linkages between systems also tend to promote quality. Linkage between the driver and crash systems, for example, would provide a great deal of information about what are the qualities of driver and driver behavior that are most often represented in crash involvement.

In all, the State driver data infrastructure is very good; reaching the next level could be the result of development of a data quality management program.

Question 119:	
Does custodial responsibility for the driver system—including commercially-licensed drivers—reside in a single location?	
Standard of Evidence:	
Provide a narrative identifying the custodial agency.	**Question Rank:** Very Important
Assessor conclusions:	
Connecticut's driver data system, including commercially licensed drivers, resides in a single location. The Connecticut Department of Motor Vehicles (DMV) has centralized custodial responsibility for the driver systems. Those systems are hosted at the Connecticut Department of Administrative Services/Bureau of Enterprise Systems and Technology (DAS/BEST), the centralized IT agency.	

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 120:

Can the State's DUI s data system be linked electronically to the driver system?

Standard of Evidence:

Provide a narrative explanation of a State's linking protocols that demonstrated how a citation on the DUI data system is linked to a record on the driver system. Include identification of the linkage portal and organizations responsible for maintaining the link and the linking fields used.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut DMV manages DUI administrative suspensions and posts DUI criminal convictions to the driver records. The data is sent from the courts in a nightly batch file and is recorded directly into the driver history system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 121:

Does the driver system capture novice drivers' training histories, including provider names and types of education (classroom or behind-the-wheel)?
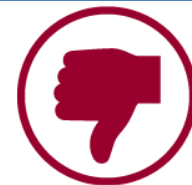
Standard of Evidence:

Provide a narrative documenting the availability of novice driver training history (including motorcycle and commercial license training), and specify the pertinent data fields and audit checks in the data dictionary or provide a sample system report.

Question Rank:
Less Important

Assessor conclusions:

Novice driver information is not captured in the driver system. Currently that information is paper-based and is retrieved manually when needed.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 122:

Does the driver system capture drivers' traffic violation and/or driver improvement training histories, including provider names and types of education (classroom or behind-the-wheel)?

Standard of Evidence:

Provide a narrative documenting the availability of traffic violation and/or driver improvement training history, including motorcycle and commercial license training, by specifying the pertinent data fields and audit checks in the data dictionary or provide a sample report.

Question Rank:
Less Important

Assessor conclusions:

The Connecticut driver system captures history of driver improvement courses in the database; information is provided by approved vendors who transmit certification of class completion electronically to the DMV daily for inclusion on the driver history.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 123:

Does the driver system capture and retain the dates of original issuance for all permits, licensing, and endorsements (e.g., learner's permit, provisional license, commercial driver's license, motorcycle license)?

Standard of Evidence:

Provide a narrative documenting the availability of original issuance dates for all permits, licensing, and endorsements by specifying the pertinent data fields and audit checks in the data dictionary or provide a sample report.

Question Rank:
Somewhat Important

Assessor conclusions:

The Connecticut driver license system records original issuance date for permits, licenses, and endorsements. It also stores historical data for any DMV credential such as permit, non-driver identification, licenses, and endorsements.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 124:

Is driver information maintained in a manner that accommodates interaction with the National Driver Register's Problem Driver Pointer System (PDPS) and the Commercial Driver's License Information System (CDLIS)?

Standard of Evidence:

Demonstrate functional integration with the PDPS and CDLIS. AAMVA audit reports can be provided as supporting documentation.

Question Rank:
Very Important

Assessor conclusions:

There is documentation of CDLIS integration and AAMVA PDPS compliance, detailed in an integration manual.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 125:

Are the contents of the driver system documented with data definitions for each field?

Standard of Evidence:

Provide, at a minimum, a table of contents and sample elements from the data dictionary or a sample data dictionary report.

Question Rank:
Very Important

Assessor conclusions:

Connecticut bases its data collection on the AAMVA D.20 Standard and maintains a data dictionary. However, there are cases where the data dictionary falls short of fully describing Connecticut's data. For example, the field OH-VIO-COURT-TYPE is included in the data dictionary and 3 character court types are denoted in the data dictionary. However, there are no further details available to differentiate what LEC versus TRI means within that field.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 126:

Are all valid field values—including null codes—documented in the data dictionary?

Standard of Evidence:

Provide sample valid data field values from the data dictionary.

Question Rank:
Very Important

Assessor conclusions:

The data dictionary does not appropriately detail all fields and their values. For example, null fields are not denoted in the data dictionary and are possibly not supported by the driver system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 127:

Are there edit checks and data collection guidelines for each data element?

Standard of Evidence:

Provide an example edit check and data collection guideline.

Question Rank:
Very Important

Assessor conclusions:

The data dictionary, AAMVA D.20 manual, and a sample of additional data dictionary elements indicates field values and data descriptions, but does not detail the edit checks within the Connecticut system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 128:

Is there guidance on how and when to update the data dictionary?

Standard of Evidence:

Provide a narrative explanation of the controls and procedures that ensure the data dictionary is kept up to date.

Question Rank:
Very Important

Assessor conclusions:

Connecticut relies on their vendor Morpho Trust to update system documentation, as well as AAMVA's data dictionary D.20. Ideally, Connecticut would have processes in place that would trigger State-specific updates, such as field and edit check changes, or any necessary changes brought about through new legislation.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 129:

Does the custodial agency maintain accurate and up to date documentation detailing the licensing, permitting, and endorsement issuance procedures (manual and electronic, where applicable)?

Standard of Evidence:

Provide a process flow document for this specific process area, or provide a narrative explaining how these processes are documented and how that documentation is maintained. Include the percentage of reporting that is accomplished manually and electronically.

Question Rank:
Somewhat Important

Assessor conclusions:

Driver licensing standard operating procedures demonstrate that the State has policies and procedures that are available to all staff. The procedures are available to staff electronically.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 130:

Does the custodial agency maintain accurate and up to date documentation detailing the reporting and recording of relevant citations and convictions (manual and electronic, where applicable)?

Standard of Evidence:

Provide a process flow document for this specific process area, or provide a narrative explaining how these processes are documented and how that documentation is maintained. Include the percentage of reporting that is accomplished manually and electronically.

Question Rank:
Somewhat Important

Assessor conclusions:

The State maintains documentation that covers the types of applicable citations and the screens in the mainframe terminal that are used, but do not adequately cover how the data flows into the system. The reviewed table has the statute, description, relevant ACD code, duration of suspension if applicable, and program requirements (IID, ORP, Safety Seat Class, Work Permit, etc.). The Connecticut system utilizes this information, created by the users for its business logic processing, for those citations electronically reported and attributed to the correct operator. However, the documentation does not represent a process flow architecture that would assist someone who was not familiar with the system in understanding how the data flows throughout.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 131:

Does the custodial agency maintain accurate and up to date documentation detailing the reporting and recording of driver education and improvement course (manual and electronic, where applicable)?

Standard of Evidence:

Provide a process flow document for this specific process area, or provide a narrative explaining how these processes are documented and how that documentation is maintained. Include the percentage of reporting that is accomplished manually and electronically.

Question Rank:
Somewhat Important

Assessor conclusions:

Connecticut's process for recording and processing convictions and driver improvement courses are done manually on a daily basis.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 132:

Does the custodial agency maintain accurate and up to date documentation detailing the reporting and recording of other information that may result in a change of license status (manual and electronic, where applicable)?

Standard of Evidence:

Provide a process flow document for this specific process area, or provide a narrative explaining how these processes are documented and how that documentation is maintained. Include the percentage of reporting that is accomplished manually and electronically.

Question Rank:
Somewhat Important

Assessor conclusions:

The Connecticut DMV records all changes to a credential's status and supporting paperwork is scanned into the system as well.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 133:

Does the custodial agency maintain accurate and up to date documentation detailing any change in license status (e.g., sanctions, withdrawals, reinstatement, revocations, and restrictions)?

Standard of Evidence:

Provide a narrative or flow diagram describing the processes and procedures governing the actual change to the license status, including timelines for each type of change.

Question Rank:
Somewhat Important

Assessor conclusions:

The State has an audit log of any changes to driver status on the driver history record--capturing the change, date and time, and identity of the person who made the change.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 134:

Is there a process flow diagram that outlines the driver data system's key data process flows, including inputs from other data systems?

Standard of Evidence:

Provide the process flow diagram.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut DMV does not have a process flow diagram that outlines key process flows and inputs from other systems. Such diagrams, while time- and labor-intensive, also help the State to maintain a continuous improvement process by developing and periodically reviewing processes, to ensure that there are no inefficiencies in document processing. As time passes and technology changes, it is beneficial to review process flows in order to determine if improvements are possible. Review of process flows is also a great way to keep staff apprised of all processes, even those that are not commonly done.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 135:

Are the processes for error correction and error handling documented for: license, permit, and endorsement issuance; reporting and recording of relevant citations and convictions; reporting and recording of driver education and improvement courses; and reporting and recording of other information that may result in a change of license status?

Standard of Evidence:

Provide the documentation or flow diagram that describes the processes and procedures for error correction and error handling in each of the listed process areas.

Question Rank:
Somewhat Important

Assessor conclusions:

Documentation that covers the processes for error correction and error handling in Connecticut is maintained by the State. While that information is mostly procedural, it does cover a set of use cases for license, permit, and endorsement documentation.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 136:

Are there processes and procedures for purging data from the driver system documented?

Standard of Evidence:

Provide the documentation or flow diagram that describes the processes and procedures for purging data and the timelines for these actions.

Question Rank:
Somewhat Important

Assessor conclusions:

Although Connecticut does not purge data from its license files, it does follow the State DMV retention schedule and the related Statute.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 137:

In States that have the administrative authority to suspend licenses based on a DUI arrest independent of adjudication, are these processes documented?

Standard of Evidence:

Provide the documentation or flow diagram that describes the processes and procedures for administrative license suspension.

Question Rank:
Somewhat Important

Assessor conclusions:

Processes for handling of administrative sanctions for impaired driving are clearly documented.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 138:

Are there established processes to detect false identity licensure fraud?

Standard of Evidence:

Provide a narrative describing the systems or processes used to detect individuals attempting licensure under a new identity.

Question Rank:
Very Important

Assessor conclusions:

It is clear that an identity theft procedure has been developed and examiners are trained to detect fraudulent documents, but these processes are based on manual intervention. While manual detection is an important factor, automated, process-based detection is key to unearthing internal fraud issues. Ideally, programmatic measures would exist within the system to facilitate automated fraud detection measures.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 139:

Are there established processes to detect internal fraud by individual users or examiners?

Standard of Evidence:

Provide a narrative describing the systems or processes used to detect internal fraud by individual users or examiners.

Question Rank:
Very Important

Assessor conclusions:

Fraud detection is implemented at the branch level in Connecticut. The policies in place focus outwardly on applicant fraud and do not consider the potential for internal fraud. Ideally processes would be put in place in the future that also look inward at potential internal fraud issues. Additional procedures to prevent fraud are checks of data processing that occurs outside normal office hours, and hard-stops to prevent licensure without appropriate prerequisites, such as background checks for CDL hazmat endorsements. There are measures in place for internal branch-level auditing, but enterprise-wide measures should be implemented in the future.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 140:

Are the established processes to detect CDL fraud (including hazmat endorsements)?

Standard of Evidence:

Provide a narrative describing the systems or processes used to detect commercial driver's license fraud, including for hazmat endorsements.

Question Rank:
Very Important

Assessor conclusions:

Connecticut has outward facing CDL fraud detection processes that center around FMCSA and AAMVA training of its personnel and data sharing with neighboring States to prevent multi-state licensure by commercial drivers. They are also working to implement central issuance to further reduce fraud. It would be good though if Connecticut had an internally-facing fraud detection methodology whereby internal threats could be addressed. Central Issuance, targeted for 2017, will provide Connecticut with a centralized method of fraud detection. The benefit of central issuance is that any investigative processes or checks can be finalized before the license is mailed, and it ensures that, at the least, the address on the license is a valid address.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 141:

Are there policies and procedures for maintaining appropriate system and information security?

Standard of Evidence:

Provide copies of the relevant policies and procedure manuals.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut DMV has taken steps to ensure that the privacy of its customers is protected. The Social Security Administration audit helps the State to ensure that handling of this sensitive information is appropriate. However, documentation related to these matters was not available for review.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 142:

Are there procedures in place to ensure that driver system custodians track access and release of driver information adequately?

Standard of Evidence:

Provide copies of the relevant procedures or manuals.

Question Rank:
Very Important

Assessor conclusions:

Connecticut complies with the Driver Privacy Protection Act as well as entering into formal agreements with, and conducting audits of, its data users regarding release of driver records.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 143:

Can the State's crash system be linked to the driver system electronically?

Standard of Evidence:

Provide a narrative explanation of a State's linkage protocols that demonstrates how records in the crash system are linked to the driver record. Include identification of the linkage portal and the organization responsible for maintaining the link and the linking fields used.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut crash system is not linked with the DMV driver system. Back-end correlation of data takes place for analysis purposes, but no direct linkages exist between the systems.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 144:

Can the State's citation system be linked to the driver system electronically?

Standard of Evidence:

Provide a narrative explanation of a State's linkage protocols that demonstrates how records in the citation system are linked to the driver record. Include identification of the linkage portal and the organization responsible for maintaining the link and the linking fields used.

Question Rank:
Very Important

Assessor conclusions:

DMV court records and administrative actions at the State level are linked electronically. However, municipal citations from vendors are not received by that system and linked accordingly. No information about citations issued is provided to the DMV with the exception of those that immediately drive administration sanctions, such as DUI per se. If issuance of citations were reported to the DMV, the citation number (not the actual charge) could be placed on the driver history file to ensure that an appropriate disposition was later reported. Such links help to provide audit capabilities for ensuring that all citations issued actually get to the courts and that the courts report on each. It also provides the State with a means of tracking levels of dismissals of charges, or charges that were never filed by prosecutors due to errors by the issuing officers or prosecutorial discretion. This type of processing could provide the State with the infrastructure for a citation tracking system, which would help the State to ascertain the effectiveness of its education and enforcement programs, as well as shed light on any concerns with jurisdictional bias in the State's courts.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 145:

Can the State's adjudication system be linked to the driver system electronically?

Standard of Evidence:

Provide a narrative explanation of a State's linkage protocols that demonstrates how records in the adjudication system are linked to the driver record. Include identification of the linkage portal and the organization responsible for maintaining the link and the linking fields used.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut driver and adjudication systems are linked electronically for posting and reporting of convictions and administrative actions.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 146:

Is there an interface link between the driver system and: the Problem Driver Pointer System, the Commercial Driver Licensing System, the Social Security Online Verification system, and the Systematic Alien Verification for Entitlement system?

Standard of Evidence:

Provide a narrative description of the policy for checking the PDPS, CDLIS, SSOLV, and SAVE for licensing commercial and non-commercial drivers (both original issuances and renewals).

Question Rank:
Very Important

Assessor conclusions:

Prior to license issuance, Connecticut is required by law to check applicants against the Problem Driver Pointer System, the Commercial Driver Licensing System, the Social Security Online Verification system, and the Systematic Alien Verification for Entitlement system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 147:

Does the custodial agency have the capability to grant authorized law enforcement personnel access to information in the driver system?

Standard of Evidence:

Provide a narrative description of the protocols granting authorized law enforcement personnel access to information in the driver system.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut DMV provides its data to law enforcement via the Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT) system. It is unclear how the COLLECT system functions and what the protocols are for granting authorized law enforcement personnel access to information in the driver system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 148:

Does the custodial agency have the capability to grant authorized court personnel access to information in the driver system?

Standard of Evidence:

Provide a narrative description of the protocols granting authorized law enforcement personnel access to information in the driver system.

Question Rank:
Very Important

Assessor conclusions:

Access to driver data is provided to courts, prosecutors, and public defenders through Memoranda of Understanding with the DMV.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 149:

Does the custodial agency have the capability to grant authorized personnel from other States access to information in the driver system?

Standard of Evidence:

Provide a narrative description of the protocols granting authorized law enforcement personnel access to information in the driver system.

Question Rank:
Very Important

Assessor conclusions:

The National Law Enforcement Telecommunication System (NLETS) is the means by which other law enforcement agencies and other States access Connecticut driver history data. Additionally, some Connecticut data is housed in PDPS and CDLIS as required to be reported. Connecticut has Memoranda of Understanding with some federal entities for data access as well.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 150:

Is there a formal, comprehensive data quality management program for the driver system?

Standard of Evidence:

Provide a narrative description of the driver system's data quality management programs and the most recent data quality reports issued.

Question Rank:
Very Important

Assessor conclusions:

Connecticut does not have a formal, comprehensive data quality management program for the driver system. Connecticut utilizes external tools/resources to improve data quality, but they do not have a formalized management plan in regards to data quality.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 151:

Are there automated edit checks and validation rules to ensure entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks or validation rules ensure entered data falls within the range of acceptable values and is logically consistent between fields.

Question Rank:
Very Important

Assessor conclusions:

Connecticut has data validation and edit checks on some of the data fields within the driver system. A more comprehensive set of documentation is recommended though for the future.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 152:

Are there timeliness performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of driver system timeliness measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State is bound by certain time limits for processing changes and applying convictions to records. Such mandates are helpful, but are not measures. If a mandate is 10 days, it is still helpful to have a measure that reports whether the actual performance is 10 days, or if the State manages to exceed the mandate by processing in an average of three days, or perhaps misses the mark and has an average of 12 days. Mandates are excellent metrics for measures, but the actual measurements still need to be calculated. Such calculations are helpful to determine if staff is improving or to serve as a warning when performance is incrementally degrading. Ideally, timeliness performance measures would be in place for all system verticals to ensure uniform productivity and accountability.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 153:

Are there accuracy performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of driver system accuracy measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

While the DMV is audited for accuracy by several entities, the true test of system accuracy should be systemwide and calculated regularly. Accuracy measures can include: The percentage of driver records that have no errors in critical data elements, such as "date of birth," or The percentage of records on the State driver file with Social Security Numbers (SSN) successfully verified using Social Security Online Verification (SSOLV) or other means. The NHTSA publication "Model Performance Measures for State Traffic Records Systems" is the source of these examples.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 154:

Are there completeness performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of driver system completeness measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

The State has a set of requirements that would serve as the basis for a performance measure for completeness. The measure itself would need to be taken on a regular basis. The measure of completeness could be number of files with no critical elements missing and /or number of elements which contain "unknown" when unknown is not an appropriate response.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 155:

Are there uniformity performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of driver system uniformity measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

It is agreed that uniformity is based on the standardization required by our national systems. However, this is not a measure. The measure would be number of national guidelines with which the driver data file complies. This is a measure which would be easy to establish and maintain.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 156:

Are there integration performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of driver system integration measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Very Important

Assessor conclusions:

Integration measures generally indicate the number of traffic record component systems with which the driver file is linked or integrated -- such as Crash, Citation, Adjudication, Vehicle, Injury Surveillance, etc. The State has some integration and links between systems, which are easily measured and noted in a performance measure and metrics.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 157:

Are there accessibility performance measures tailored to the needs of data managers and data users?

Standard of Evidence:

Provide a complete list of driver system accessibility measures the State uses, including the most current baseline and actual values for each.

Question Rank:
Somewhat Important

Assessor conclusions:

Accessibility measures are limited for the driver data, which is protected by the Driver Privacy Protection Act. However, there are many authorized uses and users. An easy measure of accessibility is the number of requests for aggregate driver data that are fulfilled by the DMV. It's a simple measure to establish and maintain, in that the time frame for delivery of the requested data could be used as a goal and any rise in the number of requests could provide support for the need for additional resources when those numbers are significant.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 158:

Has the state established numeric goals—performance metrics—for each performance measure?

Standard of Evidence:

Provide the specific, State-determined numeric goals associated with each performance measure in use.

Question Rank:
Very Important

Assessor conclusions:

No metrics have been established for performance measures related to driver data.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 159:

Is the detection of high frequency errors used to generate updates to training content and data collection manuals, update the validation rules, and prompt form revisions?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to generate new training content and data collection manuals, update the validation rules, and prompt revisions.

Question Rank:
Very Important

Assessor conclusions:

The State would benefit by developing a procedure for addressing these errors, including ensuring that all reported errors are recorded and addressed. Certain types of errors might require changes to training, others to forms, or to the IT system or the procedure manual. The State should have a documented means of determining when errors must be addressed in some way due to their frequency.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 160:

Are independent sample-based audits conducted periodically for the driver reports and related database contents for that record?

Standard of Evidence:

Describe the formal audit methodology, provide a sample report or other output, and specify the audits' frequency.

Question Rank:
Somewhat Important

Assessor conclusions:

Specific types of driver data are audited on a regular basis by any number of entities, which can be helpful to the DMV management. In this instance, independent audits are not meant as 3rd-party audits, but random audits outside the normal DMV procedures. Additionally, such audits should address all driver types. An example might be a monthly or semi-annual selection of 100 random drivers whose records are audited for errors or omissions.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 161:

Are periodic comparative and trend analyses used to identify unexplained differences in the data across years and jurisdictions?

Standard of Evidence:

Describe the analyses, provide a sample report or other output, and specify the analyses' frequency.

Question Rank:
Very Important

Assessor conclusions:

Trend analyses, particularly of driver data, help those in the State who perform problem ID to understand the changing demographics of the driving population, as relates to age, training, types of endorsements, license status changes, etc. They can also occasionally point out internal fraud if a certain office or examiner tends to have an unusual number of a single type of transaction.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 162:

Is data quality feedback from key users regularly communicated to data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform changes.

Question Rank:
Somewhat Important

Assessor conclusions:

While it is clear that errors are reported to IT, errors can be initiated in many ways and feedback should be provided to those who would benefit from the reporting, particularly, those inputting the incorrect data into the system. Ideally, processes and procedures would be in place that provide data quality feedback mechanisms for all aspects of motor vehicle data.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 163:

Are data quality management reports provided to the TRCC for regular review?

Standard of Evidence:

Provide a sample quality management report and specify how frequently they are issued to the TRCC.

Question Rank:
Very Important

Assessor conclusions:

Connecticut does not provide driver system data quality management reports to the TRCC for regular review. The driver data should be monitored and performance recorded. When this information is reported at the TRCC, it can generate projects that may be undertaken with grant funding and discussions with groups who depend on driver data for program management, such as impaired driving, occupant protection, etc.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Roadway

The Connecticut Department of Transportation (CTDOT) is the agency responsible for collecting and maintaining the roadway information system for the State. The CTDOT maintains 4,466 miles of State-owned highways and ramps. This mileage represents roughly 21% of the 21,512 miles of road in Connecticut.

Roadway and traffic data elements have historically been maintained through a non-geospatial linear referencing system (LRS) known as the Roadway Information System (RIS). The new geospatial LRS effort has integrated the RIS data through Bentley's EXOR product into the CTDOT-maintained Transportation Enterprise Database (TED). Through TED/EXOR, the CTDOT maintains data on all 21,512 miles of road. This system also enables linkages between road and traffic data, the bridge information system, the project document management system, and others. As the information is maintained by the CTDOT, all data, including locally submitted data, goes through a quality control process to insure the information is complete, accurate, and up-to-date before being added.

CTDOT maintains a data dictionary for all data elements within the RIS, including the MIRE Fundamental Data Elements (FDEs). Many MIRE FDEs are documented, but not all. Due to an ongoing transition to a geospatial LRS, CTDOT is developing plans to incorporate the MIRE FDEs and non-FDEs. A formal procedure to ensure the data dictionary is kept up-to-date is described in draft documentation for formalization of this procedure. The State indicates that a formalized procedure for updates will be developed by a planned future data governance committee.

Crash data is not directly integrated within RIS except by using RIS route/road and milepoints to assign crash location. Crash data within TED are located on the geospatial LRS primarily for visual analysis. However, road and traffic data are integrated with crash data outside the roadway data system and used to develop safety analysis and safety management tools including a crash visualization tree, a collision diagram tool, and updates to the network screening tool. Additionally, in partnership with the University of Connecticut (UCONN), CTDOT is developing web-based analysis tools that contain both crash and road data. This development transfers the roadway data to UCONN for integration with the crash data and currently is not incorporated back into the enterprise data system

Opportunities

The CTDOT is undergoing an extensive update to their enterprise data management system. A large portion of this update involves transitioning their legacy roadway data system from a non-geospatial LRS to a geospatial LRS. This provides CTDOT an unusual opportunity to incorporate and integrate all of their data systems and build a system that will serve future data management and analysis needs. CTDOT should leverage this opportunity to be inclusive, identify broad partner and customer needs, and establish long-lasting partnerships.

As part of this update, the CTDOT should build on their data entry quality control processes by establishing a spectrum of performance measures. This could include a formal process of assessing roadway data quality (timeliness, accuracy, completeness, uniformity, accessibility,

and integration) by utilizing performance management information available in NHTSA's, "Model Performance Measures for State Traffic Records Systems". Additional information is also available in a follow-up document published by FHWA titled, "Performance Measures for Roadway Inventory Data".

Question 164:

Are all public roadways within the State located using a compatible location referencing system?

Standard of Evidence:

Provide a map displaying all public roads that represents the system's statewide capabilities. Identify what percentage of the public road system is State owned or maintained. Explain whether the State uses a single compatible location referencing system for all public roads or if it has a set of compatible location referencing systems. Prior reports are acceptable.

Question Rank:
Very Important

Assessor conclusions:

The State has two compatible location referencing systems (LRS). The older of the two is a non-geospatial LRS utilizing route or road IDs. The newer system (EXOR) is a geospatial LRS. The two systems are adjusted so that the segment and mileposts match. Roughly 21% of these public roads are owned/maintained by the State.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 165:

Are the roadway and traffic data elements located using a compatible location referencing system (e.g., LRS, GIS)?

Standard of Evidence:

Provide a map displaying roadway features and traffic volume (FDEs) for all public roads (State and non-State routes) that is representative of the system's statewide capabilities. Explain whether the State uses a single compatible location referencing system for all public roads or if it has a set of compatible location referencing systems. Prior reports are acceptable.

Question Rank:
Very Important

Assessor conclusions:

The State has compatible location referencing systems for both the roadway and traffic data elements. The systems are updateable and expandable for adding new data and elements. The State has developed a new geospatial LRS that has been integrating the roadway and traffic data elements.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 166:

Is there an enterprise roadway information system containing roadway and traffic data elements for all public roads?

Standard of Evidence:

Describe the enterprise roadway information system, which should enable linking between the various roadway information systems including: roadway, traffic, location reference, bridge, and pavement data.

Question Rank:
Very Important

Assessor conclusions:

The State has an enterprise roadway information system that contains data for roadway and traffic elements for all state and public roads. They have linkages for the roadway network features and assets; bridge/structures management; traffic signal database; and other information.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 167:

Does the State have the ability to identify crash locations using a referencing system compatible with the one(s) used for roadways?

Standard of Evidence:

Provide a map displaying crash locations on all public roads that is representative of the system's statewide capabilities. Explain whether the State uses a single compatible location referencing system for crash, roadway features, and traffic volume on all public roads or if it has a set of compatible location referencing systems. Prior reports are acceptable.

Question Rank:
Very Important

Assessor conclusions:

The State locates crashes using the old, non-geospatial LRS route/road and milepoint data which is compatible with the LRS for roadway and traffic data.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 168:

Is crash data incorporated into the enterprise roadway information system for safety analysis and management use?

Standard of Evidence:

Describe how the crash data is incorporated into the enterprise roadway information system and provide an example of how it is used for safety analysis.

Question Rank:
Very Important

Assessor conclusions:

The State has uploaded snapshots of the crash database into their enterprise roadway data system. This primarily enables visual analysis but is not used for safety analysis. However, safety analysis and management involving roadway data is managed via the crash enterprise system with the road data incorporated into safety analyses and safety analysis tools. The State is making progress towards a more integrated system and is working towards producing new tools to use for safety analysis which include a crash visualization tree and a collision diagram tool. This development involves transferring the roadway data to the University of Connecticut (UCONN) to be integrated with the crash data.

Respondents assigned	6	Responses received	3	Response rate	50%

Question 169:

Are all the MIRE Fundamental Data Elements collected for all public roads?

Standard of Evidence:

Provide a list of FDEs collected and their definitions. Specify if the data collected is for all public roads or State roads only. If the State wishes to cite the data dictionary directly, please identify the FDEs.

Question Rank:
Somewhat Important

Assessor conclusions:

The State collects a substantial portion of the MIRE FDEs for all public roadways and has identified those that are collected in full, partial, and no compliance with MIRE. The State maintains information on which definitions they used, which were slightly different than those of MIRE. The State is developing a plan to comply with requirements which will be included in the 2017 Traffic Records Strategic Plan.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 170:

Do all additional collected data elements for any public roads conform to the data elements included in MIRE?

Standard of Evidence:

Provide a list of additional MIRE data elements collected beyond the FDEs. Specify if the data elements are collected for all public roads or State roads only.

Question Rank:
Somewhat Important

Assessor conclusions:

The additional elements collected by the State do not necessarily conform to MIRE elements. However, the State has identified limitations and is in the process of developing a plan for additional data element collection which would include a MIRE attribute category.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 171:

Are all the MIRE Fundamental Data Elements for all public roads documented in the enterprise system's data dictionary?

Standard of Evidence:

Identify, with appropriate citations, the MIRE FDE-related contents of the enterprise system's data dictionary. Specify if the data dictionary applies to all public roads or to State roads only.

Question Rank:
Somewhat Important

Assessor conclusions:

The current road enterprise data system dictionary for the State contains documentation for many MIRE FDE elements, but not all. For example, the State does not have all the MIRE FDE information for intersections and interchanges and are working towards completion of MIRE FDEs related to segment length. Also, the State is developing a plan to collect additional MIRE elements and develop documentation within the data dictionary. The State specifically mentions efforts related to identification of the data attribution needs of intersections and interchanges.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 172:

Are all additional (non-Fundamental Data Element) MIRE data elements for all public roads documented in the data dictionary?

Standard of Evidence:

Identify, with appropriate citations, the additional (non-FDE) MIRE data elements included in the data dictionary. Specify if the data dictionary applies to all public roads or to State roads only.

Question Rank:
Somewhat Important

Assessor conclusions:

The State documents additional MIRE elements in their Roadway Inventory System (RIS). Additionally, plans are in process to develop collection techniques and data dictionaries for further non-MIRE FDEs.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 173:

Does roadway data imported from local or municipal sources comply with the data dictionary?

Standard of Evidence:

Provide a narrative statement explaining, how and if any roadway data are accepted and included in the statewide roadway database from local or municipal sources. Describe if the data from local or municipal sources meet the data dictionary standards.

Question Rank:
Very Important

Assessor conclusions:

The State does not import data from locals directly; however, the State does receive information from locals and the data is entered in a manner consistent with the enterprise data system. The State has a vision related to future direct importation of local data.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 174:

Is there guidance on how and when to update the data dictionary?

Standard of Evidence:

Provide a narrative explanation of the controls and procedures that ensure the data dictionary is kept up to date.

Question Rank:
Very Important

Assessor conclusions:

The State has indicated that there is guidance within the Roadway Inventory Section (RIS) on how and when to update the data dictionary and the RIS. The steps followed are clear; however, it will be formalized in the future with the establishment of a data governance committee.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 175:

Are the steps for incorporating new elements into the roadway information system (e.g., a new MIRE element) documented to show the flow of information?

Standard of Evidence:

Provide documentation or a narrative explaining the process for adding new data elements (e.g., a new MIRE element) to the roadway system. Identify who is responsible for each step in the process.

Question Rank:
Very Important

Assessor conclusions:

The State has developed an asset readiness form that outlines necessary considerations and documents potential information flow related to collection, use, and maintenance of an asset. However, this form is under development and currently in draft form.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 176:

Are the steps for updating roadway information documented to show the flow of information?

Standard of Evidence:

Provide documentation or a narrative explaining the process for updating data elements in the roadway system. Identify who is responsible for each step in the process.

Question Rank:
Very Important

Assessor conclusions:

The State has a process for updating roadway information that is documented and identifies responsible parties. The process is undergoing evaluation.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 177:

Are the steps for archiving and accessing historical roadway inventory documented?

Standard of Evidence:

Provide documentation or a narrative explaining the process of archiving and accessing historical roadway data. Identify who is responsible for each step in the process.

Question Rank:
Somewhat Important

Assessor conclusions:

The State documents the steps for archiving and accessing historical roadway inventory as part of the functionality of the new geospatial LRS. Modified or deleted data is provided an end date which sets the date for the activity. Annually the Roadway Information Systems (RIS) personnel create a snapshot of the database. They have the means to access the historical data by selecting the appropriate year's schema.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 178:

Are the procedures that local agencies (e.g., county, MPO, municipality) use to collect, manage, and submit roadway data to the statewide inventory documented?

Standard of Evidence:

Provide documentation or a narrative explaining the local agency procedures for collecting, managing, and submitting data to the State roadway inventory. Identify who is responsible for each step in the process.

Question Rank:
Somewhat Important

Assessor conclusions:

The limited amount of data that local agencies are asked to collect have a defined process that is well documented.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 179:

Are local agency procedures for collecting and managing the roadway data compatible with the State's enterprise roadway inventory?

Standard of Evidence:

Provide official documentation or a narrative explanation of how compatibility between local data systems and the State roadway inventory is achieved. Identify who is responsible for each step in the process.

Question Rank:
Very Important

Assessor conclusions:

Most local roadway data is collected by State personnel; thus, the collection system is extremely similar to that for the State roadway data and compatibility is ensured.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 180:

Are there guidelines for collection of data elements as they are described in the State roadway inventory data dictionary?

Standard of Evidence:

Provide the guidelines and cite an example of data collection pursuant to the data dictionary.

Question Rank:
Very Important

Assessor conclusions:

The State has a field collection manual with guidelines for collecting roadway elements for the non-geospatial LRS.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 181:

Are the location coding methodologies for all State roadway information systems compatible?

Standard of Evidence:

Describe the location referencing system and the information systems that use it. If there is more than one location referencing system in use, list each and the associated systems.

Question Rank:
Very Important

Assessor conclusions:

The State has multiple coding methodologies, but indicates that all are compatible and convertible. The State has listed the methods used, but not which systems are using it. They are working on collecting the information on which systems are using which methods.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 182:

Are there interface linkages connecting the State's discrete roadway information systems?

Standard of Evidence:

Provide a narrative that describes the interface links connecting the State's roadway information systems. Provide the result of a single query (e.g., table, view) that includes both roadway features and traffic data for a segment of road.

Question Rank:
Very Important

Assessor conclusions:

The State has interface linkages through their enterprise database system that connect the various discrete roadway information systems, making them able to be queried through their Transportation Intelligence Gateway (TIG).

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 183:

Are the location coding methodologies for all regional and local roadway systems compatible?

Standard of Evidence:

Provide a narrative describing the location referencing system and the associated regional and local roadway systems. If there is more than one location referencing system in use, list each and the associated regional and local systems.

Question Rank:
Somewhat Important

Assessor conclusions:

The majority of information is collected and maintained by the Roadway Inventory Section and therefore the methodologies are compatible. However, individual asset data may have a particular coding methodology, but it is compatible with the State LRS. These methods included GPS coordinates which were snapped to a route and milepoint for storage.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 184:

Do roadway data systems maintained by regional and local custodians (e.g., MPOs, municipalities) interface with the State enterprise roadway information system?

Standard of Evidence:

Provide a narrative that describes the interface links connecting the regional or local roadway information systems to the State's enterprise roadway information system. Provide the result of a single query (e.g., table, view) that includes both roadway features and traffic data for a local road segment.

Question Rank:
Somewhat Important

Assessor conclusions:

The State maintains the local roadway system data within the State enterprise data system; thus, in that sense, an interface occurs naturally. However, other roadway systems that are collected and maintained by local and regional custodians do not interface with the State enterprise roadway data system.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 185:

Does the State enterprise roadway information system allow MPOs and local transportation agencies on-demand access to data?

Standard of Evidence:

Provide a narrative that describes the system or process that enables localities to query the data system.

Question Rank:
Somewhat Important

Assessor conclusions:

The State provides on-demand access to some Roadway Information System data through several mechanisms. One of these mechanisms is a website with links to the data and publicly available. Another is via the State Crash Data Repository (CDR) system. The State has efforts underway to explore the expansion of on-demand access.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 186:

Do Roadway system data managers regularly produce and analyze data quality reports?

Standard of Evidence:

Provide a sample report and specify the release schedule for the reports.

Question Rank:
Very Important

Assessor conclusions:

The State has several mechanisms which produce quality reports for analysis, both annual and those run throughout the year.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 187:

Is the overall quality of information in the Roadway system dependent on a formal program of error/edit checking as data is entered into the statewide system?

Standard of Evidence:

Describe the formal program of error/edit checking, to include specific procedures for both automated and manual processes.

Question Rank:
Very Important

Assessor conclusions:

The State has an extensive quality assessment and error/edit checking system with various levels of checks at data entry and later.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 188:

Are there procedures for prioritizing and addressing detected errors?

Standard of Evidence:

Describe the procedures for prioritizing and addressing detected errors in both automated and manual processes. Please specify where these procedures are formally documented.

Question Rank:
Very Important

Assessor conclusions:

Detected errors are addressed and prioritized for the manual process based upon the development needs. Critical errors, those that would prevent further development, are addressed immediately while non-critical errors are a lower priority and are addressed through communication between the Department of Transportation (CTDOT) personnel and the software vendor's development team. However, the process for prioritizing and addressing errors in the new geospatial LRS is still under development.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 189:

Are there procedures for sharing quality control information with data collectors through individual and agency-level feedback and training?

Standard of Evidence:

Describe all the procedures used for sharing quality control information with data collectors.

Question Rank:
Very Important

Assessor conclusions:

The State has several mechanisms for sharing quality control information with data collectors. However, training in how to use the LRS management software has reached only limited users. Quality control checks of outside data are done and spreadsheets are produced to identify gaps or obvious errors. Plans to expand the user base exist.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 190:

Is there a set of established performance measures for the timeliness of the State enterprise roadway information system?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State appears to acknowledge the lack of timeliness performance measures. However, the State indicates that performance measures will be developed with development of the new geospatial LRS. The information is being collected, but is not yet available.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 191:

Is there a set of established performance measures for the timeliness of the roadway data maintained by regional and local custodians (municipalities, MPOs, etc.)?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Somewhat Important

Assessor conclusions:

The State appears to acknowledge the lack of timeliness performance measures and notes that the data to calculate performance measures exists, but is not utilized for that purpose. However, the State indicates that performance measures will be developed with development of the new geospatial LRS.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 192:

Is there a set of established performance measures for the accuracy of the State enterprise roadway information system?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State appears to acknowledge that though some accuracy performance measures exist, primarily related to the requirement for 0 errors/100% accuracy, more could be developed. The requirement for 100% accuracy, though a laudable goal, is not a measure of the performance of meeting that goal. The State indicates that performance measures will be developed with development of the new geospatial LRS.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 193:

Is there a set of established performance measures for the accuracy of the roadway data maintained by regional and local custodians (municipalities, MPOs, etc.)?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Somewhat Important

Assessor conclusions:

The State appears to acknowledge that, though limited accuracy performance measures exist related to acceptance of 0 errors, more could be developed. The requirement for 100% accuracy, though a laudable goal, is not a measure of the performance of meeting that goal. However, the State indicates that performance measures will be developed with development of the new geospatial LRS.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 194:

Is there a set of established performance measures for the completeness of the State enterprise roadway information system?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State has completeness performance measures related to the percentage of public road system geospatially located in the new LRS by comparison against the non-geospatial LRS. However, further performance measures will be developed with development of the new geospatial LRS. The State offered additional completeness performance measures; however, though this is laudable, these measures do not seem established.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 195:

Is there a set of established performance measures for the completeness of the roadway data maintained by regional and local custodians (municipalities, MPOs, etc.)?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Somewhat Important

Assessor conclusions:

The State has completeness performance measures related to the percentage of public road system geospatially located in the new LRS by comparison against the non-geospatial LRS. However, further performance measures will be developed with development of the new geospatial LRS.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 196:

Is there a set of established performance measures for the uniformity of the State enterprise roadway information system?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State tracks MIRE FDE compliance as a measure of uniformity. The State included the percentage of State miles that have 31 of the 37 MIRE FDEs, the additional FDEs that are compliant, and the MIRE FDEs that are not collected. Additional performance measures related to uniformity are being considered and under development.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 197:

Is there a set of established performance measures for the uniformity of the roadway data maintained by regional and local custodians (municipalities, MPOs, etc.)?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Somewhat Important

Assessor conclusions:

The State tracks MIRE FDE compliance as a measure of uniformity for the local roadway data system as part of the inclusion into the State enterprise data system. Additional performance measures related to uniformity are being considered and under development.

Respondents assigned	4	Responses received	1	Response rate	25%

Question 198:

Is there a set of established performance measures for the accessibility of State enterprise roadway information systems?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State appears to acknowledge the lack of accessibility performance measures. However, performance measures will be developed with development of the new geospatial LRS.

Respondents assigned	5	Responses received	2	Response rate	40%

Question 199:

Is there a set of established performance measures for the accessibility of the roadway data maintained by regional and local custodians (municipalities, MPOs, etc.)?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Somewhat Important

Assessor conclusions:

The State appears to acknowledge the lack of accessibility performance measures. However, performance measures will be developed with development of the new geospatial LRS.

Respondents assigned	5	Responses received	2	Response rate	40%

Question 200:

Is there a set of established performance measures for the integration of State enterprise roadway information systems and other critical data systems?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State appears to acknowledge the lack of integration performance measures. However, performance measures will be developed with development of the new geospatial LRS. While a small subset of the roadway elements are integrated with the crash system, there are no established performance measures.

Respondents assigned	5	Responses received	2	Response rate	40%

Question 201:

Is there a set of established performance measures for the integration of the roadway data maintained by regional and local custodians (municipalities, MPOs, etc.) and other critical data systems?

Standard of Evidence:

Provide the metrics used.

Question Rank:
Very Important

Assessor conclusions:

The State appears to acknowledge the lack of integration performance measures. However, performance measures will be developed with development of the new geospatial LRS. The State indicates that a small number of roadway elements are integrated with the crash system, but offers no performance measures.

Respondents assigned	4	Responses received	2	Response rate	50%

Citation / Adjudication

Connecticut has a unified court system and all court systems are interoperable. The system utilized by the Court is considered the statewide data system for citation and adjudication data. The Department of Motor Vehicles (DMV) only receives dispositions where an infraction must be entered on the driver or vehicle file. The central authority for distributing unique citation numbers is also a bureau under the Judicial Branch of the State.

A DUI tracking system is not present in Connecticut. There is no central repository for tracking a DUI citation from the time it is issued through to disposition. Without the ability to track citations for DUI offenses to this level, it makes it more difficult to determine problem areas not only in specific geographic areas for enforcement and education, but also within adjudicating DUI offenses. When a DUI tracking system is in place, metrics and measures can be monitored more efficiently. When implementing a DUI tracking system, the State should consider the appropriate location to have this type of a system. Although the Court is the State's data system, a DUI tracking system may not belong under the Court as the system should contain other information not under the purview of the Court. When considering a DUI tracking system, elements of MIDRIS, such as treatment tracking and sanctions imposed, should be included.

Standards are present within the State. The Courts are utilizing NIEM when any data is transferred as XML; however, it was unclear whether all data from the court is in XML. Functional requirements for traffic court case management and National Center for State Courts guidelines are followed within the State. Using standards as Connecticut has allows easier integration, interfacing, and sharing of data throughout other systems. Other personnel can also consume the data easily when standards are followed.

Although standards are being used in many of the citation and adjudication systems, there are few interfaces and linkages with different systems within the State. When looking at interfaces, other components such as crash files and roadway data assists with making better informed decisions. The decisions can be related to enforcement efforts or even roadway design. Using the adjudication data in conjunction with other traffic records systems also allows for analysis to better respond to trends and identify problem areas throughout the State.

Data dictionaries are not present for the citation and adjudication systems. Data dictionaries assist with knowing what data is available. Each traffic records system should have a data dictionary to not only include the specific fields that exist, but the elements that are linked to other systems and data types. The data dictionaries should be made available for key stakeholders within the State to promote the integration and linking of citation and adjudication data to other traffic safety systems. With data dictionaries, the State can identify duplication of efforts and begin to use the data collected more efficiently.

There are few performance measures reported within Connecticut. With performance measures in place, the State will be able to identify and mitigate degradation of system processes. Performance measures will help identify areas of improvement across multiple system interfaces. These measures are meant to assist in decision-making, resource allocation, and system performance. They are not meant to determine how fast data is received from other sources or

evaluate outside agency performance, but to evaluate the internal processes of the specific system and how it may relate to other traffic records systems. Performance measures should not be mistaken for processes and workflow of the data within the system. Statutes in place or validation rules within the systems are not considered performance measures. Performance measures should be quantifiable with the ability to set a baseline and monitor changes within. This will not only assist with determining the system components that may need improvement, but also the improvements a system has made within the process. This will then assist in maintaining the highest standard possible for the systems which meet or exceed the performance measures that are monitored.

Question 202:

Is there a statewide system that provides real-time information on individuals' driving and criminal histories?

Standard of Evidence:

Provide a narrative description of the statewide system that provides realtime information on individuals' driving and criminal histories.

Question Rank:
Very Important

Assessor conclusions:

The State utilizes a system called Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT) giving authorized users access to criminal and driving histories.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 203:

Do all law enforcement agencies, parole agencies, probation agencies, and courts within the State participate in and have access to a system providing real-time information on individuals driving and criminal histories?

Standard of Evidence:

Name the groups that have real time access and describe the system that these agencies use to access driver or criminal histories, i.e., police dispatch, direct system access, telephone help desk.

Question Rank:
Very Important

Assessor conclusions:

COLLECT is available to law enforcement, parole, probation, and courts to gain real-time access to driving and criminal histories.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 204:

Is there a statewide authority that assigns unique citation numbers?

Standard of Evidence:

Identify the agency responsible and describe the protocols used to generate and assign unique citation numbers. Provide a copy of the relevant statute or gubernatorial order.

Question Rank:
Very Important

Assessor conclusions:
The Centralized Infractions Bureau is responsible for issuing citation numbers who fall under the authority of the Judicial Branch within the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 205:

Are all citation dispositions—both within and outside the judicial branch—tracked by the statewide data system?

Standard of Evidence:

If a statewide data tracking system exists, describe the means by which citation dispositions are transmitted and posted. If the system is the driver history file, note if deferrals or dismissals are posted. If the statewide system is managed through the courts, indicate whether all courts that handle traffic violations report to the same tracking system.

Question Rank:
Somewhat Important

Assessor conclusions:
The Court system is considered the statewide data system. All citations and dispositions are processed within one statewide court system. Dispositions of guilty are sent to the Department of Motor Vehicles (DMV) for inclusion on the driver file, but the statewide data system is considered to be with the Court.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 206:

Are final dispositions (up to and including the resolution of any appeals) posted to the driver data system?

Standard of Evidence:

Provide a flow chart or audit report documenting how all types of dispositions are posted to the driver file.

Question Rank:
Somewhat Important

Assessor conclusions:

The DMV receives dispositions where action can be taken based off the disposition. Any not guilty disposition is not forwarded to the DMV.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 207:

Are the courts' case management systems interoperable among all jurisdictions within the State (including local, municipal and State)?

Standard of Evidence:

Provide the number of case management systems in use in the State and detail which are interoperable. Indicate if the State has a unified judicial system and if municipal or other local level courts share the same case management system.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut Judicial Branch has a unified court that uses one system for all courts within the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 208:

Is citation and adjudication data used for traffic safety analysis to identify problem locations, areas, problem drivers, and issues related to the issuance of citations, prosecution of offenders, and adjudication of cases by courts?

Standard of Evidence:

Provide an example analysis and describe the policy or enforcement actions taken as a result.

Question Rank:
Very Important

Assessor conclusions:

The utilization of collected data for targeted enforcement and other traffic safety analysis is left up to individual agencies. Although data is available, there is no evidence that citation data is used on a regular basis for traffic safety analysis.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 209:

Do the appropriate components of the citation and adjudication systems adhere to the National Crime Information Center (NCIC) data guidelines?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the NCIC guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Less Important

Assessor conclusions:

The COLLECT system used in the State follows NCIC guidelines.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 210:

Do the appropriate portions of the citation and adjudication systems adhere to the Uniform Crime Reporting (UCR) Program guidelines?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the UCR program guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

Traffic data is not reported through UCR data. No part of the State system utilizes any UCR guidelines.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 211:

Do the appropriate portions of the citation and adjudication systems adhere to the National Incident-Based Reporting System (NIBRS) guidelines?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the NIBRS guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

NIBRS guidelines are not used within the citation or adjudication systems.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 212:

Do the appropriate portions of the citation and adjudication systems adhere to the National Law Enforcement Telecommunications System (NLETS) guidelines?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the NLETS guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

The COLLECT system utilized within the State meets NLETS guidelines.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 213:

Do the appropriate portions of the citation and adjudication systems adhere to the National Law Enforcement Information Network (LEIN) guidelines?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the LEIN guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

This specific guideline relates to a Michigan-based system. Other states will not utilize this standard.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 214:

Do the appropriate portions of the citation and adjudication systems adhere to the Functional Requirement Standards for Traffic Court Case Management?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the Functional Requirement Standards for Traffic Court Case Management. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

Appropriate portions of the citation and adjudication systems adhere to the Functional Requirement Standards for Traffic Court Case Management.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 215:

Do the appropriate portions of the citation and adjudication systems adhere to the NIEM Justice domain guidelines?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to the NIEM Justice domain guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

Info in XML is NIEM-compliant, but there is no indication that all information is transmitted to and from the court in XML.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 216:

Does the State use the National Center for State Courts guidelines for court records?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to NCSC guidelines for court records. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

National Center for State Courts guidelines are used within the court records system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 217:

Does the State use the Global Justice Reference Architecture (GRA)?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to GRA guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

Global Justice Reference Architecture is not utilized within the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 218:

Does the State have an impaired driving data tracking system that meets the specifications of NHTSA's Model Impaired Driving Records Information System (MIDRIS)?

Standard of Evidence:

Provide a narrative statement detailing the systems and their adherence to MIDRIS guidelines. If not, specify if a comparable guideline is being used.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no impaired driving system within the State that meets MIDRIS standards.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 219:

Does the citation system have a data dictionary?

Standard of Evidence:

Provide the data dictionary for the Statewide citation tracking system if one exists. If not, provide the data dictionary for the most widely used court case management system.

Question Rank:
Very Important

Assessor conclusions:

There is no data dictionary available for the citation system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 220:

Do the citation data dictionaries clearly define all data fields?

Standard of Evidence:

If a statewide citation tracking system exists, does its data dictionary clearly define all data fields. If there are two or more repositories of citation data, provide data dictionaries for the two largest. NOTE: This response does not require data dictionaries from individual law enforcement agencies that track their own citations—it refers to a statewide system or one used by multiple agencies.

Question Rank:
Very Important

Assessor conclusions:
There is no data dictionary for the citation system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 221:

Are the citation system data dictionaries up to date and consistent with the field data collection manual, training materials, coding manuals, and corresponding reports?

Standard of Evidence:

Provide a narrative describing the process—including timelines and the summary of changes—used to ensure uniformity in the field data collection manuals, training materials, coding manuals, and corresponding reports.

Question Rank:
Very Important

Assessor conclusions:
There is no citation system data dictionary.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 222:

Do the citation data dictionaries indicate the data fields that are populated through interface linkages with other traffic records system components?

Standard of Evidence:

Provide a list of data fields populated through interface linkages with other traffic records system components.

Question Rank:
Very Important

Assessor conclusions:

There is no citation system data dictionary.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 223:

Do the courts' case management system data dictionaries provide a definition for each data field?

Standard of Evidence:

Provide a list of Case Management Systems used by both State and local level courts and note if a data dictionary is available for each one. Provide a data dictionary for one State, one county/district, and one local (municipal) court if they do not use the same case management systems.

Question Rank:
Very Important

Assessor conclusions:

There is no case management data dictionary.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 224:

Do the courts' case management system data dictionaries clearly define all data fields?

Standard of Evidence:

Use the data dictionaries provided in response to Question 223.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no case management data dictionary.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 225:

Do the courts' case management system data dictionaries indicate the data fields populated through interface linkages with other traffic records system components?

Standard of Evidence:

Provide a list of data fields populated through interface linkages with other traffic records system components.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no case management data dictionary.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 226:

Do the prosecutors' information systems have data dictionaries?

Standard of Evidence:

Provide a data dictionary for the State prosecutors' office (State level courts that handle the most traffic violations). Indicate whether local prosecutors (cities, counties) have one or numerous types of data systems.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no case management data dictionary. There is no different system for the prosecutors within the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 227:

Can the State track citations from point of issuance to posting on the driver file?

Standard of Evidence:

Provide a flow diagram documenting citation lifecycle process that identifies key stakeholders. Ensure that alternative flows are included (e.g., manual and electronic submission).

Question Rank:
Very Important

Assessor conclusions:

The State can track the citations from issuance to an agency through to final disposition. The documented flow diagram is incomplete because it only describes the electronic process.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 228:

Does the State measure compliance with the process outlined in the citation lifecycle flow chart?

Standard of Evidence:

Provide a narrative describing how the State measures compliance with the citation lifecycle process specified in the flow chart. If there are official guidance documents, provide them.

Question Rank:
Somewhat Important

Assessor conclusions:

The State indicated citation lifecycle process compliance measurements exist, but details were not available.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 229:

Is the State able to track DUI citations?

Standard of Evidence:

Provide a flow chart that documents the criminal and administrative DUI processes, identifies all key stakeholders, and includes disposition per the criminal and administrative charges.

Question Rank:
Very Important

Assessor conclusions:
There is no flowchart that documents the process, although it was reported that DUI citations can be tracked.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 230:

Does the DUI tracking system include BAC and any drug testing results?

Standard of Evidence:

If no statewide DUI tracking system is in place, indicate whether the driver history record contains the BAC test results.

Question Rank:
Very Important

Assessor conclusions:
There is no indication that BAC or drug testing results are captured within a DUI tracking system.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 231:

Does the State have a system for tracking administrative driver penalties and sanctions?

Standard of Evidence:

Provide a narrative describing the protocol for reporting (posting) the penalty and/or sanction to the driver and/or vehicle file.

Question Rank:
Very Important

Assessor conclusions:
There is a system to track administrative penalties, but there was no information available describing the protocols.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 232:

Does the State have a system for tracking traffic citations for juvenile offenders?

Standard of Evidence:

Provide a flow chart that documents the processing of juvenile offenders' traffic citations, specifying any charges or circumstances that cause juveniles to be processed as adult offenders.

Question Rank:
Very Important

Assessor conclusions:

No information or flow chart was available regarding a State system that tracks traffic citations for juvenile offenders. It is noted offenders over the age of 16 are processed as an adult.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 233:

Does the State distinguish between the administrative handling of court payments in lieu of court appearances (mail-ins) and court appearances?

Standard of Evidence:

Provide a flow chart documenting the processing of administrative handling of court payments (mail-ins).

Question Rank:
Somewhat Important

Assessor conclusions:

There is no flowchart or documentation showing a difference in court payments in lieu of court appearances and court appearances. It was reported that mail-in payments are considered convictions, but there is no information describing a difference in the process.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 234:

Does the State track deferral and dismissal of citations?

Standard of Evidence:

Provide a flow chart documenting the deferral and the dismissal of citations.

Question Rank:
Somewhat Important

Assessor conclusions:

Dismissals are tracked in the statewide system housed within the judicial branch. Although the driver and vehicle files do not receive dismissal records, they are not considered the statewide system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 235:

Are there State and/or local criteria for deferring or dismissing traffic citations and charges?

Standard of Evidence:

Provide the criteria for deferring or dismissing traffic citations and charges.

Question Rank:
Somewhat Important

Assessor conclusions:

There are no specific criteria for dismissing or deferring citations within the State. Only the inability to prove a case is documented.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 236:

If the State purges its records, are the timing conditions and procedures documented?

Standard of Evidence:

Provide a narrative documenting whether or not the State purges records. If so, list the types of records the State purges and provide the criteria for doing so.

Question Rank:
Somewhat Important

Assessor conclusions:
Records are not purged in the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 237:

Are the security protocols governing data access, modification, and release officially documented?

Standard of Evidence:

Provide the official security protocols governing data access, modification, and release.

Question Rank:
Somewhat Important

Assessor conclusions:
Limited information regarding data storage and limited group access was available for the court system. Information regarding data access outside the court system was not available. Modification and release governance were not provided for any system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 238:

Is citation data linked with the driver system to collect driver information, to carry out administrative actions (e.g., suspension, revocation, cancellation, interlock) and determine the applicable charges?

Standard of Evidence:

Describe how citation, adjudication and driver data are linked and by what means administrative actions are carried out or posted using these linkages.

Question Rank:
Very Important

Assessor conclusions:

Citation data is linked to the driver system at the DMV where administrative sanctions are imposed. This is performed electronically from the enforcement through to the court and ultimately the DMV when appropriate.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 239:

Is adjudication data linked with the driver system to collect certified driver records and administrative actions (e.g., suspension, revocation, cancellation, interlock) to determine the applicable charges and to post the dispositions to the driver file?

Standard of Evidence:

Provide the results of a sample query and describe how the linked information is used to collect certified driver records and administrative charges and to post dispositions to the driver file.

Question Rank:
Very Important

Assessor conclusions:

It was reported that adjudication data is linked to the driver record where administrative sanctions are imposed, but details were not available.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 240:

Is citation data linked with the vehicle file to collect vehicle information and carry out administrative actions (e.g., vehicle seizure, forfeiture, interlock)?

Standard of Evidence:

Provide the results of a sample query and describe how the linked information is used to collect vehicle information and carry out administrative actions.

Question Rank:
Somewhat Important

Assessor conclusions:

Data is made available to the DMV and law enforcement, but there is no information about a data linkage for administrative purposes with the vehicle file.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 241:

Is adjudication data linked with the vehicle file to collect vehicle information and carry out administrative actions (e.g., vehicle seizure, forfeiture, interlock mandates and supervision)?

Standard of Evidence:

Provide the results of a sample query and describe how the linked information is used to collect vehicle information and carry out administrative actions.

Question Rank:
Somewhat Important

Assessor conclusions:

It was reported that adjudication is linked with vehicle files, but the information provided details the driver file linkage.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 242:

Is citation data linked with the crash file to document violations and charges related to the crash?

Standard of Evidence:

Provide the results of a sample query and describe how the linked information is used to document violations and charges related to the crash.

Question Rank:
Somewhat Important

Assessor conclusions:

The crash file is not linked to the citation data within the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 243:

Is adjudication data linked with the crash file to document violations and charges related to the crash?

Standard of Evidence:

Provide the results of a sample query and describe how the linked information is used to document violations and charges related to the crash.

Question Rank:
Somewhat Important

Assessor conclusions:

The crash file is not linked with adjudication data within the State.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 244:

Is there a set of established performance measures for the timeliness of the citation systems?

Standard of Evidence:

If there is a statewide citation tracking system in the State, provide timeliness measures used. If there are two or more centralized citation tracking systems, provide timeliness measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:

The number of days a citation takes to be populated in the central database from the time of issuance is measured by the State. The measure was quantified showing the reduction of the time it took to populate the database with electronic and paper citation data.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 245:

Is there a set of established performance measures for the accuracy of the citation systems?

Standard of Evidence:

Provide accuracy measures for the statewide citation tracking system. If there are several citation tracking systems, provide accuracy measures for one of them.

Question Rank:
Very Important

Assessor conclusions:

The percentage error within critical elements within the citation entry is captured. The State has reports where the errors are identified.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 246:

Is there a set of established performance measures for the completeness of the citation systems?

Standard of Evidence:

Provide completeness measures for the statewide citation tracking system. If there are several citation tracking systems, provide completeness measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no performance measure for completeness of the citation system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 247:

Is there a set of established performance measures for the uniformity of the citation systems?

Standard of Evidence:

Provide uniformity measures for the statewide citation tracking system. If there are several citation tracking systems, provide uniformity measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:

There is a performance measure to monitor the percentage of citations where the uniform violation codes are incorrect. Edits are in place to prevent the entry of such invalid codes within the electronic citation system. Edits in a system do not constitute a performance measure. This performance measure is measuring paper citations, but not electronic citations. The electronic citations are checked against the violation codes to prevent error at the officer level. No results or reports indicating the effectiveness of the performance measure or any quantifiable data for the performance measure were available for review.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 248:

Is there a set of established performance measures for the integration of the citation systems?

Standard of Evidence:

Provide integration measures for the statewide citation tracking system. If there are several citation tracking systems, provide integration measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no performance measure for the integration of the citation systems.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 249:

Is there a set of established performance measures for the accessibility of the citation systems?

Standard of Evidence:

Provide accessibility measures for the statewide citation tracking system. If there are several citation tracking systems, provide accessibility measures for one of them.

Question Rank:
Less Important

Assessor conclusions:
There is no performance measure for the accessibility of the citation systems.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 250:

Is there a set of established performance measures for the timeliness of the adjudication systems?

Standard of Evidence:

Provide timeliness measures for the statewide adjudication tracking system. If there are several adjudication tracking systems, provide timeliness measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:
The State measures the number of days a citation takes to populate the central database from the time of issuance. The measure was quantified and the State was able to show the reduction of the time to populate the database for both paper and electronic citations.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 251:

Is there a set of established performance measures for the accuracy of the adjudication systems?

Standard of Evidence:

Provide accuracy measures for the statewide adjudication tracking system. If there are several adjudication tracking systems, provide accuracy measures for one of them.

Question Rank:
Very Important

Assessor conclusions:

The State determines the percentage error within critical elements within the citation entry. The State generates reports where the errors are identified.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 252:

Is there a set of established performance measures for the completeness of the adjudication systems?

Standard of Evidence:

Provide completeness measures for the statewide adjudication tracking system. If there are several adjudication tracking systems, provide completeness measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no performance measure for the completeness of the adjudication system.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 253:

Is there a set of established performance measures for the integration of the adjudication systems?

Standard of Evidence:

Provide integration measures for the statewide adjudication tracking system. If there are several adjudication tracking systems, provide integration measures for one of them.

Question Rank:
Somewhat Important

Assessor conclusions:

There are no performance measures for the integration of the adjudication systems.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 254:

In States that have an agency responsible for issuing unique citation numbers, is information on intermediate dispositions (e.g., deferrals, dismissals) captured?

Standard of Evidence:

Provide documentation detailing the numbers of citations issued from the 10 largest law enforcement agencies and the number of dispositions for those citations that are in the driver file over a three month period.

Question Rank:
Very Important

Assessor conclusions:

Dismissals are captured within the judicial system. There is no information available to show dismissals captured within the driver file.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 255:

Do the State's DUI tracking systems have additional quality control procedures to ensure the accuracy and timeliness of the data?

Standard of Evidence:

Provide a narrative description of the additional quality control measures for the DUI tracking systems and specify which systems use which measures.

Question Rank:
Somewhat Important

Assessor conclusions:

There is no DUI tracking system in the State.

Respondents assigned	1	Responses received	1	Response rate	100%

EMS / Injury Surveillance

The Connecticut Injury Surveillance System (ISS) includes most of the basic components of an ideal system, including Emergency Medical Services (EMS), emergency department (ED) and hospital discharge (HD) databases, and a vital records (VR) system. The VR system is currently paper-based. Trauma registry (TR) data is collected by hospitals, but has not been submitted to the State registry since 2011. Efforts are underway to restore the State trauma registry functionality and begin receiving data from local hospitals. The State does not utilize data from rehabilitation facilities or other data sources as part of the system.

For the most part, the component systems do not track the frequency, nature, and severity of traffic-related injuries, and have not used system data to plan or evaluate highway safety projects. The EMS, ED, and HD systems have a data dictionary, but none of the component systems have formal documentation regarding the collection, management, and maintenance of data. Each system has a fairly complete flow diagram that covers the flow of data through the system.

None of the systems currently have a set of edit checks and/or validation rules for data entering the system, nor do they have documented procedures to track returned records through the correction and resubmission process. Most systems reportedly make aggregate data available to outside parties.

Limited state-level correction authority to correct obvious errors without returning reports to the submitting entity is granted for the EMS, ED, and HD systems. The VR system documents and reports to the submitting entity any changes that would affect the legal portion of death certificates.

None of the ISS systems have developed and implemented formal performance measures that enable them to track and quantify performance within their system. Performance measures include a baseline and goal over a period of time.

Quality control reporting varies among the six component systems. EMS has used high frequency errors to change training and reporting, and compares data over time to identify gaps in submission. The ED and HD systems perform some data correction when preparing hospital data for distribution. Data quality feedback is occasionally received from key users of VR data.

None of the component systems generate reports for the TRCC on a regular basis.

Strengths
The State is on the brink of a substantial improvement in the ISS with the upgrade to the EMS system, the restoration of the State Trauma Registry, and the conversion of VR to an electronic data system.

All of the State data systems have established procedures for making aggregate data available to outside parties. This creates advocacy for the development and improvement of the State's databases.

Each component system has a fairly complete data flow diagram that can provide the basis for developing documentation regarding how data is collected and managed.

Opportunities
Each component of the ISS should be provided the opportunity to regularly share data with the TRCC. The exposure of key stakeholders to reports from other data systems can identify potential collaborations.

The State should develop performance measures for all systems that will track and document system improvements. The Traffic Records Advisory is a good source of information on performance measures.

The State should review all current policies, processes, and procedures to develop formal documentation wherever possible. This can help to assure that procedures are followed consistently.

The restoration of the State Trauma Registry should be a top priority.

Question 256:	
Does the injury surveillance system include EMS data?	
Standard of Evidence:	
Provide an injury surveillance report that illustrates the use of EMS data and data from other injury surveillance systems.	**Question Rank:** Very Important
Assessor conclusions:	
The injury surveillance system includes EMS data. The State produced the annual EMS data report for 2015.	

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 257:

Does the injury surveillance system include emergency department (ED) data?

Standard of Evidence:

Provide an injury surveillance report that illustrates the use of emergency department (ED) data and data from other injury surveillance systems.

Question Rank:
Very Important

Assessor conclusions:

The injury surveillance system includes emergency department data. The State produced a report covering data from 2008-2013 that illustrates the use of ED data and other data related to crashes and other injuries.

Respondents assigned	6	Responses received	3	Response rate	50%

Question 258:

Does the injury surveillance system include hospital discharge data?

Standard of Evidence:

Provide an injury surveillance report that illustrates the use of hospital discharge data and data from other injury surveillance systems.

Question Rank:
Very Important

Assessor conclusions:

The 'Injury in Connecticut' report uses vital statistics, emergency department, and hospital discharge data to describe the prevalence of injury in the State, its counties, and its municipalities. A number of data elements (including age, sex, race, and ethnicity) are used to describe injuries within the State.

Respondents assigned	6	Responses received	3	Response rate	50%

Question 259:

Does the injury surveillance system include trauma registry data?

Standard of Evidence:

Provide an injury surveillance report that illustrates the use of trauma registry data and data from other injury surveillance systems.

Question Rank:
Very Important

Assessor conclusions:

The State has been unable to collect trauma registry data after 2011 and existing data was lost for several years. The State is working on gathering lost data and restoring trauma registry functionality so that hospitals can begin submitting data again.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 260:

Does the injury surveillance system include rehabilitation data?

Standard of Evidence:

Provide an injury surveillance report that illustrates the use of rehabilitation data and data from other injury surveillance systems.

Question Rank:
Very Important

Assessor conclusions:

Rehabilitation data is generally provided by stand-alone facilities that provide continuing care for patients after their discharge from a trauma center or other acute care facility.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 261:

Does the injury surveillance system include vital records data?

Standard of Evidence:

Provide an injury surveillance report that illustrates the use of vital data and data from other injury surveillance systems.

Question Rank:
Very Important

Assessor conclusions:

Vital statistics data is included in the 'Injury in Connecticut' report, but it is not routinely used for injury surveillance.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 262:

Does the injury surveillance system include other data?

Standard of Evidence:

List any other databases or sources included in the injury surveillance system and provide a sample report using data from each of these sources. Additional data resources may include medical examiner reports, payer-related databases, traumatic brain injury registry, and spinal cord injury registry.

Question Rank:
Very Important

Assessor conclusions:

No information was provided on the availability of other data sources to support the injury prevention surveillance system.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 263:

Does the EMS system track the frequency, severity, and nature of injuries sustained in motor vehicle crashes in the State?

Standard of Evidence:

Provide the most recent motor vehicle-related incident counts for the EMS system, any injury severity categorizations applied, and the provider's primary impression (if applicable).

Question Rank:
Very Important

Assessor conclusions:

The current version of the EMS data collection system does not adequately track detail about injuries sustained by occupants of motor vehicles involved in a crash. A revised data collection system (NEMSIS 3.4-compliant) is being implemented and should allow for improved and more complete reporting of injuries.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 264:

Does the emergency department data track the frequency, severity, and nature of injuries sustained in motor vehicle crashes in the State?

Standard of Evidence:

Provide the most recent motor vehicle-related incident counts for the emergency department data, any injury severity categorizations applied (e.g., Abbreviated Injury Score, Injury Severity Scale), and principal diagnosis.

Question Rank:
Very Important

Assessor conclusions:

The ED data system tracks motor vehicle crash injuries. The State has produced a report of age-adjusted crash rates per 100,000 population for recent years. The system tracks diagnosis and discharge status, but a sample report categorizing the data by severity and diagnosis was not available for review.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 265:

Does the hospital discharge data track the frequency, severity, and nature of injuries sustained in motor vehicle crashes in the State?

Standard of Evidence:

Provide the most recent motor vehicle-related incident counts for the hospital discharge data, any injury severity categorizations applied (e.g., Abbreviated Injury Score, Injury Severity Scale), and principal diagnosis.

Question Rank:
Very Important

Assessor conclusions:

Hospital discharge data is used to track the number of injury-related admissions in the State. While ICD-9 codes are available, they are not currently used to describe the nature and severity of the injuries sustained.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 266:

Does the trauma registry data track the frequency, severity, and nature of injuries sustained in motor vehicle crashes in the State?

Standard of Evidence:

Provide the most recent motor vehicle-related incident counts for the trauma registry data, any injury severity categorizations applied (e.g., Abbreviated Injury Score, Injury Severity Scale), and principal diagnosis.

Question Rank:
Very Important

Assessor conclusions:

The trauma registry is designed to track the nature and severity of crash injuries, but the system is not currently functional.

Respondents assigned	7	Responses received	4	Response rate	57.1%

Question 267:

Does the vital records data track the frequency, severity, and nature of injuries sustained in motor vehicle crashes in the State?

Standard of Evidence:

Provide the most recent motor vehicle-related incident counts from the vital records data and the cause of death.

Question Rank:
Very Important

Assessor conclusions:

Vital records data is tracked through submission to the national database. Numbers of fatalities are tracked, but additional information about the nature and severity of injuries based on ICD-10 codes is not included.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 268:

Is the EMS data available for analysis and used to identify problems, evaluate programs, and allocate resources?

Standard of Evidence:

Provide a sample report or narrative description of a highway safety project that utilized EMS data to identify a problem, evaluate a program, or allocate resources.

Question Rank:
Very Important

Assessor conclusions:

The EMS data is used to identify problems within the State, but the data system is currently undergoing an upgrade to a new 'central' site for data submission. No specific highway safety projects that have been supported through the use of EMS data were identified.

Respondents assigned	3	Responses received	1	Response rate	33.3%

Question 269:

Is the emergency department data available for analysis and used to identify problems, evaluate programs, and allocate resources?

Standard of Evidence:

Provide a sample report or narrative description of a highway safety project that utilized emergency department data to identify a problem, evaluate a program, or allocate resources.

Question Rank:
Very Important

Assessor conclusions:

Emergency department data is used for analysis, but no specific highway safety projects utilizing the data were described.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 270:

Is the hospital discharge data available for analysis and used to identify problems, evaluate programs, and allocate resources?

Standard of Evidence:

Provide a sample report or narrative description of a highway safety project that utilized hospital discharge data to identify a problem, evaluate a program, or allocate resources.

Question Rank:
Very Important

Assessor conclusions:

The State did not describe or provide samples of the use of hospital discharge data for a highway safety project.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 271:

Is the trauma registry data available for analysis and used to identify problems, evaluate programs, and allocate resources?

Standard of Evidence:

Provide a sample report or narrative description of a highway safety project that utilized trauma registry data to identify a problem, evaluate a program, or allocate resources.

Question Rank:
Very Important

Assessor conclusions:

The State has used trauma registry data to support highway safety initiatives (i.e. motorcycle crashes). However, trauma registry data has not been available at the State-level since 2012. Efforts are underway to restore the submission of trauma registry data to the State repository.

Respondents assigned	8	Responses received	5	Response rate	62.5%

Question 272:

Is the vital records data available for analysis and used to identify problems, evaluate programs, and allocate resources?

Standard of Evidence:

Provide a sample report or narrative description of a highway safety project that utilized vital records data to identify a problem, evaluate a program, or allocate resources (e.g., research in support of helmet or GDL legislation).

Question Rank:
Very Important

Assessor conclusions:

It was reported that the vital records data is available, but examples of a highway safety project that used the data were not available. The State Office of EMS reports that it does not have access to vital records data.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 273:

Does the State have a NEMSIS-compliant statewide database?

Standard of Evidence:

Demonstrate submission to the nationwide NEMSIS database and provide any relevant State statutes or regulations. If not compliant, provide narrative detailing the State's efforts to achieve NEMSIS compliance.

Question Rank:
Very Important

Assessor conclusions:

Connecticut's EMS database is currently compliant with NEMSIS 2.2.1 and is on the verge of converting to version 3.4.0. EMS data has been submitted to the national EMS database.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 274:

Does the State's emergency department and hospital discharge data conform to the most recent uniform billing standard?

Standard of Evidence:

Provide the data dictionaries for both the emergency department and hospital discharge data as appropriate as well as any relevant State statutes or regulations.

Question Rank:
Very Important

Assessor conclusions:

The ED and hospital data systems use UB-04, as detailed in the systems' data dictionary, coding reference, statutes, and regulations.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 275:

Does the State's trauma registry database adhere to the National Trauma Data Standards?

Standard of Evidence:

Provide the trauma registry data dictionary and any relevant State statutes or regulations.

Question Rank:
Very Important

Assessor conclusions:

The currently available data dictionary was dated 2005. While local trauma centers may use a more current version 'in-house,' the State trauma registry is out-of-date. A revision is underway which will bring the State up to the current standards.

Respondents assigned	8	Responses received	4	Response rate	50%

Question 276:

Are Abbreviated Injury Scale (AIS) and Injury Severity Scores (ISS) derived from the State emergency department and hospital discharge data for motor vehicle crash patients?

Standard of Evidence:

Provide a distribution of AIS and ISS scores for the most recent year available.

Question Rank:
Somewhat Important

Assessor conclusions:

The emergency department and hospital discharge data collect ICD-9 codes; however, they are not currently used to derive AIS or ISS scores.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 277:

Are Abbreviated Injury Scale (AIS) and Injury Severity Scores (ISS) derived from the State trauma registry for motor vehicle crash patients?

Standard of Evidence:

Provide a distribution of AIS and ISS scores for the most recent year available.

Question Rank:
Very Important

Assessor conclusions:

The State does not require submission of AIS and ISS and did not collect AIS and ISS in the old trauma registry system. The new system will support the collection of AIS and ISS, but State regulations do not require AIS and ISS reporting.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 278:

Does the State EMS database collect the Glasgow Coma Scale (GCS) data for motor vehicle crash patients?

Standard of Evidence:

Provide a distribution of GCS scores for motor vehicle crash patients for the most recent year available.

Question Rank:
Less Important

Assessor conclusions:

The GCS data element exists, but is not currently completed.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 279:

Does the State trauma registry collect the Glasgow Coma Scale (GCS) data for motor vehicle crash patients?

Standard of Evidence:

Provide a distribution of GCS scores for motor vehicle crash patients for the most recent year available.

Question Rank:
Less Important

Assessor conclusions:

GCS scores are a required data element for the State trauma registry. It is available as part of the historical data. Efforts are underway to re-establish data submission from the trauma centers to the State repository.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 280:

Are there State privacy and confidentiality laws that supersede HIPAA?

Standard of Evidence:

Provide the applicable State laws and describe how they are interpreted—including the identification of situations that may impede data sharing within the State and among public health authorities.

Question Rank:
Very Important

Assessor conclusions:

The State's privacy laws appear to be in alignment with HIPAA. The statutes do not appear to pose a barrier to the sharing of data among State agencies for analysis and integration.

Respondents assigned	8	Responses received	6	Response rate	75%

Question 281:

Does the EMS system have a formal data dictionary?

Standard of Evidence:

Provide the data dictionary including, at a minimum, the variable names and definitions.

Question Rank:
Very Important

Assessor conclusions:

The State is preparing to adopt NEMSIS version 3.4.0. The data dictionary is working towards that standard, but is incomplete.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 282:

Does the EMS system have formal documentation that provides a summary dataset—characteristics, values, limitations and exceptions, whether submitted or user created—and how it is collected, managed, and maintained?

Standard of Evidence:

Provide a user's manual or other form of documentation of the EMS data collection system. Such documentation should include a list of the dataset's variables and a description of how the data is collected, managed and maintained.

Question Rank:
Very Important

Assessor conclusions:

The State EMS data system does not have formal documentation that provides a summary dataset and describes how the system is managed.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 283:

Does the emergency department dataset have a formal data dictionary?

Standard of Evidence:

Provide the data dictionary including, at a minimum, the variable names and definitions.

Question Rank:
Very Important

Assessor conclusions:
The State ED data dictionary includes variable names and definitions as well as code lists for coded variables.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 284:

Does the emergency department dataset have formal documentation that provides a summary dataset—characteristics, values, limitations and exceptions, whether submitted or user created—and how it is collected, managed, and maintained?

Standard of Evidence:

Provide the documentation.

Question Rank:
Very Important

Assessor conclusions:
Aside from the data dictionary, the ED dataset has no formal documentation that summarizes the dataset or how it is managed.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 285:

Does the hospital discharge dataset have a formal data dictionary?

Standard of Evidence:

Provide the data dictionary including, at a minimum, the variable names and definitions.

Question Rank:
Very Important

Assessor conclusions:
A data dictionary providing a list of data elements and their associated attributes is maintained by the State for the hospital discharge database.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 286:

Does the hospital discharge dataset have formal documentation that provides a summary dataset—characteristics, values, limitations and exceptions, whether submitted or user created—and how it is collected, managed, and maintained?

Standard of Evidence:

Provide the documentation.

Question Rank:
Very Important

Assessor conclusions:

Aside from the data dictionary, a more formal user's manual has not been developed for the hospital discharge database.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 287:

Does the trauma registry have a formal data dictionary?

Standard of Evidence:

Provide the data dictionary including, at a minimum, the variable names and definitions.

Question Rank:
Very Important

Assessor conclusions:

The current version of the State trauma registry data dictionary is dated from 2005. An updated manual is in development that will include references to NTDB and Trauma Quality Improvement Program (TQIP) data standards.

Respondents assigned	7	Responses received	5	Response rate	71.4%

Question 288:

Does the trauma registry dataset have formal documentation that provides a summary dataset—characteristics, values, limitations and exceptions, whether submitted or user created—and how it is collected, managed, and maintained?

Standard of Evidence:

Provide the documentation.

Question Rank:
Very Important

Assessor conclusions:

The data dictionary is outdated, but does include a description of the inclusion criteria and how the data is collected and managed. The revised trauma registry should be accompanied by a new data dictionary and a plan for providing regular updates.

Respondents assigned	6	Responses received	5	Response rate	83.3%

Question 289:

Does the vital records system have a formal data dictionary?

Standard of Evidence:

Provide the data dictionary including, at a minimum, the variable names and definitions.

Question Rank:
Very Important

Assessor conclusions:

The State did not provide a vital records data dictionary.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 290:

Does the vital records system have formal documentation that provides a summary dataset—characteristics, values, limitations and exceptions, whether submitted or user created—and how it is collected, managed, and maintained?

Standard of Evidence:

Provide the documentation.

Question Rank:
Very Important

Assessor conclusions:

The State did not provide any vital records system documentation.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 291:

Is there a single entity that collects and compiles data from the local EMS agencies?

Standard of Evidence:

Identify the State agency or third party to which the EMS data is initially submitted.

Question Rank:
Very Important

Assessor conclusions:

EMS data is submitted to a system developed by Digital Innovation Inc. and hosted by the State's Bureau of Enterprise Systems and Technology (BEST).

Respondents assigned	5	Responses received	1	Response rate	20%

Question 292:

Is there a single entity that collects and compiles data on emergency department visits from individual hospitals?

Standard of Evidence:

Identify the State agency or third party to which the data on emergency department visits is initially submitted.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut Hospital Association (CHA) collects and maintains the emergency department data for the State.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 293:

Is there a single entity that collects and compiles data on hospital discharges from individual hospitals?

Standard of Evidence:

Identify the State agency or third party to which the data on hospital discharges is initially submitted.

Question Rank:
Very Important

Assessor conclusions:

The Connecticut Hospital Association collects and maintains the hospital discharge data for the State.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 294:

Is there a process flow diagram that outlines the EMS system's key data process flows, including inputs from other systems?

Standard of Evidence:

Provide the flow diagram. Alternatively, provide a narrative description of the EMS data process flows from dispatch to submission of the report to the State EMS repository.

Question Rank:
Very Important

Assessor conclusions:

Several diagrams are available that demonstrate the existing and proposed data flows.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 295:

Is there a process flow diagram that outlines the emergency department data's key data process flows, including inputs from other systems?

Standard of Evidence:

Provide the flow diagram. Alternatively, provide a narrative description of the emergency department data process flows from patient arrival to submission of the uniform billing data to the State repository.

Question Rank:
Very Important

Assessor conclusions:

The State has produced a diagram that outlines the responsibilities of various State offices and others once data has been received from hospitals. The diagram does not adequately cover the data process flow from the time of patient arrival to the time of submission to the State system.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 296:

Is there a process flow diagram that outlines the hospital discharge data's key data process flows, including inputs from other systems?

Standard of Evidence:

Provide the flow diagram. Alternatively, provide a narrative description of the hospital discharge data process flows from patient arrival to submission of the uniform billing data to the State repository.

Question Rank:
Very Important

Assessor conclusions:

The State has produced a diagram that outlines the responsibilities of various State offices and others once data has been received from hospitals. The diagram does not adequately cover the data process flow from the time of patient arrival to the time of submission to the State system.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 297:

Is there a process flow diagram that outlines the trauma registry's key data process flows, including inputs from other systems?

Standard of Evidence:

Provide the flow diagram. Alternatively, provide a narrative description of the hospital discharge data process flows, from trauma activation to submission of the trauma data to the State registry.

Question Rank:
Very Important

Assessor conclusions:

Digital Innovation, Inc. provided a series of process flow diagrams. While they deal mainly with the internal structure of the data system, they cover the majority of the system processes.

Respondents assigned	11	Responses received	6	Response rate	54.5%

Question 298:

Are there separate procedures for paper and electronic filing of EMS patient care reports?

Standard of Evidence:

Provide a copy of the procedures for paper and electronic filing or a narrative describing the procedures.

Question Rank:
Less Important

Assessor conclusions:

The State allows only electronic reporting, but the State did not describe the reporting procedures.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 299:

Are there procedures for collecting, editing, error-checking, and submitting emergency department and hospital discharge data to the statewide repository?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process of collecting, editing and submitting emergency department and hospital discharge data to the statewide repository.

Question Rank:
Very Important

Assessor conclusions:

The Office of Health Care Access uses a vendor to initially collect, edit, and check the submitted data for errors. A flow diagram illustrating the primary processes was available.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 300:

Does the trauma registry have documented procedures for collecting, editing, error checking, and submitting data?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process for collecting, error-checking and submitting trauma registry data.

Question Rank:
Very Important

Assessor conclusions:

The trauma registry is currently only maintained by the individual hospitals. Documents describing the collection, editing, and error-checking processes are under development in anticipation of resumption of data submission to the State. New data collection software is reportedly being downloaded. Revised documentation should accompany this application.

Respondents assigned	8	Responses received	6	Response rate	75%

Question 301:

Are there procedures for collecting, editing, error-checking, and submitting data to the statewide vital records repository?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process for collecting, error-checking and submitting data to the vital records repository.

Question Rank:
Very Important

Assessor conclusions:

The vital records system in Connecticut is currently paper-based. As such, there is no capability for inclusion of automated editing and error-checking. Information from paper certificates is entered manually into the data system. No information was available on how the data managers may identify or correct errors.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 302:

Are there documented procedures for returning data to the reporting EMS agencies for quality assurance and improvement (e.g., correction and resubmission)?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process for returning data to the reporting EMS agencies for correction and resubmission.

Question Rank:
Very Important

Assessor conclusions:

Currently, there is no process in place to allow records to be returned to the originating agency for correction. This functionality is being developed for use when the State upgrades to NEMSIS 3.4.0. When that occurs, error-checking will be performed at the time of data entry.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 303:

Are there documented procedures for returning data to the reporting emergency departments for quality assurance and improvement (e.g., correction and resubmission)?

Standard of Evidence:

Provide a copy of the procedures or a narrative that describes the process for returning data to the reporting emergency departments for correction and resubmission.

Question Rank:
Very Important

Assessor conclusions:

No documented procedures are in place for returning data to the individual hospitals for correction. Historically, this has been done on an ad hoc basis.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 304:

Are there documented procedures for returning hospital discharge data to the reporting hospitals for quality assurance and improvement (e.g., correction and resubmission)?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process for returning data to the reporting hospitals for correction and resubmission.

Question Rank:
Very Important

Assessor conclusions:

The State has no documented procedures for returning hospital discharge data to submitters for correction and resubmission.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 305:

Are there documented procedures for returning trauma data to the reporting trauma center for quality assurance and improvement (e.g., correction and resubmission)?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process for returning data to the reporting trauma center for correction and resubmission.

Question Rank:
Very Important

Assessor conclusions:

No documented procedures are in place for returning data to the individual hospitals for correction. Historically, this has been done on an ad hoc basis.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 306:

Are there documented procedures for returning data to the reporting vital records agency for quality assurance and improvement (e.g., correction and resubmission)?

Standard of Evidence:

Provide a copy of the procedures or a narrative describing the process for returning data to the reporting vital records agency for correction and resubmission.

Question Rank:
Very Important

Assessor conclusions:

The electronic death reporting system will have procedures for returning data for correction and resubmission, but no procedures are currently in place.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 307:

Is aggregate EMS data available to outside parties (e.g., universities, traffic safety professionals) for analytical purposes?

Standard of Evidence:

Provide a copy of the data access policy, data use agreement, or link to appropriate data access website. Alternatively, provide a description of how outside parties may obtain access to the EMS data for analytical purposes.

Question Rank:
Very Important

Assessor conclusions:

The EMS data can be made available to outside parties. The State has a process for submitting research requests to the Human Investigations Committee, including a data sharing protocol, data request form, and data request policy. However, no documentation was available for review.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 308:

Is aggregate emergency department data available to outside parties (e.g., universities, traffic safety professionals) for analytical purposes?

Standard of Evidence:

Provide a copy of the data access policy, data use agreement, or link to appropriate data access website. Alternatively, provide a description of how outside parties may obtain access to the emergency department data for analytical purposes.

Question Rank:
Very Important

Assessor conclusions:

Data is reportedly available to outside parties upon request, but no documentation of the process was available for review.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 309:

Is aggregate hospital discharge data available to outside parties (e.g., universities, traffic safety professionals) for analytical purposes?

Standard of Evidence:

Provide a copy of the data access policy, data use agreement, or link to appropriate data access website. Alternatively, provide a description of how outside parties may obtain access to the hospital discharge data for analytical purposes.

Question Rank:
Very Important

Assessor conclusions:

Aggregate data is reportedly available to outside parties upon request, but no documentation of the process was available for review.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 310:

Is aggregate trauma registry data available to outside parties (e.g., universities, traffic safety professionals) for analytical purposes?

Standard of Evidence:

Provide a copy of the data access policy, data use agreement, or link to appropriate data access website. Alternatively, provide a description of how outside parties may obtain access to the trauma registry data for analytical purposes.

Question Rank:
Very Important

Assessor conclusions:

The trauma registry is currently non-functional, so aggregate trauma data is not available to outside parties. Testing is under way for the new trauma registry system.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 311:

Is aggregate vital records data available to outside parties (e.g., universities, traffic safety professionals) for analytical purposes?

Standard of Evidence:

Provide a copy of the data access policy, data use agreement, or link to appropriate data access website. Alternatively, provide a description of how outside parties may obtain access to the vital records data for analytical purposes.

Question Rank:
Very Important

Assessor conclusions:

Aggregate statistics are reportedly available on the agency website, but no documentation of the process was available for review.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 312:

Is there an interface among the EMS data and emergency department and hospital discharge data?

Standard of Evidence:

Provide a narrative description of the interface link between the EMS data and the emergency department and hospital discharge data. If available provide the applicable data exchange agreement.

Question Rank:
Somewhat Important

Assessor conclusions:
The State has no interface between EMS data and hospital data.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 313:

Is there an interface between the EMS data and the trauma registry data?

Standard of Evidence:

Provide a narrative description of the interface link between the EMS data and the trauma registry data. If available provide the applicable data exchange agreement.

Question Rank:
Very Important

Assessor conclusions:
Currently, the state has no interface between EMS data and trauma registry data. The State plans to create an interface in the new EMS and trauma data systems.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 314:

Is there an interface between the vital statistics and hospital discharge data?

Standard of Evidence:

Provide a narrative description of the interface link between the vital statistics and hospital discharge data. If available provide the applicable data exchange agreement.

Question Rank:
Somewhat Important

Assessor conclusions:

No interface currently exists between the vital statistics and hospital discharge databases.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 315:

Are there automated edit checks and validation rules to ensure that entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks and validation rules ensure entered data falls within the range of acceptable values and is logically consistent among fields.

Question Rank:
Very Important

Assessor conclusions:
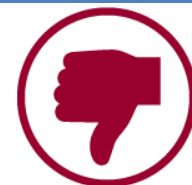
The current version of the EMS data collection system does not offer automated edit checks or validation rules. Corrections to the data are described as a very laborious process. Upon installation, the updated systems (NEMSIS V3) will include automated validation checks and business rules.

Respondents assigned	3	Responses received	3	Response rate	100%

Question 316:

Is limited state-level correction authority granted to quality control staff working with the statewide EMS database in order to amend obvious errors and omissions without returning the report to the originating entity?

Standard of Evidence:

Provide the formal methodology or describe the process by which limited state-level correction authority is granted to quality control staff working with the statewide EMS database.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does make corrections to the uploaded data to allow it to be passed along to the national database. This process applies mainly to coding violations not handled automatically by the system. It appears this is done out of necessity and not as the result of a stated policy.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 317:

Are there formally documented processes for returning rejected EMS patient care reports to the collecting entity and tracking resubmission to the statewide EMS database?

Standard of Evidence:

Provide the formal methodology or describe the process by which rejected EMS patient care reports are returned to the collecting agency and tracked through resubmission to the statewide EMS database.

Question Rank:
Very Important

Assessor conclusions:

The NEMSIS 2 data system has no process for returning rejected data and tracking resubmission. The NEMSIS 3 data system will implement processes for returning rejected data, along with error details, and for tracking the acceptance status of submissions. The new data collection system will allow records to be placed back into a local queue for correction and resubmission.

Respondents assigned	3	Responses received	3	Response rate	100%

Question 318:

Are there timeliness performance measures tailored to the needs of EMS system managers and data users?

Standard of Evidence:

Provide a complete list of timeliness performance measures for the EMS system and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

Data is requested to be submitted within one month of the event. It was stated that this metric has shown improvement, but no details were provided. Calculating the percent of reports that are submitted within the specified time frame and defining the associated goal would help track the timeliness of EMS submissions moving forward.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 319:

Are there accuracy performance measures tailored to the needs of EMS system managers and data users?

Standard of Evidence:

Provide a complete list of accuracy performance measures for the EMS system and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

No performance measures have been established for the accuracy of the EMS data. The NHTSA publication 'Model Performance Measures for Traffic Records Systems' provides examples of the types of measures that can be used to track the progress of the State's injury surveillance systems.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 320:

Are there completeness performance measures tailored to the needs of EMS system managers and data users?

Standard of Evidence:

Provide a complete list of completeness performance measures for the EMS system and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State has no completeness performance measures for EMS data.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 321:

Are there uniformity performance measures tailored to the needs of EMS system managers and data users?

Standard of Evidence:

Provide a complete list of uniformity performance measures for the EMS system and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State receives a report from NEMSIS that contains information related to the completeness of a number of data elements. There did not appear to be metrics that address uniformity. Also, the completeness metrics could be used to develop performance measures with the establishment of goals for the data points.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 322:

Are there integration performance measures tailored to the needs of EMS system managers and data users?

Standard of Evidence:

Provide a complete list of integration performance measures for the EMS system and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:
No performance measures have been developed to measure the integration of the EMS data with other traffic records components.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 323:

Are there accessibility performance measures tailored to the needs of EMS system managers and data users?

Standard of Evidence:

Provide a complete list of accessibility performance measures for the EMS system and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:
The State has no accessibility performance measures for EMS data.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 324:

Has the State established numeric goals—performance metrics—for each EMS system performance measure?

Standard of Evidence:

Provide specific numeric goals and related performance measures for each attribute as determined by the State.

Question Rank:
Somewhat Important

Assessor conclusions:

Aside from the one-month requirement (recommendation) for data reporting, no other metrics have been identified.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 325:

Is there performance reporting for the EMS system that provides specific timeliness, accuracy, and completeness feedback to each submitting entity?

Standard of Evidence:

Provide a sample report, list of receiving agencies, and specify frequency of issuance.

Question Rank:
Very Important

Assessor conclusions:

No performance reporting has been established to track the measures.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 326:

Are high frequency errors used to update EMS system training content, data collection manuals, and validation rules?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to update EMS system training content, data collection manuals, and validation rules.

Question Rank:
Very Important

Assessor conclusions:

The State has used high frequency errors to provide training and other changes related to the reporting of naloxone administration by Basic Life Support (BLS) providers. The State has not used high frequency errors to update data collection manuals or validation rules, but using those errors to institute changes to the manuals and validation rules will be part of the system update.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 327:

Are quality control reviews conducted to ensure the completeness, accuracy, and uniformity of injury data in the EMS system?

Standard of Evidence:

Provide a sample quality control review of injury records that details the system's data completeness.

Question Rank:
Somewhat Important

Assessor conclusions:

Due to the data issues experienced by the current system, data quality issues are primarily identified when specific analyses are done. At best, this is a 'work around' as quality control should be completed before the data is used for analysis. The system update should help alleviate this problem.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 328:

Are periodic comparative and trend analyses used to identify unexplained differences in the EMS data across years and agencies?

Standard of Evidence:

Describe the analyses, provide a sample record or output, and specify their frequency.

Question Rank:
Less Important

Assessor conclusions:

The State compares data over time to identify gaps in submission. An example being a table of EMS record counts by agency and month, with submission gaps highlighted, that the State has generated.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 329:

Is data quality feedback from key users regularly communicated to EMS data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform program changes.

Question Rank:
Somewhat Important

Assessor conclusions:

While the State is aware of issues with the current data system, no formal process is in place to provide feedback to the data collectors and managers.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 330:

Are EMS data quality management reports produced regularly and made available to the State TRCC?

Standard of Evidence:

Provide a sample quality management report and specify frequency of transmission to the State TRCC.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does not produce EMS data quality management reports. The new EMS data system will provide technical NEMSIS validation reports. It is unclear whether those reports may be used to compile EMS data quality management reports.

Respondents assigned	5	Responses received	2	Response rate	40%

Question 331:

Are there automated edit checks and validation rules to ensure that entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks and validation rules ensure entered data falls within the range of acceptable values and is logically consistent among fields.

Question Rank:
Very Important

Assessor conclusions:

Edit checks are reportedly conducted on the hospital database, but no further description of those processes was available.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 332:

Is limited state-level correction authority granted to quality control staff working with the statewide emergency department and hospital discharge databases in order to amend obvious errors and omissions without returning the report to the originating entity?

Standard of Evidence:

Provide the formal methodology or describe the process by which limited state-level correction authority is granted to quality control staff working with the statewide emergency department and hospital discharge databases.

Question Rank:
Somewhat Important

Assessor conclusions:

State staff members perform some data correction when preparing hospital data for distribution. It is unclear whether the data is corrected within the State system or the corrections are only made to a copy of the data after it has been extracted from the State system.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 333:

Are there formally documented processes for returning rejected emergency department and hospital discharge records to the collecting entity and tracking resubmission to the statewide emergency department and hospital discharge databases?

Standard of Evidence:

Provide the formal methodology or describe the process by which rejected emergency department and hospital discharge records are returned to the collecting agency and tracked through resubmission to the statewide emergency department and hospital discharge databases.

Question Rank:
Very Important

Assessor conclusions:

Data quality issues have been addressed on a case-by-case basis. There is no formal policy in place.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 334:

Are there timeliness performance measures tailored to the needs of emergency department and hospital discharge database managers and data users?

Standard of Evidence:

Provide a complete list of timeliness performance measures for the emergency department and hospital discharge databases and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State has no timeliness performance measures for hospital data.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 335:

Are there accuracy performance measures tailored to the needs of emergency department and hospital discharge database managers and data users?

Standard of Evidence:

Provide a complete list of accuracy performance measures for the emergency department and hospital discharge databases and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

No performance measures have been developed to measure the accuracy of hospital data.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 336:

Are there completeness performance measures tailored to the needs of emergency department and hospital discharge database managers and data users?

Standard of Evidence:

Provide a complete list of completeness performance measures for the emergency department and hospital discharge databases and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State has no completeness performance measures for hospital data.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 337:

Are there uniformity performance measures tailored to the needs of emergency department and hospital discharge database managers and data users?

Standard of Evidence:

Provide a complete list of uniformity performance measures for the emergency department and hospital discharge databases and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

No performance measures have been developed to measure uniformity of the hospital data.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 338:

Are there integration performance measures tailored to the needs of emergency department and hospital discharge database managers and data users?

Standard of Evidence:

Provide a complete list of integration performance measures for the emergency department and hospital discharge databases and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State has no integration performance measures for hospital data.

Respondents assigned	5	Responses received	4	Response rate	80%

Question 339:

Are there accessibility performance measures tailored to the needs of emergency department and hospital discharge database managers and data users?

Standard of Evidence:

Provide a complete list of accessibility performance measures for the emergency department and hospital discharge database and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

No performance measures have been developed to measure the accessibility of the hospital data.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 340:

Has the State established numeric goals—performance metrics—for each emergency department and hospital discharge database performance measure?

Standard of Evidence:

Provide specific numeric goals and related performance measures for each attribute as determined by the State.

Question Rank:
Somewhat Important

Assessor conclusions:

No numeric goals have been established for the performance measures. NHTSA's model performance measure document would be a good resource.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 341:

Is there performance reporting for the emergency department and hospital discharge databases that provides specific timeliness, accuracy, and completeness feedback to each submitting entity?

Standard of Evidence:

Provide a sample report, list of receiving agencies, and specify frequency of issuance.

Question Rank:
Very Important

Assessor conclusions:

No performance reports are provided to the submitting hospitals.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 342:

Are high frequency errors used to update emergency department and hospital discharge database training content, data collection manuals, and validation rules?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to update emergency department and hospital discharge database training content, data collection manuals, and validation rules.

Question Rank:
Very Important

Assessor conclusions:

High frequency errors are not currently used to inform training or update data collection manuals.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 343:

Are quality control reviews conducted to ensure the completeness, accuracy, and uniformity of injury data in the emergency department and hospital discharge databases?

Standard of Evidence:

Provide a sample quality control review of injury records that details the system's data completeness.

Question Rank:
Somewhat Important

Assessor conclusions:

The State maintains documentation of the quality control review process, but a sample quality control review report was not available for review.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 344:

Are periodic comparative and trend analyses used to identify unexplained differences in the emergency department and hospital discharge data across years and agencies?

Standard of Evidence:

Describe the analyses, provide a sample record or output, and specify their frequency.

Question Rank:
Less Important

Assessor conclusions:

Hospital data is analyzed over time to show trends and to identify data anomalies. Specifically, data comparisons are made between hospitals.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 345:

Is data quality feedback from key users regularly communicated to emergency department and hospital discharge data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform program changes.

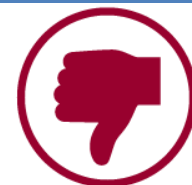**Question Rank:**
Somewhat Important

Assessor conclusions:

Hospital data quality feedback has been received from users, but the State has no process for collecting user feedback regularly.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 346:

Are emergency department and hospital discharge data quality management reports produced regularly and made available to the State TRCC?

Standard of Evidence:

Provide a sample quality management report and specify frequency of transmission to the State TRCC.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does not produce hospital data quality reports.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 347:

Are there automated edit checks and validation rules to ensure that entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks and validation rules ensure entered data falls within the range of acceptable values and is logically consistent among fields.

Question Rank:
Very Important

Assessor conclusions:

Edit checks and validation rules are built into the Collector (or other) software used at the individual trauma centers. No validation checks are completed post-submission and currently trauma data is not being submitted to the State repository.

Respondents assigned	6	Responses received	4	Response rate	66.7%

Question 348:

Is limited state-level correction authority granted to quality control staff working with the statewide trauma registry in order to amend obvious errors and omissions without returning the report to the originating entity?

Standard of Evidence:

Provide the formal methodology or describe the process by which limited state-level correction authority is granted to quality control staff working with the statewide trauma registry.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does not have limited authority to correct obvious errors in trauma registry data without returning the data to the submitter.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 349:

Are there formally documented processes for returning rejected data to the collecting entity and tracking resubmission to the statewide trauma registry?

Standard of Evidence:

Provide the formal methodology or describe the process by which rejected data is returned to the collecting agency and tracked through resubmission to the statewide trauma registry.
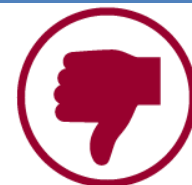
Question Rank:
Very Important

Assessor conclusions:

Currently, there is no process to allow records to be returned. The State is in the process of upgrading the trauma registry system to allow hospitals to submit data to the State repository. Once this functionality is restored, the Department of Public Health (DPH) should investigate re-establishing this practice.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 350:

Are there timeliness performance measures tailored to the needs of trauma registry managers and data users?

Standard of Evidence:

Provide a complete list of timeliness performance measures for the trauma registry and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

Historically, data was required to be submitted quarterly. Since data is not currently being submitted to the State, the timeliness cannot be tracked. When establishing this performance measure, please include current submission rates and establish associated goals.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 351:

Are there accuracy performance measures tailored to the needs of trauma registry managers and data users?

Standard of Evidence:

Provide a complete list of accuracy performance measures for the trauma registry and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The American College of Surgeons has an established accuracy metric for the trauma centers, but these numbers were not available for those facilities. Given the transition of the trauma registry system, they are not available on the State level.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 352:

Are there completeness performance measures tailored to the needs of trauma registry managers and data users?

Standard of Evidence:

Provide a complete list of completeness performance measures for the trauma registry and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

Trauma registry data is collected and maintained at the State's trauma centers. Currently, the data is not being submitted to the State and therefore no performance measures have been established.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 353:

Are there uniformity performance measures tailored to the needs of trauma registry managers and data users?

Standard of Evidence:

Provide a complete list of uniformity performance measures for the trauma registry and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:
The State trauma registry is currently inactive.

Respondents assigned	4	**Responses received**	3	**Response rate**	75%

Question 354:

Are there integration performance measures tailored to the needs of trauma registry managers and data users?

Standard of Evidence:

Provide a complete list of integration performance measures for the trauma registry and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:
Trauma registry data is collected and maintained at the State's trauma centers. Currently, the data is not being submitted to the State and therefore no performance measures have been established.

Respondents assigned	4	**Responses received**	3	**Response rate**	75%

Question 355:

Are there accessibility performance measures tailored to the needs of trauma registry managers and data users?

Standard of Evidence:

Provide a complete list of accessibility performance measures for the trauma registry and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State trauma registry is currently inactive, so it is inaccessible to users. The State has discussed the development of reports and dashboards.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 356:

Has the State established numeric goals—performance metrics—for each trauma registry performance measure?

Standard of Evidence:

Provide specific numeric goals and related performance measures for each attribute as determined by the State.

Question Rank:
Somewhat Important

Assessor conclusions:

No numeric goals have been established to support performance measures for the trauma registry system.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 357:

Is there performance reporting for the trauma registry that provides specific timeliness, accuracy, and completeness feedback to each submitting entity?

Standard of Evidence:

Provide a sample report, list of receiving agencies, and specify frequency of issuance.

Question Rank:
Very Important

Assessor conclusions:

The trauma registry is currently inactive. The State has no performance reporting for the trauma registry data system.

Respondents assigned	5	Responses received	3	Response rate	60%

Question 358:

Are high frequency errors used to update trauma registry training content, data collection manuals, and validation rules?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to update trauma registry training content, data collection manuals, and validation rules.

Question Rank:
Very Important

Assessor conclusions:

Historically, data quality measures were used to update training and data manuals. This practice is expected to be restored with the update of the trauma registry system at the State level.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 359:

Are quality control reviews conducted to ensure the completeness, accuracy, and uniformity of injury data in the trauma registry?

Standard of Evidence:

Provide a sample quality control review of injury records that details the system's data completeness.

Question Rank:
Somewhat Important

Assessor conclusions:

The State performed quality control reviews in the past. Currently the State trauma registry is not functional.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 360:

Are periodic comparative and trend analyses used to identify unexplained differences in the trauma registry data across years and agencies?

Standard of Evidence:

Describe the analyses, provide a sample record or output, and specify their frequency.

Question Rank:
Less Important

Assessor conclusions:

Comparative and trend analyses were performed when the trauma registry data was being submitted to the State. This practice is expected to resume when the trauma registry system is updated.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 361:

Is data quality feedback from key users regularly communicated to trauma registry data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform program changes.

Question Rank:
Somewhat Important

Assessor conclusions:

Feedback from key trauma system users may be collected during monthly State meetings, including the State Trauma Committee.

Respondents assigned	4	Responses received	2	Response rate	50%

Question 362:

Are trauma registry data quality management reports produced regularly and made available to the State TRCC?

Standard of Evidence:

Provide a sample quality management report and specify frequency of transmission to the State TRCC.

Question Rank:
Somewhat Important

Assessor conclusions:

The trauma registry is currently non-functional, so the State is not producing data quality management reports.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 363:

Are there automated edit checks and validation rules to ensure that entered data falls within a range of acceptable values and is logically consistent among data elements?

Standard of Evidence:

Provide the formal methodology or describe the process by which automated edit checks and validation rules ensure entered data falls within the range of acceptable values and is logically consistent among fields.

Question Rank:
Very Important

Assessor conclusions:

Simple validation checks are conducted to assure that the reported sex and cause of death are consistent, and that the reported place of residence components (town name and zip code) are aligned.

Respondents assigned	3	Responses received	3	Response rate	100%

Question 364:

Is limited state-level correction authority granted to quality control staff working with vital records in order to amend obvious errors and omissions without returning the report to the originating entity?

Standard of Evidence:

Provide the formal methodology or describe the process by which limited state-level correction authority is granted to quality control staff working with vital records.

Question Rank:
Somewhat Important

Assessor conclusions:

Any changes that would affect the legal portion of the death certificate must be reported back to the local agency for confirmation. Coding changes for statistical reporting can be made independently.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 365:

Are there formally documented processes for returning rejected data to the collecting entity and tracking resubmission to vital records?

Standard of Evidence:

Provide the formal methodology or describe the process by which rejected data is returned to the collecting agency and tracked through resubmission to vital records.

Question Rank:
Very Important

Assessor conclusions:

Due to the paper-based nature of the death certificate system, no such process is in place. Once the process becomes electronic, that functionality should be available.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 366:

Are there timeliness performance measures tailored to the needs of vital records managers and data users?

Standard of Evidence:

Provide a complete list of timeliness performance measures for vital records and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

Timeliness measures and objectives are outlined by the National Center for Health Statistics (NCHS) to support submission of data to that system. No specific metrics have been identified. The NCHS standards should be used to establish baselines and goals that can be used to track the timeliness of vital record submissions.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 367:

Are there accuracy performance measures tailored to the needs of vital records managers and data users?

Standard of Evidence:

Provide a complete list of accuracy performance measures for vital records and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

No performance measures for the accuracy of the vital records data have been established.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 368:

Are there completeness performance measures tailored to the needs of vital records managers and data users?

Standard of Evidence:

Provide a complete list of completeness performance measures for vital records and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The completeness measures used reportedly conform to the NCHS requirements. Generally, the NCHS provides standards that should be met; these are not a substitute for performance measures which should establish baseline and goal metrics. Periodic measurements can then be taken to track the State's progress to that goal.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 369:

Are there uniformity performance measures tailored to the needs of vital records managers and data users?

Standard of Evidence:

Provide a complete list of uniformity performance measures for vital records and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

No performance measures for the uniformity of the vital records data have been established.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 370:

Are there integration performance measures tailored to the needs of vital records managers and data users?

Standard of Evidence:

Provide a complete list of integration performance measures for vital records and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

Assessor conclusions:

The State has no integration performance measures for vital records data.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 371:

Are there accessibility performance measures tailored to the needs of vital records managers and data users?

Standard of Evidence:

Provide a complete list of accessibility performance measures for vital records and explain how these measures are used to inform decision-making.

Question Rank:
Very Important

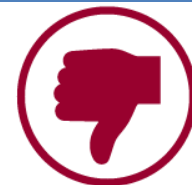**Assessor conclusions:**

No performance measures for the accessibility of the vital records data have been established.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 372:

Has the State established numeric goals—performance metrics—for each vital records performance measure?

Standard of Evidence:

Provide specific numeric goals and related performance measures for each attribute as determined by the State.

Question Rank:
Somewhat Important

Assessor conclusions:

The State reported that there are specific goals for the completeness performance measures, but did not provide the metrics for review.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 373:

Is there performance reporting for vital records that provides specific timeliness, accuracy, and completeness feedback to each submitting entity?

Standard of Evidence:

Provide a sample report, list of receiving agencies, and specify frequency of issuance.

Question Rank:
Very Important

Assessor conclusions:

No specific performance reporting is provided to the submitting agencies other than providing a cross-check of the number of vital records events reported.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 374:

Are high frequency errors used to update vital records training content, data collection manuals, and validation rules?

Standard of Evidence:

Provide the formal methodology or describe the process by which high frequency errors are used to update vital records training content, data collection manuals, and validation rules.

Question Rank:
Very Important

Assessor conclusions:

Reporting errors, when noticed, are handled through personal discussion with the submitting agency. No formal documentation of the process is available.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 375:

Are quality control reviews conducted to ensure the completeness, accuracy, and uniformity of injury data in the vital records?

Standard of Evidence:

Provide a sample quality control review of injury records that details the system's data completeness.

Question Rank:
Somewhat Important

Assessor conclusions:

The State does not perform quality control reviews regarding injury data in the vital records system.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 376:

Are periodic comparative and trend analyses used to identify unexplained differences in the vital records data across years and agencies?

Standard of Evidence:

Describe the analyses, provide a sample record or output, and specify their frequency.

Question Rank:
Less Important

Assessor conclusions:

Trend analyses are reportedly conducted, but no examples were available for review.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 377:

Is data quality feedback from key users regularly communicated to vital records data collectors and data managers?

Standard of Evidence:

Describe the process for transmitting and utilizing key users' data quality feedback to inform program changes.

Question Rank:
Somewhat Important

Assessor conclusions:

Data quality feedback is occasionally received from key users, but the State has no process for receiving vital records data system feedback on a regular basis.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 378:

Are vital records data quality management reports produced regularly and made available to the State TRCC?

Standard of Evidence:

Provide a sample quality management report and specify frequency of transmission to the State TRCC.

Question Rank:
Somewhat Important

Assessor conclusions:

Vital records data quality management reports are not made available to the TRCC.

Respondents assigned	2	Responses received	1	Response rate	50%

Data Use and Integration

The Connecticut traffic records community has begun to develop integrated data resources. Foremost among these is the Connecticut Crash Data Repository (CDR) housed at the University of Connecticut. In addition to providing access to the crash data, fact sheets, and reports, the CDR contains an integrated crash and roadway databases providing users with access to additional roadway elements such as annual average daily traffic (AADT), number of lanes, and urban/rural designation of roadway. The CDR is available to program managers, policy and decision-makers, and the public. Additionally, the crash file has been integrated with injury surveillance data. This integrated database has been used for a number of traffic safety projects including supporting child safety seat legislation and an analysis of motorcycle crashes.

There are several databases which remain un-integrated from the crash file, thus reducing their effectiveness for traffic safety. Among these are the driver, vehicle, and citation databases. A useful tool for promoting data integration activities is a data governance policy. Connecticut's current governance policy should be expanded beyond the crash and citation systems to include all components of traffic records. Another useful tool for aiding data linkage activities is a Traffic Records System Inventory. Connecticut's current Inventory lists all data sources and custodians, but lacks a number of items contained in the Advisory ideal. The Traffic Records Coordinating Committee's (CT-TRCC) active role in current data integration activities makes it the ideal body to pursue updating these two documents and lead future integration efforts.

Question 379:	
Do behavioral program managers have access to traffic records data and analytic resources for problem identification, priority setting, and program evaluation?	

Standard of Evidence:	
Identify the data source(s), (crash, roadway, driver, vehicle, citation adjudication, injury surveillance), discuss and provide examples of program specific analysis (e.g., reports, fact sheets, web pages, ad hoc analyses.	**Question Rank:** Very Important

Assessor conclusions:

Highway Safety Office (HSO) managers are responsible for evaluating projects in their program areas and the HSO publishes an annual Highway Safety Plan. HSO managers have access to the crash data repository and have used the data to analyze distracted driving and other topics.

Respondents assigned	**2**	**Responses received**	**1**	**Response rate**	**50%**

Question 380:

Does the State have a data governance process?

Standard of Evidence:

Provide a narrative detailing the State's data governance process, identifying the personnel involved and describing how it supports traffic safety data integration and formal data quality management.

Question Rank:
Somewhat Important

Assessor conclusions:

A data governance policy is in place for the crash and citation systems. Additional components of the traffic records system will be addressed in the coming year.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 381:

Does the State have a formal traffic records system inventory that identifies linkages useful to the State and data access policies?

Standard of Evidence:

Provide a copy of the system inventory specifying all traffic records data sources, system custodians, data elements and attributes, linkage variables, linkages useful to the State, and data access policies.

Question Rank:
Very Important

Assessor conclusions:

The State has compiled a partial inventory of its available traffic records data system components. The inventory includes the sources and data custodians, but does not provide the details of the individual data systems themselves. The completion of this assessment should provide a number of those documents.

Respondents assigned	2	Responses received	2	Response rate	100%

Question 382:

Does the TRCC promote data integration by aiding in the development of data governance, access, and security policies for integrated data?

Standard of Evidence:

Identify, with appropriate citations, the TRCC strategic plan sections that demonstrate the promotion of data integration.

Question Rank:
Somewhat Important

Assessor conclusions:

The TRCC has formed a Data Integration subcommittee that is working to develop a long range plan that would provide a roadmap for linking the State's traffic records system components. Memorandums of Understanding (MOUs) are under development for agency review.

Respondents assigned	1	Responses received	1	Response rate	100%

Question 383:

Is driver data integrated with crash data for specific analytical purposes?

Standard of Evidence:

Document an integrative crash-driver link, the linkage variables, and example analysis, and the frequency of linkage. Example analyses could include an assessment of graduated drivers' license (GDL) law effectiveness or of crash risk associated with motorcycle rider training, licensing, and behavior.

Question Rank:
Very Important

Assessor conclusions:

An MOU is being developed with the Department of Motor Vehicles (DMV) to collect and house the data, but the driver and crash data are not integrated.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 384:

Is vehicle data integrated with crash data for specific analytical purposes?

Standard of Evidence:

Document an integrative crash-vehicle link, the linkage variables, and example analysis, and the frequency of linkage. Example analyses could include crash trends among vehicle types or vehicle weight restriction by road classification.

Question Rank:
Very Important

Assessor conclusions:

Data integration activities are being led by the University of Connecticut. An MOU is under development to establish a 'data warehouse' that would facilitate linkage between the vehicle and crash data.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 385:

Is roadway data integrated with crash data for specific analytical purposes?

Standard of Evidence:

Document an integrative crash-roadway link, the linkage variables, and example analysis, and the frequency of linkage. Example analyses could include the identification of high crash locations and locations with similar roadway attributes or an assessment of engineering countermeasures' effectiveness.

Question Rank:
Very Important

Assessor conclusions:

The roadway and crash databases are integrated. Key elements added to the crash database are annual average daily traffic (AADT), the urban/rural designation or roadway, and the number of travel lanes.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 386:

Is citation and adjudication data integrated with crash data for specific analytical purposes?

Standard of Evidence:

Document an integrative crash-citation or adjudication link, the linkage variables, and example analysis, and the frequency of linkage. Example analyses could include an assessment of the relationship between illegal actions and crashes for specific driver subpopulations (e.g., older drivers) or of crash-involved DUI offenders' adjudications.

Question Rank:
Very Important

Assessor conclusions:

Citation and adjudication data are not integrated with the crash data. MOUs are being developed to facilitate this process.

Respondents assigned	3	Responses received	2	Response rate	66.7%

Question 387:

Is injury surveillance data integrated with crash data for specific analytical purposes?

Standard of Evidence:

Document an integrative crash-injury surveillance link, the linkage variables, and example analysis, and the frequency of linkage. Example analyses could include injury outcomes by specific crash type or injuries associated with occupant protection.

Question Rank:
Very Important

Assessor conclusions:

The injury surveillance and crash databases have been integrated for specific projects. The integrated database was used to support the child passenger safety law and to analyze motorcycle crashes.

Respondents assigned	4	Responses received	3	Response rate	75%

Question 388:

Are there examples of data integration among crash and two or more of the other component systems?

Standard of Evidence:

Document an integrative link among crash and multiple data systems, the linkage variables, and example analysis, and the frequency of linkage. Example analyses could include an assessment of the safety impact of differential speed limits for different vehicle types.

Question Rank:
Somewhat Important

Assessor conclusions:

The crash database has not been integrated with two or more other components of the traffic records system.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 389:

Is data from traffic records component systems—excluding crash—integrated for specific analytical purposes?

Standard of Evidence:

Document an integrative link using at least two traffic record component systems excluding the crash system. Include the systems, their linkage variables, example analysis, and the frequency of linkage. Example analyses could include an assessment of recidivism among specific driver populations.

Question Rank:
Somewhat Important

Assessor conclusions:

To date, all linkages of the traffic records data systems have included crash data. No linkages have been attempted between the other data systems.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 390:

Do decision-makers have access to resources—skilled personnel and user-friendly access tools—for the use and analysis of integrated datasets?

Standard of Evidence:

Identify the analytical resources available: personnel, software, or online resources. Specify the decision-makers who have access to these resources.

Question Rank:
Somewhat Important

Assessor conclusions:

Decision-makers have access to the Connecticut Crash Data Repository. Data in the repository have been integrated to limited roadway information (number of lanes, AADT, and rural/urban designation). The Connecticut Transportation Safety Research Center also has three full-time staff members that are available to respond to requests for data and can produce custom reports in response to the data requests.

Respondents assigned	2	Responses received	1	Response rate	50%

Question 391:

Does the public have access to resources—skilled personnel and user-friendly access tools—for the use and analysis of integrated datasets?

Standard of Evidence:

Identify the analytical resources available to the public: personnel, software, or online resources. Specify how the public has access to these resources.

Question Rank:
Somewhat Important

Assessor conclusions:

The public have access to the Connecticut Crash Data Repository. Data in the repository have been integrated to limited roadway information (number of lanes, AADT, and rural/urban designation).The Connecticut Transportation Safety Research Center also has three full-time staff members that are available to respond to requests for data and can produce custom reports.

Respondents assigned	2	Responses received	1	Response rate	50%

Appendix A

Assessment Participants

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State and Local Respondents

The following State and Local staff assisted in the Assessment by providing responses to the Advisory criteria and questions.

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Appendix B

National Acronyms and Abbreviations

AADT	Average Annual Daily Traffic
AAMVA	American Association of Motor Vehicle Administrators
AASHTO	American Association of State Highway and Transportation Officials
ACS	American College of Surgeons
AIS	Abbreviated Injury Score
ANSI	American National Standards Institute
ATSIP	Association of Transportation Safety Information Professionals
BAC	Blood Alcohol Concentration
CDC	Center for Disease Control
CDIP	NHTSA's Crash Data Improvement Program
CDLIS	Commercial Driver License Information System
CODES	Crash Outcome Data Evaluation System
DDACTS	Data Driven Approaches to Crime and Traffic Safety
DHS	Department of Homeland Security
DMV	Department of Motor Vehicles
DPPA	Drivers Privacy Protection Act
DOH	Department of Health
DOJ	Department of Justice
DOT	Department of Transportation
DOT-TRCC	The US DOT Traffic Records Coordinating Committee
DRA	Deputy Regional Administrator (NHTSA)
DUI	Driving Under the Influence
DUID	Driving Under the Influence of Drugs
DWI	Driving While Intoxicated
ED	Emergency Department
EMS	Emergency Medical Service
FARS	Fatality Analysis Reporting System
FDEs	Fundamental Data Elements
FHWA	Federal Highway Administration
FMCSA	Federal Motor Carrier Safety Administration
GCS	Glasgow Coma Scale
GDL	Graduated Driver Licensing
GES	General Estimates System
GHSA	Governors Highway Safety Association
GIS	Geographic Information System
GJXDM	Global Justice XML Data Model
GPS	Global Positioning System
GRA	Government Reference Architecture
HIPAA	Health Information Privacy and Accountability Act
HPMS	Highway Performance Monitoring System
HSIP	Highway Safety Improvement Plan
HSP	Highway Safety Plan

ICD-10	International Classification of Diseases and Related Health Problems
IRB	Institutional Review Board
ISS	Injury Severity Score
IT	Information Technology
JIEM	Justice Information Exchange Model
LEIN	Law Enforcement Information Network
MADD	Mothers Against Drunk Driving
MCMIS	Motor Carrier Management Information System
MIDRIS	Model Impaired Driving Records Information System
MIRE	Model Inventory of Roadway Elements
MMUCC	Model Minimum Uniform Crash Criteria
MOU	Memorandum of Understanding
MPO	Metropolitan Planning Organization
NAPHSIS	National Association for Public Health Statistics and Information Systems
NCHIP	National Criminal History Improvement Program
NCHS	National Center for Health Statistics
NCIC	National Crime Information Center
NCSC	National Center for State Courts
NDR	National Driver Register
NEMSIS	National Emergency Medical Service Information System
NGA	National Governor's Association
NHTSA	National Highway Traffic Safety Administration
NIBRS	National Incident-Based Reporting System
NIEM	National Information Exchange Model
NLETS	National Law Enforcement Telecommunication System
NMVTIS	National Motor Vehicle Title Information System
NTDS	National Trauma Data Standard
PAR	Police Accident Report
PDPS	Problem Driver Pointer System
PDO	Property Damage Only
PII	Personally Identifiable Information
RA	Regional Administrator (NHTSA)
RDIP	FHWA's Roadway Data Improvement Program
RPM	Regional Program Manager (NHTSA)
RTS	Revised Trauma Score
RMS	Records Management System
RPC	Regional Planning Commission
SaDIP	FMCSA's Safety Data Improvement Program
SAVE	Systematic Alien Verification for Entitlements
SHSP	Strategic Highway Safety Plan
SME	Subject Matter Expert
SSOLV	Social Security Online Verification
STRAP	State Traffic Records Assessment Program
SWISS	Statewide Injury Surveillance System
TCD	Traffic Control Devices
TRA	Traffic Records Assessment
TRIPRS	Traffic Records Improvement Program Reporting System
TRCC	Traffic Records Coordinating Committee
TRS	Traffic Records System

UCR	Uniform Crime Reports
VIN	Vehicle Identification Number
VMT	Vehicle Miles Traveled
XML	Extensible Markup Language

State-Specific Acronyms and Abbreviations

ATSIP	Association of Transportation Safety Information Professionals
BLS	Basic Life Support
CATER	Connecticut Administrative Technology Center
CDR	Crash Data Repository
CHA	Connecticut Hospital Association
CIVLS	Connecticut Integrated Vehicle and Licensing System
COLLECT	Connecticut On-Line Law Enforcement Communications Teleprocessing
CT-TRCC	Connecticut Traffic Records Coordinating Committee
CTDOT	Connecticut Department of Transportation
DAS/BEST	Department of Administrative Services/Bureau of Enterprise Systems and Technology
DDACTS	Data-Driven Approaches to Crime and Traffic Safety
DMV	Department of Motor Vehicles
DPH	Department of Public Health
HSP	Highway Safety Plan
OIS	Office of Information Services
RIS	Roadway Information System
TED	Transportation Enterprise Database
TIG	Transportation Intelligence Gateway
TQIP	Trauma Quality Improvement Program
UCONN	University of Connecticut