



CriMNet

Risk Assessment & Mitigation Project

Report to the Legislature

By Aeritae Consulting Group, Ltd.

February 14, 2003

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Consultant's Report

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Introduction

CriMNet is a project to integrate criminal and juvenile justice information across multiple agencies and jurisdictions. As required by the Legislature, identified in Laws of Minnesota 2001, First Special Session, Chapter 10, Article 1, Section 12, Subdivision 3(c) and (d), the CriMNet project must undergo a supplemental evaluation, risk assessment and risk mitigation plan for the CriMNet system. A Request for Proposal was created to accomplish this task in October 2002. Aeritae Consulting Group, Ltd. was selected to conduct the assessment.

The Risk Assessment and Mitigation project contains four tasks; Identification of Risks, Analysis of Risks, Risk Response Plan and a Report to the Legislature. Specifically, the evaluation, risk assessment and risk mitigation plans were to consider each component of the project as to:

- ▶ The appropriateness of the current CriMNet program plan, and
- ▶ The likelihood of achieving objectives within funds appropriated.

The focus of this document is the assessment team's response to the above two questions and a summary of potential updates to legislation. The updates are based upon recommendations presented within the Risk Response Plan that was created to mitigate the risks identified in the program.

The Risk Response Plan has been included as an attachment to this document to provide a foundation for the comments of the risk assessment team. The Risk Response Plan contains a summary of the 36 risks identified in the initial stages of the project and 32 recommendations for action to address these risks. As a result, the detailed work from these initial stages has not been included with this document. These documents are however available by request through the CriMNet office.

Appropriateness of CriMNet Program

The current CriMNet program is appropriate, needed and should be continued. There has been significant progress in the last year as demonstrated by the MNCIS proof of concept and Integration Backbone pilot systems that are currently up and running in Carver County.

The program however has lost much of its focus on integration of criminal justice information. There have been power and control struggles surrounding funding and recognition. As a result of frustrations, doubts, and fears, actions have been taken that were not well thought out nor forwarding for the program.

This loss of focus has resulted in confusion surrounding the program. Some key points of the confusion are:

- ▶ A lack of clarity in the differentiation of projects items versus program items,
- ▶ What funds are under the authority of the Policy Group – appropriated CriMNet funds or all criminal justice information funds, and
- ▶ Once funds are appropriated and available to the various agencies, there is no oversight to insure the funds are used for integrated criminal justice or if the project complies with enterprise criminal justice architectural standards.

This is a representative set of issues associated with the confusion surrounding the program.

A key issue to address that will bring back clarity and focus to the program is the quality and completeness of standard program documentation (e.g. Strategic Plan, Business Plan, Scope, Communication Plan and Overall Program Project Plan). Today, the program lacks much of this information. The plans that do exist for the program reside in multiple documents that have not been maintained or consistently supported by leadership. Attempts to address the lack of current documentation was hindered by the fact that program documentation that was created and presented to the Policy Group was not “approved” and the issues preventing consensus were never resolved.

The Risk Response Plan that has been developed addresses this key issue as well as other sources of confusion and risk in the program. Recent activities including the change in membership of the Policy Group and visibility around CriMNet have created an opportunity in the program. The state can “seize the moment” and create focus on;

- ▶ Getting the CriMNet “house in order”,
- ▶ Providing clear communication,
- ▶ Creating the plan, and
- ▶ Executing against the plan.

Ability to meet Objectives with Appropriated Funds

In evaluating the financial aspects of CriMNet we have chosen to consider two perspectives due to the timing of the project. One perspective is the likelihood of meeting the objectives with appropriated funds for the 2002-2003 biennium. The second perspective provided considers meeting the overall objective of an integrated criminal justice system in the future.

The original timing for the risk assessment project had a completion date of no later than November 15, 2001. Had the project concluded at that time, there would have been an opportunity to have a more forward look at the current funds and associated objectives. At the same time, it could be said that doing the evaluation at this time is very appropriate as key decisions need to be made for continued funding of the program.

FY 02-03 Objectives and Funds

From this perspective the original timing would have been very valuable in looking at the plans for various projects. With only five months left in the biennium, it is relatively easy to assess if the objectives defined in the State of Minnesota 2002-03 Biennial Budget document for each project receiving 'CriMNet' funds are being met. A summary of each project that is receiving CriMNet funds and their progress toward meeting their objectives is highlighted below.

Projects:

- ▶ Minnesota Court Information System (MNCIS) had a project goal for 2002-2003 of having a proof of concept for Carver County complete. With the Proof-of-Concept (POC) in process, it appears the objectives will be met within this budget. The full rollout plan and costs has yet to be determined. The full project timeline goes across three bienniums (2002-2007). The costs associated with the rollout past Carver County were not provided to the project team. After several challenges and associated expenditures during the early part of the project, this seems to be on track to meet short and long term goals.
- ▶ Integrated Backbone had an initial funding for a planning and design effort. The first operational deliverable from the plan was a pilot in Carver County by the end of the 2002-2003 bienniums that would coordinate/integrate with the MNCIS plan. With the pilot in process, it appears the objectives will be met within budget. The full rollout plan and costs has been estimated at \$50 million over the next two bienniums. It should be noted that federal funding sources, specifically Homeland Security funds, will be explored to assist in the financing of the project.

- ▶ Statewide Supervisory System (S³) is basically completed and has met its objectives within budget.
- ▶ Suspense file has very specific objectives for this biennium:
 - Reduce the flow of dispositions into suspense;
 - From 50% to 30% in the first year,
 - To 20% the second year, and
 - Less than 15% the third year.
 - Reduce the size of the suspense file;
 - By 50% during the first year, and
 - By 90% during the second year.

Even though significant progress has been achieved, these initial goals will not be met in the proposed timeframes. The current plan shows them being met by the end of calendar 2003.

Other areas:

- ▶ CriMNet Staff – the objective was to create a criminal justice integration team with eight staff members to support the five CriMNet models – technology, data, process, organization and motivation. This objective has been partially met. There are three positions filled with some “borrowed” staff helping to support other positions. Some of the models are complete while others are in process. The challenge, based on staffing levels, is keeping these models current. The hiring freeze within the state provided a challenge in meeting this objective.
- ▶ Grants/Funding – the objective was to analyze statewide options for the integration of criminal justice information and to assist state, counties and cities. This was only partially successful as the distributions of funds were approved, but to date no funds have been distributed. This led to the elimination of some grant money with the recent budget unallotments. The program was not mature enough, nor staffed to be ready to effectively manage these funds in this biennium.

While the majority of objectives are being met, there remain issues in the program that should be addressed that will support integrated criminal justice going forward. Recommended actions to address the issues noted above are included in the Risk Response Plan.

Future Objectives and Funds

As the objectives and funding plans for the future have not yet been defined, it is impossible to provide an assessment. However, it is possible to provide an overview of what is known today and to provide an assessment of what funding should be considered moving forward.

The full implementation of an integrated criminal justice system should be considered a multi year program with many supporting projects. The costs associated with the program can be

allocated based upon available funding and project readiness. As noted in the Program Philosophy: Think Big, Act Small presented in the Risk Response Plan, there is the ability to provide funding to smaller supporting projects while maintaining a focus on the larger goal of integrated criminal justice. This allows for continued forward progress at the rate resources are available.

In Thinking Big, Acting Small, there are recommendations concerning the development of a strategic plan and the identification of projects to support the plan. These recommendations should be considered to enable the implementation of an integrated criminal justice system that will better serve the citizens of Minnesota.

With that said, there are some specific guidelines being recommended for use in developing the 2004-2005 biennium budget:

- ▶ All requests for criminal justice information system funds should be tied to the overall CrimNet plan, once developed, and
- ▶ The criteria for the approval of funds should be focused on how the specific request will support the vision of integrated criminal justice. A couple of key points to remember are: (1) not all 'good' things help along the path to integrated criminal justice, and (2) short term 'wins' may come at the expense of the long term vision.

General Conclusions

CriMNet as a program has considerable value to the citizens of Minnesota and should continue to be supported. The vision of an integrated criminal justice which began several years ago has been widely supported and has resulted in many dedicated individuals working tirelessly to make this vision a reality.

The CriMNet program has just begun to demonstrate the power of information sharing via the recent proof-of-concept and pilot installations in Carver County. Sustained support and funding for the CriMNet program and its related projects will result in continued progress and greater safety for citizens and those individuals working in the criminal justice system.

Minnesota's CriMNet program is one that is being looked to nationally as a potential model of how to bridge the information and communication gaps that exist today within the criminal justice systems. The probability of success of the program can be greatly enhanced through the implementation of the 32 recommendations within the Risk Response Plan developed to address the 36 risks identified for the program.

For simplicity, an additional section has been included that summarizes the changes to legislation that would be required should the recommended actions within the Risk Response Plan be implemented. The Risk Response Plan attached to this document should be referenced for the full details regarding each recommendation.

Recommended Legislative Changes

Within the Risk Response Plan there are several recommended actions that should they be chosen for the path moving forward would require changes to the existing legislation (Statute 299C.65). For simplicity, this section has been included to provide a short summary of the recommended actions that could result in requests for legislative changes. The Risk Response Plan attached to this document should be referenced for the full details regarding each recommendation.

Statute 299C.65 has been included for your reference.

Policy Group Membership

Subdivision 1, section (a) describes the membership of the Criminal and Juvenile Justice Information Policy Group. This section would require modification if the 'Option A' or 'Option B' recommendation within the Governance section of the Risk Response Plan was to be implemented.

The changes should 'Option A' be implemented would include:

- ▶ Deletion of Commissioner of Administration from policy group membership,
- ▶ Change from four to three members of the judicial branch as policy group members, and the
- ▶ Addition of three new policy group members that are selected by the task force from within the task force. Note: providing any non-voting members are appointed to the task force (subdivision 2, section (c)) it should be noted that only voting members of the task force would be eligible for selection to the policy group.

The changes to this section should 'Option B' be chosen for implementation would include;

- ▶ Deletion of subdivision 1, section (a), and
- ▶ Modification of subdivision 2, section (b) to delete references to the policy group and where not redundant insert Commissioner of Public Safety. Note: this modification would be required throughout the statute as the change eliminates the policy group as a governing body and focuses the ownership and responsibility for integrated criminal justice to the Commissioner of Public Safety.

CriMNet Program vs. Project

Within the statute there are references to CriMNet both as a program and as a project. We believe that this situation has resulted in some of the confusion and inconsistencies seen during our assessment. CriMNet is not one project (i.e. Integration Backbone) but many

criminal justice projects that should be managed as a program. To help clarify and provide some distinction in the language of the statute, the following recommendations are presented.

- ▶ Subdivision 1, section (b);
 - Insert the word 'program' following (CriMNet) in the second sentence,
 - Change the word 'project' to 'program' in the third sentence, and
 - Modify the last sentence to be, ...must ensure that generally accepted program and project management techniques are utilized within the CriMNet program and CriMNet projects, including ...
- ▶ Subdivision 1, section (c)
 - Change the word 'project' to 'program'.

CriMNet Legislative Reporting

In addition to the clarifications between program and project, it is apparent to the risk assessment project team that a few updates to the language regarding the content of the annual reports to be provided to the legislature would be helpful. The suggested update is to require that each annual report includes the overall program plan from which all progress is measured. The report could then contain sections for a) what was completed in the past year b) what is on-going and c) what is new and requesting support. Each of these sections should also provide a status of their funding.

The inclusion of the program plan provides an overall framework for the activities within the Criminal Justice community. Having this plan or roadmap will help to ensure that all of the recommended projects can demonstrate how they support the overall vision of integrated Criminal Justice.

The annual report should also be a document that assists the legislature in making funding decisions. Currently the statute notes in Subdivision 2, section (a) that the report is due by December 1 of each year. This timing seems reasonable and should provide the legislature ample time for review and consideration should the report be completed and delivered on time.

Review of Funding

The statute contains a significant amount of language (Subdivisions 5-8) regarding the review of funding and grant requests. One element to review should be the role of the Policy Group regarding the review of funding 'requests for compatibility to statewide criminal justice information system standards' (Subdivision 5, section (a)). This review should be a key focus of the Policy Group (CriMNet program office) as it would provide the legislature with an assurance that the projects they are requesting funds do indeed follow a set of enterprise

standards and are in alignment with the overall program plan. For this reason, we are recommending that Subdivision 5, section (a) is highlighted and is a stand alone subdivision.

In segmenting this area of the legislation, it will also assist in clarifying what criminal justice information system projects have received funding and should be considered a project within the CriMNet program and subject to the generally accepted project management techniques listed in Subdivision 1, section (b)(1) and provide reporting to the CriMNet program office (see also recommended update for Subdivision 9).

Review of Grant Requests

Subdivision 5, section (b) states 'The policy group shall also review funding requests for criminal justice information systems grants to be made by the Commissioner of Public Safety as provided in this section.' If the intent of this subdivision was that all grants for criminal justice information systems projects are approved by the policy group this is clearly not happening today. Should this have been the goal, a clarification to the policy group should be considered.

The Risk Response Plan developed contains a recommendation to consider a consolidation of the grants administered via the CriMNet office and the Office of Drug Policy and Violence Prevention to one office to provide a single view of grant funds for criminal justice projects.

Grants: Integration Plans

The third subsection in Subdivision 5 (Subdivision 5, section(c)) provides for the event of a funding request for the 'development of a comprehensive criminal justice information integration plan' or the 'implementation of a plan' or 'other criminal justice system projects.' It continues to state that any funding request should ensure that Subdivision 6 and Subdivision 7 are complied with as a condition of receiving funds. The concern with these sections is that they are overly complex and do not encourage the integration of criminal justice systems.

Of primary concern is that the subdivision appears to be focused on the integration of systems from a geographic perspective (i.e. by county). What the subdivision does not appear to consider is that there are many ways to achieve integrated criminal justice, for example by line of business. The statute also does not clearly indicate that the integration plan developed by the individual government agency requesting funds have any responsibility for integration at a higher level. A requirement for any entity requesting funding should be for the ease of integration across the state.

Our recommendation for Subdivision 5, section (c) and Subdivisions 6 and 7 is to simplify the language. In short, the requirements for funding requests should comply with a few straightforward rules. Each project should;

- ▶ Demonstrate its alignment and support for overall integrated criminal justice vision,
- ▶ Demonstrate its compliance to the State's enterprise criminal justice standards,
- ▶ Employ generally accepted project management techniques,
- ▶ Provide reporting to the CriMNet program office,
- ▶ Include clear objectives with stated benefits that can be measured, and
- ▶ Contain local match funds equal to or greater than the share of matching funds required as determined by the policy group
 - All 'in-kind' funds to be used as matching funds meet the requirements for such funds as defined by the policy group.

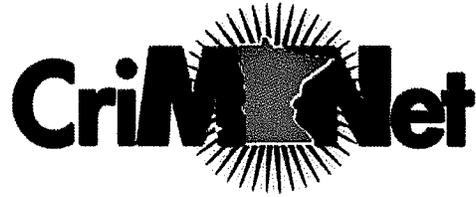
By providing a simple set of data, the project can be evaluated by its ability to support and enhance the overall vision of integrated criminal justice. Also, simplifying the language will help to ensure that critical dollars are targeted to the projects that can improve public safety for all Minnesotans.

Grants: Local Match

Subdivision 8, sections (a) (b) and (c) are clear and require only one minor update to ensure clarity and consistency within the legislative changes recommended previously. The recommended update is for section (a) and changes the word 'counties' to 'grant applicants.' This change supports the notion that grant requests can come from entities other than counties.

Project Documentation and Reporting

In the statute, Subdivision 9 concerns documentation and reporting requirements for recipients of matching funds. It is our belief that to have an effective CriMNet program, all criminal justice projects receiving funds, whether they be grant funds or appropriations, should be required to provide general project reporting to the CriMNet program office. In requiring all criminal justice projects to provide documentation to a central body, the policy group by way of the CriMNet program office will have on-going insight into all projects and be better able to celebrate successes and provide recommendations that support the long term goals.



CriMNet Risk Assessment & Mitigation

By Aeritae Consulting Group, Ltd.

Task 3: Risk Response Plan

February 6, 2003

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Executive Summary

CrimNet, a multi-faceted program to integrate the criminal justice community in Minnesota, has been operating over the past few years. Via statute, the legislature required an independent risk assessment of the program to be completed. Aeritae Consulting Group, Ltd. was contracted to perform the assessment which was segmented into three main tasks; information and data gathering to complete Risk Assessment Templates, an analysis of the templates to create a Master Risk Log and the creation of a Risk Response Plan. A fourth task, a report to the legislature, is to be completed on February 14, 2003. This document provides an overview of the initial two tasks and contains the Risk Response Plan being recommended for action. The assessment was to cover ten program elements, three of which were overarching elements; Governance, CrimNet Operations and Grants and seven that were projects; Integration Backbone, MNCIS, S³, Suspense File, MJNO, MRAP and POR.

The development of the Risk Response Plan was based upon the team's general observations and the core issues identified for the program. The Risk Response Plan also provides specific actions and timing to address each of the individual risks listed in the Master Risk Log.

Five general observations were noted that impacted how the Risk Response Plan was built. An observation that was made early in the project was the lack of clarity and definition to 'what is CrimNet.' There was no clarity between the CrimNet program, CrimNet projects (specifically the Integration Backbone) and other Criminal Justice system efforts. The overall complexity of the program, the coordination and cooperation across the Criminal Justice community as well as across and within the various branches of government, (state and local) provide a challenging environment. Additional general observations were made in the areas of management, responsibility, accountability and ownership.

Due to the challenges of a complex program a philosophy of 'Think Big, Act Small' is being presented. This idea helps to alleviate the feeling of being overwhelmed and it is recommended that it be embraced as a way to bring clarity and a general road map to follow. It can also provide a context for all decisions and ensure that the actions chosen will keep the team moving forward on the chosen path.

General observations were also made that there were positive indicators for the program. These include the significant progress made on the Integration Backbone, the MNCIS proof-of-concept, the passion exhibited for the goal of integrated criminal justice, the relationships built at the national level and their focus on Minnesota's system, and a Task Force that overcame external issues to be responsive and productive. It was also seen as positive that the program leadership is aware that issues exist in the program and has been working to try and address the issues.

The core issues found in this assessment that must be address can be summarized as a result of a – lack of clarity, cooperation, consistency and commitment. The source of these issues is a lack of leadership. This issue provides the foundation of the Risk Response Plan.

The Risk Response Plan provides recommendations of specific actions to address the issues found in the program. The structure of the plan conforms to the ten project elements reviewed. This provides the ability to easily understand what actions should be the responsibility of any given project element. The plan is also constructed in a waterfall format. The critical elements of the Governance and CriMNet Operations plans are required actions that flow to other project specific elements.

Included in the plan is a recommended action to change the overall governance structure of the program. As this action is believed to be central to the success of the overall program, two options for change have been presented. The key differences between the two options are in the membership of the Criminal and Juvenile Justice Information Policy Group and the reporting relationship of the CriMNet program office.

A focus of the recommended actions in the CriMNet Operations element is the need to bring clarity and delineation between the CriMNet program office and the Integration Backbone project. The initial action is to separate the two roles and to move the technology project into an IT organization. The plan also provides a recommendation for the functions that should be performed within the CriMNet program office. In concert with the creation of two distinct teams, action must be taken to complete staffing and skills analysis to ensure that the proper resources are dedicated to the tasks. These actions combined with the adoption and execution of standard program and project methodologies are integral for both CriMNet Operations and the Integration Backbone project.

The Grants element of the program while a source of consternation for many individuals, may also be a source of surprise as in the context of risk, the only element that had fewer risks was Suspense File. With that said, the Risk Response Plan does have recommended actions at the Governance level that must be addressed for a grant program to be successful.

The MNCIS project along with the Integration Backbone project were set apart from the other projects reviewed as they each had about half of the total identified risks associated with them. The actions in the plan for the Integration Backbone have been addressed above in conjunction with the CriMNet Operations. The actions recommended for MNCIS include the development of a full rollout plan, the integration and/or interfacing with business process reengineering efforts and the monitoring of the level of contract employees in key positions.

The final five elements reviewed in the assessment included Suspense File which is not a technology project, had very few risks and was seen as a positive example in bringing state and local agencies together to solve a problem. The remaining four elements; S³, MJNO, MRAP and POR as they are completed projects were reviewed from the perspective of the development of an adaptor to the Integration Backbone. Thus, the recommended actions of the Integration Backbone will also support these elements. Only one action was noted for the

adaptors and that was to create and adequately staff a team to address security architecture issues relating to each adaptor.

In total, the project has many challenges ahead. The good news is that the passion and commitment of the individuals at the worker level for an integrated criminal justice system is strong. The recommended actions are all easily accomplished given that the passion and commitment for the program and ultimate goal are embraced by the program leadership and supported by the required changes to the existing legislation.

Risk Assessment & Mitigation Project Overview

Aeritae Consulting Group, Ltd. was contracted in December 2002 to conduct a Risk Assessment and Mitigation project for the CrimNet program. The risk assessment was to review ten elements within the CrimNet program, three of which were over arching elements; Governance, CrimNet Operations and Grants and seven projects; Integration Backbone, MNCIS, S³, Suspense File, MJNO, MRAP and POR.

To effectively complete a risk assessment, the identification of the ultimate goal of the program must be understood. For the purpose of this assessment, the desired outcome of an Integrated Criminal Justice system was the focus. Any event that could jeopardize the achievement of this goal was considered a risk.

To begin the assessment, the project team conducted numerous interviews and reviewed many program and project documents. This activity provided the foundation for the first task in the project, the completion of the risk assessment templates. The second step was to complete an analysis of the risks. From the risk analysis a risk response plan was developed. This document summarizes the data from the initial project activities and details the risk response plan being recommended to the Criminal and Juvenile Justice Policy Group and CrimNet Operations staff.

Task 1 – Risk Assessment Templates

The initial step in the project was the gathering of data to allow for the completion of the Risk Assessment Templates. The Risk Assessment Template was a tool provided by the State of Minnesota PMO office and refined and enhanced by the Aeritae project team to ensure a broad view of each reviewed element. To prepare for the completion of the templates, a series of interviews were conducted with individuals connected to the CrimNet program. In total, 67 interviews spanning a wide range of perspectives in the program were completed to ensure all views regarding the program were considered. While the project team did not initially anticipate having to conduct this volume of interviews, it became clear early in the information gathering phase that the views regarding the issues and source of the risks in the program varied widely and were dependant upon the various perspectives of the interviewees. *See Appendix A: Interview List for detailed listing.*

In addition to the interviews, the project team collected and reviewed a significant number of documents. As part of the document review, the team examined the web sites of the CrimNet program as well as the web sites of the various projects and State Government agencies and the Legislature. Other key documents that were reviewed included: the meeting agendas, minutes and meeting handouts for the Criminal and Juvenile Justice Information Policy

Group, the Executive Sponsor Group, and the Task Force. The Aeritae team was also provided access to the CrimNet team common file directory. These main sources, in addition to documents provided in conjunction with interviews, provided the project team with a chronology of the program and a reference point for the program history. *See Appendix B: Document Log for a listing of documents reviewed.*

The risk templates completed for the first milestone of the project covered a wide range of topics for each of the ten elements reviewed. The areas of risk reviewed included; financial, human resources, design, build, operation, test, training and implementation, project approach and methodology, project scope and schedule, compliance to defined rules, and business and organizational acceptance. These areas of potential risk were reviewed and analyzed to assist in the understanding of all facets of risk inherent to the CrimNet program. The risk topics also formed the basis for four categories of risk; Strategic Alignment, Product Engineering, Development Environment, and Project Constraints.

While the risk templates provided a foundation for the project, it should be stressed that to only review the risk rating for any individual element on a Risk Assessment Template would be a risk in itself. The completed templates should be viewed only as a tool to assist the project team in seeing the entire picture. It is important to remember that while an element may be listed as a 'high risk' it does not necessarily indicate that there is a problem. Due to the complex nature of the CrimNet program many elements are inherently 'high risk.' What is important is to understand what risks are controllable and which risks present the highest risk to the overall program and ability to achieve the stated program objectives. It is also important to understand that in a program many elements are affected by issues and decisions made in other areas of the program. Thus, if one looks to address an individual issue, they may only be addressing a symptom, not a root cause.

The completed Risk Assessment Templates are on file and available through the CrimNet office for further reference.

Task 2 – Risk Analysis

The second milestone in the CrimNet Risk Assessment and Mitigation project was the completion of a Risk Analysis worksheet. This worksheet provides a listing of all risks identified for the program as well as values of the probability, impact and controllability of each risk. *See Appendix C: Master Risk Log and Appendix D: Risk Definitions for additional clarity on each risk.*

To determine the probability and impact of each identified risk, the project team conducted several joint assessment meetings where each risk was rated. The first step was to qualify in general terms the ratings for each risk. This was completed by determining if the probability and impact was High, Medium or Low. The second step was to provide additional granularity to the assessment and each risk also received a probability and impact score. The scoring for all high risk items was 70 – 99; all medium risk items was 40 – 69 and all low risk items were

scored at 39 or below. The combination of the two risk scores provided the total risk score which produced the master risk log listing the risks in descending order of total risk score.

While the total risk score was used to produce the master risk listing, it is important to note that the total risk score does not necessarily correspond to how the risks should be addressed.

In completing the risk analysis, the project team tied each of the risks to various perspectives of the project. The perspectives included; Governance, CriMNet Operations, Grants, Integration Backbone, MNCIS, S³, MJNO, MRAP, POR and Suspense file corresponding to the ten elements defined in the statement of work for the CriMNet program risk assessment. In addition to these ten perspectives, four additional perspectives are provided corresponding to the risk categories listed in the statement of work; Strategic Alignment, Project Constraints, Development Environment and Product Engineering. The determination of these perspectives was driven by the information from the Risk Assessment Templates as each of the sections completed in the template were mapped to one of the four main categories.

Task 2 identified 36 risks. Of the 36 risks identified, 3 risks were categorized as uncontrollable leaving 33 risks that could be controlled via action. In conducting the risk analysis, risks were reviewed in regard to the source of the risk.

In completing this analysis, it was clear that the primary risks in the program are leadership and process problems, not technology problems.

**CriMNet Risk Assessment
Project Category and Element Overview**

Total Number of Risks	TOTAL	Controllable	Uncontrollable
	36	33	3

Project Categories

Project Constraints	TOTAL	Controllable	Uncontrollable	Development Environment	TOTAL	Controllable	Uncontrollable								
	related	36	100%		33	92%	3	9%	related	18	50%	18	50%	0	0%
	not related	0	0%		0	0%	0	0%	not related	18	50%	15	42%	3	9%
Strategic Alignment	TOTAL	Controllable	Uncontrollable	Product Engineering	TOTAL	Controllable	Uncontrollable								
	related	27	75%		26	72%	1	3%	related	8	22%	8	22%	0	0%
	not related	9	25%		7	19%	2	6%	not related	28	78%	25	69%	3	9%

Project Elements

Governance	TOTAL	Controllable	Uncontrollable	S 3	TOTAL	Controllable	Uncontrollable								
	related	29	81%		27	75%	2	6%	related	12	33%	9	25%	3	9%
	not related	7	19%		6	17%	1	3%	not related	24	67%	24	67%	0	0%
CriMNet Operations	TOTAL	Controllable	Uncontrollable	MRAP	TOTAL	Controllable	Uncontrollable								
	related	26	72%		24	67%	2	6%	related	12	33%	9	25%	3	9%
	not related	10	28%		9	25%	1	3%	not related	24	67%	24	67%	0	0%
Integration Backbone	TOTAL	Controllable	Uncontrollable	POR	TOTAL	Controllable	Uncontrollable								
	related	19	53%		18	50%	1	3%	related	12	33%	9	25%	3	9%
	not related	17	47%		15	42%	2	6%	not related	24	67%	24	67%	0	0%
MNCIS	TOTAL	Controllable	Uncontrollable	Grants	TOTAL	Controllable	Uncontrollable								
	related	15	42%		14	39%	1	3%	related	8	22%	7	19%	1	3%
	not related	21	58%		19	53%	2	6%	not related	28	78%	26	72%	2	6%
MJNO	TOTAL	Controllable	Uncontrollable	Suspense File	TOTAL	Controllable	Uncontrollable								
	related	13	36%		10	28%	3	9%	related	4	11%	3	8%	1	3%
	not related	23	64%		23	64%	0	0%	not related	32	89%	30	83%	2	6%

For more information regarding the probability and impact of each risk, graphs have been provided in the Appendix illustrating the risks in each of the Project Categories and Elements listed above. *See Appendix E: Risk Data Overview and Appendix F: Risk Quadrants for numeric and graphic illustrations of project risks.*

In reviewing this data, it was also clear that as with any program issues stemming from the areas of governance and leadership can impact other elements of the program. With this information, the Risk Response plan was developed with a focus on correcting root cause issues in the program.

A complete set of Risk Logs and Risk Quadrant graphs produced in Task 2 are on file and available through the CrimNet office for further reference.

Task 3 – Risk Response Plan

Following the identification and analysis of each risk is the creation of a Risk Response Plan. It is this document that is the center of the project activities to-date as it contains the identification of risk management strategies and recommended actions to address the risks identified earlier in the project. In determining the risk strategy, the project team considered many options.

As with the risk analysis, the risk management strategies included in the Risk Response Plan have been reviewed not only from a project element perspective but also from a program perspective. It was important to consider if a single action at the program level would result in reducing multiple risks at the project level. This case was true as it was found that there were some core issues that if resolved at the Governance level would also have positive impacts to the project and operational elements in the program.

Task 4 – Report to Legislature

The final deliverable in which Aeritae is under contract to produce is a Report to the Legislature. This document will be a supplemental evaluation of the program based upon the efforts expended during the first three stages of the assessment. A key portion of the report will be the project team's assessment regarding two statements posed in the Statute requiring the external risk assessment and project Statement of Work. These statements in which feedback will be provided are:

- ▶ The appropriateness of the current CrimNet program plan and
- ▶ The likelihood of achieving the objectives with the funds appropriated.

The final report will address the overall CrimNet program and the issues that were identified during this risk assessment project. The information contained in the Risk Response Plan will provide the foundation for which the legislative report will be based.

General Observations

Definition of CriMNet: Program vs. Project

In questioning individuals during the project interviews, they were asked to provide the definition of CriMNet. While the team found consistency in the overarching goal of 'an integrated criminal justice system where all parties worked together' it was surprising that there was little to no consistency beyond that statement. It quickly became apparent that there was no delineation between the CriMNet program, CriMNet projects and other Criminal Justice system efforts.

It was also unanticipated that more than two years into the program, there was also no consistency in understanding of either what are the roles and responsibilities of the CriMNet program or what projects are considered CriMNet projects. The roles and responsibilities of the Criminal and Juvenile Justice Information Policy Group are also not well understood by the Policy Group itself.

This lack of clarity resulted in the Aeritae project team conducting numerous interviews to assist in the understanding of the various perspectives of the interviewees and their corresponding expectations. It was in understanding that the term 'CriMNet' means many different things to many different people that began to bring clarity to a source of the issues in the program.

Responsibility, Accountability and Ownership

A key theme in our interviews was the lack of ownership and responsibility felt among critical players in the CriMNet program. In conjunction with this, there were high levels of blame and criticism pointed at many individuals within the program. This we believe stems from the lack of accountability. This lack of accountability is pervasive throughout the program. The Policy Group is not held accountable for their actions and the Policy Group has not held the CriMNet office or any CriMNet project accountable for their actions.

It is only when there is ownership, the allowing of people to be responsible for what they control, that people feel accountable for their actions. The converse of this is that if no one feels any ownership or responsibility, there isn't anyone accountable. The resulting action is people blaming someone else for the problems. It is our belief that this is one of the reasons that the past two Executive Directors of the program have not been viewed as successful and were removed.

The assignment of responsibility, the creation of measurements and the tracking against the measures will help bring accountability to the program.

For the CrimNet office, the lack of a 'home' also contributed to some of the ownership issues. While the Department of Public Safety was to provide administrative support for the office, the reality was that they were expected to absorb the additional workload and no one within DPS was accountable so this support left the office feeling somewhat neglected.

General Management

The Executive Director position has turned over two times in the last three years and there was a lengthy stretch with an interim Executive Director. Recent events have created another interim Executive Director. Some of the contributing factors to this high turnover are:

- ▶ A systemic problem created by the governance and leadership issues;
- ▶ Unrealistic expectations of the capacity and capabilities of one person (e.g. Technology, Criminal Justice, State Government, Program Management, Politics);
- ▶ A lack of clarity as to what type of person is needed, what are their roles, responsibilities, authority, and accountabilities; and
- ▶ A lack of performance management techniques to clearly define expectations and provide constructive feedback.

It is important that the next Executive Director be a "winner" that has the passion, skills and abilities to lead the program into its next phase. An executive search should begin immediately. The interim Executive Director can assist the transition by packaging the existing state, which will enable the new Executive Director to quickly come up to speed.

The nature of government, with the turnover in the Governor, Legislature, and Executive Branch has created a time of transition and "chaos" within the Policy Group. The turnover of the chair, including an interim chair, and other Executive Branch members has had a negative effect and had contributed to the existing issues. In general, it seems that there has been a loss of focus on the vision and goals.

Complexity of Program

The CrimNet program is unique in its complexity. It is a program that requires the cooperation and coordination across all levels of government as well as within government entities. The program reaches all three branches of government: Executive Branch, Legislative Branch and Judicial Branch. It involves multiple agencies within the Executive Branch; Department of Corrections, Department of Public Safety, Department of Finance and Department of Administration. It also crosses all practice areas of Criminal Justice: Law Enforcement, Investigations, Public Defense, Prosecution, Adjudication, Corrections and Probation. The program must also coordinate Criminal Justice activities between the State and Local government agencies.

In addition to the government agencies there are multiple associations (Chiefs of Police, County Sheriffs, etc.) that are included. The associations are not the only non-government entities. The program is also interfaces with the private sector business partners. And finally, the program includes the ultimate benefactor, the public.

The sheer number of stakeholders in the program would by itself highlight the complexity of the program. However, what makes the program even more complex is that it is an 'opt-in' program. Thus, the relationships between the stakeholders must be strong enough to withstand the inevitable bumps in the road toward Integrated Criminal Justice.

It is important for the program leadership to provide a continual focus on the ultimate goal and support for all people involved in working to achieve the goal. Anything worth doing should not be avoided just because it is hard. The important thing is to start and to understand that things may not be perfect in the beginning. In a program like CrimNet, there is a great benefit to starting.

Integration programs are complex by nature and inherently have risk. The vision in Minnesota to Integrate Criminal Justice, from beginning to end, is new. There are no national models in place today to follow. Complexity requires structure, over communication, strong methodology, defined processes and solid documentation. Interested parties and leaders need to recognize and accept that on the path of progress towards the vision, there will be some set backs.

“A significant portion of EAI initiatives fail. Although definitive statistics are not available, project experience and the shared war stories of our peers suggest that about a third of these projects fail. ... Our list of top 10 reasons EAI project fail spans, people, processes, technologies, and the combination of these. Recognizing these issues and facing them head-on is the only way to ensure a successful EAI project.” Top 10 Reasons Why EAI Fails – EAI Journal – December 2002.

This statement is consistent with the experience of the project team.

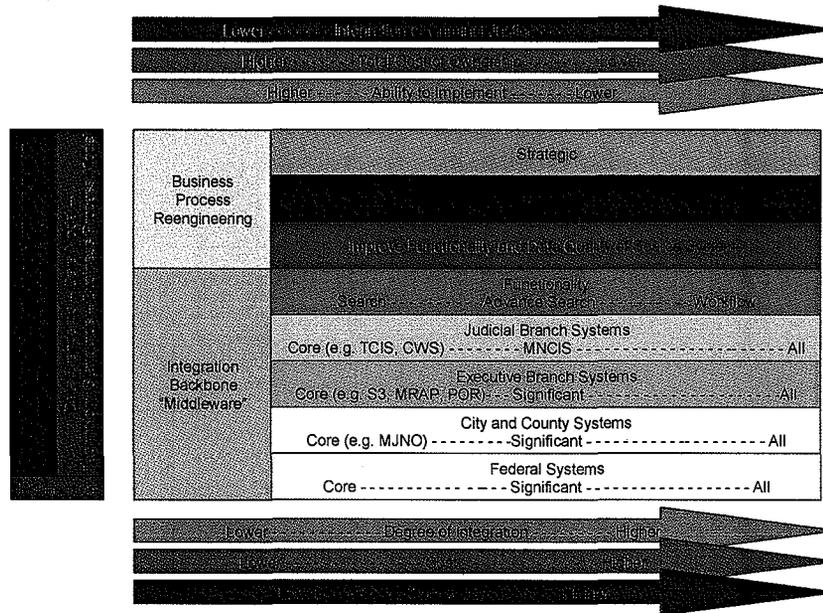
Program Philosophy: Think Big, Act Small

In working to build the Risk Response Plan, one main theme was the overall complexity of the program. To alleviate the feeling of being overwhelmed the philosophy of 'Think Big, Act Small' needs to be embraced. The program is too large to try to attempt to implement all at once. The key is to have both a strategic plan that ensures an alignment to the overall program goals and objectives and a tactical plan.

The importance of Thinking Big and Acting Small is that you have a general road map to follow and a basis for decisions. It is critical that all decisions be reviewed in the context of 'will the action keep you moving forward on your chosen path'. If the answer is no, then an alternate action should be taken. This step in the decision process assists in mitigating the

issue of making a decision to benefit the short term at the expense of the long term goals. See *Appendix G: Program Philosophy: Think Big, Act Small* document.

Program Philosophy: Think Big, Act Small



The road map also provides a foundation for communications regarding the progress of the program. Having all stakeholders understand the ultimate goal and where the program is in relationship to achieving the goal as well as their role is a key in building partnerships. In seeing the whole picture, people are more likely to support the milestones along the way. This will occur if they understand their role and understand that there will be times in the program when one stakeholder group may benefit more than another but in the long run everyone will benefit.

Some of this work has been done, but there is a need to formalize a strategic plan and drive toward more consensus and buy-in with the stakeholders. Clearly identifying the stakeholders and the representatives working with this subset of people to achieve buy-in will be critical to the program.

Upon completion of the program documentation defining scope, stakeholders, goals, etc. the standard processes of program management need to be put in place and embraced (i.e. change management). The philosophy of 'Think Big, Act Small' is made up of three steps and a continuum.

Step 1: Foundation and Framework

The first step is to develop the high level foundation and framework for the program. This includes the creation of a vision that is the foundation of the program which is clearly understood and can be articulated by all stakeholders. As the foundation of the program, the vision must also be something sustainable throughout the life of the program.

The framework for the program is constructed by the development of the Architecture and supporting models; Data Standards, Data Model, Technology Standards and Business Process Model. The Architecture is a framework and by definition is a set of concepts, values, and practices for the program. In being a framework, it is solid in its concepts and values but also flexible in that within the framework there is latitude in how internal elements are constructed. It is an open architecture and framework that allows the program leadership the flexibility to be responsive to the various needs of each of the many stakeholders.

Step 2: Mid-tier Framework

The mid-tier of the framework is the creation of the 'middleware', a system to enable the integration. For the CriMNet program, this is the Integration Backbone. In addition to the technology piece of the framework, there also needs to be a methodology for business practice reengineering efforts. The Integration Backbone enables the systems to communicate while the Business Practice Reengineering enables the people to communicate.

The architectural framework that exists today for the Integration Backbone is fundamentally sound. It however needs to be considered a living document and continually enhanced as the program moves forward.

Step 3: Component Paths

The third step in Thinking Big and Acting Small has both technology and process components. For the technology, it is the connections to the various systems and the functionality enabled with each connection. This is where one can easily see the philosophy of Think Big, Act Small at work. In regards to the functionality of the connections, the progression begins with general search functions and ultimately ends with automated workflow. Initially providing connection to a reasonable subset of core systems is critical while maintaining the ultimate objective of connections to all systems: Line of Business (i.e. MNCIS, S³ and MJNO) or Geographic (i.e. by County). Both perspectives are viable. Key to moving forward on the path to connect systems is the commitment that with any major system upgrade or replacement within the Criminal Justice community a primary focus must be the ability to integrate.

The process view is also one where starting small and working along a path is important. In conjunction with the connectivity to systems, the interactions of the users and the processes in which the systems are used can be reviewed and enhanced. The ability to reengineer a process, however, is not only tied to the new information available via the system connections or the ability to automate workflow. A key in the reengineering efforts is to look at identifying

what benefits can be achieved by doing work differently and leveraging systems where possible.

In addition to general business process changes, there should always be continuing efforts within any given source system to improve and enhance the functionality of the system and the quality of the data. These efforts will in turn support the entire Criminal Justice community as all of the systems are connected.

The Continuum:

The movement across the various elements of the plan highlights the need to understand that the program is a series of activities that individually can start small. While the degree of integration starts lower, you are also starting with lower costs and lower complexity actions. If one would try to implement all functionality and connect all systems, the task would be so large that it might never get accomplished. Thus, the ability for one to implement the total solution of Integrated Criminal Justice is higher when starting small.

In addition to the end goal of Integrated Criminal Justice, the total cost of ownership of the integrated system becomes lower as more systems communicate and business practices are streamlined and redundant activities are removed from the total system.

Continuous Improvement will be the path for success of the program.

Positive Signs

There are a few different observations that were made that are positive indicators for the program.

- ▶ There is a significant amount of passion for the goal of integrated Criminal Justice. A couple of examples of this are:
 - The efforts of the Integration Backbone team. Their hard work and passion overcame obstacles of delays in contract approvals, delays in securing staff resources, turnover of leadership, and lack of sponsor support. In spite of these obstacles, they were able to make the February 3 pilot date for Carver County.
 - The efforts of the Corrections organization, going the “extra mile” to provide resources to help round out the CriMNet office.
- ▶ Relationships at the federal level have been built, and can benefit the future funding of the program.
- ▶ The Task Force is an effective organization with committed leadership. They exemplify a “learning organization” and have made significant improvements in their effectiveness. There is an opportunity to leverage this group to a greater extent in the program.

- ▶ During the past year, there has been significant progress in building the Integration Backbone “middleware” and framework.
- ▶ MNCIS program made some course corrections and it is presently being well managed and delivering on the committed POC.
- ▶ There is recognition by the Policy Group and the CriMNet Office that there are issues that need to be addressed and some actions have been taken.

Core Issues

In reviewing the risks and working to identify the sources of the risks, the project team continually came back to several core issues of the program. It is these issues that permeate through all elements of the program and are of primary focus in many of the Risk Response Plan actions.

It is important to understand that there are many surface issues in the program that over the past several months there have been attempts to 'fix.' For example, a CriMNet retreat was held in August, the PMO completed a program review in October and a new Steering Committee was created in November. The problem with these actions is that none of them appear to address the core issues of the program.

This is troubling since the results provided by Advanced Strategies following the September retreat are very similar to the issues identified by this project assessment team. In the opinion of this assessment team, nine key issues have been identified that must be resolved for the program to effectively move forward. To summarize, the risks are a result of a

Lack of Clarity, Cooperation, Consistency and Commitment.

The nine key issues are:

- ▶ Lack of Clarity and delineation between the CriMNet program office and Integration Backbone project
- ▶ Lack of Clarity and understanding of the role of the Criminal and Juvenile Justice Information Policy Group regarding CriMNet and other Criminal Justice projects
 - Inconsistency in treatment of Criminal Justice projects
- ▶ Lack of Clarity in regards to what is and is not a CriMNet project
 - All Criminal Justice Information System projects or only 'CriMNet' funded?
- ▶ Lack of Cooperation and teamwork among stakeholders
 - Parochial attitudes: 'me' vs. 'we'
 - Quick to blame and criticize
- ▶ Lack of Consistency in actions and words regarding the CriMNet vision
 - Lack of consistency in decisions and failure to make decisions
 - Inconsistent follow-through
- ▶ Lack of Consistency in the use of standard program and project management methodologies

- ▶ Lack of Consistency regarding grants – requirements and approvals
 - What grant funds are ‘CrimNet’ vs. Criminal Justice grant funds
 - Lack of understanding in how funds can be utilized
- ▶ Lack of Consistency from Program Leadership
 - Changing structure: Executive Sponsors, Steering Committee, etc
 - Proxies versus appointed member
 - Turnover of Executive Branch
 - Turnover in Executive Director
 - Eight voices versus a single voice
- ▶ Lack of Commitment from Program Leadership
 - Deflection of issues rather than ownership
 - Timeliness and ownership of statutorily defined deliverables
 - Poor meeting management

When referring to Program Leadership the focus is on the Policy Group and its proxy for the program, the Executive Director of the CrimNet office. However, it is important to state that while there were some performance issues regarding the previous Executive Director, the issues are much larger than any one person.

The CrimNet program is like a system. The changing of one part may for a short time enhance performance but if the total design is flawed, then that is the problem one must address. It is this higher process and organizational view that has been taken into consideration in the construction of the Risk Response Plan.

To further summarize, while the risks are each a result of a lack of Clarity, Cooperation, Consistency and Commitment in total it is really a lack of:

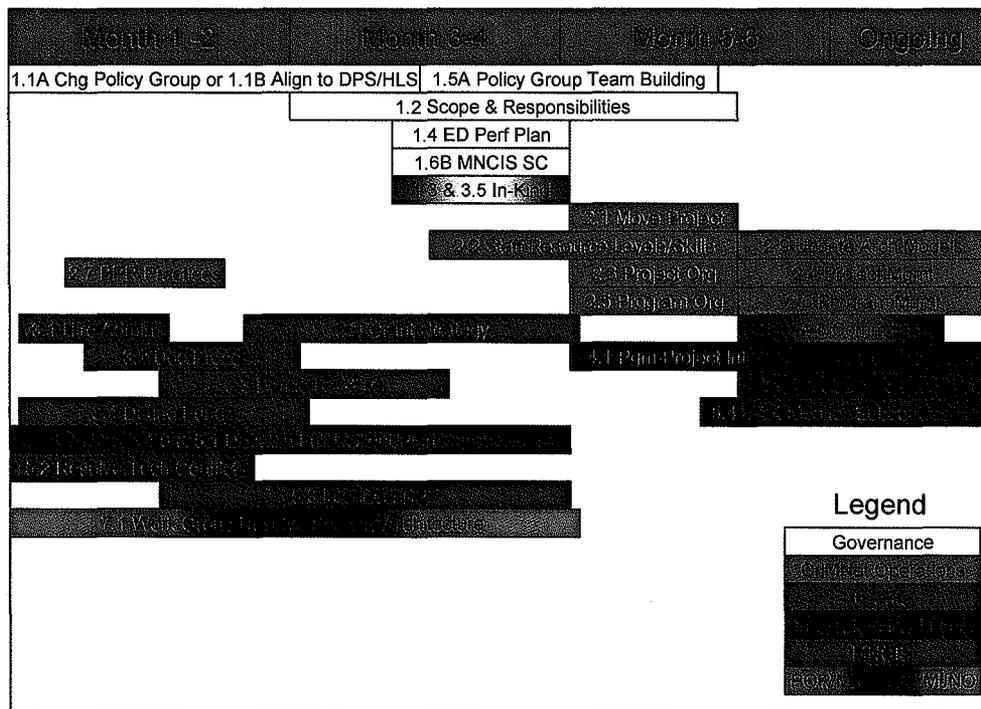
LEADERSHIP

Risk Response Plan Overview

The Risk Response Plan developed contains specific recommended actions to address the key areas of risk. The plan is holistic and is intended to address all facets of the risks and focuses on the root causes of the risks, not just the symptoms. Each of the ten elements has a risk plan that begins with a high level risk statement for the elements and a notation of the identified risks that are to be addressed by the actions in the plan. Each of the recommended risk actions also has a suggested timeframe for the completion of the action.

The Risk Response Plan should be viewed as a waterfall. The critical elements of Governance and CriMNet Operations require actions to be completed that flow to the other elements. While these two elements are at the core of the recommended changes each of the other eight elements also have actions that can be undertaken in parallel.

Risk Response Plan Timing Summary



See Appendix H: Risk Response Plan for a detailed listing of the recommend actions and timing for each of the ten elements.

Governance

In constructing the Risk Response Plan, two options are being presented regarding the Governance element of the program. The key differences between the two options are in the membership of the Criminal and Juvenile Justice Information Policy Group and the reporting relationship of the CriMNet program office.

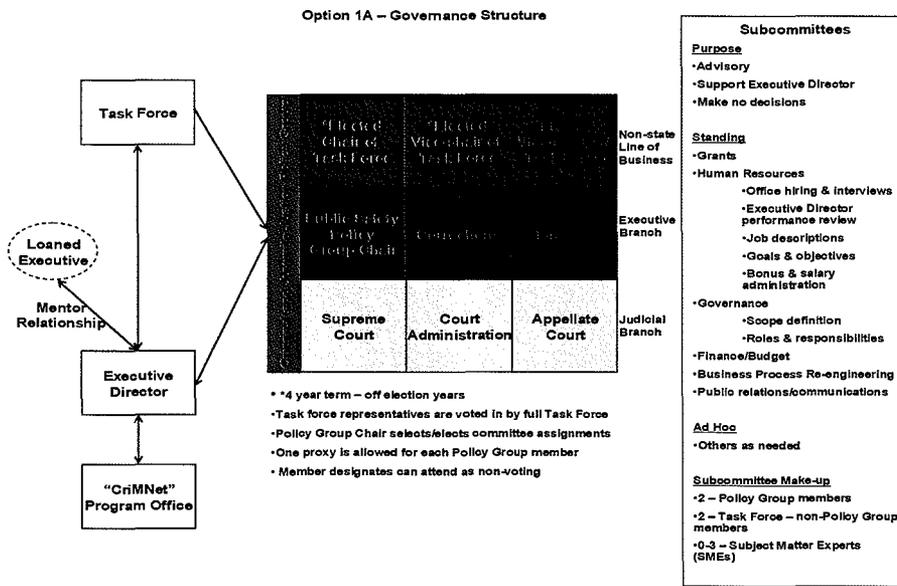
In Option A, the recommendation is for the Policy Group to be changed to a total of nine members. This includes the removal of one Executive Branch (Department of Administration) and one Judicial Branch (District Courts) member and the addition of three new members. The new members would be elected representatives from the existing Task Force to provide better representation of the Criminal Justice community. This change structures the governing body as small as possible for manageability and efficiency while also including a better representation of stakeholders.

Option B takes a different approach to the organizational structure. In this option, the CriMNet Program office reports directly to the Commissioner of Public Safety (or Homeland Security should there ever be a separate agency). The Policy Group is reengineered to act as a Steering Committee for the program office. The CriMNet Program office's focus becomes one of Homeland Security and the catching, confinement and tracking of criminals. The vision of integrated criminal justice remains and the path is one of interfaces. CriMNet program office and backbone project would focus on interfaces (adaptors with a backbone) to all systems necessary for the capturing, confinement and tracking of criminals. The judicial branch would focus on the integration of all systems associated with the adjudication process. The two branches of government would have interfaces built between their two systems.

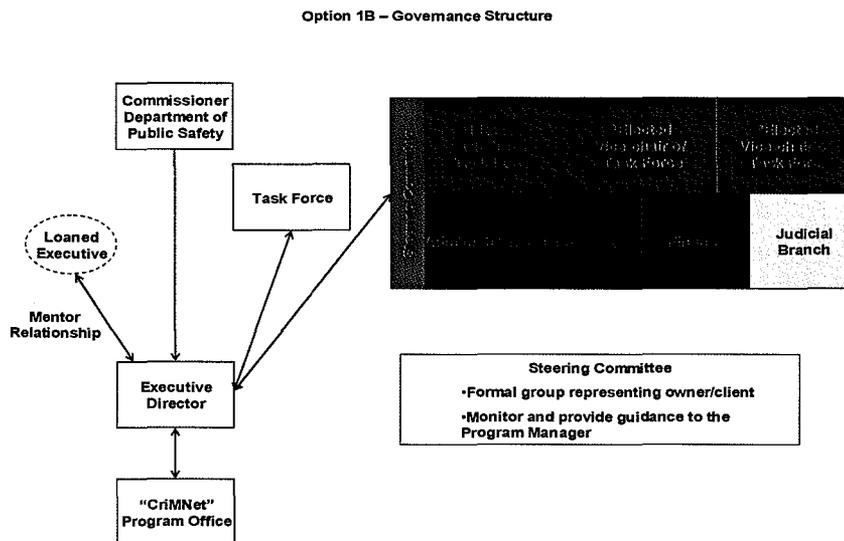
The key to Integrated Criminal Justice in this option is the building of cooperation and partnership between the two branches of government (specifically CriMNet program office, Integration Backbone project and MNCIS). This is necessary to interface the systems and more importantly to reengineer the business processes.

Where relevant, recommended actions for the underlying program elements have been noted to indicate alternative actions based on the path chosen in governance.

The proposed organizational structure for Option A is depicted below. See Appendix I: Option A Governance Structure for larger view.



The proposed organizational structure for Option B is depicted below. See Appendix J: Option B Governance Structure for larger view.



Note: Loaned Executive / Mentor should be considered to provide Executive Director with additional support and to balance as the Executive Director position requires a wide range of skills that may not all be found in a single individual.

There are several other key recommended actions within the element of Governance that should be considered regardless of the path (Option A or Option B) that is chosen. In addition to the organizational structure change, actions should also include:

- ▶ Definition of Scope,
- ▶ Clarification of Roles and Responsibilities for:
 - Criminal and Juvenile Justice Information Policy Group,
 - Executive Director / CriMNet Program Office,
 - Task Force,
- ▶ Creation of subcommittees to support policy decisions and efforts for integrated criminal justice,
- ▶ Disbanding of the existing Policy Group Steering Committee,
- ▶ Definition of reporting relationships and communication channels,
- ▶ Management and performance plan for the Executive Director position, and
- ▶ Creation of success measures for the program.

A key to these actions is a coordinated Policy Group. To achieve this coordination, we believe that time should be taken for facilitated sessions for the policy group members. These sessions should focus on gaining consensus on the program scope, vision and the role and responsibilities of the group. It is important that the policy group understands and adopts an enterprise view of shared leadership and a common voice regarding the direction of the program. These sessions would also provide an orientation for new members to the program.

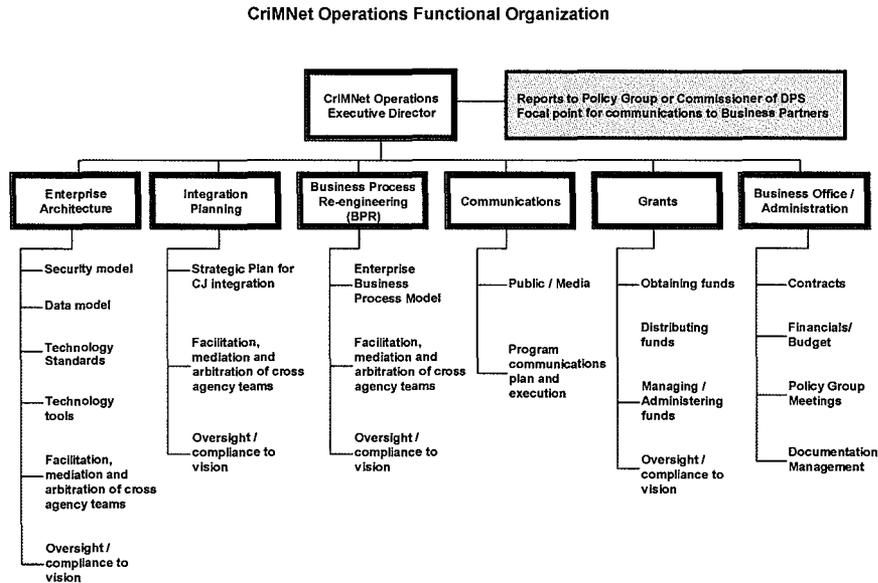
While both Option A and Option B are feasible and could be executed, we believe that there is a higher probability of success for the program with Option B. We believe this to be true for the simple fact that it provides a single point of ownership and accountability for the program.

CriMNet Operations

The primary actions in the CriMNet Operations risk response plan revolve around the need for clarity and delineation between the CriMNet Program office and the Integration Backbone project. The initial action is to separate these two roles and to move the technology project into an IT organization. The specific IT organization recommended is dependent upon the action taken in regards to Governance Option A or B.

Once there is clarity between the two functions currently being performed in the CriMNet office, a staffing analysis and skills assessment should be completed for each team. It is clear that today there is not sufficient staffing to perform both roles effectively. Both the program office team and the integrated backbone project team must organize themselves based upon their mission. They both also need to adopt standard practices and methodologies associated with their roles

In assisting with the responsibilities for the CriMNet program office, a proposed functional organization chart has been developed and is depicted below: *See Appendix K: CriMNet Operations Functional Organization for larger view.*



It should be noted that this is a *functional* organization chart and does not necessarily depict the reporting relationships of individuals nor should resource levels be inferred. How the CriMNet program office is ultimately organized will be dependent upon the resources assigned to the office and the skill sets of the individuals. What should be considered is that the office should have sufficient resources to perform each of the functions noted.

The recommended actions for the CriMNet office include:

- ▶ Separation of CriMNet Program office and Integration Backbone Project teams,
- ▶ Staffing analysis and Skills assessment for each team,
- ▶ Create organization structure for each team (program and project),
 - Includes the creation of a separate steering committee for the Integration Backbone project,
- ▶ Implement standard program and project management practices,
 - Conduct Best Practices Work sessions,
- ▶ Reevaluate physical location of teams, and
- ▶ Maintain the Architectural models.

Grants

The Grants element of the program has been a source of consternation for many individuals involved in the program. It was then somewhat surprising that in the context of risk, only one element that had fewer risks.

One prime issue with the grants for local entities was that the funding became available prior to there being any criteria or rules defined for the integration. This has resulted in the risk that the projects requesting CriMNet grant funding may not support or be in alignment with the overall goal of criminal justice integration. The Governor's current budget proposal includes a reduction in the CriMNet grant funds. At this time in the program we do not see the loss of these funds as being a significant detriment to the program. However, it is important that grant funds do become available in the coming years.

The recommended actions in regards to Grants have a dependency tied to actions within the Governance section. In truth, the issue identified in interviews regarding Grants was more symptomatic of bigger program issues rather than issues with the Grants themselves. The recommended actions in the Governance section to clearly define 'In-Kind' and to create a subcommittee responsible for the oversight of the grants process (including the clear definition of requirements for both the grantor and grantees, as well as approval criteria) will assist in the overall success of the Grants program. These actions are seen as the foundation – the policies in which the Grants program will be governed.

The recent hiring of a Grants Administrator will greatly assist the Policy Group and CriMNet Program Office to define and provide structure to the Grant processes. A summary of the recommend actions includes:

- ▶ Hiring Grants Administrator for CriMNet Program Office,
- ▶ Define / Refine and document Grant Process,
- ▶ Define roles and responsibilities in Grantor and Grantee relationships,
- ▶ Evaluate possibility of consolidating all Criminal Justice Grant activities,
- ▶ Evaluate grant language in statute and recommend changes, and
- ▶ Define, develop and document strategy and long term plan for obtaining grants.

Integration Backbone

The recommended actions for the Integration Backbone project are linked to those identified in the Governance and CriMNet Operations sections. The lack of clarity in roles and responsibilities and delineation of the CriMNet program and the Integration Backbone project have been a main source of issues within the program. This has been compounded by the insufficient staffing to accomplish both roles.

The overall framework and architecture being employed in the Integration Backbone project is fundamentally sound. The decisions to utilize an open architecture, XML and J2EE have positioned the backbone to be scalable. In addition, these decisions have resulted in the Minnesota model being positioned on the national stage. The flexibility in the backbone and the forward thinking in looking past the borders of Minnesota will bring a great benefit to the citizens of the state.

In addition to the items relating to the backbone project noted in the CrimNet Operations section, recommended actions for the Integration Backbone team include:

- ▶ Increase communications,
- ▶ Create strategic and tactical plans that interface to program plans, and
- ▶ Monitor balance of subcontractors and employees.

MNCIS

The recommendations for action regarding the MNCIS project are focused on alignment of the project to the overall goal of Integrated Criminal Justice. While the decision on an option within the Governance element could have some impact to the recommendations listed here, it should be minimal. The key to MNCIS being in alignment is creating/improving the cooperation between the MNCIS project team and the CrimNet office. Until this cooperation improves it will be difficult to implement any of the recommendations and there will continue to be negative impacts on an Integrated Criminal Justice system.

One point of debate is over the architecture used for MNCIS versus Integrated Backbone. The architectures are “broker” for MNCIS and “publish/subscribe” for Integrated Backbone. What needs to be understood is that the two architectures can co-exist in the Integrated Criminal Justice system. Both architectures are used in the industry and will work successfully. The broker concept is easier to understand and implement but not significantly scalable (in terms of integration points), whereas the “publish/subscribe” concept is harder to understand and implement but is highly scalable. Our technical evaluation has shown that these technologies are both valid for the MNCIS and backbone designs and are industry standards. For the backbone design, using the “publish/subscribe” approach is more appropriate because of its scalability.

A second point is the debate over a single interface into MNCIS versus direct interfaces into the feeder systems. The timing on MNCIS development drove the development team to build specific interfaces into all feeder systems because the integrated backbone was not developed far enough to be available to the MNCIS project. If the MNCIS POC is successful, the single interface (bridge) which is being used in the POC should be continued. If at sometime in the future it is appropriate to change to a multi-interface model, the changes should be made at that time.

The general recommended actions for MNCIS are:

- ▶ Develop a full roll-out plan,
- ▶ Integrate / Interface with Business Process Reengineering,
 - Leverage the successful UCP process across the Integrated Criminal Justice system,
 - Leverage the experienced MNCIS staff to participate in the Enterprise BPR process, and
- ▶ Monitor the balance of contractors and employees in key roles.

Suspense File

The element in the program assessment with the fewest risks was Suspense File. In part this is due to this not being a technology project but more of a business process reengineering and education effort. The Suspense File project team has done a good job of working to reduce the number of files in suspense as well as the number of new files entering the suspense file. This is in large part due to the education and communication efforts the BCA initiated with the local law enforcement agencies.

While it is apparent that the team will not meet the goals set forth in the Special Session Senate File Language by June, the team is expected to meet the goals by the end of the calendar year.

There are no recommended actions specific to the Suspense File project to address risks within the CriMNet program. However, the project can be used as an example in working to bring state and local agencies together to solve a problem.

Adaptors: S³, MJNO, MRAP, POR

The risk assessment completed for this review did not delve into the specific projects of S³, MJNO, MRAP and POR as these are in effect completed systems. Thus the assessment focused on the adaptors for each system to the Integration Backbone. As the adaptors are today managed as part of the Integration Backbone project, the recommended actions for that element also relate to the adaptor development. In gaining clarity for the roles and responsibilities within the CriMNet Program Office and the Integration Backbone project the ability to work through operational issues with adaptor development will be improved.

Although the focus of our review was the adaptors to these systems, we would like to suggest that these projects also can be used as examples of success as the program moves forward. The S³ project has done a good job at bringing together the Corrections community. The MJNO project has worked tirelessly to connect law enforcement agencies throughout the state. These examples highlight the importance and can demonstrate successes achieved by sharing and integration.

One key action is being recommended regarding the connection of systems to the Integration Backbone. This action is to create and adequately staff a team/work group to address security architecture issues.

Next Steps

A lot of activities have occurred to enable the State to have an Integrated Criminal Justice system. These include:

- ▶ A high level vision of an integrated Criminal Justice system throughout Minnesota,
- ▶ The branding of the “CrimNet” name,
- ▶ Architectures:
 - Conceptual design,
 - Logical design,
- ▶ A pilot and proof of concept utilizing the Integration Backbone and MNCIS projects currently underway in Carver County,
- ▶ MNCIS is in its early stage of providing integration within adjudication,
- ▶ The Integration Backbone is in its early stage of providing a framework for all agencies to integrate, and
- ▶ Issues with governance and leadership that have been recognized, resulting in a significant amount of activity, recently.

At this point, there are three options for going forward;

- ▶ Continue “as is”,
- ▶ Cancel the program, or
- ▶ Implement the recommendations within the Risk Response Plan.

To continue “as is” would have the following characteristics;

- ▶ High risk,
- ▶ A reactionary approach to addressing issues,
- ▶ An inefficient use of resources, both people and dollars, and at times has been a misuse of resources, and
- ▶ A lower probability of success against the vision.

To cancel the program would result in;

- ▶ Loss of public confidence,
- ▶ Loss of national position, and
- ▶ Little or no chance of achieving the vision of integrated criminal justice.

The third option, use the recommendations in the Risk Response Plan, or some adaptation, would result in;

- ▶ The highest probability of success again the vision,
- ▶ A proactive approach, enabling decision making,
- ▶ Both strategic and tactical plans,
- ▶ Over time, provide for a lower total cost of ownership for criminal justice, and
- ▶ Possibility of being a national model.

A decision needs to be made and an option chosen. Once chosen, a plan for the option will need to be used or developed, then executed and measured against.

The recent activities and visibility around CrimNet has created an opportunity. The state can “seize the moment” and create focus on;

- ▶ Getting the CrimNet “house in order”,
- ▶ Provide clear communication,
- ▶ Create the plan, and
- ▶ Execute.

Appendix A: Interviewee List

Interviewee	Department	Executive Branch	Local Branch	Legislature	Policy Group	Task Force	Data Group	Exec Spon	Steering Committee	BPR Group	Technology Group	COURT	CORRECTIONS (MNCIS)	RESOURCES (MNCIS)	PUBLIC DEFENDER	DPS Operations	CriMNet Staff	Office of Technology	Project Leads	Finance / Budget	Grants	Local Government	CJ Associations	MN Business Partnership	Executive Branch	MNCIS	S.S.	Responsible Party	BPR	P&I	MNC				
Ann Marie O'Neil	BCA																																		
Bob Johnson	BCA						X		X							X																			
Chris Londgren	BCA																X	X																	
Gail Mailnowski	BCA																	X																	
Jennifer Smith	BCA																	X																	
Lee Field	BCA																	X																	
Susan Rico	BCA																	X																	
Dennis Delmont	Chiefs of Police Association / MJNO																						X										X		
Deb Kerschner	Corrections - S3 Project									X								X																	
Susan Allan	Corrections - Technology & BPR Group Leader									X	X						X																		
Mark Kryzer	Courts - PM MNCIS																		X																
Sara Thompson	Courts - PM MNCIS																	X																	
Dan McCreary	CriMNet										X						X																		
David Billeter	CriMNet				I					I						X	X			X	X														
Deb Erdman	CriMNet																X				X	X													
Doty Velde-Jones	CriMNet										X						X																		
Gary Ritari	CriMNet									X							X	X																	
Kathy Krook	CriMNet																X																		
Ken Affan	CriMNet																X	X																	
Mahogany Eller	CriMNet																X																		
Sarjey Bhetka	CriMNet																X																		
Srinivas Bharadwaj	CriMNet																X																		
Tom Kooy	CriMNet									X							X																		
Ullas Kamath	CriMNet																X	X																	
Kent Anderson	CriMNet - Labyrinth Consulting																																		
Sara Schlauderer	DPS				I					X						X																			
Jeri Bolwert	Exec Branch - ODPVP																					X													
Rich Stanek	Legislature - Representative	X				I																													
Nancy Mallingner	Local - Anoka County						X	X												X	X	X													
Bud Olson	Local - Carver County Sheriff					X			I												X	X													
Steve Bluml	Local - Coon Rapids Police Department								I												X	X													
Jay Stessen	Local - Dakota County					X															X	X													
Mary Carikvenik	Local - Dakota County						X	X												X	X	X													
Bob Hanson	Local - Hennepin County						X		X											X	X	X													
Kevin Jelle	Local - Hennepin County																			X	X	X													
Tracy Page	Local - Hennepin County					X		X	X											X	X	X													
Lisa Meredith	Local - MN County Computer Consortium																																		
Larry Podany	Local - MN Sheriff's Association																				X	X	X												
Bob Fletcher	Local - Ramsey County Sheriff					X															X	X	X												
Steve Elliott	Mobiam																X		X																
Steve Kiroff	Mobiam																X		X																
Reggie David	Assistant Commissioner, Office of Technology	X								X																									
Judge Thomas McCarthy	Policy Group - 1st Judicial District	X			X				X																										
Chief Judge Edward Toussaint	Policy Group - MN Appellate Court	X			X																														
Sue Dosal	Policy Group - State Court Administrator	X			X				X																										
Dale Good	Supreme Court						X	X	X																										
Chris Volkens	Task Force - Court Administrator, Washington City					X																													
Mark Kleinerman	Task Force - Group Manager, Security Target Corp					X																													
Bob Sykora	Task Force - MN Public Defenders Office					X																													
John Schroeder	Vendor - ASI Consulting																																		
Dan Storkamp	Corrections - Deputy Director Dept of Corrections	X			X		X		X	X										X															
Jim Page	Courts - MNCIS Technical																			X															
Steve Johnson	Department of Finance																				X														
Duane Benson	Minnesota Business Partnership																																		
Russ Anderson	Policy Group - MN Supreme Court				X																														
Ray Schmitz	Policy Group - Local				I	X																X	X												
Nate Garvis	Target Corporation																																		
Leo Foley	Legislature - Senator					I																													
Jim Bender	Target Corporation																																		
Dave Fenner	Local - Ramsey County Sheriff's office					X		X	X		X									X		X	X												
Jane Renum	Legislature - Senator																																		
Margal Mitchell	Policy Group - DPS				I					X						X																			
James E Johnson	Intertech																	X																	
Frank Ahern	DPS-Department of Finance																																		
Don Boydm	DPS-Department of Finance																																		
Jim King	Department of Finance																																		

Appendix B: Document Log

Document Name	Document Description
Policy Group Meeting Agendas	Meeting agendas: August 2001 - January 2003
Policy Group Meeting Minutes	Meeting minutes: August 2001 - January 2003
Policy Group Meeting Handouts	Meeting handouts: August 2001 - January 2003
CrimNet Program Review Scope Statement	Office of Technology presentation dated 9/30/02 regarding Program Review
CrimNet Program Review Report	Presentation to Policy Group by OT with findings, recommendations and action plan from Program Review
CrimNet Program Review Action Plan	Draft Action Plan created as outcome of OT Program Review
CrimNet Issues - Steering Committee 12/30/02 (draft)	CrimNet team responses to questions posed by the Steering Committee
Policy Group Meeting Calendar	Calendar detailing meeting dates, times, locations and agenda for Policy Group meetings
Letter announcing creation of BPR group	Letter to CrimNet stakeholders regarding establishment of BPR workgroups
BPR Concept of Operation (draft)	Draft document dated 3/15/02 detailing Concept of Operations for BPR core group
BPR Member Listing	Document detailing the individual members of the core BPR workgroup
Minnesota Statute 299C.65	Statute involving the Policy Group, Task Force
Minnesota Senate File Language - Special Session 2001	Senate language regarding the appropriation of funds
CrimNet Funding - 2001 Legislative Session	Funding summary prepared by the Department of Finance dated 7/25/01
DPS CrimNet Budget Summary - 2002-2003 Biennium	Summary of finances for DPS / CrimNet funds dated 1/3/03
Federal Grants Received for Criminal Justice Projects in Minnesota Summary	Listing of Federal grants for Criminal Justice project detailing the source, date received, amount, match, total, and use. Dated 11/5/02
CrimNet - ODPVP Grant Relationship Overview	Internal memo detailing the relationship between the CrimNet office and the ODPVP in regards to grants
CrimNet Funding and Spending Plan	Internal worksheet between CrimNet office and ODPVP regarding grants and the planned usage for grant funds
Federal Grant Programs - Status	Status of Federal grant funds as of 11/21/02
Status of County Grants	Status of County grant funds as of 11/21/02
MJNO Case Study	Presentation on MJNO at the MN Government Information Technology Symposium
MNCIS Integration Sharing	Presentation material dated 12/12/02
Report to the Legislature on the Development of the new Minnesota Court Information System	Report to the legislature dated 1/15/01

Document Name	Document Description
CrimNet Integration Backbone Design Review	Presentation for design review - dated 9/18/02
Master Project Plan - Information Technology Projects for the Criminal & Juvenile Justice Community	Report to the legislature dated 12/29/98
Report to the Legislature Criminal Justice Improvements and Grants	Report to the legislature dated 1/15/01
1998 Annual Report - Criminal and Juvenile Justice Information Policy Group	Report to the legislature dated 12/98
Criminal Justice Policy Group Recommendation to the Minnesota Legislature	Report to the legislature dated 12/00
Report to the Legislature Criminal Justice Improvements and Grants	Report to the legislature dated 1/22/01
CrimNet Update for the Business Community - January 10, 2003	Listing of eleven questions posed to the CrimNet office by Target and the Minnesota Business Partnership and Representative Stanek
CrimNet Update for the Business Community - January 10, 2003	Listing of eleven questions posed to the CrimNet office by Target and the Minnesota Business Partnership and Representative Stanek with responses
2002-03 Biennial Budget Details: CrimNet Integration Backbone	Summary of financial request - description & purpose, funding, rationale, lifecycle analysis, OT analysis and Governor's recommendation
2002-03 Biennial Budget Details: CrimNet Staff	Summary of financial request - description & purpose, funding, rationale, lifecycle analysis, OT analysis and Governor's recommendation
2002-03 Biennial Budget Details: CrimNet Integration Analysis & Options	Summary of financial request - description & purpose, funding, rationale, lifecycle analysis, OT analysis and Governor's recommendation
2002-03 Biennial Budget Details: CrimNet Suspense Files	Summary of financial request - description & purpose, funding, rationale, lifecycle analysis, OT analysis and Governor's recommendation
2002-03 Biennial Budget Details: MNCIS/CrimNet	Summary of financial request - description & purpose, funding, rationale, lifecycle analysis, OT analysis and Governor's recommendation
2002-03 Biennial Budget Details: Corrections	Summary of financial request - description & purpose, funding, rationale, lifecycle analysis, OT analysis and Governor's recommendation
Proposal for MN Department of Public Safety: CrimNet Focus Session	Proposal to facilitate meetings for CrimNet team and stakeholders
Advanced Strategies Meeting Review	Advanced Strategies review of the facilitated sessions dated 10/22/02
CrimNet Project Vision JDA - turnaround document	Detailed account of retreat - September 9 & 10, 2002
CrimNet Project Vision - Working Draft -	Draft of CrimNet project vision

Document Name	Document Description
CrimNet Project Organization, Conduct and Policies - Working Draft -	Draft of the CrimNet organization, conduct and policies
CrimNet Project Vision JDA - turnaround document	Detailed account of retreat - September 16, 2002
Backbone Proposals Evaluation	Letter to Policy Group members detailing the selection process for the backbone
CrimNet Issue Files	Internal documents detailing issue background and status
CrimNet - Minnesota Enterprise Plan for Integrating Criminal Justice Information: Project Vision & Definition	Project vision and definition document dated August 2001
CrimNet Scope Statement for the CrimNet Program	Scope statement proposed by the CrimNet office - revised 9/21/02
CrimNet Communication Plan	CrimNet communication plan dated 8/22/00
CrimNet response to Legislative Inquiry	Letter to Representative Stanek answering questions posed to the CrimNet team dated 9/25/02
Task For Member Listing	Listing of individuals participating on the Task Force
Minnesota Open Meeting Law	Information regarding Minnesota's Open Meeting Law
CrimNet Technical Support Work Group Concept of Operation (draft)	Concept of Operation for Technical Support Work Group dated 5/8/02
Guidelines for the Criminal & Juvenile Justice Information TASK FORCE and Working Groups	Guidelines approved by the Task Force dated 7/13/01
Policy Group Membership Listing	Listing of individuals participating on the Policy Group
CrimNet Business Plan	CrimNet Business Plan dated 10/27/00
Job Descriptions	Job descriptions for all CrimNet staff positions
CrimNet Vision Statement	Vision statement and guiding principle of CrimNet
Resolution of the Criminal and Juvenile Justice Information Policy Group	Resolution detailing the creation of the Executive Sponsorship Group
CrimNet Project - Steering Committee Charter	Charter of the Steering Committee (draft and final versions)
2002 Annual Report - CrimNet	Draft report to the legislature dated 12/20/02 and 1/8/03
Steering Committee Minutes	Meeting minutes - 11/26/02; 12/3/02; 12/6/02
CrimNet Governance	Governance document dated 3/21/02 (proposed)
Summary - Representative Krinkie request	Summary of documents requested by Representative Krinkie regarding CrimNet
Governor's FY 2003 Recommendations	Summary of budget recommendations from Governor Pawlenty's office
MNCIS Technical Direction - FINAL - V1_0	Technical Vision document which describes the overall technical direction and goals and describes initial targets regarding performance metrics that were required.

Document Name	Document Description
MNCIS-Tyler Performance Test Report	Presentation that summarizes a performance engineering test that Tyler Technologies did with MNCIS Staff for their Odyssey application, at a Microsoft testing facility in Austin, Texas, on production level hardware.
MNCIS - Weekly Status Reports	Year 2002 through January 10, 2003
Uniform Court Practices (UCP)	Foundation for process changes
Odyssey Case Management System	Software information
Various Financial Statements and Reports	Documents health of the company
Top 10 Reasons Why EAI Fails	Article describing common pitfalls associated with enterprise architecture integration projects.
Mission-Critical Personnel Positions in an Adaptive IT Organization	Defines key business oriented positions that are relevant to a Program Office
Masterminding Best Practices for Program Management	Essentials of program management and differentiation of program from project management
Governance Model for Infrastructure and Operations Projects	Discusses governance framework for building and sustaining tight bonds with the business user
Vendor Governance	Keys to effectively managing an outside vendor
MCPA Region Map	MJNO coverage as of 12/16/2002
MJNO Quick Facts	Quick Facts as of 12/6/2002
Backbone Change Request Log	Used for Integration Backbone Project Phase II - Stage 1
Backbone Change Request Template	Used for Integration Backbone Project Phase II - Stage 1
Mobiam Contract Final	Dated 4/16/02 for Integration Backbone Phase I
Mobiam Status Reports	Dated May 24, 2002 through June 28, 2002
CrimNet Status Reports	Dated 9/13/02 through 1/10/03
Project Scope-IMDLS	Prepared by Alan Green - DPS - September 10, 2002
Scope Statement-MNCIS	Dated 8/22/2002
Scope Statement-S3	Prepared by Deb Kershner - Revised 8/21/2002
SOW - Integration Backbone Phase II	Workplan and Deliverables Mobiam Inc
Mobiam RFP Response	Dated January 30, 2002
Technical Resource Requirements	Technical resources, roles, and responsibilities for Integration Backbone Project, Phase II, Stage 1
Security Requirements V0.51	Integration Backbone Project - Functional Requirements - Security (Section 8 - Requirements for Technical Security, Services, and Mechanisms)
High Level Resource Requirements	FTEs by month date 6/26/2002 for Integration Backbone Project - Phase II, Stage 1
Project Structure	Organization chart for CrimNet office
CrimNet Architecture	PowerPoint prepared to address architectural concerns
CrimNet Budget-Expense	Current reporting for CrimNet Office and Integration Backbone

Document Name	Document Description
Managers Financial Rpt	Current reporting for CriMNet Office and Integration Backbone for 2002 and 2003
CriMNet Budget - Summary	Current reporting for CriMNet Office and Integration Backbone
Budget - MNCIS	02-03 Budget
Master Project Plan	Prepared by Data Group - 12/29/98
Integration Backbone Proof of Concept Project Documentation	<p>Mobiam project documentation for Integration Backbone, Phase I</p> <ul style="list-style-type: none"> . Executive Summary . High Level Design Presentation . Summary POC Demo Presentation . Design Document . Adapter Specifications Document . Design UML Document . POC Supporting Documentation . User Interface Business Scenarios . Project Plan . Resource Plan . Risk Management Plan . Quality Management Plan . Communications Plan . Status Reports . XML Schema Validation Documentation . XML Schema
Proposal Supporting Doc	Mobiam - CriMNet Integration Infrastructure - Mobiam Solutions proposal supporting documentation
Executive Sponsor Meetings	Volume 1 of meeting agendas and minutes
Task Force Meetings	Meeting agendas, minutes and handouts
Integration Backbone Phase II Project Plans	Overall project plan and project plans for adaptors (MJNO, S3, MNCIS, MCAPS, CIS-NT, CSTS, PC-ENFORS)
RFP - Integration Infrastructure	Document dated December 31, 2001
Integration Backbone Project Design Doc from Phase 1	Dated September 4, 2002 revision 1.5b
CriMNet Integration Infrastructure Project Risk Assessment	Dated April 2, 2002 provided by Target Technology Services Assurance team
Stakeholders Issue Log	Issues dated June 28, 2002 - November 1, 2002
CriMNet Program Review	Power Point dated October 8, 2002
MNCIS Project Governance	Organization chart
MNCIS Organization Chart	PMO office organization chart
MNCIS FY03 Program	MNCIS Integration Sharing Presented by MNCIS Integration Team 12/12/2002
Suspense Project Status	Dated 8/16/02
Suspense File Risk Assessment	Dated 2/14/2002

Document Name	Document Description
Process Improvement Study Suspense File Task Force Recommendations	Final Report dated November 7, 2001 created by the Suspense File Task Force
Backbone Proposals Evaluation: Review and Recommendations	Documentation provided to Policy Group members dated February 26, 2002 from the evaluation group that included CrimNet office, Judicial, BCA, and Corrections representatives.
CrimNet RFP Evaluator Handbook	
Suspense File Process Reengineering	MTG Management Consultants document
Suspense File Managers Meeting Minutes	Dated 9/29/02 & 1/9/03
Suspense File Project Plan	
Criminal Intelligence Sharing: A National Plan for Intelligence-Led Policing At the Local, State and Federal Levels	Recommendations from the IACP (International Assoc. of Chiefs of Police) Intelligence Summit dated August 2002
Minnesota Government Data Practices Act Section I	Summary of the MGDPA Provisions
"Enterprise Application Integration" (D. Linthicum)	Reference architectural book
CrimNet Backbone Business Services	Version 1.0 dated May 25th, 2001
CrimNet 1.0 System User Training Manual	Dated 12/4/2002
Adaptor Specifications v1.2	Dated 6/28/2002
MJNO Functional Adaptor Specification - Draft Version 0.3	Dated 12/13/2002
Backbone Business Services	Dated 5/25/2001
Backbone Business Requirements	From Logical Design Report dated 8/6/2001
Inventory Collection Process Document	From Mobiam dated 10/4/02
Backbone Design Document- Phase II	Draft dated December 18, 2002
Backbone Functional Requirements - Operations	Dated July 23, 2002
Backbone Functional Requirements - Scalability	Dated August 12, 2002
Backbone System Transition Plan	Dated November 15, 2002
Backbone System Test Plan- Phase II	Dated November 12, 2002
Backbone QA Process for Testing	Dated December 3, 2002

Document Name	Document Description
Integration Business Requirements Specifications	Warrant Notification from MNCIS dated December 3, 2002 draft
Backbone Phase II Stage 1 Deliverables	Overview of deliverables by date and release
Backbone Pilot Test Hardware and Software Requirements	Draft from Mobiam, dated November 15, 2002
Scope Statement: CriMNet Integration Specification for Pilot in Carvr County	Dated November 15, 2002 prepared by Labyrinth Consulting Inc
CriMNet Workflow Guide	User and Systems documentation
CriMNet Implementation Strategy	Powerpoint prepaed for Policy Group 8/29/02
Backbone Specifications	Draft dated August 16, 2002
Backbone Pilot Adapter Information Requirements	Draft dated October 7, 2002
Adapter Project for S3	Draft dated October 21, 2002
S3 Adapter Functional Specirfications	Dated December 10, 2002
CWS Search Adapter Design	Dated December 15, 2002 draft

Appendix C: Master Risk Log

RISK NAME		RISK RATING:					TOTAL RISK SCORE
		Probability of Risk:	Probability Risk Score:	Impact of Risk:	Risk Impact Score	Controllability:	
Risk 1	Loss of CriMNet Office staff with critical knowledge to continue development						175
Risk 1a	Loss of 3 or more staff members	H	80	H	95	C	175
Risk 1b	Loss of 1 or 2 staff members	H	95	M	60	C	155
Risk 2	Process issues being seen / handled as technology issues	H	80	H	90	C	170
Risk 3	Interfaces created for workflow seen as alternative to backbone	H	90	H	80	C	170
Risk 4	Continued philosophy disagreements (buy v. build; broker v. subscription)	H	95	H	75	C	170
Risk 5	Cancellation of Mobiam contract	H	70	H	90	C	160
Risk 6	Stopping work on CriMNet backbone development	M	60	H	95	C	155
Risk 7	Project Delays						150
Risk 7a	Backbone & MNCIS thru FY 2003	M	60	H	90	C	150
Risk 7b	Adaptor development thru FY 2003	M	50	M	65	C	115
Risk 8	Loss of credibility for path chosen on CriMNet backbone efforts	M	70	H	80	C	150
Risk 9	Loss of integrated Criminal Justice system vision	M	50	H	99	C	149
Risk 10	Failure of Carver County Pilot / Proof of Concept						144
Risk 10a	Failure of Carver County Pilot / Proof of Concept	M	45	H	99	C	144
Risk 10b	Carver County Pilot / Proof of Concept deliverable doesn't meet expectations	M	55	H	75	C	130
Risk 11	Closure of CriMNet office	M	45	H	95	C	140
Risk 12	Loss of architecture for Criminal Justice integration						140
Risk 12a	Total loss of architecture	L	20	H	99	C	119
Risk 12b	Partial loss of architecture	H	70	H	70	C	140
Risk 13	Loss of funds: federal grants	M	40	H	99	C	139
Risk 14	Loss of key MNCIS knowledge held by contractors in key positions	M	65	H	70	C	135
Risk 15	Ineffective use of grant funds	H	90	M	45	C	135

RISK NAME		RISK RATING:					TOTAL RISK SCORE
		Probability of Risk:	Probability Risk Score:	Impact of Risk:	Risk Impact Score	Controllability:	
Risk 16	Loss of funds: state appropriations (FY 2003)						135
Risk16a	MNCIS Funding	L	35	M	50	C	85
Risk 16b	Corrections Funding (S3)	L	10	L	15	C	25
Risk 16c	CrimNet Staff	L	30	H	70	C	100
Risk 16d	Integration Backbone	L	50	H	85	C	135
Risk 16e	Planning & Implementation Grants	H	90	L	35	C	125
Risk 16f	Suspense File	L	10	L	25	C	35
Risk 17	Lack of parallel processes for MNCIS Proof-of-Concept	H	99	L	35	C	134
Risk 18	Funding to 'Totally' implement integrated Criminal Justice vision not known	H	99	L	35	U	134
Risk 19	The wrong data at the wrong place at the wrong time or to the wrong person						134
Risk 19a	Sensitive / Private data	L	35	H	99	C	134
Risk 19b	Non-sensitive / Public data	H	80	L	35	C	115
Risk 20	Data issues not being resolved	M	40	H	90	C	130
Risk 21	MJNO system pulls approval for backbone connection	M	40	H	90	C	130
Risk 22	Stopping adaptor development	M	50	H	80	C	130
Risk 23	Not knowing when you have all requirements: Missed requirements / missed expectations	M	60	M	70	C	130
Risk 24	Vendor making decisions for the State	H	80	M	50	C	130
Risk 25	Inability to absorb depth and volume of process changes (MNCIS)	M	45	H	80	C	125
Risk 26	Missed expectations due to change in contract deliverable dates	H	85	M	40	C	125
Risk 27	No vendor recourse if MCAPS adaptor not completed for Carver County Pilot/POC	L	25	H	99	C	124
Risk 28	Targets defined for Suspense file being missed	H	99	L	25	U	124
Risk 29	Loss of public confidence in Criminal Justice	M	40	H	80	C	120
Risk 30	Perceived value of MNCIS deliverable does not match cost of deliverable	M	50	M	65	U	115
Risk 31	Loss of independence/neutrality of CrimNet Operations team	M	50	M	60	C	110
Risk 32	Damaged reputation for State of Minnesota as Criminal Justice integration leader	M	50	M	50	C	100
Risk 33	Loss of partnership with Minnesota businesses Criminal Justice activities	M	50	M	50	C	100
Risk 34	CrimNet office held responsible for quality of 'local' data	H	70	L	30	C	100
Risk 35	Non-participation of local governments / associations	L	30	M	65	C	95
Risk 36	State pays for deliverable that does not meet its needs	M	45	L	40	C	85

Appendix D: Risk Definitions

Risk #	Risk Name	Risk Description
1	Loss of CrimNet Office staff with critical knowledge to continue development	CrimNet is a complex concept, both from a process and technical perspective, with valuable history as to how it evolved to its existing state (why things were done, how they were validated, what was tried that failed, logic of strategies used, etc). This information is known by employees of the CrimNet office.
1a	Loss of 3 or more staff members	
1b	Loss of 1 or 2 staff members	
2	Process issues being seen / handled as technology issues	Process issues such as decision making, issue management, communication of changes to plans, etc. get interpreted as the technology being the issue. Energies become misdirected as resources attempt to address the "technology problem" rather than the "process problem".
3	Interfaces created for workflow seen as alternative to backbone	The Integration Backbone architecture was created with the scope including the full enterprise process of Criminal Justice, starting with law enforcement through courts and correction systems at the city, county, and state levels. Interfaces between state agencies alone will not satisfy the full enterprise view of Criminal Justice.
4	Continued philosophy disagreements (buy v. build; broker v. subscription)	Technology decisions and approaches are typically a source of debate within organizations. It is important for leadership to consider the options, make decisions, and provide clear direction for moving forward and holding the organization to the goals/objectives. A clear forward direction enables effective and efficient use of resources.
5	Cancellation of Mobiam contract	
6	Stopping work on CrimNet backbone development	

Risk #	Risk Name	Risk Description
7	Project Delays	The project schedules, major milestones, and deliverables due dates slipping in FY03.
7a	Backbone & MNCIS thru FY 2003	
7b	Adaptor development thru FY 2003	
8	Loss of credibility for path chosen on CrimNet backbone efforts	Loss of support for the path chosen which included the elements of open systems, J2EE, and Extreme Programming Methodology.
9	Loss of integrated Criminal Justice system vision	Lack of sustained commitment, focus, and direction for integrated Criminal Justice
10	Failure of Carver County Pilot / Proof of Concept	The first major deliverable of the Integration Backbone Pilot, and MNCIS Proof of Concept in Carver County is scheduled to begin February 3, 2003.
10a	Deliverable doesn't meet expectations	
10b	Deliverable doesn't work	
11	Closure of CrimNet office	
12	Loss of architecture for Criminal Justice integration	The enterprise architecture consists of five individual models; common vision/motivational elements, organizational structure & governance, process roadmap, common language (data standards), and technology foundation (technology principles, guidelines and standards).
12a	Total loss of architecture	
12b	Partial loss of architecture	
13	Loss of funds: federal grants	
14	Loss of key MNCIS knowledge held by contractors in key positions	
15	Ineffective use of grant funds	
16	Loss of funds: state appropriations FY03	
16a	MNCIS Funding	
16b	Corrections Funding (S3)	
16c	CrimNet Staff	
16d	Integration Backbone	
16e	Planning & Implementation Grants	
16f	Suspense File	
17	Lack of parallel processes for MNCIS Proof-of-Concept	

Risk #	Risk Name	Risk Description
18	Funding to 'Totally' implement integrated Criminal Justice vision not known	Lack of an integrated financial plan for integrated Criminal Justice system.
19	The wrong data at the wrong place at the wrong time or to the wrong person	
19a	Sensitive / Private data	
19b	Non-sensitive / Public data	
20	Data issues not being resolved	There are known data issues with the legacy systems data.
21	MJNO system pulls approval for backbone connection	
22	Stopping adaptor development	
23	Not knowing when you have all requirements: Missed requirements / missed expectations	Lack of requirements in integration backbone and adaptor development.
24	Vendor making decisions for the State	By contract, where requirements are not provided by the state, assumptions will be made by the vendor in the development of the integration backbone and adaptors.
25	Inability to absorb depth and volume of process changes (MNCIS)	
26	Missed expectations due to change in contract deliverable dates	With the original Statement of Work with Mobiam, dates were identified for deliverables. Due to contract signature delays, the dates were pushed out. However, some expectations had been set with the initial dates.
27	No vendor recourse if MCAPS adaptor not completed for Carver County Pilot/POC	
28	Targets defined for Suspense file being missed	Targets as defined in the Special Session 2001 – Senate File Language
29	Loss of public confidence in Criminal Justice	The legislature created statute to improve Criminal Justice. The Criminal and Juvenile Justice Information Policy Group and the CrimNet Executive Director have the responsibility to direct and implement against the statute. Failure to deliver will result in loss of public confidence.

Risk #	Risk Name	Risk Description
30	Perceived value of MNCIS deliverable does not match cost of deliverable	
31	Loss of independence/neutrality of CriMNet Operations team	Moving the organization in to an existing agency that has vested interest in a segment of the overall system could be problematic.
32	Damaged reputation for State of Minnesota as Criminal Justice integration leader	
33	Loss of partnership with Minnesota Businesses in Criminal Justice activities	
34	CriMNet office held responsible for quality of 'local' data	The architecture and strategy of CriMNet is to keep the source data 'local'. Since the data will be delivered across the Integration Backbone, some people may assume or want to hold the CriMNet office responsible for the data.
35	Non-participation of local governments / associations	Integrated Criminal Justice is an "opt in" program. There is risk that local governments and associations will chose to not "opt in" for a variety of different reasons.
36	State pays for deliverable that does not meet its needs	

Appendix E: Risk Data Overview

CrimNet Risk Assessment Project Category and Element Overview

Total Number of Risks	TOTAL	Controllable	Uncontrollable
	36	33	3

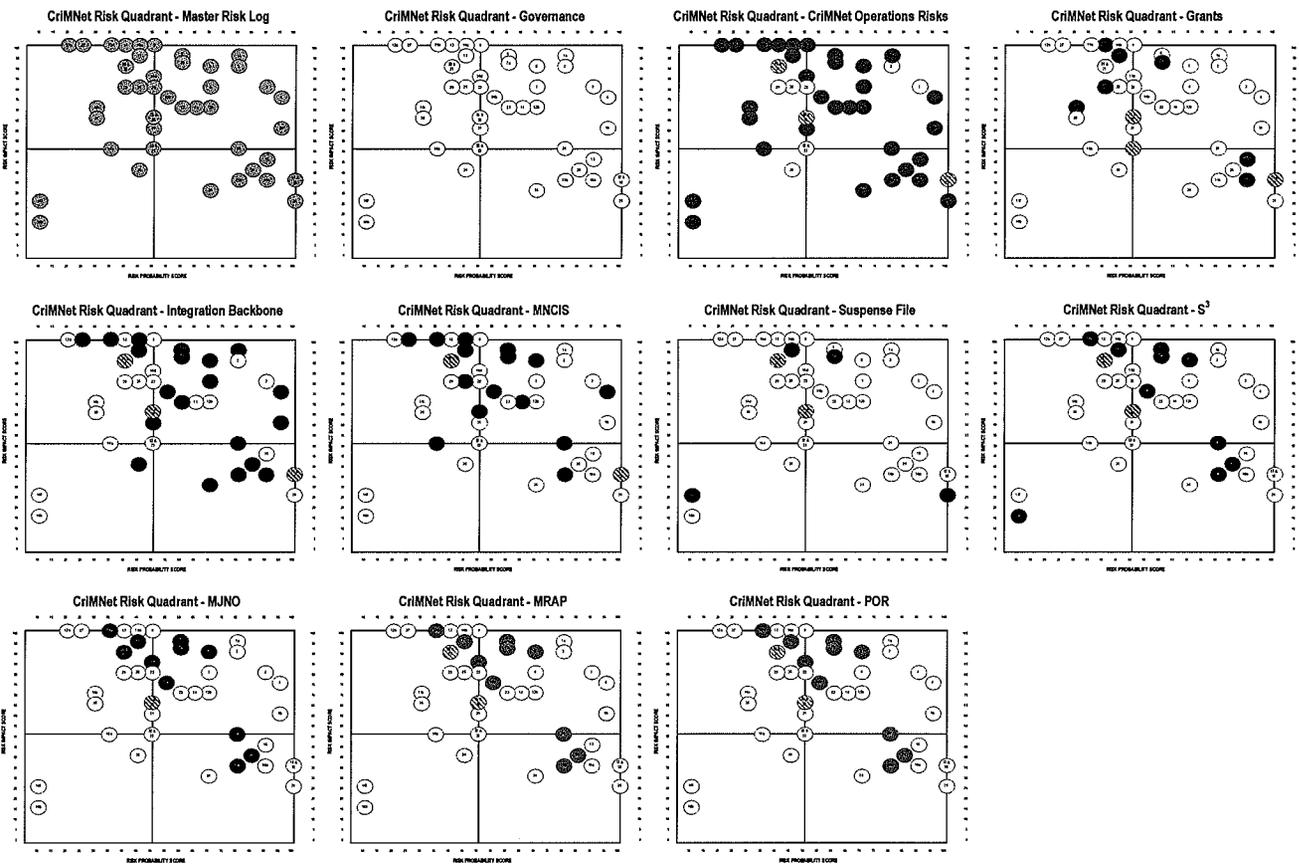
Project Categories

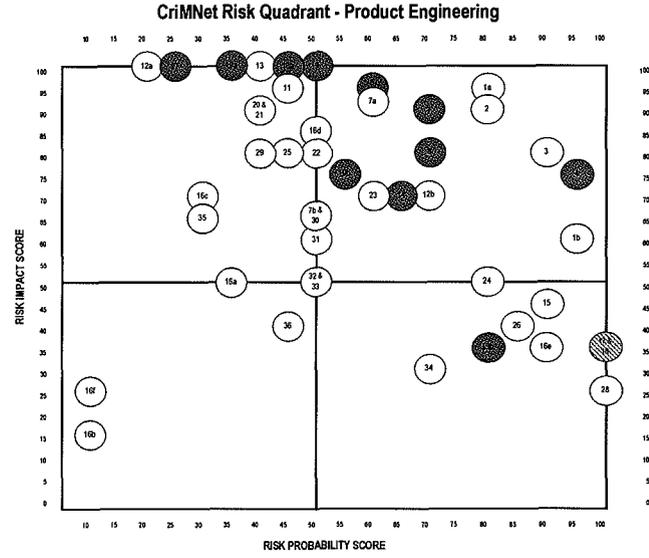
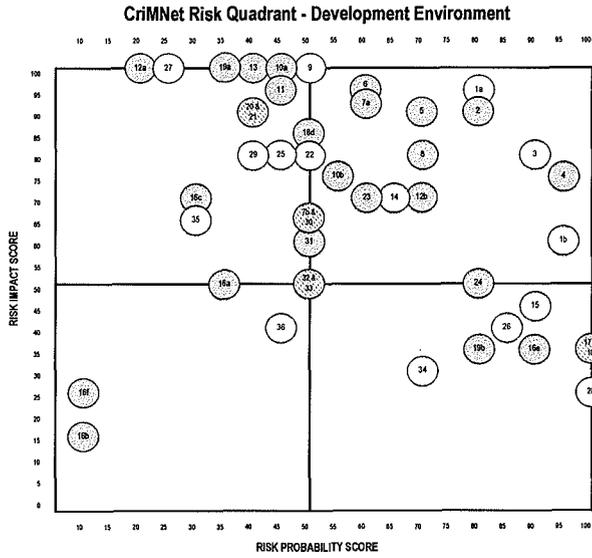
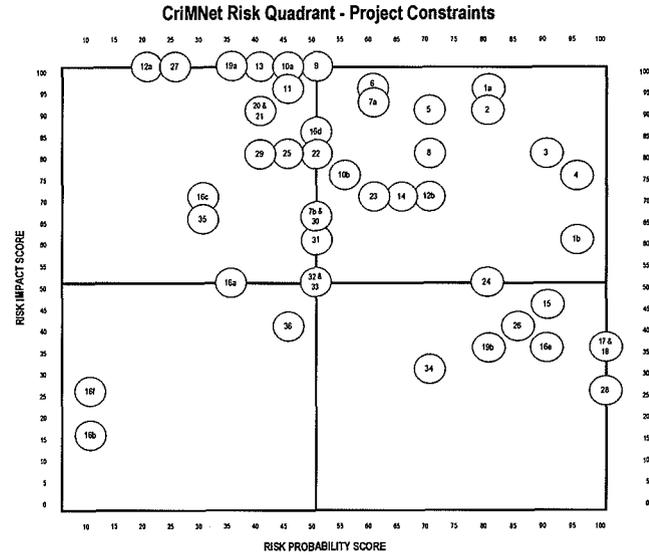
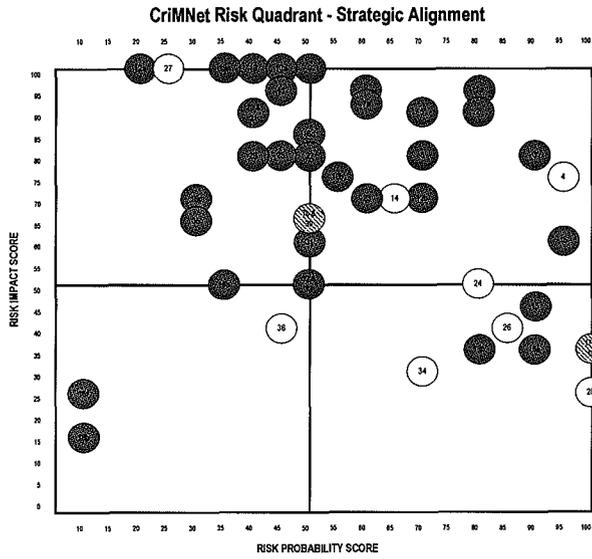
Project Constraints	TOTAL		Controllable		Uncontrollable		Development Environment	TOTAL		Controllable		Uncontrollable			
	related	36	100%	33	92%	3		9%	related	18	50%	18	50%	0	0%
	not related	0	0%	0	0%	0		0%	not related	18	50%	15	42%	3	9%
Strategic Alignment	TOTAL		Controllable		Uncontrollable		Product Engineering	TOTAL		Controllable		Uncontrollable			
	related	27	75%	26	72%	1		3%	related	8	22%	8	22%	0	0%
	not related	9	25%	7	19%	2		6%	not related	28	78%	25	69%	3	9%

Project Elements

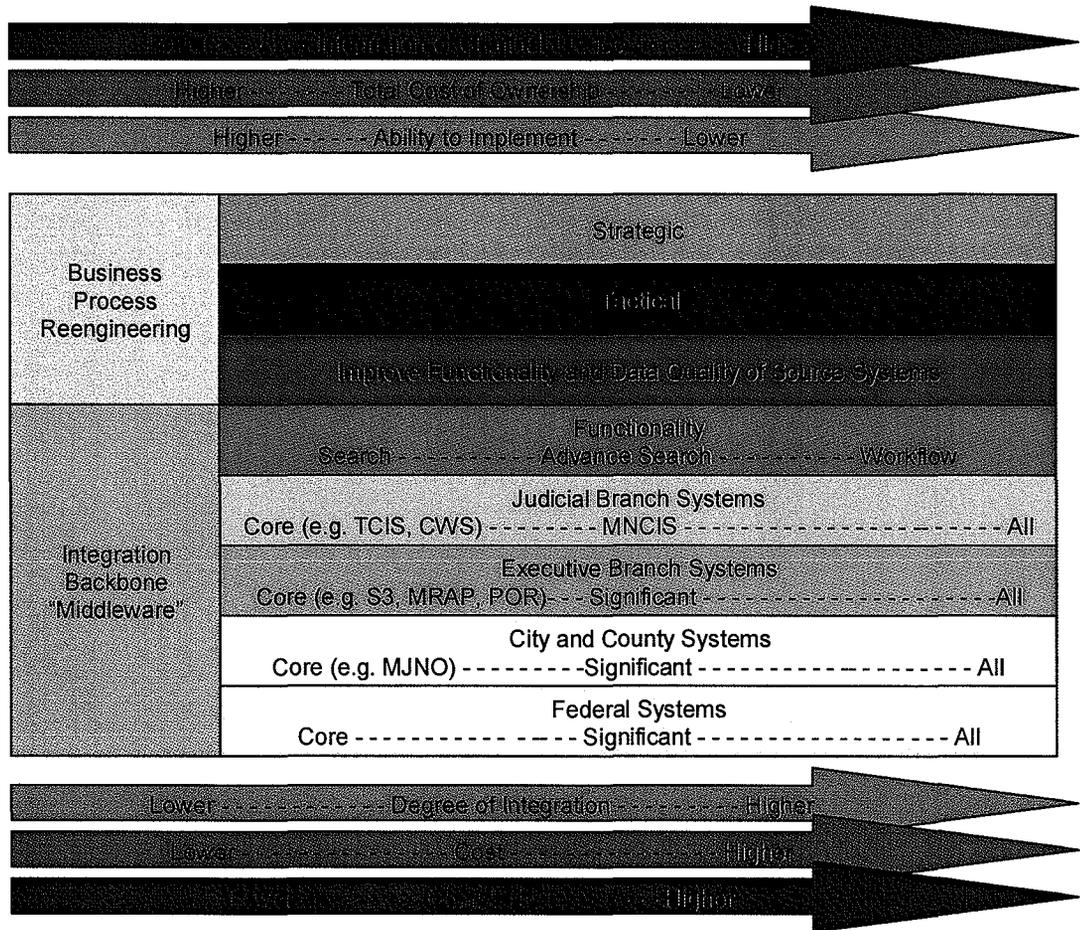
Governance	TOTAL		Controllable		Uncontrollable		S3	TOTAL		Controllable		Uncontrollable			
	related	29	81%	27	75%	2		6%	related	12	33%	9	25%	3	9%
	not related	7	19%	6	17%	1		3%	not related	24	67%	24	67%	0	0%
CrimNet Operations	TOTAL		Controllable		Uncontrollable		MRAP	TOTAL		Controllable		Uncontrollable			
	related	26	72%	24	67%	2		6%	related	12	33%	9	25%	3	9%
	not related	10	28%	9	25%	1		3%	not related	24	67%	24	67%	0	0%
Integration Backbone	TOTAL		Controllable		Uncontrollable		POR	TOTAL		Controllable		Uncontrollable			
	related	19	53%	18	50%	1		3%	related	12	33%	9	25%	3	9%
	not related	17	47%	15	42%	2		6%	not related	24	67%	24	67%	0	0%
MNCIS	TOTAL		Controllable		Uncontrollable		Grants	TOTAL		Controllable		Uncontrollable			
	related	15	42%	14	39%	1		3%	related	8	22%	7	19%	1	3%
	not related	21	58%	19	53%	2		6%	not related	28	78%	26	72%	2	6%
MJNO	TOTAL		Controllable		Uncontrollable		Suspense File	TOTAL		Controllable		Uncontrollable			
	related	13	36%	10	28%	3		9%	related	4	11%	3	8%	1	3%
	not related	23	64%	23	64%	0		0%	not related	32	89%	30	83%	2	6%

Appendix F: Risk Quadrant Graphs



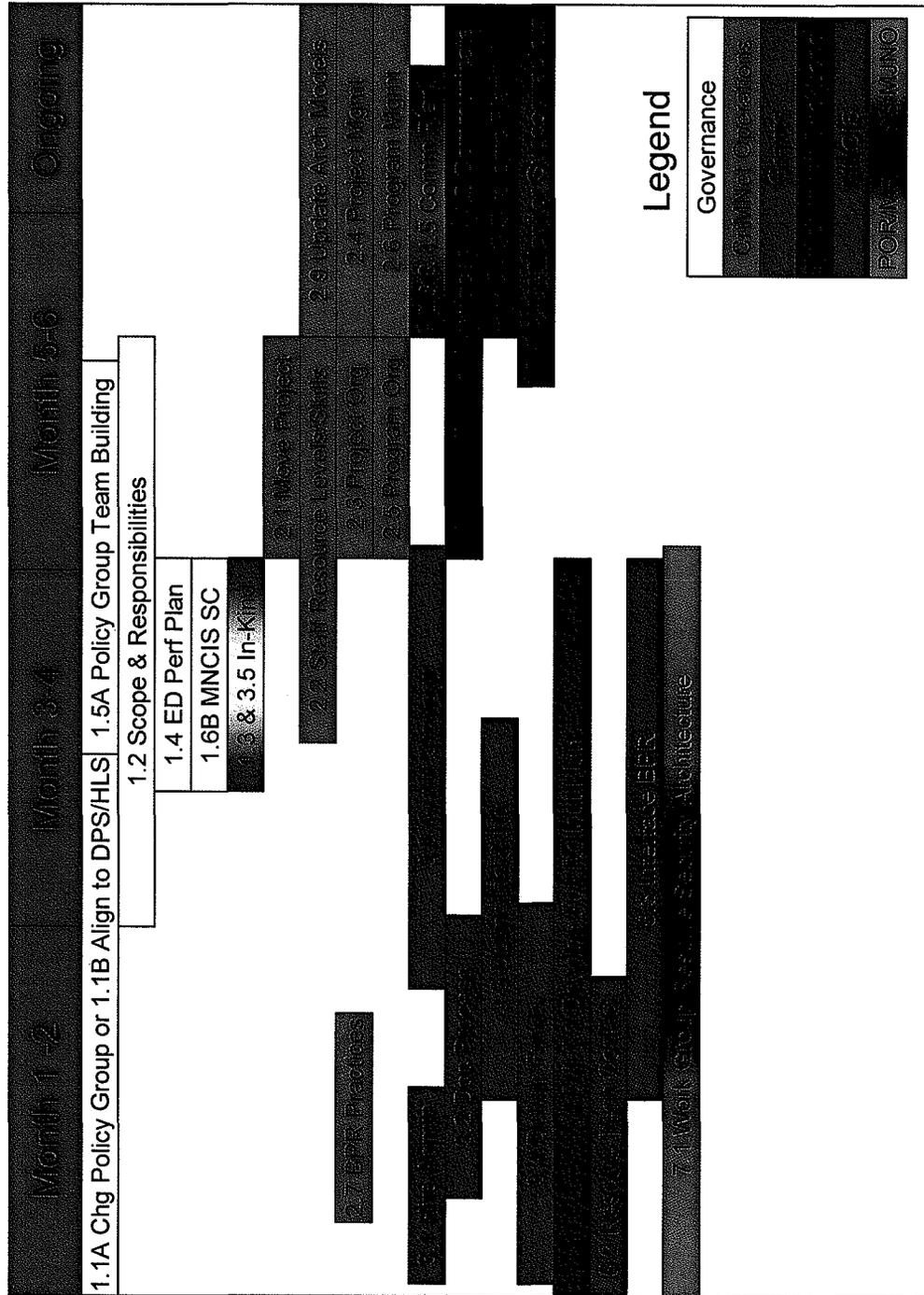


Appendix G: Think Big, Act Small

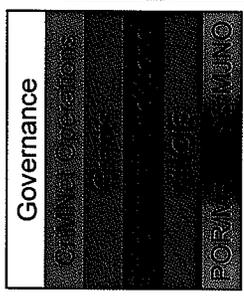


Appendix H: Risk Response Plan

Risk Response Plan Timing Summary



Legend



1.0	Project Element: Governance			
	High Level Risk Statement: Failure to achieve improved criminal justice			
	Risks Addressed: 1,2,3,4,7,9,11,12,13,14,16,17,19,20,24,25,29,30,33,34,35,36			
	Risk Response Plan: Option A: Change Policy Group Option B: Replace Policy Group with Steering Committee and Program report directly into one agency			
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>
1.1A	<p>Change the makeup of the Policy Group</p> <ul style="list-style-type: none"> • Number – 9 • Groups represented <ul style="list-style-type: none"> ○ 3 – Task Force (Elected Chair and 2 Vice-chairs) ○ 3 – Executive Branch (Commissioners or designates of DPS, Corrections and Finance) ○ 3 – Judicial Branch (Supreme Court Justice, Appellate Court Judge and State Court Administrator) • Turnover and delegation of duty <ul style="list-style-type: none"> ○ Task Force representatives are voted on by full task force ○ Task Force Chair has a 4-year term elected in an off-election year • Each member is allowed one proxy • Designates can attend as non-voting <p>(Requires legislative changes)</p> <p>Note: The recently formed Policy Group Steering Committee would be disbanded</p>	3/03-5/03	1,4,7,8,11,12,14,15,19,24,25,29,30,33, 34, 36	
1.1B	<p>Re-align CrimNet to directly report to Commissioner DPS/HLS</p> <p>(Requires legislative changes)</p>	3/03-5/03	1,2,3,4,7,9,11,12,14,16,17,20,24,25,30, 33,	

	<p>Replace the Policy Group with a traditional Steering Committee with a make-up of;</p> <ul style="list-style-type: none"> • Number – 7 • Groups represented <ul style="list-style-type: none"> ○ 3 – Task Force (Elected Chair and 2 Vice-chairs) ○ 3 – Executive Branch (Commissioners or designates of Administration, Corrections and Finance) ○ 1 – Judicial Branch representative • Objective of this group is advisory, guidance and support <p>Notes:</p> <ul style="list-style-type: none"> • The recently formed Policy Group Steering Committee would be disbanded • If Homeland Security becomes a new agency, this program would move into it 		34, 35, 36	
1.2	<p>Define scope and responsibilities clearly</p> <ul style="list-style-type: none"> • CriMNet program • Policy Group (Option A) • Task Force • Steering Committee (Option B) • Executive Director 	5/03-7/03	All	
1.2.1	<p>Scope of program</p> <ul style="list-style-type: none"> • Integrated Criminal Justice in total or part? • CriMNet Program versus Backbone project 	5/03		
1.2.2A	<p>Policy Group – an enabling organization</p> <ul style="list-style-type: none"> • Create a sub-committee structure to support the integrated criminal justice efforts <ul style="list-style-type: none"> ○ Standing committees <ul style="list-style-type: none"> ▪ Grants ▪ Human resources – CriMNet office hiring, interviews, Executive Director’s performance review, job descriptions, goals, objectives, and financial 	5/03-6/03		

	<ul style="list-style-type: none"> ▪ Governance – scope, roles and responsibility, organization structure ▪ Finance and Budget ▪ Business Process Engineering ▪ Public Relations and Communications ○ Others as needed ○ Committees advise and recommend but make no decisions ○ Each committee is made up of 4 or more members consisting of <ul style="list-style-type: none"> ▪ 2 Policy Group members ▪ 2 non-Policy Group Task Force members ▪ 3 or less Subject Matter Experts (SMEs) 			
1.2.3	Communicate the reporting relationship of the Executive Director – direct reporting relationship to the: <ul style="list-style-type: none"> ○ Chair of the Policy Group (Option A) ○ Commission of DPS (Option B) 	5/03		
1.2.4	Define reporting relationships and communication channels	7/03		
1.3	Define and communicate “in-kind”	6/03	12,14,17, 30,33,34, 36	
1.4	Define clear expectations and performance plan for the CriMNet Executive Director	6/03	1,11,35	
1.5A	Have teambuilding exercises for the Policy Group – preferably form an external resource <ul style="list-style-type: none"> • Output should include goals, objectives and success measures for the program and the Policy Group • Create agreements on how the Policy Group members will act and interact (“ground rules”) Internalize the Policy Group’s responsibility for the success of the program and the CriMNet Office	5/03-7/03	9,12,13,20, 30,33,34	
1.6B	Assign one staff member to the MNCIS Steering Committee	5/03	3,4	

2.0	Project Element: CriMNet Operations			
	High Level Risk Statement: Success of CriMNet Program and Integration Backbone Project			
	Risks Addressed: 1, 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 18, 19, 20, 23, 24, 26, 27, 28, 31, 34, 35			
	Risk Response Plan:			
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>
2.1	Separate the CriMNet Program Management team from the Integration Backbone Project team <ul style="list-style-type: none"> • Move the Integration Backbone Project to: <ul style="list-style-type: none"> ○ ADMIN IT (if Option A Governance plan is adopted) or ○ DPS IT (if Option B of Governance plan is adopted) 	7/03	5, 6, 9, 11, 12, 15, 16, 31	1.1 - 1.6
2.2	Set up the CriMNet Program Management Office and the Integration Backbone Project to include appropriate resource levels and skills	6/03-7/03	5, 6, 7, 9, 10, 11, 12, 15, 16, 18, 19, 20, 24, 26, 31, 34, 35	
2.2.1	Define the team roles and responsibilities for the Integration Backbone Project and the CriMNet Program Management Office and identify number of resources required for each team			
2.2.2	Define the skills needed for the Integration Backbone Project and the CriMNet Program Management Office <ul style="list-style-type: none"> • Ensure skill sets include architects, relationship building, facilitation, mediation, and program/project management • Need management skills to prioritize and keep organized 			
2.2.3	Perform an analysis of staff (skills assessment) and map staff to project or program team			

2.2.4	Identify gaps in skills and staff resources			
2.2.5	Reallocate and acquire staff resources for the project and program teams			
2.3	Implement project organization structure for the Integration Backbone Project <ul style="list-style-type: none"> • Create Steering Committee • Identify Sponsor Identify Stakeholders	7/03	5, 6, 7, 10, 16, 19, 20, 23, 26, 27	
2.4	Implement standard project management practices for the Integration Backbone Project <ul style="list-style-type: none"> • Conduct regular project team meetings (weekly meeting with core project team, sub-team meeting for the adaptors components) • Create and maintain project documentation (e.g. Communication Plan, Risk Management Plan, Overall High Level Project Plan, Project Briefs, Project Success/Failure Criteria for each Phase/Stage/Release of the project) • Use documented plans as a management tool 	8/03	5, 6, 10, 16, 19, 20, 23, 26, 27	2.1.2
2.5	Implement program management organization structure for the CrimNet program, including the functional areas of (see appendix K): <ul style="list-style-type: none"> • Business Process Reengineering • Communication • Integration Planning • Grants • Enterprise Architecture • Business Office & Administration • Oversight - Compliance to Vision 	7/03	5, 6, 9, 11, 12, 13, 15, 16, 18, 19, 20, 26, 34, 35	
2.6	Implement standard program management practices for CrimNet <ul style="list-style-type: none"> • Conduct program reviews on a quarterly basis to review progress with business partners, key legislative relationships, and other significant relationships • Create and maintain program documentation (e.g. Communication Plan, Business Case, Risk Management Plan, Key Performance Indicators) 	8/03	5, 6, 9, 11, 12, 13, 15, 16, 18, 19, 20, 26, 34, 35	2.1.2

2.7	<p>Conduct a Best Practices work session on process engineering/reengineering with representation from the S3, MNCIS, and Suspense projects</p> <ul style="list-style-type: none"> • Review approaches/methodologies used, and make up of the work groups (e.g. who was on them, how often did they meet, facilitation/leadership, use of external resources) • Assess what worked well, what didn't, and why • Create a Best Practices Report to be used by CriMNet Operations 	3/03	9, 12, 19, 20	
2.8	<p>Location is not conducive for informal communications. Either move to a location that is more accessible or build and implement a plan for all staff members to build cross-silo relationships.</p>	8/03	4, 8, 9	
2.9	<p>Update CriMNet architectural models, create work groups where needed, ensure "users" of models are satisfied with their usability</p>	8/03-ongoing	12	2.1.2

3.0	Project Element: Grants			
	High Level Risk Statement: Ineffective use of funds			
	Risks Addressed: 13,15,16			
	Risk Response Plan:			
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>
3.1	Hire the Grants Administrator. <ul style="list-style-type: none"> This is in process and should continue until complete This will allow this individual to be involved in and therefore take ownership of the final sustainable grant process that will be developed 	3/03	13,15,16	1.1 – 1.6
3.2	Define/refine and document the grant process Key elements that must be developed: <ul style="list-style-type: none"> How to apply and who can apply Requirements and criteria for acceptance Sub-process focused on who and how the evaluation, review and recommendation occurs Service level and operational level agreements including measurements and reporting for <ul style="list-style-type: none"> Customer satisfaction Performance Effectiveness Efficiency Process to recommend actions that should be taken on the grant	3/03-4/03	15	
3.3	Define the roles and responsibilities of those involved in the process <ul style="list-style-type: none"> Grantor and grantee relationship to include <ul style="list-style-type: none"> CriMNet office to locals ODPVP to CriMNet office ODPVP to agency 	4/03-5/03	13,15	
3.3.1	Evaluate the possibility of consolidating the Criminal Justice grant activity (CriMNet Office and ODPVP)	4/03	15	

3.3.2	Make an operational decision associated with 3.3.1	4/03	15	
3.4	Define how the money can be used and for what is the money needed (To be done in parallel with 3.2)	3/03- 4/03	13,15,16	
3.4.1	Evaluate the statute language and determine the gaps with 3.4	4/03	15	
3.4.2	Reconcile and make a decision based on the gap analysis done in 3.4.1	4/03	15	
3.5	Define and clearly communicate the definition of "in-kind"	4/03	15	
3.6	Define, develop and document the strategy and long term plan for obtaining grants	4/03- 6/03	15	

4.0	Integration Backbone			
	High Level Risk Statement: Success of Integration Backbone Project			
	Risks Addressed: 1,4, 5, 6, 7, 8, 10, 11, 16, 18, 19, 20, 23, 24, 26, 27, 31, 34, 35			
	Risk Response Plan:			
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>
4.1	Build an interface between the CriMNet Program and the Integration Backbone Project which includes definition of how the program team members will interface with the project and what information needs to be sent between the program and the project	7/03	5, 6, 10, 16, 19, 20, 23, 26, 27	1.1 - 1.6, 2.1 - 2.9
4.2	Communicate, communicate, communicate <ul style="list-style-type: none"> • Listen and Sell - Not Tell • Build trust and relationships • Set and manage expectations • Provide progress reports • Inform on direction changes 	8/03	4, 5, 6, 8, 26, 34, 35	
4.3	Create a strategic plan supported by tactical plans, with interfaces to the program plan - "Think Big – Act Small"	8/03	4, 5, 6, 18, 35	
4.4	Monitor balance of subcontractors and employees	Ongoing	7, 31	
4.5	Location is not conducive for informal communications. Either move to a location that is more accessible or build and implement a plan for all staff members to build cross-silo relationships.	8/03	4, 8, 9	
4.6	Develop a full roll-out plan <ul style="list-style-type: none"> • Include lessons learned from POC • Phased plan by geography or line of business • Include total cost of ownership (TCO) • Insure knowledge transfer from large contractor base 	3/03-6/03	5,6,7,31	

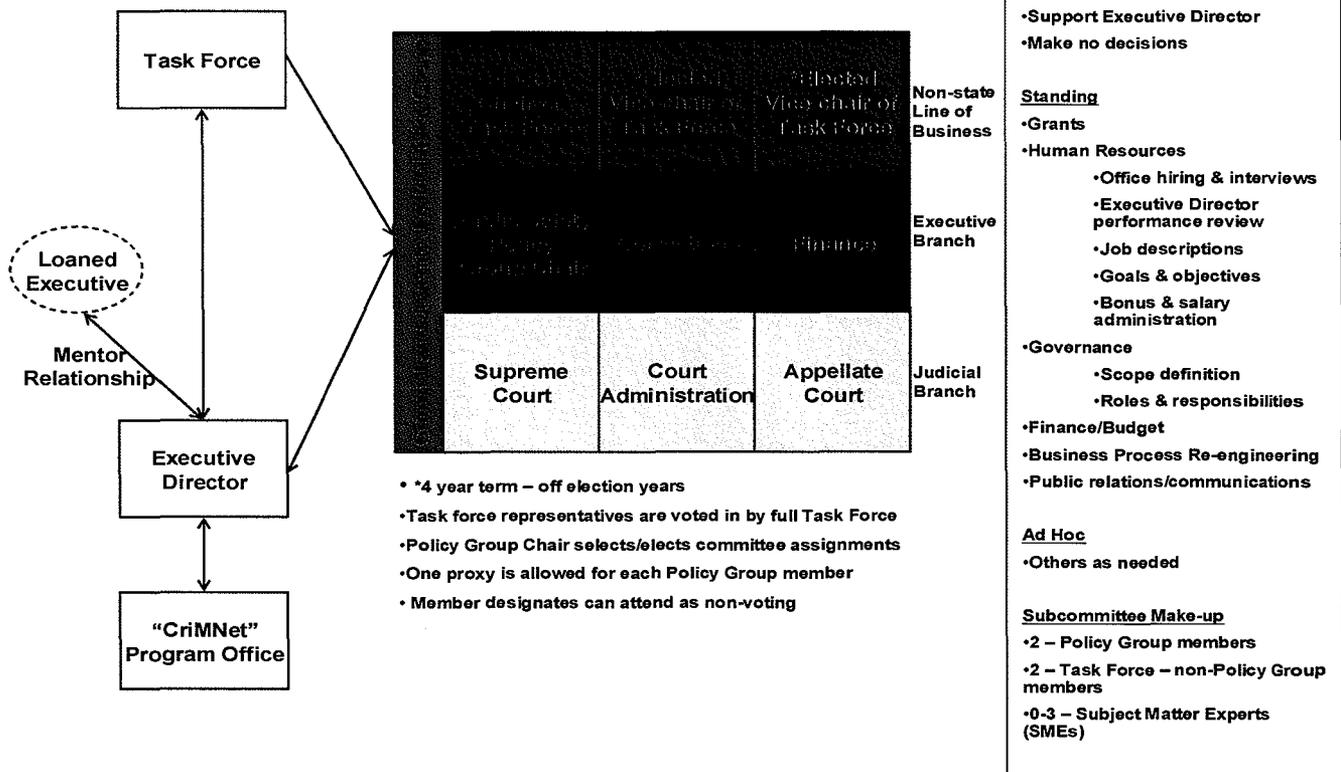
5.0	High Level Risk Statement: Failure of the new integrated court system			
	Risks Addressed: 4,5,6,7,10,14,15,26,31			
	Risk Response Plan:			
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>
5.1	Develop a full roll-out plan <ul style="list-style-type: none"> • Include lessons learned from POC • Phased plan by geography • Include total cost of ownership (TCO) • Insure knowledge transfer from large contractor base 	3/03-6/03	5,6,7,14,15,31	1.1
5.2	Resolve on-going technology conflict <ul style="list-style-type: none"> • Create guidelines for using “broker” versus “publish/subscribe” philosophy • Understand the use of “both” technologies in the integrated criminal justice system 	3/03-4/03	4,7,10	
5.3	Integrate/interface UCP with enterprise business process engineering <ul style="list-style-type: none"> • Leverage the MNCIS process that has been successful • Create a single “knowledge base” with organizational views (ex. Courts has a court view of processes that affect them in the CJ Model) 	4/03-6/03	7,26	
5.4	Monitor balance of contractors and employees	ongoing	7,14,15,31	

6.0	Project Element: Suspense File			
	High Level Risk Statement: Successful Completion of Suspense File Project			
	Risks Addressed: 7, 11, 16, 20			
	Risk Response Plan:			
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>
Note	The June 2003 goals for the Suspense File are not expected to be achieved by that date, but are expected to be achieved by year end as a result of system changes. There are no significant negative consequences resulting from the missed date.			1.1, 1.2, or 1.3 2.1
Note	Although the project has not always kept all the project documentation current, it has been well organized with good communication, and risks have been managed.			

7.0	Project Element:	S3	MJNO	MRAP	POR
	High Level Risk Statement: Success of Adaptors on Integration Backbone				
	Risks Addressed: 5, 6, 7, 10, 11, 16, 19, 20, 24, 26				
	Risk Response Plan:				
	<i>Description</i>	<i>Timeframe</i>	<i>Risks Addressed</i>	<i>Dependencies</i>	
7.1	Create a team/work group to address security architecture issues with representation that consists of the right depth and breath of security infrastructure and application knowledge and the key stakeholders whose buy in will be needed.	3/03-6/03	7, 10	1.1-1.6, 2.1-2.9, 4.1-4.6	
Note	If dependencies are not implemented, a response plan will need to be created to address the above risks.				

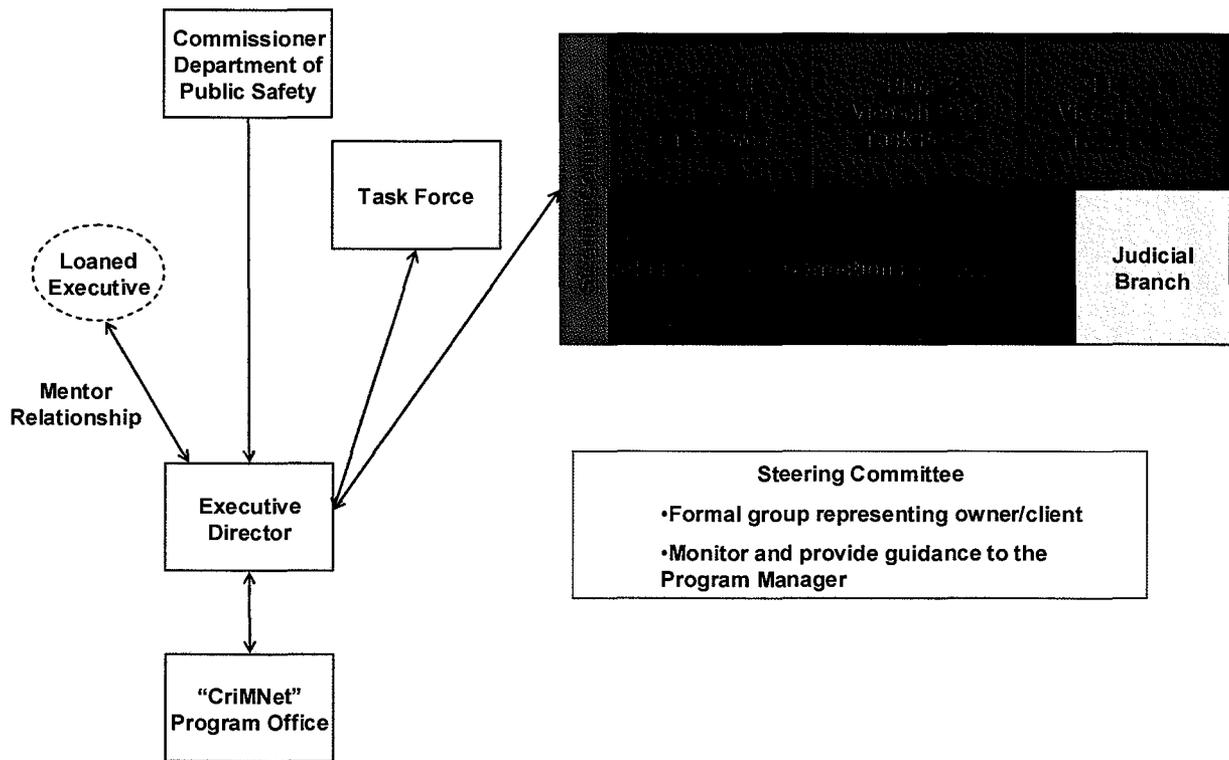
Appendix I: Organization Structure – Governance Option A

Option 1A – Governance Structure



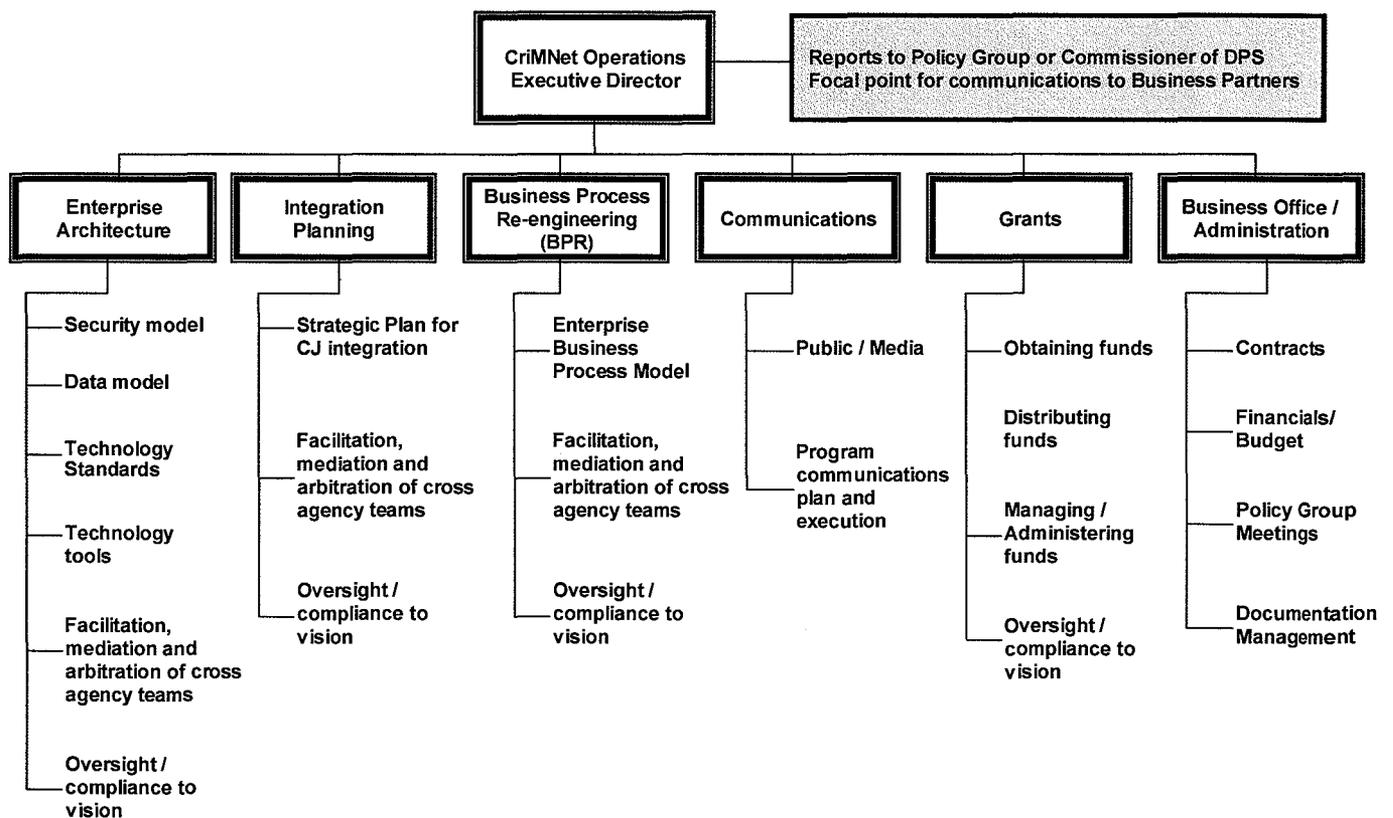
Appendix J: Organization Structure – Governance Option B

Option 1B – Governance Structure



Appendix K: CriMNet Operations Functional Organization Chart

CriMNet Operations Functional Organization



Appendix L: Glossary of Terms

Term	Definition
Architecture	The framework and interrelationships of elements of a system or multiple systems.
Business Case	<p>A document that defines why the project is required and what the change is to be.</p> <p>Note 1: It should include an outline of the project's objectives, deliverables, time, cost, technical, safety, quality and other performance requirements, and the major project risks and upside opportunities. It might also include information on the competitive impact, resource requirements, organizational impacts, key performance indicators and critical success factors of the project and its outcome.</p> <p>Note 2: The Business Case should be 'owned' by the project's sponsor, the person responsible for defining and developing the project against the business case.</p>
Change Management	A process of managing changes in a controlled manner, enabling approved changes with minimum disruption and appropriate documentation.
Communications Plan	<p>A statement of project stakeholders' communication and information needs.</p> <p>Strategic: An overall communications approach which provides guidance for all communication activities including development of strategic and tactical plans for each phase.</p> <p>Tactical: A communication plan developed in each phase of the project outlining the tactics to be used in each phase.</p>
Contingency Allowance	Specific provision to cover variations which may occur in the expected values of elements of cost or schedule, but not scope or quality.
Controllable Risks	Those risks to the project which, if occurring, can be mitigated by the project team at the direction of the project manager, by adopting a 'work-around' or by drawing upon the project's Contingency Allowance.

Term	Definition
EAI	Enterprise Application Integration (EAI) At the most basic level, EAI refers to the process of connecting different applications to allow information to flow between functions within an enterprise or between trading partners.
Extreme Programming (XP)	A deliberate and disciplined approach to software development that is ideal for risky projects with dynamic requirements. These projects will experience greater success and developer productivity.
Governance	The planning, influencing and conducting of the policy and affairs of an organization.
J2EE	J2EE (Java 2 Platform, Enterprise Edition) is a Java platform designed for the mainframe-scale computing typical of large enterprises. Sun Microsystems (together with industry partners such as IBM) designed J2EE to simplify application development in a thin client tiered environment. J2EE simplifies application development and decreases the need for programming and programmer training by creating standardized, reusable modular components and by enabling the tier to handle many aspects of programming automatically.
Key Performance Indicators ("KPI")	Those project management indicators that: <ul style="list-style-type: none"> • are determined at the beginning of the project • reflect directly on the key objectives [goals] of the project • provide the basis for project management trade-off decisions during the course of the project. And at completion of the project these KPIs: <ul style="list-style-type: none"> • will be the most relevant measures to confirm the acceptability of the project and its product by the project's stakeholders as being "successful" • can be measured in some way, at some time, on some scale.
Leadership	The ability to identify what work has to be done and then to select the people who are best able to tackle it. It is about setting goals and objectives and generating enthusiasm and motivation amongst project team members and stakeholders to work towards those objectives.

Term	Definition
Mitigation	Working to lessen risk by lowering its chances of occurring or by reducing its effect if it does occur.
PMO	Project Management Office (Project Management Office) The group of technical, business and management personnel assigned full time to a program or project in support of the Program/Project Manager. The group may include personnel from participating organizations.
POC	Proof of Concept (POC) Evidence that demonstrates that a business model or idea is feasible
Program	A set of activities and projects that collectively implement a new enterprise requirement or function.
Program Management	The management of a series of related projects designed to accomplish broad goals, to which the individual projects contribute, and typically executed over an extended period of time.
Program Plan	A term that refers to all of the following: benefits management plans, communication plan, risk management plan, transition plan, project portfolio plan and design management plan.
Program Review	An evaluation of current project results or procedures against project goals and objectives.
Project	It is the activities that result in new or changed products, services, environments, processes and organizations.
Project Brief	A major document typically prepared as the basis for an executive management go/no-go decision at an executive control point. Following a go decision, the document becomes the baseline or control basis for the project control cycle.
Project Management	Project management is a discipline. It applies principles, concepts, tools and techniques to improve project performance and organizational effectiveness. Project management adds value by improving the probability of consistently successful projects.

Term	Definition
Project Manager	The person who heads up the project team and is assigned the authority and responsibility for conducting the project and meeting project objectives through project management.
Project Plan	A management summary document that gives the essentials of a project in terms of its objectives, justification, and how the objectives are to be achieved. It should describe how all the major activities under each project management function are to be accomplished, including that of overall project control. The project plan will evolve through successive stages of the project life cycle. Prior to project implementation, for example, it maybe referred to as a Project Brief.
Project Success/Failure Criteria	The criteria upon which the relative success or failure of a project may be judged. Three basic sets of criteria can be identified: 1-the sponsoring organization, owner or user. 2- the traditional or classical project management one of on time, in budget or to specification. 3- project profitability. It is important to note that criteria change with time. The fact that the original objectives were not achieved does not mean the project was a failure.
Responsibility	The duties, assignments, and accountability for results associated with a designated position in the organization.
Risk	A measure of the exposure to which an organization may be subjected. This is a combination of the likelihood of a business disruption occurring and the possible loss that may result from such business disruption.
Risk Assessment	The process of identifying potential risks, quantifying their likelihood of occurrence and assessing their likely impact on the project.
Risk Management	The identification, selection and adoption of countermeasures justified by the identified risks to assets in terms of their potential impact upon services if failure occurs, and the reduction of those risks to an acceptable level.
Risk Response	The planned or actual action in response to a risk event.

Term	Definition
Scope	A concise and accurate description of the end products or deliverables to be expected from the project and that meet specified requirements as agreed between the Project's Stakeholders.
Sponsor	The executive who manages, administers, monitors, funds, and is responsible for the overall project delivery.
Stakeholders	The people who have a vested interest in the outcome of the project
Steering Committee	<p>The Steering Committee (SC) is there to ensure that the objectives - especially the target beneficial outcomes - will be achieved. The SC must develop as a supportive forum for the project - if it sees itself (and is seen by others) as a forum for charging, trying, convicting and sentencing the Project Manager for misdemeanors, it will fail. It will also fail if the members use SC meetings for bickering and point-scoring.</p> <p>The SC is concerned with; project progress, meeting budgets and timeframes - or extending these as circumstances demand, and clearing organizational roadblocks for the Project Team - for example resolving contention for resources.</p> <p>The SC (through the Owner) will eventually be held accountable by the organization for generating target benefits - outcomes are not the responsibility of the Project Manager - however he/she is accountable for delivery of outputs that are fit-for-purpose.</p>
XML	XML is a markup language for documents containing structured information.

299C.65 Criminal and Juvenile Information Policy Group

[note: reformatted for ease of viewing]

Subdivision 1. Membership, duties.

(a) The criminal and juvenile justice information policy group consists of the commissioner of corrections, the commissioner of public safety, the commissioner of administration, the commissioner of finance, and four members of the judicial branch appointed by the chief justice of the supreme court. The policy group may appoint additional, nonvoting members as necessary from time to time.

(b) The commissioner of public safety is designated as the chair of the policy group. The commissioner and the policy group have overall responsibility for the successful completion of statewide criminal justice information system integration (CriMNet). The policy group may hire a program manager to manage the CriMNet projects and to be responsible for the day-to-day operations of CriMNet. The policy group must ensure that generally accepted project management techniques are utilized for each CriMNet project, including:

- (1) clear sponsorship;
- (2) scope management;
- (3) project planning, control, and execution;
- (4) continuous risk assessment and mitigation;
- (5) cost management;
- (6) quality management reviews;
- (7) communications management; and
- (8) proven methodology.

(c) Products and services for CriMNet project management, system design, implementation, and application hosting must be acquired using an appropriate procurement process, which includes:

- (1) a determination of required products and services;
- (2) a request for proposal development and identification of potential sources;
- (3) competitive bid solicitation, evaluation, and selection; and
- (4) contract administration and close-out.

(d) The policy group shall study and make recommendations to the governor, the supreme court, and the legislature on:

- (1) a framework for integrated criminal justice information systems, including the development and maintenance of a community data model for state, county, and local criminal justice information;
- (2) the responsibilities of each entity within the criminal and juvenile justice systems concerning the collection, maintenance, dissemination, and sharing of criminal justice information with one another;

- (3) actions necessary to ensure that information maintained in the criminal justice information systems is accurate and up-to-date;
- (4) the development of an information system containing criminal justice information on gross misdemeanor-level and felony-level juvenile offenders that is part of the integrated criminal justice information system framework;
- (5) the development of an information system containing criminal justice information on misdemeanor arrests, prosecutions, and convictions that is part of the integrated criminal justice information system framework;
- (6) comprehensive training programs and requirements for all individuals in criminal justice agencies to ensure the quality and accuracy of information in those systems;
- (7) continuing education requirements for individuals in criminal justice agencies who are responsible for the collection, maintenance, dissemination, and sharing of criminal justice data;
- (8) a periodic audit process to ensure the quality and accuracy of information contained in the criminal justice information systems;
- (9) the equipment, training, and funding needs of the state and local agencies that participate in the criminal justice information systems;
- (10) the impact of integrated criminal justice information systems on individual privacy rights;
- (11) the impact of proposed legislation on the criminal justice system, including any fiscal impact, need for training, changes in information systems, and changes in processes;
- (12) the collection of data on race and ethnicity in criminal justice information systems;
- (13) the development of a tracking system for domestic abuse orders for protection;
- (14) processes for expungement, correction of inaccurate records, destruction of records, and other matters relating to the privacy interests of individuals; and
- (15) the development of a database for extended jurisdiction juvenile records and whether the records should be public or private and how long they should be retained.

Subdivision. 2. Report, task force.

(a) The policy group shall file an annual report with the governor, supreme court, and chairs and ranking minority members of the senate and house committees and divisions with jurisdiction over criminal justice funding and policy by December 1 of each year.

(b) The report must make recommendations concerning any legislative changes or appropriations that are needed to ensure that the criminal justice information systems operate accurately and efficiently. To assist them in developing their recommendations, the policy group shall appoint a task force consisting of its members or their designees and the following additional members:

- (1) the director of the office of strategic and long-range planning;
- (2) two sheriffs recommended by the Minnesota sheriffs association;
- (3) two police chiefs recommended by the Minnesota chiefs of police association;
- (4) two county attorneys recommended by the Minnesota county attorneys association;
- (5) two city attorneys recommended by the Minnesota league of cities;
- (6) two public defenders appointed by the board of public defense;
- (7) two district judges appointed by the conference of chief judges, one of whom is currently assigned to the juvenile court;
- (8) two community corrections administrators recommended by the Minnesota association of counties, one of whom represents a community corrections act county;
- (9) two probation officers;
- (10) four public members, one of whom has been a victim of crime, and two who are representatives of the private business community who have expertise in integrated information systems;
- (11) two court administrators;
- (12) one member of the house of representatives appointed by the speaker of the house;
- (13) one member of the senate appointed by the majority leader;
- (14) the attorney general or a designee;
- (15) the commissioner of administration or a designee;
- (16) an individual recommended by the Minnesota league of cities; and
- (17) an individual recommended by the Minnesota association of counties.

In making these appointments, the appointing authority shall select members with expertise in integrated data systems or best practices.

(c) The commissioner of public safety may appoint additional, nonvoting members to the task force as necessary from time to time.

Subdivision. 3. Continuing education program.

The criminal and juvenile information policy group shall explore the feasibility of developing and implementing a continuing education program for state, county, and local criminal justice information agencies. The policy group shall consult with representatives of public and private post-secondary institutions in determining the most effective manner in which the training shall be provided. The policy group shall include recommendations in the 1994 report to the legislature.

Subdivision. 4. Criminal Code numbering scheme.

The policy group shall study and make recommendations on a structured numbering scheme for the Criminal Code to facilitate identification of the offense and the elements of the crime and shall include recommendations in the 1994 report to the legislature.

Subdivision. 5. Review of funding and grant requests.

(a) The criminal and juvenile justice information policy group shall review the funding requests for criminal justice information systems from state, county, and municipal government agencies. The policy group shall review the requests for compatibility to statewide criminal justice information system standards. The review shall be forwarded to the chairs and ranking minority members of the house and senate committees and divisions with jurisdiction over criminal justice funding and policy.

(b) The policy group shall also review funding requests for criminal justice information systems grants to be made by the commissioner of public safety as provided in this section. Within the limits of available appropriations, the commissioner of public safety shall make grants for projects that have been approved by the policy group.

(c) If a funding request is for development of a comprehensive criminal justice information integration plan, the policy group shall ensure that the request contains the components specified in subdivision 6. If a funding request is for implementation of a plan or other criminal justice information systems project, the policy group shall ensure that:

- (1) the government agency has adopted a comprehensive plan that complies with subdivision 6;
- (2) the request contains the components specified in subdivision 7; and
- (3) the request demonstrates that it is consistent with the government agency's comprehensive plan.

Subdivision. 6. Development of integration plan.

(a) If a funding request is for funds to develop a comprehensive criminal justice information integration plan to integrate all systems within a jurisdiction, the requesting agency must submit to the policy group a request that contains the following components:

- (1) the vision, mission, goals, objectives, and scope of the integration plan;
- (2) a statement of need identifying problems, inefficiencies, gaps, overlaps, and barriers within the requesting agency's jurisdiction, including those related to current systems and interfaces, business practices, policies, laws, and rules;
- (3) a list of agency heads and staff who will direct the effort and a statement demonstrating collaboration among all of the agencies involved;
- (4) a statement that the integration plan would integrate all systems within the six major business functions of the criminal justice community, including incident reporting, investigation, arrest, detention, adjudication, and disposition, including postsentence supervision and treatment, and related civil, family, and human services proceedings, processes, and services, to the extent it was cost beneficial;
- (5) a statement demonstrating that the requesting agency has consulted with individuals involved in day-to-day business practices, use, and operation of current criminal justice information systems so as to identify barriers and gaps;
- (6) a planning methodology that will result in at least the following deliverables:
 - (i) an identification of problems in the state's criminal justice data model, where applicable, including data policy problems and proposed changes;
 - (ii) a function and process model that includes business process improvement and redesign opportunities, prioritized business change objectives, and short-term opportunities for improvement that can be pursued immediately while developing and implementing the long-range integration plan;
 - (iii) a technology model that includes network, communication, and security standards and guidelines;
 - (iv) an application architecture;
 - (v) a complete gap analysis that includes identification of gaps, omissions, and redundancies in the collection and dissemination of criminal justice information in the requesting agency's jurisdiction;
 - (vi) an assessment of current and alternative directions for business practices, applications, and technology, ranging from simple modifications to complete redesign;
 - (vii) a business process redesign model, showing existing and redesigned process and process vision, future performance targets, design principles, new process flow, and benefits; and
 - (viii) a long-range integration plan that includes time frames for the retirement, renewal, or redevelopment of systems and applications identified in clauses (i) to (vii) along with justification based on age, business processes not supported, and data deficiencies;
- (7) projected timelines for developing and executing the plan;
- (8) an estimate of the resources needed to develop, execute, operate, and maintain the integration plan;

- (9) a statement that the final integration plan will contain all the components in this subdivision in final form;
- (10) an identification of how the applicant will satisfy the match requirements of subdivision 8; and
- (11) any other matters the policy group deems necessary for successful development or implementation of the integration plan and resulting systems.

(b) An agency may submit an interim integration plan to the policy group if it identifies high priority integration tasks during the development of the integration plan. The interim plan shall identify the tasks and the business case for completing these tasks in advance of completing the entire plan.

Subdivision. 7. Implementation of integration plan.

If the request is for funds to implement an integration plan, the requesting agency must submit the following to the policy group:

- (1) an integration plan containing the components described in subdivision 6;
- (2) a description of how implementation of the integration plan will improve operation of the criminal justice system in the requesting agency's jurisdiction;
- (3) an identification of how the applicant will satisfy the match requirement in subdivision 8; and
- (4) a means for evaluating outcomes of the plan's implementation.

Subdivision. 8. Local match.

(a) The policy group may approve grants only if the applicant provides an appropriate share of matching funds as determined by the policy group to help pay up to one-half of the costs of developing or implementing the integration plan. The matching requirement must be a constant for all counties. The policy group shall adopt policies concerning the use of in-kind resources to satisfy the match requirement and the sources from which matching funds may be obtained. Local operational or technology staffing costs may be considered as meeting this match requirement.

(b) The policy group shall consult with the task force when carrying out its powers and duties under paragraph (a).

(c) Each grant recipient shall certify to the policy group that it has not reduced funds from local, county, federal, or other sources which, in the absence of the grant, would have been made available to the grant recipient to improve or integrate criminal justice technology.

Subdivision. 8a. Criminal justice technology infrastructure improvements.

(a) Within 30 days of the submission of the Hennepin county integration plan funded by a grant under Laws 1999, chapter 216, article 1, section 7, subdivision 6, or September 1, 2000, whichever is earlier, the policy group shall:

- (1) assess the needs of state, county, and municipal government agencies for electronic fingerprint capture technology, electronic photographic identification technology, and additional bandwidth to transfer and access the data from electronic fingerprint capture technology and electronic photographic identification technology to the state's central database; and
- (2) choose locations and agencies to receive this technology.

(b) Within the limits of available appropriations, the commissioner of public safety shall purchase and distribute the technology infrastructure improvements as directed by the policy group. The commissioner shall begin the purchasing process within 30 days of receiving notice of the policy group's decisions. The commissioner shall distribute the improvements as soon as practicable after beginning the purchasing process.

(c) If feasible, the policy group shall direct the commissioner to distribute the technology infrastructure improvements described in this subdivision in 100 locations. However, no more than 30 percent of the improvements may be distributed in one county.

Subdivision. 9. Documentation and reporting requirements.

Every recipient of matching funds to develop or implement an integration plan shall submit to the policy group all requested documentation, including final plans and a report evaluating whether and how the development or implementation of the integration plan improved the operation of the criminal justice system in the requesting agency's jurisdiction. The policy group shall establish the recipient's reporting dates at the time funds are awarded.

HIST: 1993 c 266 s 33; 1994 c 576 s 41; 1997 c 239 art 8 s 17; 1999 c 216 art 2 s 14-19; 2000 c 311 art 5 s 1-4; 1Sp2001 c 8 art 6 s 5,6

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