

I. Program Identification

Project Title: Criminal History Modernization Project

Agency Name:

Dept. of Emergency Service and Public Protection

Special Licensing & Firearms Unit

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II. Program Description

A. Project Dates

Proposed Start Date (Month/Year) **Expected Completion Date (Month/Year)** **Project Duration (in months)**

07/1/2014

6/30/2016

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B. Project Description This information will be used for listings and report to the Governor and General Assembly on capital funded projects.

The current project seeks to modernize Connecticut's CCH, re-architecting the application and underlying database so that it can meet the current and future needs of the criminal justice community and private citizens in our state. In rebuilding CCH with modern technology, we will be able to provide real-time rap-back notifications to various subscribing agencies; online payments and online requests for background checks integrated into the CCH; fluid integration with other important information sharing systems, including the Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT, the state's gateway to NCIC/NLETS), the Connecticut Information Sharing System (CISS), and the Weapons Registration System; and technology that can more adequately address the growing backlog of background checks in our state.

C. Summary.

Summary - Describe the high level summary of this project in plain English without technical jargon

DESPP proposes to design, convert, and build a web-based records management system that will provide more timely and complete processing of arrest and disposition records in the state criminal history repository (MNI/CCH). DESP also proposes to implement new automated procedures to replace existing manual steps in the MNI/CCH process. This will improve the availability, accuracy, and completeness of criminal histories records in the repository.

The MNI/CCH Modernization will encompass several activities, including converting the obsolete programming code to modern programming code, developing a web-based electronic record management application, and automating various manual operations. The resultant application will provide more timely and complete electronic disposition of criminal history records from the courts than now takes place with the COBOL-based version of MNI/CCH and related manual procedures.

DESPP seeks to rewrite this legacy MNI/CCH application so that it is on the same modern, supportable, and adaptable platform as the state's rewritten NCIC and NLETS gateway system, COLLECT, the Connecticut On-Line Law Enforcement Communications Teleprocessing system. This will allow for cross-application support of the two primary law enforcement applications in the state.

Purpose – Describe the purpose of the project

Modernization of Connecticut's CCH is needed for several reasons. First and foremost, newer technology is needed to facilitate ongoing maintenance and critical system modifications. The current CCH was written with a 30 year-old application-development tool (TELON) that generates programs in an old language (COBOL) no longer taught in universities. It is exceedingly difficult to find programmers with sufficient expertise in the old language or the application development tool, making it costly and risky to make even routine modifications to the CCH. Connecticut has just one full-time developer with only limited exposure to new CCH technologies, and this developer will be retiring in just a few years. A modernization effort must commence immediately in order to complete the project prior to the retirement of our CCH developer. The CCH modernization would replace the old CCH with more mainstream application technologies – technologies that are taught in universities, that align with State technology architecture standards, and that have many skilled developers in the labor market.

Second, the modernization project is needed to seamlessly integrate with important new technologies in Connecticut. Recently, we modernized the COLLECT System, which serves as the state's gateway to NCIC and NLETS and otherwise serves as the main information hub for criminal justice agencies in Connecticut. The new COLLECT System provides modern electronic interfaces (web service interfaces) to various information systems, including CCH; however, the interface to CCH is a mainframe retrofit, rather than a robust, maintainable end-point for information exchange. A modernized CCH would replace the retrofit interface with a modern interface to COLLECT. We are seeking funds to modernize our Special Licensing and Weapons Registration System (SLWRS), which is used to manage all gun sale authorizations and pistol permits in the state. Currently, SLWRS receives CCH data via screen-scraping technology, technology that requires human visual inspection and data entry in order to process criminal history data. As part of the modernization of SLWRS, the new system will be capable of receiving CCH data through a modern electronic interface, an interface that has the CCH data pre-parsed into recognizable data fields, which can be processed automatically by SLWRS. Unfortunately, the CCH system needs to be modernized in order for that system to expose a modern interface to SLWRS. Finally, the state is in the middle of implementing CISS, a new statewide criminal justice information sharing system. This system is built upon state-of-the-art technology that provides real-time integrated access to various state databases, including CCH. While CISS technology can make use of the current CCH, the current CCH cannot take advantage of some of the benefits of CISS, including a statewide tracking number for persons in the criminal justice system. A modernized CCH would be able to consume data from CISS through modern interfaces, thus improving interoperability with this important new system.

Third, CCH needs to be modernized to handle the increasing demand of background check services in the state. Over the past ten years, several state laws have been enacted which require fingerprint-supported criminal background checks for certain job applicants (e.g., bus drivers, long-term health care employees, foster care providers ... etc.) and persons seeking certain credentials (pistol permits, pawn shop permits ... etc.). We anticipate that the demand for

these services will continue to increase in the future. At the same time, the state's human resources to handle these services have not increased. The result has been an ever-growing backlog of criminal history checks, where the average turn-around time for background checks is over eight weeks (without considering delays external to our agency). To address this growing backlog, we are seeking to automate background check processes as much as possible, including automating some of the processing done in our Automated Fingerprint Identification System (AFIS), providing the capability for persons to request and pay for background check services online, and further automating processes in CCH. In order to realize this automation, we need to rewrite our CCH so that it uses more modern technology and more modern interfaces. Simply put, there is only so much automation that we can do with the current technology, without running the risk of compromising current CCH functionality.

Finally, CCH needs to be modernized in order to pave the way for Connecticut to attain National Fingerprint File (NFF) compliance. For years, Connecticut has been unable to address compliance with NFF due to the age of our technology and our limited ability to enhance such technology. Compliance with NFF would be a monumental undertaking, given our present technology. While we recognize the importance of eventually complying with NFF, at present we cannot move toward such compliance until our CCH is on a more modern technology platform, where enhancements could be achieved without significant risk to current operations. Once CCH is modernized, we can recommence the process of planning NFF compliance. Similarly, a modernized CCH would make it easier for Connecticut to take advantage of important new services to be offered by the FBI, including federal rap-back capabilities.

Importance

Connecticut's Computerized Criminal History System (CCH) provides official arrest and conviction records to several information consumers in the state, including all law enforcement agencies, many state and local government agencies, and private citizens. CCH provides law enforcement with relevant background information on persons of interest; it provides government agencies with information used to disqualify certain job applicants or to deny certain persons seeking pistol permits; and it provides private citizens with the ability to obtain official criminal records for themselves or other persons. CCH is a critical component of Connecticut's criminal justice information system (CJIS), having direct or indirect interfaces with mission critical systems in various state agencies – systems that continue to evolve in complexity, scope, and integration requirements.

Despite its business importance to the criminal justice system and community, CCH is over 30 years old and technologically obsolete. Integrations between CCH and other systems often involve workarounds that significantly compromise our efforts to automate and streamline the flow of information across the criminal justice information pipeline. Requirements concerning rap-back (arrest and conviction notification system), ecommerce (online requests and payments for services), and NFF compliance cannot be met adequately with the current CCH. Also, with the current CCH and its limited automation capabilities, there is an unacceptable turn-around time for job applicant background checks, a delay that may grow as the volume of background checks (especially employment- and firearm-related checks) in our state steadily increases. Finally, the current CCH has only limited integration with the state's Special Licensing and Weapons Registration System (SLWRS), which is used to manage gun sale authorizations and registrations and pistol permits. SLWRS receives CCH data via "screen scraping" technology, which is not capable of fully processing criminal history data.

The current project seeks to modernize Connecticut's CCH, re-architecting the application and underlying database so that it can meet the current and future needs of the criminal justice community and private citizens in our state. In rebuilding CCH with modern technology, we will be able to provide real-time rap-back notifications to various subscribing agencies; online payments and online requests for background checks integrated into the CCH; better integration with evolving, state-of-the-art information sharing systems, including the Connecticut On-Line Law Enforcement Communications Teleprocessing (COLLECT, the state's gateway to NCIC/NLETS) and the Connecticut Information Sharing System (CISS); technology that is capable of moving toward NFF compliance; and technology that can more adequately address the growing backlog of background checks in our state.

Outcomes

The main business outcomes of the CCH modernization project will be the following: (a) reduced manual criminal history work, (b) increased turn-around time (reduced backlogs) for pre-employment criminal history checks, (c) cleaner and more consistent criminal history data, (d) adoption of federal standards for generating and transmitting criminal history rap sheets, (e) improved interoperability with other states also embracing the new standards, and (f) compliance with state law requiring full participation in the FBI's National Fingerprint File (NFF) program.

Approach and Success Evaluation

DESPP seeks to modernize its CCH through procurement of a mature Commercial Off-The-Shelf (COTS) criminal history system. In procuring a COTS solution, both the time and costs associated with implementing a modernized CCH will be minimized. Furthermore, in procuring a mature solution, the State will minimize risks associated with solution development. Finally, a COTS solution will encourage business process re-engineering – fettling out idiosyncratic and inefficient business activities.

The agency will measure the success of the project in several ways. First, we will monitor the number/percentage of criminal records checks that are handled through automated means vs. manual means. Second, we will monitor the amount of time that it takes to perform criminal history checks (currently being done on a weekly basis). Third, we have created an analysis database of our criminal history data, where we have commenced a discovery process for data quality issues. Not only will this analysis facilitate data migration efforts but it will provide a baseline against which data quality in the modernized system can be evaluated. Fourth, we will monitor our progress toward adoption of various federal standards (NIEM rap sheets and NFF compliance). We seek a solution that will enable us to adopt most of the federal standards within months after the solution is in place.

D. Business Goals. List up to 5 key business goals you have for this program, when (FY) the goal is expected to be achieved, and how you will measure achievement, Must have at least one. Please use action phrases beginning with a verb to state each goal. Example: "Reduce the Permitting process by 25%". In the metrics column, please explain what data you will use to demonstrate the goal is being achieved and am current metrics.

| Business Goal (Action Phase) | Target FY for Goal | Current Value | Expected Value |
|---|---------------------------|----------------------|-----------------------|
| Reduce work/decision processing time. | 2016 | TBD | TBD |
| Reduce defects in applications | 2016 | TBD | TBD |
| Increase the speed for citizens, business and agency staff to retrieve key site documents from hours/days to instantaneous. | 2016 | TBD | TBD |
| Increase the speed of issuing routine/standardized correspondence to affected citizens and agencies | 2016 | TBD | TBD |
| Customers will receive correspondence from DESPP electronically | 2016 | TBD | TBD |
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E. **Technology Goals.** List up to 3 key technology goals you have for this program and when (FY) the goal is expected to be achieved. Please use action phrases beginning with a verb to state each goal. Example: "Improve transaction response time by 10%".

| Technology Goal | Target FY for Goal |
|---|--------------------|
| Update programs to supportable technologies | 2016 |
| Create and implement innovative approaches for electronic workflow, that will receive, track, analyze and evaluate data, and allow staff to work collaboratively. | 2016 |
| Improving public response time . | 2016 |

F. **Priority Alignment.** The criteria in this table, in concert with other factors, will be used to determine project priorities in the capital funding approval process. Briefly describe how the proposed projects will align with each criterion.

| Priority Criterion | Y/N | Explanation |
|--|-----|--|
| Aligned with Governor's Key Priorities | yes | Government more user-friendly for transacting business; information/services easy to find on-line; implement modern business practices; transparency for public and government decision makers on effectiveness and outcomes; increase integrity and security of electronic/digital data |
| Aligned with business and IT goals of agency | yes | The updated MNI/CCH will reduce backlogs in criminal history processing (priority business goal) and modernize key information systems (priority IT goal). |
| Aligned with state of CT IT Strategic Plan | yes | The proposed solution will provide e-government services to citizens (i.e., online criminal history requests with online payments). |
| Reduces or prevents future increases to its operating budget | yes | Increases staff efficiency and reduces waste by eliminating physical processing of paper and time spent on incomplete applications. |
| Results in a shared capability used by multiple agencies | yes | CCH is a core component of the State's criminal justice information system. It is used by multiple state agencies and all local law enforcement agencies. With its adoption of federal standards for data transmission, the modernized version of CCH will facilitate interoperability on a state and federal level. |
| Co-developed through participation of multiple agencies | yes | As part of the requirements gathering process for the modernized CCH, we have already had preliminary discussions with some stakeholders (Judicial, CISS staff) regarding requirements for a modernized CCH. These efforts will be expanded and formalized when the project is approved. |
| Agency demonstrates readiness to manage project of this size and scope | yes | DESPP has been involved in similar projects using the same core technologies to successfully design, develop and implement the COLLECT V2 application. |

| | | |
|---|-----|---|
| Agency is ready to deliver the business value proposed. | yes | The agency has been successful in anticipating and meeting the needs of stakeholders. |
|---|-----|---|

G. **Organizational Preparedness.** Is your agency prepared to undertake this program? Is senior management committed, willing to participate, and willing to allocate the necessary time, energy and staffing resources? How will the project be managed and/or governed and who will make the key project decisions?

DESPP has established and implemented a Project Management Office.

H. **Program Ramp Up.** If capital funds are awarded for this project, how long will it take to ramp up? What are the key ramp-up requirements and have any of these already been started? For example, is a project manager been identified? Has an RFI been issued? Is a major procurement required such as an RFP?

Ramp up time will be approximately 3 - 6 months. The majority of the time will be spent in procurement processes – namely and RFP (unless a sole source contract can be awarded).

I. **Organizational Skills.** Do you have the experienced staff with the proper training to sustain this initiative once it's a production system? Do you anticipate having to hire additional staff to sustain this? What training efforts are expected to be needed to maintain this system?

One of the keys to this project is to develop the application using the same technologies as in the COLLECT V2. The agency has committed to training existing developers and to hiring two new JAVA developers.

J. **Financial Estimates.** Include summary from 1B Spreadsheet ?

| Estimated Total Development Cost | Estimated total Capital Funding Request | Estimated Annual Operating Cost | One Time Financial Benefit | Recurring Annual Financial Benefit |
|----------------------------------|---|---------------------------------|----------------------------|------------------------------------|
| \$2,011,060 | \$2,011,060 | \$ 521,000 | \$0 | \$175,000 |
| Explanation of Estimates | | | | |

Estimates include the cost of consultants to perform the coding, Business Analyst and Technical writer for documentation, and a software tester. This estimate includes hardware and software purchases to support the same. Included are estimates to upgrade the mainframe to support an additional load.

III. Expanded Business Case

A. **Program Impact.** Beyond the top business goals identified in Section II, 1) What impacts will this program have, if any, in the targeted areas below 2) What would be the impact of not doing this program 3) How will the program demonstrate benefits are achieved.

| (1) Impact Area (Vision) | Description of Program Impact |
|---|--|
| Provide efficient and easily accessible services for all constituents | Project will ultimately establish a framework for allowing the public to access their histories on-line. |

| | |
|---|--|
| Provide a faster response time for requests. | Project accomplishes this by eliminating many of the manual steps currently involved in processing requests for histories. |
| Establish efficient and modern business processes | Project accomplishes this by allowing the business to access electronic workflows |
| | |

2) Impact of NOT doing this program:

1. The MNI/CCH application will soon be unmaintainable. The technology used is no longer being taught and the current developer is nearing retirement age. Failure to do this project will affect all agencies that rely on accurate and timely criminal histories. Also affected will be the ability of DESPP to fill requests in a timely manner. Recently there have been significant backlogs in filling requests from the public. Other units within the agency are moving to automate processes, failure to update the MNI/CCH and automate the workflow will cause an bottleneck.

(3) How will you demonstrate achievement of benefits:

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B. Statutory/Regulatory Mandates. 1) Cite and describe federal and state mandates that this program is intended to address. 2) What would be the impact of non-compliance?

(1) Statutory / Regulatory Mandates:

The program goals are intended to benefit all lines of business conducted by the agency and all governing statutes and regulations. Although there are no new requirements mandating this project, it will be developed with the flexibility to adapt to future statutory and regulatory changes.

(2) Impact of non-compliance:

Insufficient public availability of information. Inefficient use of staff resources. Slow availability of information to the public and to DESPP for decision making.

C. Primary Beneficiaries. Who will benefit from this program (citizens businesses, municipalities, other state agencies, staff in your agency, other stakeholders) and in what way?

Citizens, businesses, government agencies and Municipalities when requesting histories

IV. Financial Analysis

A. Estimated Program Development/Implementation Costs- Total Costs.

- 1) **Total Cost Estimate.** Please go to the TOTAL Program Cost Spreadsheet and estimate the total program costs by program year. Totals should correspond to entries in part II.XXXXXX of this form.
- 2) **Assumptions.** Please list key assumptions you are using to estimate program development and implementation costs.

BEST will host the solution. DESPP will provide the hardware and software. BEST will provide consulting services to ensure the success of the project in a number of areas, including networking and security.

B. Estimated Program Development/Implementation Costs - IT Capital Bond Funded Costs,
what portion of total program costs do you expect will be funded from IT Capital Bond Funds?
Please go to the IT Capital Bond Fund Program Cost spreadsheet in the 113 Excel Workbook,
and estimate the IT Capital Bond funded portion of program costs by program year using as many columns as needed.