

CRIMINAL JUSTICE INFORMATION SYSTEMS CJIS



CONNECTICUT CRIMINAL JUSTICE
CROSS-TRAINING CONFERENCE

STATE OF CONNECTICUT – CJIS GOVERNING BOARD
PRESENTED BY: LINDA DECONTI, OFFICE OF POLICY AND MANAGEMENT
MARCH 2010



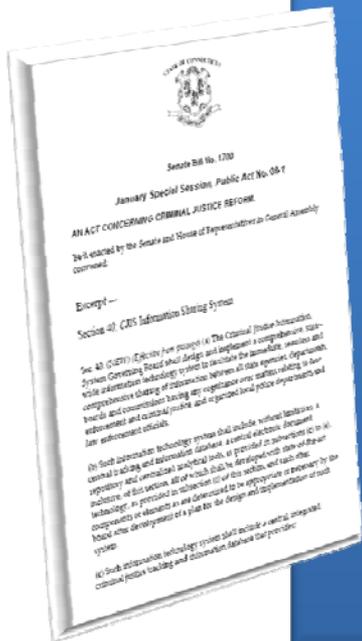
STATE OF CONNECTICUT CJIS GOVERNING BOARD

PUBLIC ACT 08-01, JANUARY 2008 SPECIAL SESSION

- Co-chaired by **Lt. Governor Fedele** and **Judge Carroll** (Deputy Chief Court Administrator designee).

The CJIS Governing Board:

- Appointed **Executive Director, Sean Thakkar** September 2008 to oversee the design and implementation of a state-wide, comprehensive information technology system for criminal justice.
- Establishes **direction and policy** on justice information supportive of law enforcement and court functions involving apprehension, adjudication, incarceration, and supervision.
- Prepares **periodic progress reports** on the design and implementation of IT system as specified in statute.
- Meets **quarterly** or at the discretion of the co-chairs.





STATE OF CONNECTICUT

CJIS GOVERNING BOARD

CJIS GOVERNING BOARD MEMBERS

- 
- **Chairpersons** and ranking members of the Joint Standing **Judiciary Committee** of the General Assembly
 - **Judicial Branch (JUD)**, Office of the Chief Court Administrator
 - Department of Public Safety (DPS), Division of **State Police**
 - **Division of Criminal Justice (DCJ)**, Office of the Chief State's Attorney
 - Department of **Motor Vehicles (DMV)**
 - Division of **Public Defender (DPD)** Services, Office of the Chief Public Defender
 - Department of **Correction (DOC)**
 - Board of **Pardons and Paroles (BOPP)**
 - Office of **Victim Advocate (OVA)**
 - **Connecticut Police Chiefs Association (CPCA)**
 - Department of **Emergency Management & Homeland Security (DEMHS)**
 - Department of Information Technology (DOIT)
 - Office of Policy and Management (OPM)

THREE (3) MAJOR INITIATIVES



The CJIS Governing Board oversees three (3) major initiatives:

1. **Connecticut Information Sharing System (CISS)** to be created as specified in Section 40 of Public Act 08-01.
2. **Offender Based Tracking System (OBTS)** currently in production.
3. **Connecticut Impaired Driving Records Information System (CIDRIS)** under development.



CONNECTICUT INFORMATION SHARING SYSTEM **CISS**



Connecticut's criminal justice community consists of **11 agencies** with **23,000 staff**, using **53 information systems**.

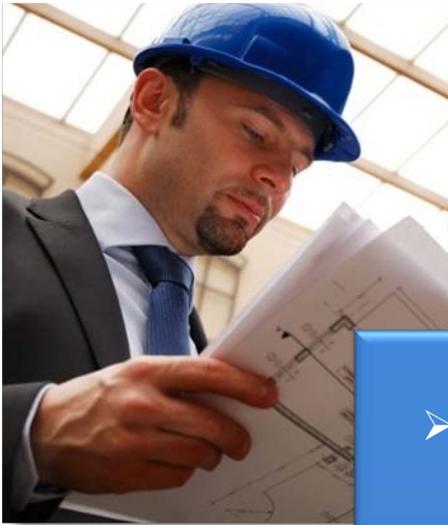
Current justice information-sharing efforts are **manual** or, in a few cases, **limited to two-agency** connections rather than a methodical system-wide initiative.

Each agency has different, yet interdependent, business processes and information needs. Several processes require duplicate data entry by multiple agencies.



CISS

CISS



STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

CISS KEYPOINTS

- What are we procuring with the CISS RFP?
 - Portal
 - Messaging/Information Transport
 - Master Index/Data Staging
 - Electronic Content Management
 - Security
 - Services
- CISS focuses on moving and making information available.
- CISS is not replacing agency systems.
- CISS will provide a data repository for law enforcement reports where DCJ can determine whether, to what extent, and when such reports or the information should be shared with other entities through a staging area and/or an Electronic Content Management system.



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CJIS GOVERNING BOARD

CISS BUSINESS STAKEHOLDERS

- **Chairpersons** and ranking members of the Joint Standing **Judiciary Committee** of the General Assembly
- **Judicial Branch (JUD)**, Office of the Chief Court Administrator
- Department of Public Safety (DPS), Division of **State Police**
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CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

CISS GOALS & OBJECTIVES

- CISS will **improve information sharing** throughout the state's criminal justice community.
- CISS will result in **increased public and officer safety by providing additional and improved information** to staff.
- CISS will **enhance business efficiency by increasing the velocity of information exchanged** electronically between agencies in a safe and secure manner.

These capabilities will benefit society by reducing recidivism, aiding reentry programs, reducing delays in the justice process, and improving overall public safety in Connecticut's communities.



STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

CISS TIMETABLE FOR IMPLEMENTATION

Start DATE	Completion DATE	EVENT
JUN 2008	JUN 2008	Passage of P.A. 08-01: AN ACT CONCERNING CRIMINAL JUSTICE REFORM
SEP 2008	SEP 2008	CJIS Executive Director Hired; CJIS BluePrint Project Initiated
ASSESSMENT AND ANALYSIS		
SEP 2008	APR 2009	CJIS BluePrint: As-Is Business/Logical Model Report delivered
SEP 2008	MAY 2009	CJIS BluePrint: To-Be Business/Logical Model Report delivered
SEP 2008	JUL 2009	CJIS BluePrint: GAP Analysis Report delivered
SEP 2008	NOV 2009	CJIS BluePrint: System Requirements Report delivered
PROCUREMENT		
JAN 2010	JUL 2010	RFP for CT Information Sharing System (CISS) Drafted
BUILD-OUT/IMPLEMENTATION		
JUL 2010	OCT 2012	Hardware Acquisition
OCT 2011	DEC 2012	Development of CISS Framework
OCT 2011	MAR 2012	Middleware Implementation
OCT 2012	SEP 2014	Electronic Content Management Server (ECMS)
FEB 2011	JUN 2015	Agency Connections
FEB 2011	JUN 2015	Exchange Groups



STATE OF CONNECTICUT

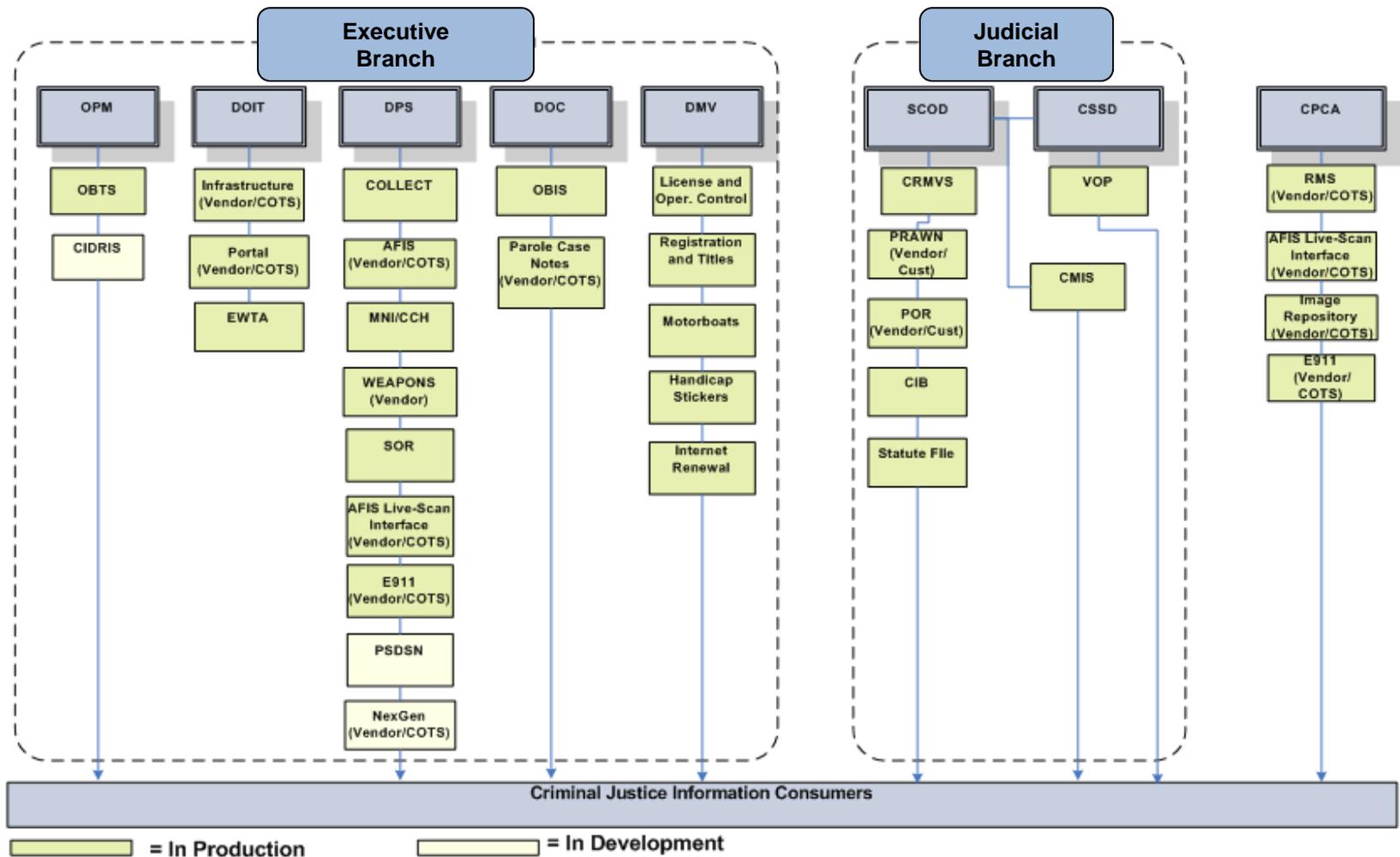
CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

CISS: FOCUS ON THE BLUE PRINT PROJECT

Start DATE	Completion DATE	EVENT
JUN 2008	JUN 2008	Passage of P.A. 08-01: AN ACT CONCERNING CRIMINAL JUSTICE REFORM
SEP 2008	SEP 2008	CJIS Executive Director Hired; CJIS BluePrint Project Initiated
ASSESSMENT AND ANALYSIS		
SEP 2008	APR 2009	CJIS BluePrint : AS-IS Business/Logical Model Report delivered
SEP 2008	MAY 2009	CJIS BluePrint : TO-BE Business/Logical Model Report delivered
SEP 2008	JUL 2009	CJIS BluePrint : GAP Analysis Report delivered
SEP 2008	NOV 2009	CJIS BluePrint : System Requirements Report delivered

STATE OF CONNECTICUT CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

AS-IS: IDENTIFY SYSTEMS & APPLICATIONS BY AGENCY





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CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

AS-IS: SYSTEMS & APPLICATIONS BY AGENCY

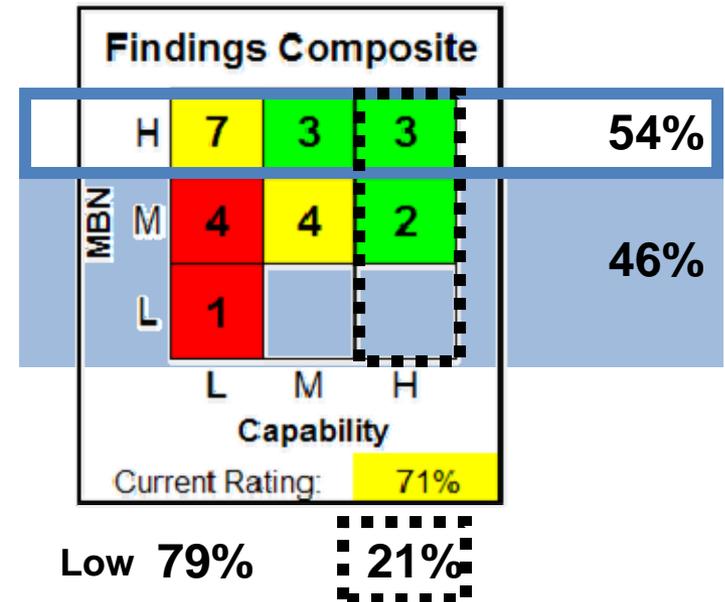
	AGENCY	STAFF	SYSTEMS
1	Judicial Branch (JUD), Superior Court Operations (SCOD)	4,364	7
2	Judicial Branch (JUD), Court Support Services Division (CSSD)		
3	Department of Public Safety (DPS), Division of State Police	1,700	9
4	Division of Criminal Justice (DCJ)	850	0
5	Department of Motor Vehicles (DMV)	820	5
6	Division of Public Defender (DPD) Services	400	0
7	Department of Correction (DOC)	7,000	1
8	Board of Pardons and Paroles (BOPP)	55	1
9	Office of Victim Advocate (OVA)	4	0
10	Connecticut Police Chiefs Association (CPCA)	8,250	30
11	Department of Emergency Mgmt & Homeland Security (DEMHS)	62	0
	TOTAL	23,505	53
	Department of Information Technology (DOIT)		
	Office of Policy and Management (OPM)		

STATE OF CONNECTICUT CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

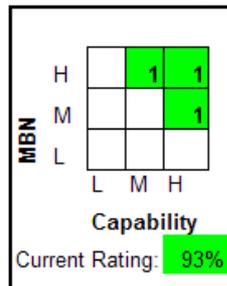
AS-IS: ASSESS TECHNOLOGY & APPLICATION ENVIROMENTS

Structured Methodology

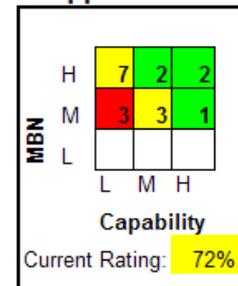
- **Meets Business Needs (MBN)**
 - This measures how well the facet contributes to meeting the business operational needs of the users.
- **Capability**
 - This gauges how well the facet performs its present function and how likely it is that the facet will continue to perform in a changing technology environment.



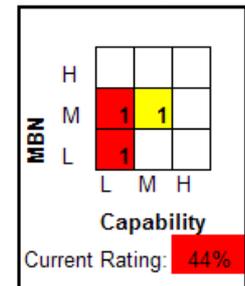
1. Infrastructure



2. Applications



3. Interfaces



STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

AS-IS: IDENTIFY BUSINESS INFORMATION NEEDS BY AGENCY

Information Needs	DPS	JUD	DCJ	DPD	DOC	BOPP	DMV	OVA	DEMHS	LAW
Person Data	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Biometric/DNA Identifiers	✓	✓	✓		✓	✓	✓		✓	✓
Booking Photos	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Warrant Status	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Criminal History	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Personal Contact Information	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Sex Offender Information	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Police Reports – Arrest	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Police Reports – Other	✓	✓	✓					✓		
Vehicle Information	✓		✓				✓			✓
Traffic Arrest Information	✓						✓			✓
NCIC/Nlets Information	✓	✓	✓				✓		✓	✓
Traffic Accident Information	✓						✓			✓
Address Incident History Information	✓	✓	✓	✓	✓	✓	✓	✓	✓	✓
Prosecution Charging Decisions	✓	✓		✓				✓		✓
Discovery Information				✓						
Court Data	✓		✓	✓	✓	✓	✓	✓		✓
Restraining/Protective Orders	✓	✓	✓	✓	✓	✓	✓	✓		✓
Presentence Report		✓	✓	✓	✓	✓	✓	✓		
Court Dispositions	✓			✓	✓			✓		✓
Incarceration Status	✓	✓	✓	✓				✓	✓	✓
Detailed DOC Custody Information			✓	✓						✓
Out-of-State Offender Information					✓					
Offender Information and History From BICE					✓					
DOC Photos	✓	✓	✓	✓		✓	✓	✓	✓	✓
Probation Status/Information	✓	✓	✓	✓	✓		✓		✓	✓
Parole Status/Information	✓	✓	✓	✓	✓			✓		✓
Firearms Registry Information	✓	✓	✓	✓			✓	✓	✓	✓
Evidence/Property Information	✓	✓	✓	✓		✓				✓

Person

Identifiers

Event

Property

STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

AS-IS: “MODEL” INFORMATION EXCHANGES

SENDING

CONDITIONS

RECEIVING

Exchange Number	Exchange Label	Sending Agency	Prevailing Process	Triggering Event	Conditions	Documents	Receiving Agencies	Subsequent Process	Subsequent Event
16.01.01	OVA requests court documents from Court Operations, Probation and Victim Services	Office of Victim Advocate	Post-disposition Court	Victim Request		Request for Case Report	Court Operations Victim Services Probation – CSSD	Post-disposition Court	Records Query
16.01.03	Court Operations sends requested case documents to OVA	Court Operations	Post-disposition Court	Records Query		Case Report	Office of Victim Advocate	Post-disposition Court	Update Case File
16.01.05	Victim Services sends requested case documents to OVA	Victim Services	Post-disposition Court	Records Query		Case Report	Office of Victim Advocate	Post-disposition Court	Update Case File
16.01.07	Probation sends requested case documents to OVA	Probation – CSSD	Post-disposition Court	Records Query		Case Report	Office of Victim Advocate	Post-disposition Court	Update Case File
16.02.01	OVA requests arrest report from Law	Office of Victim Advocate	Post-disposition Court	Victim Request	if no condition specified	Request for Arrest Report	Law	Post-disposition Court	Records Query
16.02.25	Law sends requested arrest report to OVA	Law	Post-disposition Court	Records Query		Arrest Reports	Office of Victim Advocate	Post-disposition Court	Update Case File
14.01.01	DCJ requests criminal history from DPS	Division of Criminal Justice	Pre-disposition Court	Open Case	if subject is an adult if subject is a youthful offender	Criminal History Query	State Repository – DPS	Pre-disposition Court	Records Query
14.01.03	DPD requests criminal history from DPS	Division of Public Defender Services	Pre-disposition Court	Open Case	if subject is an adult if subject is a youthful offender	Criminal History Query	State Repository – DPS	Pre-disposition Court	Records Query
14.01.05	State repository sends criminal history to DCJ	State Repository – DPS	Pre-disposition Court	Records Query	if subject is an adult if subject is a youthful offender	Criminal History	Division of Criminal Justice	Pre-disposition Court	Update Case File
14.01.07	State repository sends criminal history to DCJ	State Repository – DPS	Pre-disposition Court	Records Query	if subject is an adult if subject is a youthful offender	Criminal History	Division of Public Defender Services	Pre-disposition Court	Update Case File
14.02.01	DMV notifies Court, DCJ and DPD of a restored driver license	Department of Motor Vehicles	Pre-disposition Court	Restoration of Driver License	if subject is a defendant in an active criminal case	Driver & Vehicle Status	Court Operations Division of Criminal Justice Division of Public Defender Services	Pre-disposition Court	Update Case File
11.09.01	DPD queries OBTS for an offender history	Division of Public Defender Services	Investigation	Records Query	if agency desires a copy of subject's offender history	Offender History Query	CJIS / OBTS	Investigation	Query Response



STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

AS-IS: IDENTIFY INFORMATION EXCHANGES

	AGENCY	SENDING	RECEIVING	TOTAL	
1	JUD SCOD	141	72	213	25%
2	JUD CSSD	29	34	63	7%
3	DPS	12	39	51	6%
4	DCJ	47	52	99	12%
5	DMV	19	32	51	6%
6	DPD	18	22	40	5%
7	DOC	41	49	90	11%
8	BOPP	24	19	43	5%
9	CPCA/LAW	61	53	114	13%
10	OVA	18	35	53	6%
11	DEMHS				
	CJIS/OBTS	13	15	28	3%
	FBI	0	3	3	0%



STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

TO-BE: PRIORITIZING INFORMATION EXCHANGES

Initial IE group recommended based on (updated on 2/13/2010):

- Criticality – Exchanges that are critical to making 08-01 a reality or to essential public safety issues.
- Complexity – Exchanges that provide a balance of complex and simple exchanges for the initial grouping.
- Benefit – Exchanges that provide a high level of benefit to the CJIS community.
- Involvement – Exchanges that ensure that most agencies are included with the first series of exchange development.
- Foundational – Exchanges that can be used in support of the other follow-on exchanges, for example, re-usable exchanges.
- Volume – Exchanges that have a high volume that may or may not have a large benefit but provide a large amount of information.



STATE OF CONNECTICUT

CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

TO-BE: PRIORITIZING INFORMATION EXCHANGES

Information Exchanges (IE) will be implemented in groups and vetted with Business Partners throughout the CISS implementation timeline.

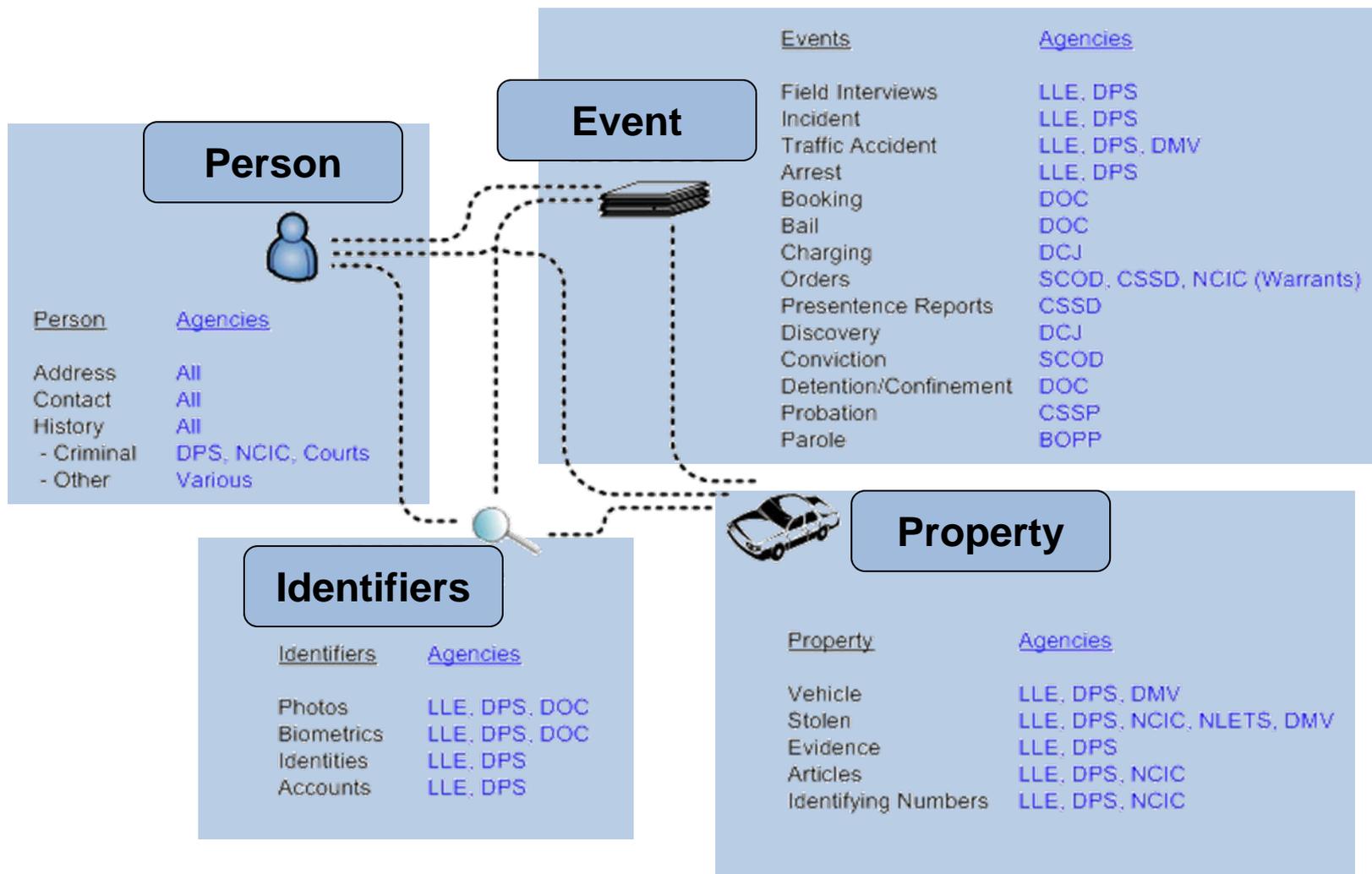
The process for prioritizing is dynamic!

- Criticality
- Following the Process
- Simplicity/Visibility
- Foundational Exchanges

IEs groups are flexible and will change over time.

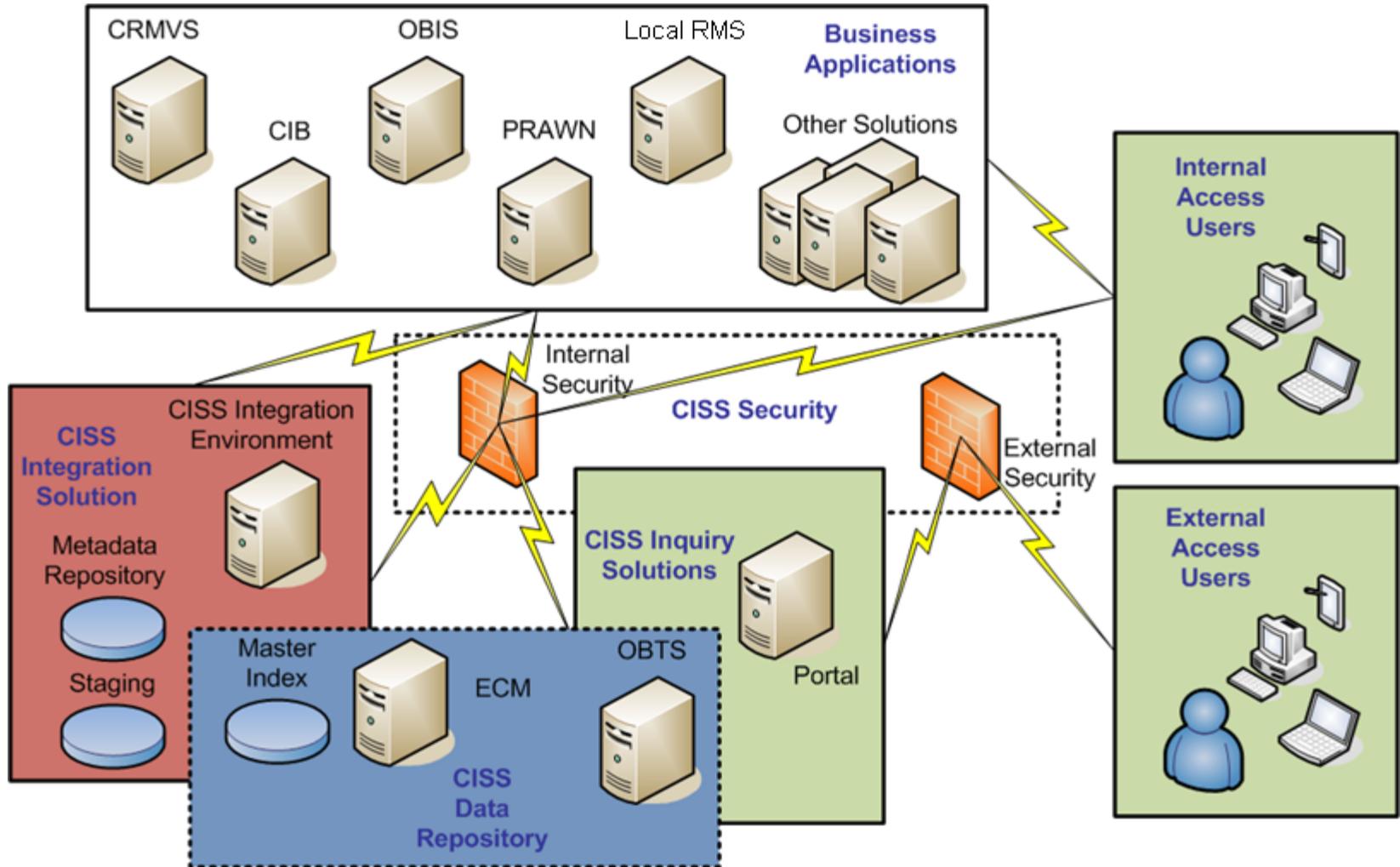
STATE OF CONNECTICUT CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

TO-BE: INFORMATION LOCATION & NEEDS DIAGRAM



STATE OF CONNECTICUT CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

TO-BE: LOGICAL TECHNOLOGY MODEL



STATE OF CONNECTICUT CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

GAP ANALYSIS: AS-IS “IN-PLACE” VERSUS TO-BE “VISION”

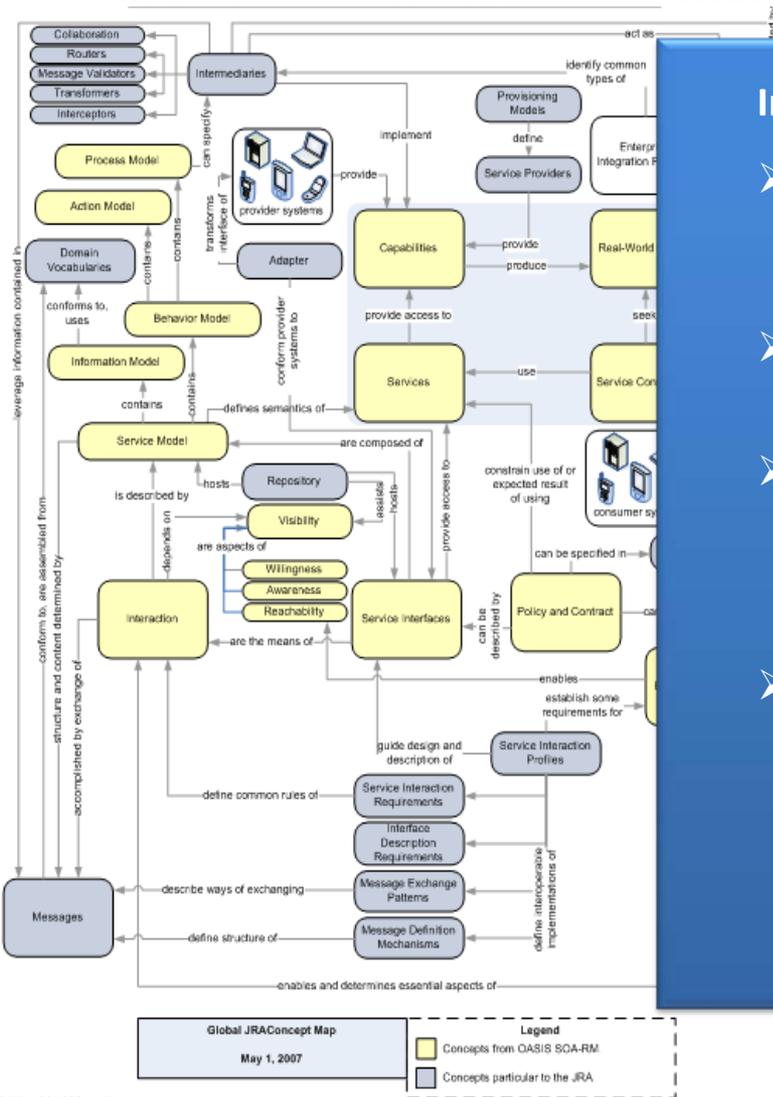
An comprehensive evaluation of the As-Is Business Logical Model AND To-Be Business Logical Model

- Agency Business Gaps
- CISS Business Gaps
- Functional Gaps
- Application Gaps
- Technology Gaps

Agency Business Functions	Gaps		
	Significant	Moderate	Minor
Agency Processes		■	
Agency Information Needs		■	
Agency Participation			■
Agency Staffing	■		
Complete Agency Solutions	■		
Agency Data-Sharing Policies		■	
Complete, Accurate, and Timely Information		■	
CISS Business Functions	Gaps		
	Significant	Moderate	Minor
Governance			■
Enterprise Processes			■
CISS Staffing	■		
Enterprise Data-Sharing Policies	■		
System Boundaries			■
Justice Information Exchange Model (JIEM) Maintenance		■	
System Standards			■
Justice Partner Coordination		■	

STATE OF CONNECTICUT CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

SYSTEMS REQUIREMENTS: NEW TECHNOLOGY ENVIRONMENT



Implementation Schedule

- **Phase 1** – Searchable, service-based, portal interface for criminal justice information done by June 30, 2010.
- **Phase 2** – Messaging configured and tested by December 31, 2010.
- **Phase 3** – Agency-to-agency messaging implemented by June 30, 2011, with priority information exchanges implemented.
- **Phase 4** – Additional messaging supporting defined information exchanges implemented in 6-month increments beginning in December 2011.



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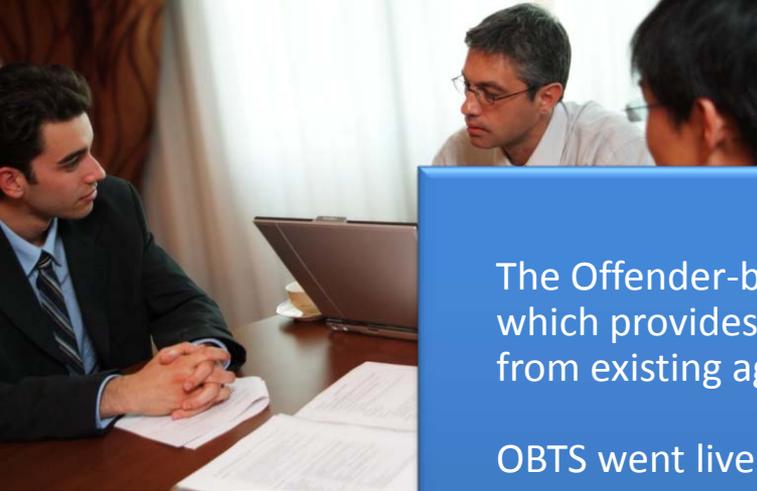
CONNECTICUT INFORMATION SHARING SYSTEM (CISS)

NEXT STEPS

- Convert the CISS effort to SDM
- Achieve SDM compliance on the CISS RFP
- DOIT publishing the CISS RFP
- Provider evaluation and selection
- Contracting with Provider
- Implement CISS



OFFENDER BASED TRACKING SYSTEM **OBTS**



The Offender-based tracking system (OBTS) is an information system which provides a **repository of Adult offender, case, and arrest data** from existing agency criminal justice information systems.

OBTS went live in July 2004.

OBTS contains over 3 million rows of Adult Offender information.

OBTS processes about 30,000 events per day.

There have been multiple releases and over 3,000 users have been trained.



OBTS

STATE OF CONNECTICUT OFFENDER-BASED TRACKING SYSTEM (OBTS)

OBTS OVERVIEW

Why was OBTS developed?

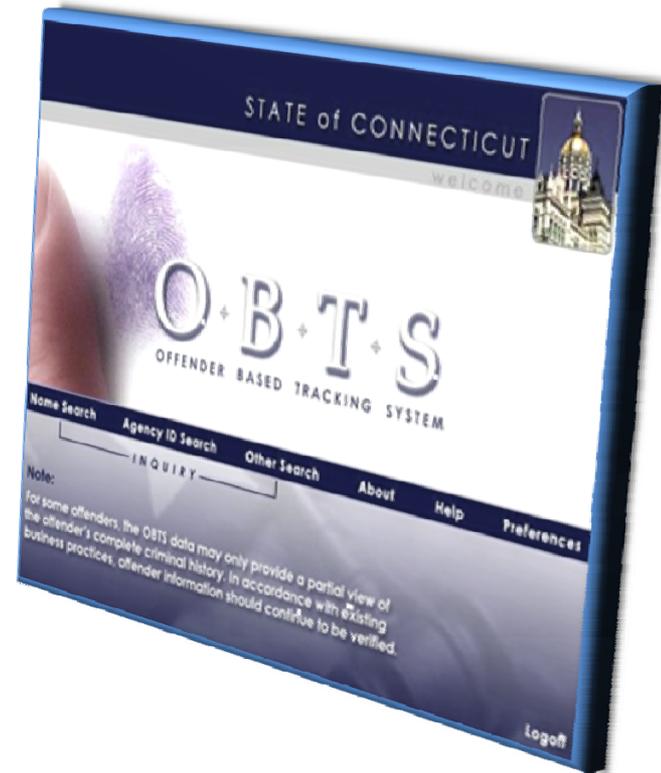
To provide a Single Repository for Investigation and Research

Who uses OBTS?

Customers can be categorized into three governmental levels: State, Local and Federal

How to Access OBTS?

Registration process with security and permissions assigned by roles. Users must be approved and certified by passing a training class.



[HTTP://WWW.CJIS.CT.GOV](http://www.cjis.ct.gov)



STATE OF CONNECTICUT OFFENDER-BASED TRACKING SYSTEM (OBTS)

HOW IS OBTS DIFFERENT FROM CISS

- OBTS was one of the **first solutions to attempt statewide** access and use information across the justice system. OBTS provides information to users seeking specific searches from the data stored in OBTS.
- OBTS is designed and implemented as a data collection and **warehouse** solution, **not an information exchange** solution.
- OBTS **will not scale** to meet these information-sharing needs.
- OBTS will be **absorbed into CISS** and expanded upon.

CISS will facilitate the exchange of data electronically between agencies and provide information to criminal justice partners when needed.



STATE OF CONNECTICUT OFFENDER-BASED TRACKING SYSTEM (OBTS)

OBTS CONTRIBUTORS/STAKEHOLDERS

- **Chairpersons** and ranking members of the Joint Standing **Judiciary Committee** of the General Assembly

- **Judicial Branch (JUD)**, Office of the Chief Court Administrator

- Department of Public Safety (DPS), Division of **State Police**

- **Division of Criminal Justice (DCJ)**, Office of the Chief State's Attorney

- Department of **Motor Vehicles (DMV)**

- Division of **Public Defender (DPD)** Services, Office of the Chief Public Defender

- Department of **Correction (DOC)**

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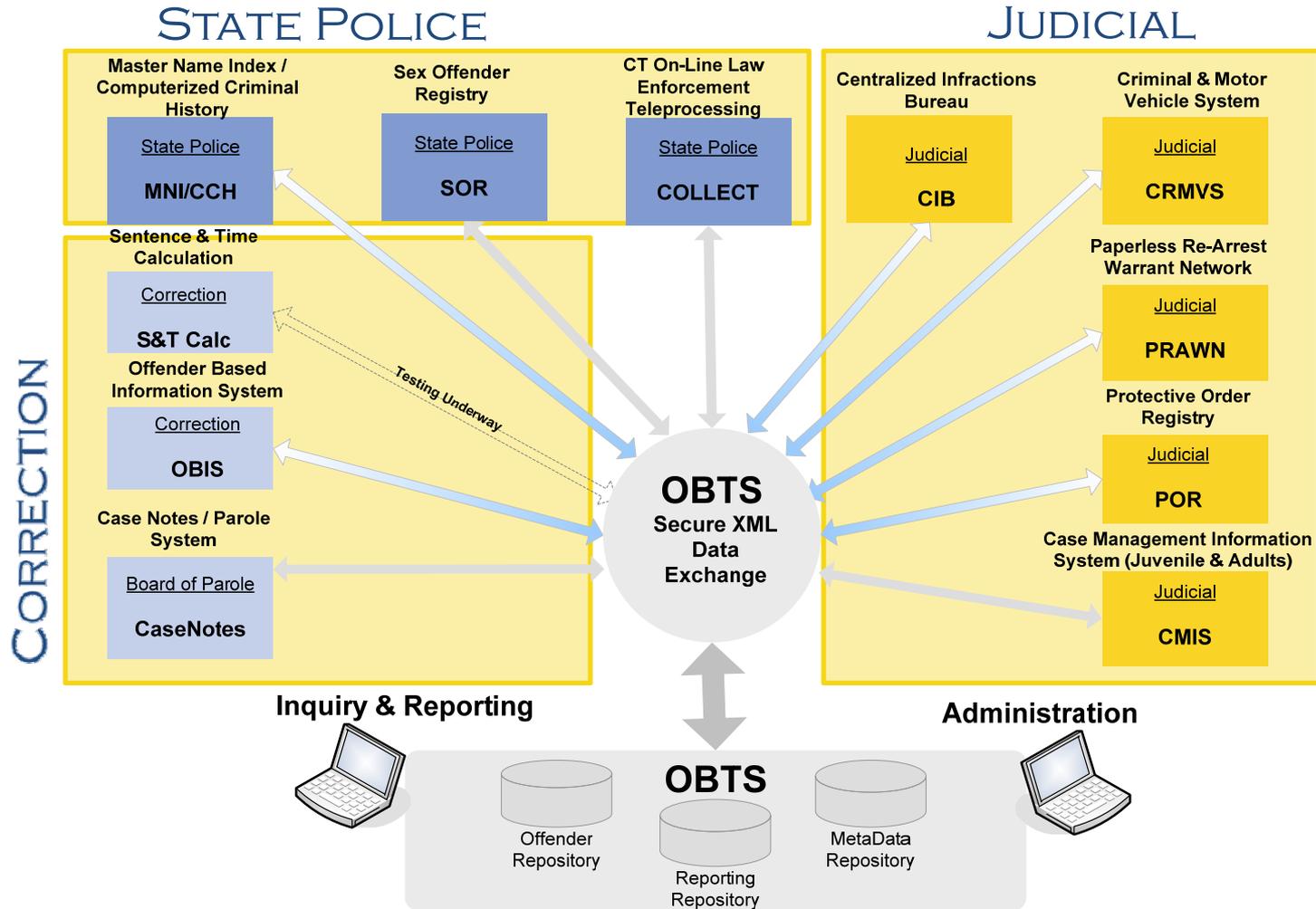
- Department of **Emergency Management & Homeland Security (DEMHS)**

- Department of Information Technology (DOIT)

- Office of Policy and Management (OPM)

STATE OF CONNECTICUT OFFENDER-BASED TRACKING SYSTEM (OBTS)

HOW DOES OBTS COLLECT DATA?





STATE OF CONNECTICUT OFFENDER-BASED TRACKING SYSTEM (OBTS)

WHAT DATA IS FOUND IN OBTS?

Connecticut Adult Offender data ONLY

- Offender classifications
- Comprehensive case status
- Profiles on offenders
- Court criminal histories
- Arrest data
- Information regarding probation and parole
- Offender status

What Kind of Data is **NOT** Found?

- No National Crime Information Center (NCIC) data
- No National Law Enforcement Telecommunications System (NLETS) data
- No COLLECT data
- No old format rap sheet data
- No manual files in Master Name Index (MNI) and Computerized Criminal History (CCH)
- No centralized infractions bureau historical data
- No historical data from Protective Order Registry (POR) and Paperless Re-Arrest Warrant Network (PRAWN)



CONNECTICUT
IMPAIRED
DRIVING
RECORDS
INFORMATION
SYSTEM
CIDRIS



Each year, Connecticut law enforcement officers make approximately **16,000 OUI arrests**.

The current paper intensive arrest process is time consuming and tedious requiring a volume of paperwork that must be manually prepared by the officer and forwarded to the DMV, Division of Criminal Justice (DCJ), and Judicial.

The resulting transfer of documents and information between the agencies is in most cases via paper and completely manual.



CIDRIS



STATE OF CONNECTICUT

CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

WHAT WILL CIDRIS DO?

CIDRIS will act as a clearinghouse for Law Enforcement Operating Under the Influence (OUI) activity within the State of Connecticut, streamlining through automation the OUI data collection and paperwork procedures, allowing documents and data to be delivered electronically to the Department of Motor Vehicles (DMV), and data to be delivered electronically to the Connecticut Superior Court (Judicial).

This initiative will assist with the adoption of a state law enforcement interface standard that will be implemented by all current and future Computer Aided Dispatch, Records Management System (CAD/RMS) vendors.



STATE OF CONNECTICUT

CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

CIDRIS GOALS & OBJECTIVES

GOAL

Develop a comprehensive enterprise-wide, OUI information exchange system that would electronically remedy (e.g. capture, transmittal, storage, retrieval...) the manual intensive and paper-based driven system.

OBJECTIVES

Implement an OUI information system that would serve as a real-time, central OUI information exchange and repository for all OUI administrative actions and court convictions.

- Provide timely OUI information and uniform data quality standards for the efficient processing of all OUI arrest-related information.
- Reduce the amount of manual administration that is performed today, in support of processing OUI arrests.



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CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

CIDRIS BENEFITS & REQUIREMENTS

BENEFITS

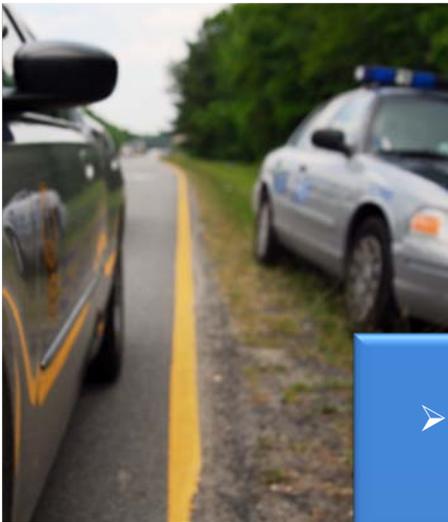
CIDRIS will provide reliable and timely and electronic information exchange between CJIS agencies allowing for the paperless delivery of data and documents related to individuals arrested for “operating under the influence”.

HIGH LEVEL REQUIREMENTS

To **process a new OUI Case** — this includes the input from DPS/CPCA into CIDRIS, the receipt of the case from DMV and Judicial.

Disposition Messages — this includes the final disposition information being entered into CIDRIS by DMV and Judicial and storing this information for future reference/research/reporting.

Administrative Functions and Reports — this includes simple reporting off the database and user admin functions to access the system.



STATE OF CONNECTICUT

CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

CIDRIS IMPLEMENTERS/STAKEHOLDERS

- **Chairpersons** and ranking members of the Joint Standing **Judiciary Committee** of the General Assembly

- **Judicial Branch (JUD)**, Office of the Chief Court Administrator

- Department of Public Safety (DPS), Division of **State Police**

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- **Connecticut Police Chiefs Association (CPCA)**

- Department of **Emergency Management & Homeland Security (DEMHS)**

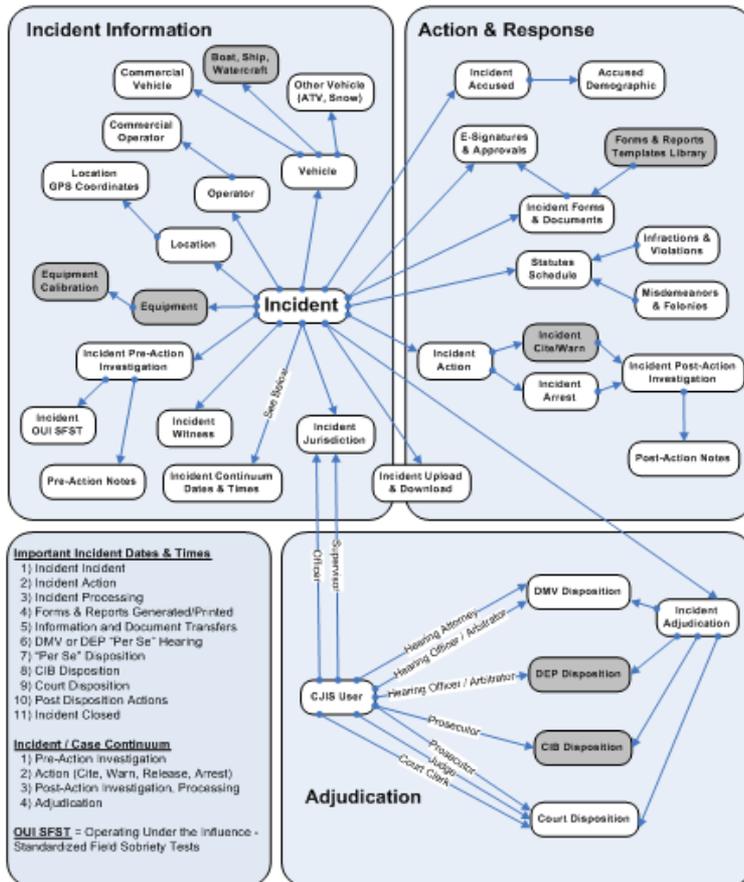
- Department of Information Technology (DOIT)

- Office of Policy and Management (OPM)



STATE OF CONNECTICUT CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

CIDRIS DATA “MODEL”



- What Happens After a OUI Incident ?
- What Information is Required to be Captured at the Incident?
- What Information Must to Exchanged? And with Whom?
- How is that Information Exchanged?

Business Process and Document Exchange

- Law Enforcement
- Prosecution
- Adjudication
- License Control

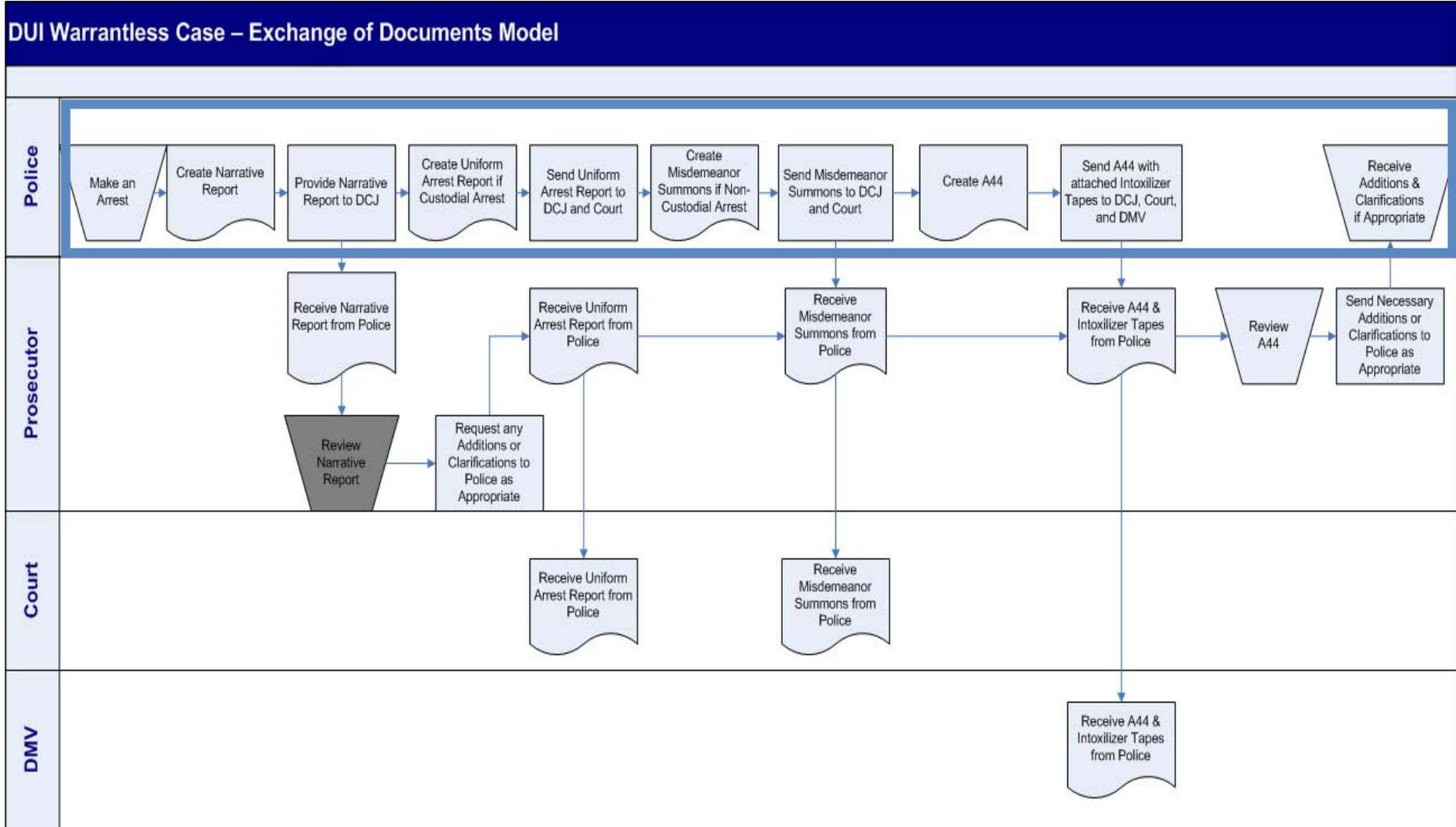
STATE OF CONNECTICUT CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

WHAT IS A BUSINESS EVENT?

... a decision or action that generates
"Criminal Justice Enterprise Information"
and causes the exchange of information



OUI DOCUMENT EXCHANGE WORKFLOW



LIST OF DOCUMENTS & FORMS

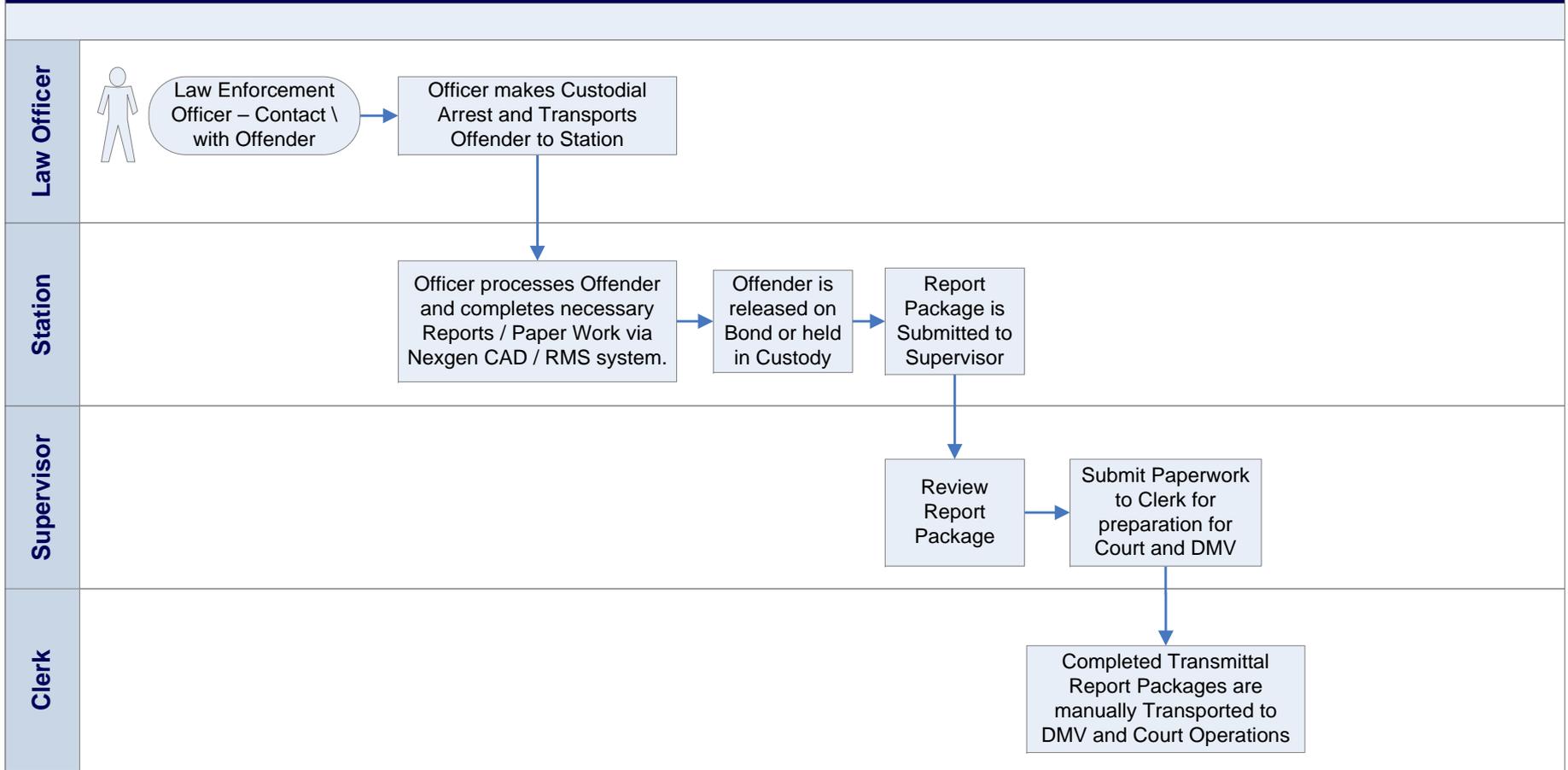
INITIATED/RECEIVED BY DPS

Document Description	Arrest by Warrant	Warrantless Arrest	Document Description	Arrest by Warrant	Warrantless Arrest
A44	I	I	Intoxilizer Tapes	I	I
Accident Form	I	I	Misdemeanor Summons	I	I
Affidavit	I	NA	Motor Vehicle History	R	R
Affirmation Letter	R	R	Narrative Report	I	I
Appearance Bond Form	I	I	Notice of Rights	I	I
Arrest Warrant	B	NA	Photos & Diagrams	I	I
Autopsy Records	R	R	Police File (Including Investigation Documents)	I	I
Blood, Urine, Drug Results	B	B	Police Transmittal	B	B
Case Disposition	R	R	Probable Cause Documents	NA	B
Chemical Alcohol Test Results	B	B	Search Warrant	B	B
Conversion by State Health Lab for Blood / Urine Tests	I	I	Seized Property Inventory	I	I
Criminal History	R	R	Subpoena	R	R
Doctor Records	R	R	Suspension Letter	R	R
Fatal Motor Vehicle Form	I	I	Toxicology Form	I	I
Hearing Decision	R	R	Toxicology Reports	I	I
Hospital Records	R	R	Uniform Arrest Report	I	I
Information Sheet	I	I	Witness Statements	I	I

R = Received, I = Initiated, B = Both Initiated and Received

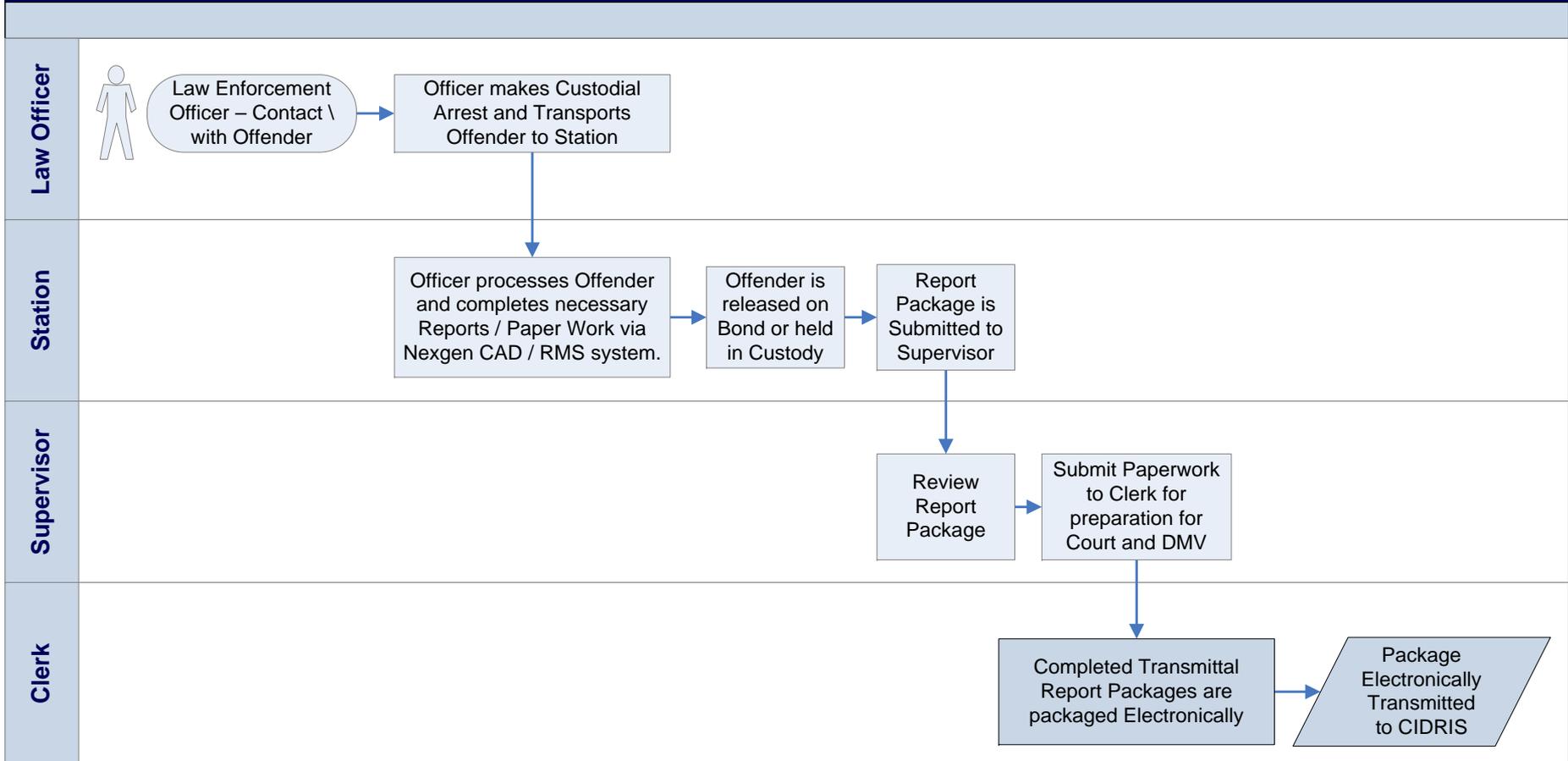
AS-IS: BUSINESS PROCESS

AS-IS Business Process – Department of Public Safety



TO-BE: BUSINESS PROCESS

TO-BE Business Process – Department of Public Safety



STATE OF CONNECTICUT

CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

CIDRIS TIMETABLE



DATE	EVENT
Spring 2004	Applied to National Highway Traffic Safety Administration (NHTSA) for Funding
September 2004	Received an award of \$1,666,130 to the implement Connecticut Impaired Driver Record Information System (CIDRIS) and Traffic Citation Adjudication (TCAS) project
March 2006	Connecticut Traffic Records Coordinating Committee (TRCC) adopted the CIDRIS/TCAS solution in its Connecticut Strategic Plan for Traffic Records
2006 Calendar Year	CIDRIS team produced a strategy and plan, and the business and technical requirements to implement the CIDRIS project as a component of a robust Traffic Citation Adjudication Systems (TCAS) solution.
July 2007	CIDRIS was formally approved by the CJIS Governing Board as a strategic project within the CJIS portfolio
July 2007	Original CIDRIS RFP issued and withdrawn due to scope and complexity of the project
September 2007	CIDRIS project was reviewed by NHTSA to assure that critical project requirements, scope of work, and approvals had occurred.
November 2007	CIDRIS version 1.0 Request for Proposal (RFP) and was published
November 2007	CIDRIS Vendor (s) hired: Sierra Systems Inc.
May 2009	DPS utilizes Interface Software in all DPS locations and over 1,000 patrol vehicles. DPS Vendor (NexGen) has been working on the CIDRIS interface since May 2009.
September 2009	CIDRIS demonstration project: NHTSA and Implementing Agencies
Third QTR 2010	First Phase Implementation of CIDRIS 1.0



STATE OF CONNECTICUT

CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

NEXT STEPS: ELECTRONIC SIGNATURES

The successful implementation of the use of electronic signatures is considered **essential and necessary for the state to realize the full value from CIDRIS**. As a result, under the oversight of the CJIS Governing Board, the Board's committees on Administration, Technology and Implementation have begun to establish a framework for the state's business and technical requirements, develop standards and finalize an implementation plan.

- Recent Legislation on Electronic Signatures
- Scanned Documents Containing a "Wet Signature"
- Imputed Electronic Signatures
- Digitally Captured Signatures
- Digital Signatures



STATE OF CONNECTICUT

CONNECTICUT IMPAIRED DRIVING RECORDS INFORMATION SYSTEM (CIDRIS)

MAKING IT WORK!

- Strong Collaborative Project Management
- Engaged Participants
- Collaborative Business & Technical Design & Modeling
- Adequate Resourcing
- Decision Points
- Legislation
- Fundamental Training
- Software Development Methodology (SDM)

CRIMINAL JUSTICE INFORMATION SYSTEMS CJIS



CONNECTICUT CRIMINAL JUSTICE
CROSS-TRAINING CONFERENCE

STATE OF CONNECTICUT – CJIS GOVERNING BOARD
PRESENTED BY: LINDA DECONTI, OFFICE OF POLICY AND MANAGEMENT
MARCH 2010



SYSTEM DEVELOPMENT METHODOLOGY



AN OVERVIEW FOR
CONNECTICUT CRIMINAL JUSTICE
CROSS-TRAINING CONFERENCE



STATE OF CONNECTICUT - DEPARTMENT OF INFORMATION TECHNOLOGY

PRESENTED BY: TRICIA JOHNSON, PROJECT MANAGEMENT OFFICE DIRECTOR

MARCH 2010

GOVERNOR'S EXECUTIVE ORDER # 19

The Department of Information Technology (DOIT) is mandated to

- Issue a System Development Methodology (SDM)
- Issue a SDM Policy for the development of information systems

Conformance to DOIT's SDM and SDM policy is required for:

- Technology to be developed and delivered to Executive Branch agencies
- All IT vendors and consultants retained by Executive Branch agencies

The Department of Information Technology shall periodically provide reports to the Office of the Governor



SDM POLICY

A System Development Methodology (SDM) provides

- A systematic and uniform methodology to ensure that information systems developed by the State of Connecticut meet State and Agency mission objectives
- Compliance with the current and planned Enterprise-Wide Technical Architecture (EWTA)
- Systems that are easy to maintain and cost-effective to enhance

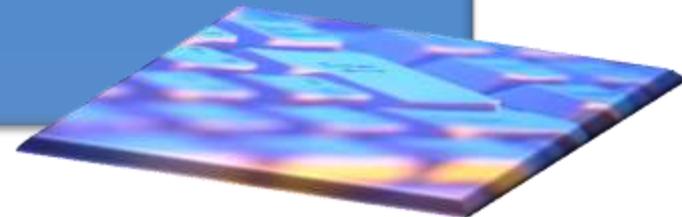
Value is added by bringing consistency to practices and controls used in the planning and execution of IT projects.

This methodology will promote better direction, delivery, and control of technology project timelines and costs.



THE GOVERNOR HAS ORDERED DOIT TO IMPLEMENT A SYSTEMS DEVELOPMENT METHODOLOGY PROCESS AT ALL AGENCIES AND TO HOLD REVIEWS FOR ALL PROJECTS OF \$1 MILLION OR MORE.

- Enables the state to be aware of projects across agencies
- Enables the state to coordinate efforts and eliminate redundant efforts, leveraging interagency and statewide investments
- Identifies and remediates project problems and risks, for more successful system delivery
- Ensures vendors are delivering projects appropriately, assisting agencies to hold vendors accountable
- Enables Executive Branch Management to see Statewide status reports for major technology projects



SDM EXECUTIVE OVERVIEW



SDM BEST PRACTICES WILL
HELP YOU MANAGE YOUR AGENCY'S IT PROJECTS

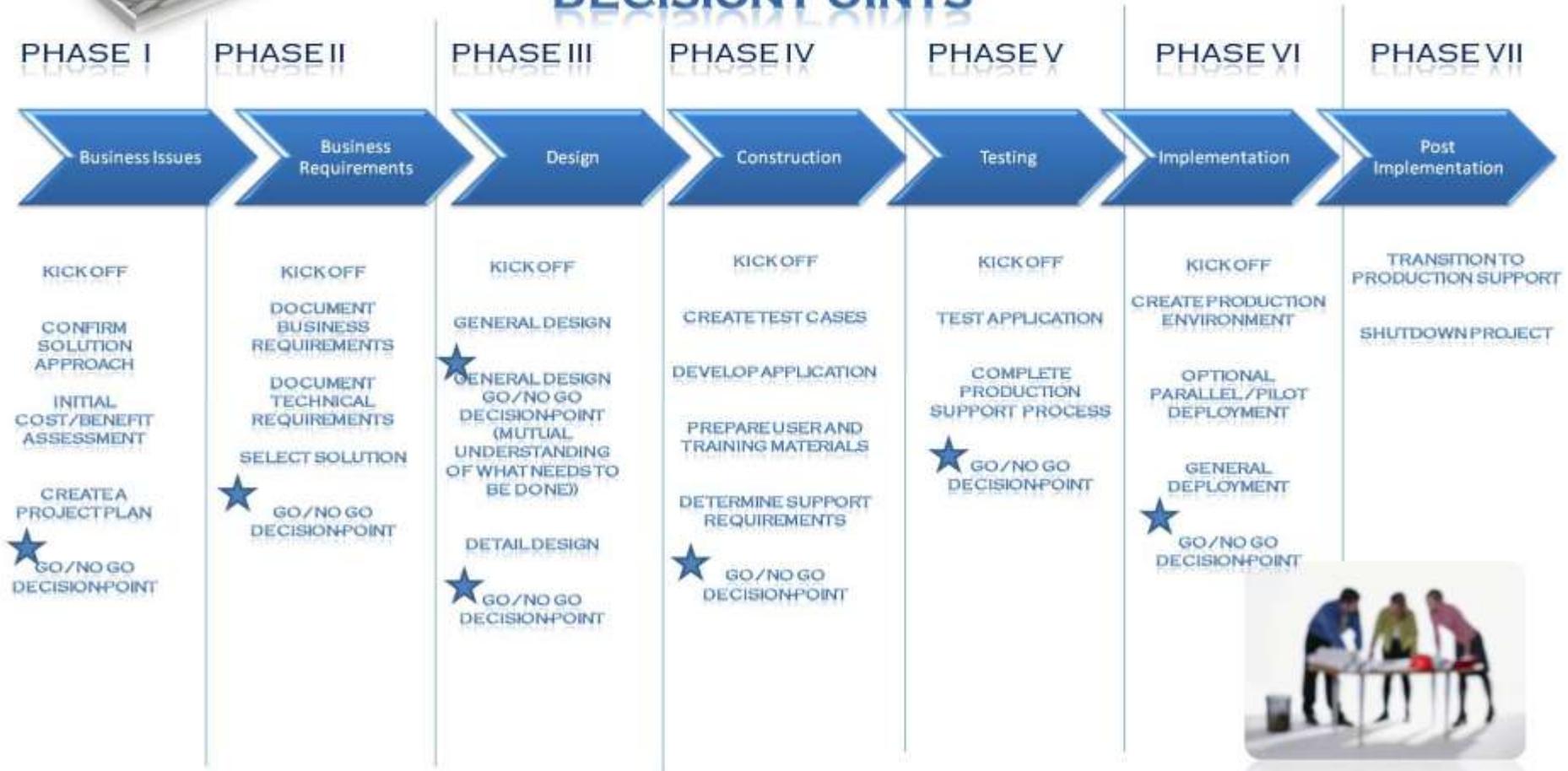
- Business Sponsorship at the executive level with consistent participation throughout the project
- Assigning a qualified IT project manager and involved business management
- A well defined project plan that is actively used to manage the project
- Sign-offs at each phase of the system development process, and executive decisions to proceed, redirect or stop a project based on results and continued business need
- Explicit documentation to record all decisions and to facilitate future systems maintenance
- Governance processes to manage scope creep and change management requests
- Additional focus on business process changes (process changes account for 60% of new technology improvements when done properly)
- Investments in training & communication



SDM EXECUTIVE OVERVIEW

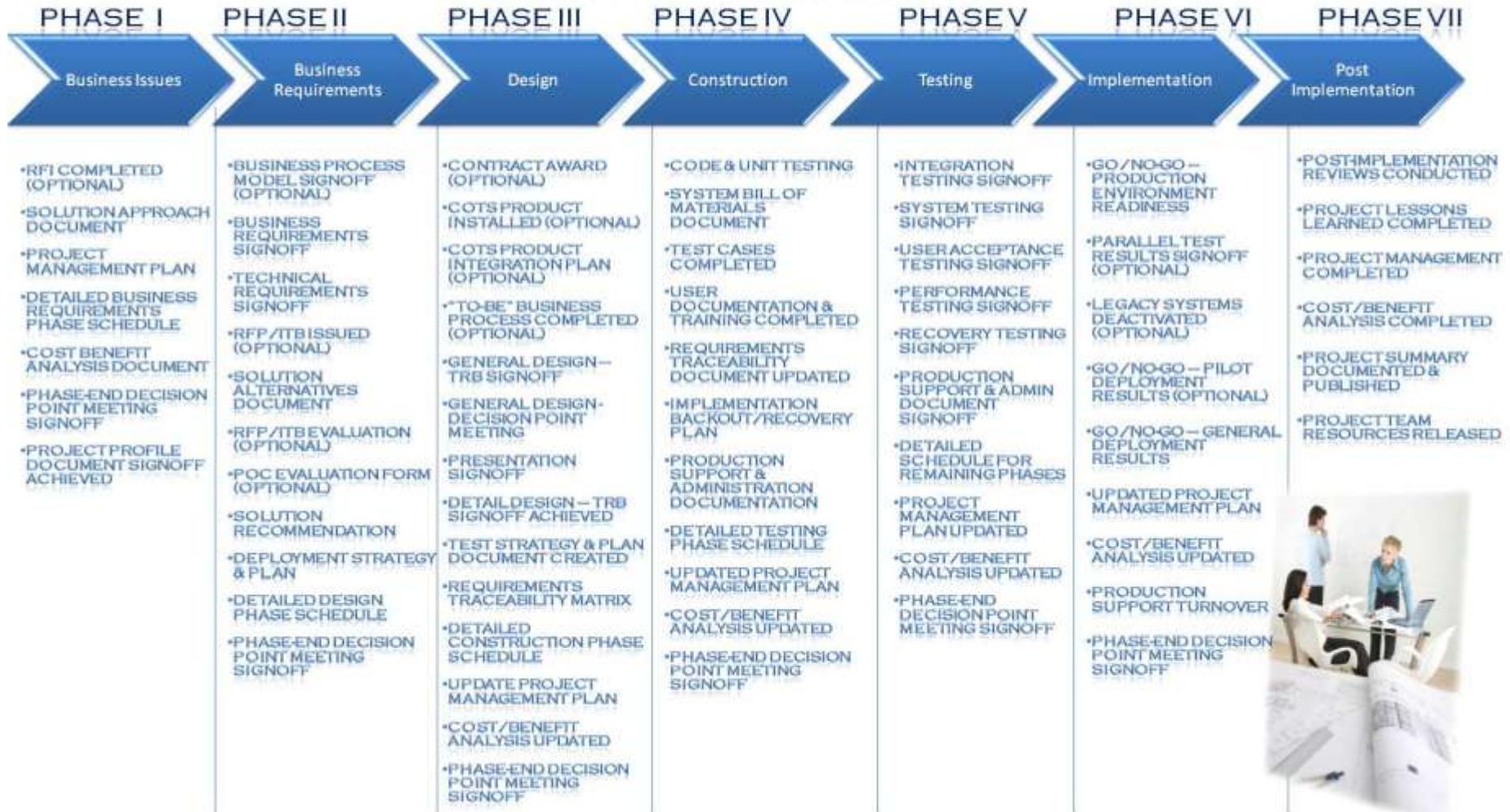


SYSTEM DEVELOPMENT METHODOLOGY DECISION POINTS



SDM EXECUTIVE OVERVIEW

PHASE DELIVERABLES



SDM EXECUTIVE OVERVIEW

BUSINESS ISSUES: THE PURPOSE OF THE BUSINESS ISSUES PHASE IS TO IDENTIFY AND VALIDATE AN OPPORTUNITY TO IMPROVE A BUSINESS FUNCTION THROUGH A TECHNOLOGY SOLUTION, EXPLORE ALTERNATIVE SOLUTIONS TO SATISFY THE BUSINESS NEED, AND IDENTIFY ASSUMPTIONS AND CONSTRAINTS THAT WOULD IMPACT THE SOLUTION/PROJECT.

Deliverables due at the end of the Business Issues phase:

- Project Profile
- Solution Approach document
- Cost-Benefit Analysis
- Project Management Plan
- Phase-end Decision Point meeting with executive sponsor sign-off

BEFORE YOU LET THE GROUP PROCEED TO THE NEXT PHASE, ASK THESE QUESTIONS & BE SURE THE ANSWERS ARE SATISFACTORY

- WHAT SOLUTION APPROACHES WERE CONSIDERED? WHICH OPTION HAS THE PROJECT TEAM RECOMMENDED AND WHY?
- REVIEW THE COST-BENEFIT ANALYSIS TO UNDERSTAND HOW MUCH THE PROPOSED APPROACH WILL COST. THE NEXT PHASE SHOULD BE FAIRLY ACCURATE. THE TOTAL PROJECT COSTS – THRU COMPLETION – WILL BE AN ESTIMATE SUBJECT TO BETTER QUALITY WITH EACH SUCCESSIVE PHASE OF THE PROJECT, AS MORE INFORMATION IS RECEIVED.
- HAVE COST AND SCHEDULE CONSTRAINTS BEEN IDENTIFIED THAT COULD IMPACT THE CHOSEN SOLUTION? HAS THE FUNDING SOURCE FOR THE PROJECT BEEN CONFIRMED AND FORMALLY ALLOCATED?
- HAVE PROJECT TEAM MEMBERS REQUIRED TO WORK ON BUSINESS REQUIREMENTS (THE NEXT PHASE) BEEN IDENTIFIED AND CONFIRMED AS AVAILABLE? DO THESE PEOPLE POSSESS THE REQUIRED KNOWLEDGE OF THE BUSINESS FUNCTION IN ORDER TO QUICKLY AND PROPERLY DEFINE REQUIREMENTS?
- WHAT ARE THE PROJECT RISKS? ARE THE ASSOCIATED MITIGATION PLANS ACCEPTABLE?
- REVIEW THE PROJECT PLANS FOR THE NEXT PHASE. YOUR PROJECT MANAGER SHOULD BE ABLE TO PROVIDE YOU WITH AN ACCURATE COMPLETION DATE AND COSTS FOR THE NEXT (BUSINESS REQUIREMENTS) PHASE, WHICH YOU CAN USE TO MEASURE THEIR FUTURE PROGRESS.

SDM EXECUTIVE OVERVIEW

BUSINESS REQUIREMENTS: THE PURPOSE OF THE BUSINESS REQUIREMENTS PHASE IS TO DEFINE IN DETAIL, WHAT IS NEEDED FOR THE SYSTEM TO BE DECLARED USABLE BY THE BUSINESS.

Deliverables due at the end of the Business Requirements Phase:

- Business Requirements Documentation
- Technical Requirements Documentation
- RFP/ITB (if required)
- Solution Alternatives Document
- Solution Recommendation
- Deployment Strategy & Plan
- Detailed Design Phase Schedule
- Phase-end Decision Point meeting with executive sponsor sign-off

BEFORE YOU LET THE GROUP PROCEED TO THE DESIGN PHASE, ASK THESE QUESTIONS & BE SURE THE ANSWERS ARE SATISFACTORY

- ARE THE BUSINESS REQUIREMENTS DEFINED SO THAT EVERYONE HAS AN AMPLE UNDERSTANDING OF OUR BUSINESS NEEDS?
- HAVE ALL THE BUSINESS AREAS THAT WILL BE IMPACTED BY THE PROJECT BEEN STAKEHOLDER?
- WHAT ARE SOME OF THE SOLUTION ALTERNATIVES CONSIDERED, THEIR PRO'S & CON'S?
- HAVE FREEDOM OF INFORMATION CONSIDERATIONS BEEN ANALYZED?
- IF A HIPAA AGENCY: HAVE CONSIDERATIONS FOR PROTECTION OF MEDICAL INFORMATION BEEN ASSESSED?
- WAS A PROOF OF CONCEPT DONE AND IF SO WHAT WAS EVALUATED AND WHAT WAS PROVED?
- HOW WILL WE MEASURE THAT WE HAVE SUCCESSFULLY OBTAINED A SYSTEM THAT MEETS OUR REQUIREMENTS?
- ARE YOU PROPOSING A SOLUTION THAT YOU ARE CONFIDENT IS FINANCIALLY JUSTIFIED, AND HOW WAS YOUR JUSTIFICATION ANALYZED?
- DOES THE PROJECT STILL FALL WITHIN THE SCOPE, BUDGET AND TIMELINE IDENTIFIED IN THE PREVIOUS PHASE?
- IS THERE STILL ADEQUATE FUNDING TO PROCEED?
- DO WE HAVE ENOUGH RESOURCES TO DO THIS PROJECT AND WILL THE PROJECT EFFECT ANY OTHER PROJECTS IN OUR AGENCY?
- ARE YOU CONFIDENT IDENTIFIED RISKS AND ISSUES CAN BE ADDRESSED AND ARE THE PLANS TO DEAL WITH THEM ACCEPTABLE TO ALL IMPACTED?
- REVIEW THE PROJECT PLANS FOR THE NEXT PHASE. YOUR PROJECT MANAGER SHOULD BE ABLE TO PROVIDE YOU WITH AN ACCURATE COMPLETION DATE AND COSTS FOR THE NEXT (DESIGN) PHASE, WHICH YOU CAN USE TO MEASURE THEIR FUTURE PROGRESS.

SDM EXECUTIVE OVERVIEW

DESIGN: THE PURPOSE OF THE DESIGN PHASE IS TO TRANSLATE THE BUSINESS REQUIREMENTS INTO DETAILED DESIGN COMPONENTS THAT WILL BE USED TO LATER CONSTRUCT THE SOLUTION.

Deliverables due at the end of the Design Phase:

- System Design Document
- Conversion Design Document (if required)
- System Security Profile
- General Design
- Detailed Design
- Configuration Management Plan
- Requirements Traceability Matrix
- Cost Benefit Analysis update
- Test Strategy & Plan
- Detailed Construction Phase schedule
- Decision point meeting with executive sponsor after general design
- Phase-end decision point meeting with executive sponsor sign-off

BEFORE YOU LET THE GROUP PROCEED TO THE CONSTRUCTION PHASE, ASK THESE QUESTIONS & BE SURE THE ANSWERS ARE SATISFACTORY

- ARE WE USING EXISTING STATE INFRASTRUCTURE AND TECHNOLOGY STRATEGIES TO TAKE ADVANTAGE OF ECONOMIES OF SCALE, IF NOT, WHY?
- ARE THE RESOURCES NEEDED TO START THE CONSTRUCTION PHASE AVAILABLE? WILL USING THESE RESOURCES IMPACT AGENCY BUSINESS OR OTHER PROJECTS?
- DOES THIS DESIGN TAKE FULL ADVANTAGE OF EXISTING DATA ALREADY USED BY OTHER APPLICATIONS IN THE AGENCY?
- HAVE ALL THE BUSINESS FUNCTIONS, SCREENS AND REPORTS BEEN DESIGNED, REVIEWED AND ACCEPTED BY THE IMPACTED BUSINESS AREAS ?
- HAS THE TECHNICAL DESIGN BEEN REVIEWED BY THOSE WHO WILL END UP SUPPORTING IT?
- ARE UNCERTAINTIES AND RISKS UNDERSTOOD AND ARE THERE ACCEPTABLE ACTION PLANS?
- ARE THERE ANY OUTSTANDING ISSUES FROM THE PREVIOUS PHASE, IF SO, WHAT ARE THE IMPLICATIONS?
- DOES THE PROPOSED SOLUTION STILL FALL WITHIN THE SCOPE, BUDGET AND TIMELINE IDENTIFIED IN THE PREVIOUS PHASE? IF NOT, WHAT SPECIFICALLY CAUSED THE CHANGE AND WHAT IS THE OVERALL IMPACT TO THE PROJECT AND THE AGENCY?
- IS THERE STILL ADEQUATE FUNDING TO PROCEED?
- REVIEW THE PROJECT PLANS FOR THE NEXT PHASE. YOUR PROJECT MANAGER SHOULD BE ABLE TO PROVIDE YOU WITH AN ACCURATE COMPLETION DATE AND COSTS FOR THE NEXT (CONSTRUCTION) PHASE, WHICH YOU CAN USE TO MEASURE THEIR FUTURE PROGRESS.

SDM EXECUTIVE OVERVIEW

CONSTRUCTION: THE PURPOSE OF THE CONSTRUCTION PHASE IS TO TRANSLATE THE BUSINESS REQUIREMENTS, TECHNICAL REQUIREMENTS AND THE DESIGN COMPONENTS TO CONSTRUCT THE SOLUTION.

Deliverables due at the end of the Construction Phase:

- Implementation Back Out / Recovery Plan
- Code & Code Review
- Disaster Recovery Plan (if required)
- Development/Test Environments
- Environment Migration Checklist
- Requirements Traceability Matrix
- Test Scenarios/Cases & Test Data
- Training Plan
- User Documentation & Training Materials
- Detailed Test Phase schedule
- Phase-end decision point meeting with executive sponsor sign-off

BEFORE YOU LET THE GROUP PROCEED TO THE TESTING PHASE, ASK THESE QUESTIONS & BE SURE THE ANSWERS ARE SATISFACTORY

- HOW IS BUSINESS CONTINUITY PLANNED, IF WE WERE TO HAVE AN EVENT LIKE SEPTEMBER 11TH, OR A BIRD FLU OUTBREAK ?
- WAS A CODE REVIEW DONE TO ENSURE THAT FUNCTIONALITY, SECURITY AND OTHER REQUIREMENTS PERFORM AS SPECIFIED?
- HOW MANY TEST SCENARIOS HAVE BEEN DEVELOPED FOR THE TESTING PHASE, AND WHAT KIND OF THINGS ARE WE TESTING TO VERIFY THE BUSINESS USERS SATISFACTION?
- HOW DO YOU SEE THE SYSTEM BEING ROLLED-OUT WITH MINIMUM IMPACT AND MAXIMUM BENEFIT TO OUR AGENCY?
- HOW WILL TRAINING BE ROLLING OUT TO OUR EMPLOYEES AND/OR CUSTOMERS?
- HOW WILL THE SYSTEM BE SUPPORTED WHEN IT'S COMPLETED, IF WE HAVE PROBLEMS OR IF OUR BUSINESS NEEDS CHANGE?
- ARE UNCERTAINTIES AND RISKS UNDERSTOOD AND ARE THERE ACCEPTABLE ACTION PLANS?
- ARE THERE ANY OUTSTANDING ISSUES FROM THE PREVIOUS PHASE, IF SO, WHAT ARE THE IMPLICATIONS?
- DOES THE PROPOSED SOLUTION STILL FALL WITHIN THE SCOPE, BUDGET AND TIMELINE IDENTIFIED IN THE PREVIOUS PHASE? IF NOT, WHAT SPECIFICALLY CAUSED THE CHANGE AND WHAT IS THE OVERALL IMPACT TO THE PROJECT AND THE AGENCY?
- IS THERE STILL ADEQUATE FUNDING TO PROCEED?
- DO WE HAVE THE IT AND BUSINESS RESOURCES TO CONTINUE TO THE TESTING PHASE AND WILL ASSIGNMENT OF THESE RESOURCES EFFECT ANY OTHER PROJECTS IN OUR AGENCY?
- REVIEW THE PROJECT PLANS FOR THE NEXT PHASE. YOUR PROJECT MANAGER SHOULD BE ABLE TO PROVIDE YOU WITH AN ACCURATE COMPLETION DATE AND COSTS FOR THE NEXT (TESTING) PHASE, WHICH YOU CAN USE TO MEASURE THEIR FUTURE PROGRESS.

SDM EXECUTIVE OVERVIEW

TESTING: THE PURPOSE OF THE TESTING PHASE IS TO PROVE THE DEVELOPED SYSTEM SATISFIES THE BUSINESS AND TECHNICAL REQUIREMENTS

Deliverables due at the end of the Testing Phase:

- Environment Migration Checklist
- Integration Test
- System Test
- User Acceptance Test
- Performance Test
- Recovery Test
- Software “Golden Build”
- System Bill of Materials
- Test Summary Report
- Production Support & Admin document
- Detailed Implementation Phase schedule
- Phase-end decision point meeting with executive sponsor sign-off

BEFORE YOU LET THE GROUP PROCEED TO THE IMPLEMENTATION PHASE, ASK THESE QUESTIONS & BE SURE THE ANSWERS ARE SATISFACTORY

- WHAT ARE SOME OF THE TEST SCENARIOS DEVELOPED TO TEST OUR BUSINESS PROCESS FROM END TO END USING THE NEW SYSTEM?
- ARE YOU CONFIDENT THAT THE SYSTEM COULD BE RECOVERED IN THE EVENT OF A DISASTER, OR IN THE EVENT WE NEED TO BACK OUT IF THERE ARE PROBLEMS WITH THE IMPLEMENTATION?
- WHAT IS THE BUSINESS IMPACT OR EXPOSURE THIS AGENCY FACES IF THERE ARE PROBLEMS WITH THE IMPLEMENTATION?
- ARE THE USERS AND BUSINESS STAFF SATISFIED THE SYSTEM MEETS ALL THE BUSINESS NEEDS? IF NOT, HOW IS THIS BEING ADDRESSED?
- ARE YOU SATISFIED THAT THE SYSTEM MEETS ALL THE TECHNICAL REQUIREMENTS SUCH AS ACCESS BY ALL THE REQUIRED USERS AND SECURITY OF OUR DATA?
- WHAT ARE THE PROJECT RISKS AS WE ARE NOW READY TO IMPLEMENT? ARE UNCERTAINTIES AND RISKS UNDERSTOOD AND ARE THERE ACCEPTABLE ACTION PLANS?
- WHAT IS YOUR CONFIDENCE LEVEL THAT WE ARE THOROUGHLY PREPARED TO PROCEED TO IMPLEMENTATION OF THE SYSTEM?
- ARE THERE ANY OUTSTANDING ISSUES FROM THE PREVIOUS PHASE, IF SO, WHAT ARE THE IMPLICATIONS?
- DOES THE PROPOSED SOLUTION STILL FALL WITHIN THE SCOPE, BUDGET AND TIMELINE IDENTIFIED IN THE PREVIOUS PHASE? IF NOT, WHAT SPECIFICALLY CAUSED THE CHANGE AND WHAT IS THE OVERALL IMPACT TO THE PROJECT AND THE AGENCY?
- IS THERE STILL ADEQUATE FUNDING TO PROCEED?
- DO WE HAVE THE RESOURCES TO CONTINUE TO THE IMPLEMENTATION PHASE, ARE WE PREPARED TO PROVIDE THE NECESSARY TRAINING TO THE STAFF?
- REVIEW THE PROJECT PLANS FOR THE NEXT PHASE. YOUR PROJECT MANAGER SHOULD BE ABLE TO PROVIDE YOU WITH AN ACCURATE COMPLETION DATE AND COSTS FOR THE NEXT (IMPLEMENTATION PHASE), WHICH YOU CAN USE TO MEASURE THEIR FUTURE PROGRESS.

SDM EXECUTIVE OVERVIEW

IMPLEMENTATION:

THE PURPOSE OF THE IMPLEMENTATION PHASE IS TO INTRODUCE THE SOLUTION TO THE BUSINESS USERS AND TO BEGIN A SMOOTH TRANSITION TO THE APPROPRIATE TEAMS WHO WILL PROVIDE THE ONGOING MAINTENANCE OF THE SOLUTION.

Deliverables due at the end of the Implementation Phase:

- Establish the production environment
- Train the users
- Deploy the system
- Turn the system over to the production support team

BEFORE YOU LET THE GROUP PROCEED TO THE POST-IMPLEMENTATION PHASE, ASK THESE QUESTIONS & BE SURE THE ANSWERS ARE SATISFACTORY

- WAS THE STAFF ADEQUATELY PREPARED AND TRAINED BEFORE THE SYSTEM WAS DEPLOYED?
- WERE ANY CUSTOMERS NEGATIVELY IMPACTED AS THE SYSTEM WAS ROLLED OUT?
- ARE THERE ANY SYSTEM DEFECTS THAT STILL NEED TO BE CORRECTED BEFORE WE HAVE COMPLETE ACCEPTANCE OF THE SYSTEM? IF YES, HOW IS THIS BEING ADDRESSED? WHAT IS THE ANTICIPATED RESOLUTION?
- DID THE IMPLEMENTATION GO AS EXPECTED? IF NOT, WHAT WERE THE OBSTACLES/PROBLEMS? CAN WE EXPECT MORE INSTANCES OF THE PROBLEM?
- IF THIS SYSTEM REPLACES AN OLDER SYSTEM, IS THE OLD SYSTEM DEACTIVATED?
- HAS ALL THE REQUIRED DOCUMENTATION FOR THE SYSTEM BEEN COMPLETED? AS USE OF THE SDM IS AN EXECUTIVE ORDER REQUIREMENT, IT MAY BE SUBJECT TO AN AUDIT.
- REVIEW THE PROJECT PLANS FOR THE NEXT PHASE. YOUR PROJECT MANAGER SHOULD BE ABLE TO PROVIDE YOU WITH AN ACCURATE DATE FOR THE PROJECT COMPLETION AND COSTS FOR THE LAST (POST-IMPLEMENTATION) PHASE.

SDM EXECUTIVE OVERVIEW

POST IMPLEMENTATION: THE PURPOSE OF THE POST-IMPLEMENTATION PHASE IS TO REVIEW THE OVERALL WORK EFFORT FROM BEGINNING TO END; REVIEW HOW THINGS WERE HANDLED, AND TO APPLY THESE LESSONS ON FUTURE PROJECTS.

Deliverables due at the end of the Post-Implementation Phase:

- Project Summary
- Lessons Learned Document
- Cost-Benefit Analysis update
- Project documentation
- Formally release the resources from the project

THERE IS NO FORMAL DECISION POINT MEETING AT THE END OF POST-IMPLEMENTATION, BUT YOU SHOULD ASK THESE QUESTIONS.

- HOW ACCURATE WAS THE PLANNED SCHEDULE COMPARED TO THE ACTUAL DELIVERED TIMELINE?
- HOW ACCURATE WAS THE PROPOSED BUDGET COMPARED TO THE ACTUAL COSTS? IF THERE WERE MAJOR DIFFERENCES, WHAT WERE THE CONTRIBUTING FACTORS?
- WAS THERE MUCH DEVIATION IN THE SCOPE OF THE PROJECT FROM THE BEGINNING OF THE PROJECT TO THE END? IF THERE WAS, WHAT CAUSED IT AND HOW CAN IT BE AVOIDED WITH THE NEXT PROJECT?
- IS THE ARCHIVED DOCUMENTATION AVAILABLE TO OTHERS TO REVIEW, AND, FOR FUTURE ENHANCEMENTS TO THE SYSTEM?
- WHAT WOULD YOU DO DIFFERENTLY IF YOU HAD TO DO IT OVER?
- WHICH PROCESSES USED DURING THE PROJECT WORKED WELL AND CAN THEY BE INCORPORATED OR REUSED WITHIN OUR ORGANIZATION?
- WHAT ARE THE LESSONS LEARNED THAT SHOULD BE SHARED ACROSS THE ORGANIZATION?

SDM EXECUTIVE OVERVIEW

GOVERNOR RELL'S EXECUTIVE ORDER #19

STATE OF CONNECTICUT

BY HER EXCELLENCY

M. JODI RELL

GOVERNOR

EXECUTIVE ORDER NO. 19

WHEREAS, the State of Connecticut spends millions of dollars each year on the acquisition, design, development, implementation, and maintenance of information systems vital to the health, safety, and welfare of its citizens; and

WHEREAS, ensuring information systems deliver as expected and within established costs and timelines requires the use of a consistent set of development practices and methods; and

WHEREAS, use of a System Development Methodology is a best practice used extensively by industries and sectors; and

WHEREAS a System Development Methodology can help ensure that information systems meet state and agency mission objectives, are compliant with current and planned technical architecture, and are easily maintained and cost-effective to enhance.

NOW THEREFORE, I, M. Jodi Rell, Governor of the State of Connecticut, acting by virtue of the authority vested in me by the constitution and by the statutes of this state, do hereby **ORDER** and **DIRECT** that:

The Department of Information Technology (DOIT) issue and publish a System Development Methodology (SDM) and an SDM Policy for the development of information systems;

Executive branch agencies, and all information technology vendors and consultants retained by Executive Branch agencies to develop and deliver technology, with the exception of State institutions of higher education, conform to the DOIT SDM and the DOIT SDM Policy when planning and executing IT projects; and

The Department of Information Technology shall periodically report to the Office of the Governor on the implementation of the SDM and the SDM Policy and their benefits to the State of Connecticut.

Dated at Hartford, Connecticut, this 19th day of June, 2008.



M. JODI RELL
Governor



SDM EXECUTIVE OVERVIEW

DEPARTMENT OF INFORMATION TECHNOLOGY SDM POLICY

Department of Information Technology

Policy for the Management of State Information Technology Projects

Version: 1.00
Date Issued: June 20, 2008
Date Effective: June 20, 2008

Purpose:

The Chief Information Officer (CIO) of the Department of Information Technology (DOIT) has established this policy to provide State agencies with the necessary guidance for managing the State of Connecticut's Information Technology (IT) projects. The purpose of this policy is to bring consistency to practices and controls used in the planning and execution of IT projects and promote better direction, delivery, and control of technology project timelines and costs.

Background:

The State of Connecticut spends millions of dollars each year on the acquisition, design, development, implementation, and maintenance of information systems vital to the health, safety, and welfare of its citizens. The use of technology as a rudimentary and pervasive tool highlights the need for safe, secure, and reliable information systems. Effective and repeatable implementation strategies are necessary to ensure that information systems deliver as expected and within established costs and timelines.

A System Development Methodology (SDM) provides a systematic and uniform methodology to ensure that information systems developed by the State of Connecticut meet state and agency mission objectives, are compliant with the current and planned Enterprise-Wide Technical Architecture (EwTA), and are easy to maintain and cost-effective to enhance. Sound life cycle management practices include prescribed roles and responsibilities for the project team, and planning and evaluation activities in each phase of the system development life cycle.

The establishment of sound IT project practices will add value by:

- Providing a consistent approach to delivering IT projects;
- Improving probability of project success;
- Providing standard methods and guidelines; and
- Facilitating cooperation, coordination and sharing of resources among agencies.

Research shows that projects are more likely to succeed if organizations consistently apply generally-accepted project management principles.

Scope:

This policy applies to all State of Connecticut Executive Branch agencies ("agencies"), with the exception of State Institutions of Higher Education. This policy does not apply to the Judicial or Legislative Branches of government. However, these branches and institution may consider adopting any or all parts of this policy and the DOIT SDM.

Authority:

In accordance with Conn. Gen. Stat § 46-21(c), the CIO is responsible for developing and implementing policies and architecture pertaining to information and telecommunication systems for State agencies, and shall develop a series of comprehensive standards and planning guidelines pertaining to the development, acquisition, implementation, and oversight and management of information and telecommunication systems for state agencies.

Policy Statements:

1. All agencies are responsible for adhering to the DOIT System Development Methodology (SDM) when planning and executing IT projects. All projects, including commercial off-the-shelf, State development efforts, customization and significant enhancement efforts are required to conform to this policy.
2. All IT vendors and IT consultants hired by the State to deliver technology to in-state agencies are required to conform to the DOIT SDM.
3. All IT projects must have a designated Project Team, inclusive, but not limited to following roles: an Executive Sponsor, a Business Manager, and a Technology Manager who also functions as the Project Manager. All IT projects require the active involvement of both technology and agency personnel (who are knowledgeable in business areas addressed by the technology solution) throughout the project.
4. All appropriate SDM documentation must be developed, reviewed, and delivered as part of the project delivery.
5. The DOIT CIO shall determine the criteria for projects subject to SDM policy requirements.
6. The Executive Sponsor is required to review and sign-off at each "phase gate", to ensure agency leadership is involved in the monitoring of IT projects. Monitoring

facilitates a consistent measurement of on-budget and on-schedule targets, and ensures adequate resources are in place to proceed with each project phase.

7. Major technology projects of long duration (more than 20 months) must be executed as IT Programs, with program deliverables parsed into smaller projects, each with their own objectives and measures of success, such that the State will reap the benefits of faster deliverables, and continued funding can be allocated based on the achievements of past deliverables.
8. Major technology projects will be subject to periodic review by DOIT, and will be included in a quarterly Project Status Report to be provided to the executive agencies covered by this policy.

Definitions:

Business Manager:

The Business Manager is from the agency business community, and is responsible for the quality of project deliverables from a business perspective. They are responsible for defining business requirements, helping define project scope and deliverables, business testing and implementation plans, etc. (More details are in the SDM Document.) The Business Manager is also responsible for ensuring related business processes are in place to ensure a smooth project implementation.

Commercial Off-The-Shelf:

The term "Commercial-Off-The-Shelf" (COTS) refers to software or hardware products that are ready-made and available for sale to the general public. COTS products are designed to be implemented easily into existing systems, and should be implemented with little to no customization in order to reap the benefits of a purchased solution.

Executive Sponsor:

The Executive Sponsor is a senior executive in the agency responsible for the strategic direction of the project. In the case of Enterprise projects, the Sponsor is selected from among the agencies that will benefit from the IT solution, but represents the interests of all involved agencies. The Sponsor must have the authority to define project goals, secure resources, and resolve organizational and priority conflicts.

IT Project:

The term "IT Project" refers to the complete set of activities (may include hardware, software, and other components) associated with all life cycle phases needed to complete a systems development or maintenance effort from start to finish. Typically a project has its own funding, cost accounting, and delivery schedule.

IT Program:

A group of related IT projects, broken into smaller components to ensure more successful delivery and providing faster benefits to the owning agencies/units. For example, a large document management solution could be an IT Program, broken into smaller projects, delivering legal documents in one project, financial documents in a second project, and customer records in the third project - delivering interim benefits to the agency more quickly than if all documents were held to be delivered at one time.

Phase Gates:

SDM introduces "phase gates", where the project Executive Sponsors/Leadership must evaluate and approve the project's deliverables, budget performance and schedule performance before proceeding to the next phase of work.

System Development Methodology (SDM):

The term "System Development Methodology" (SDM) refers to the formal documented lifecycle that technology projects must follow. The methodology defines the seven life-cycle phases, project team roles and responsibilities, and the specific tasks and deliverables required within each life-cycle phase. The SDM provides phase-based process documentation, sample deliverables and job-aids to assist project teams.