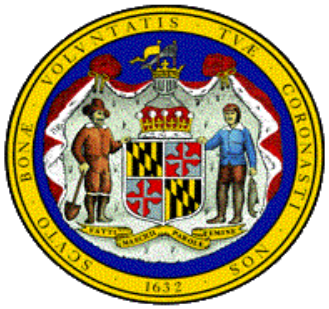


**Criminal Justice Information Advisory Board**
**Leigh Middleditch**

# MARYLAND'S

# CRIMINAL JUSTICE RECORDS IMPROVEMENT

# MASTER PLAN 2007

**June 19, 2006**

# Maryland's
# Criminal Justice Records Improvement (CJRI)

# Master Plan 2006

# FOREWORD

The route of an individual who becomes involved in the criminal justice system can be a complicated and sometimes circuitous one. The best summary of the major "reportable events" that comprise this route is contained in the document popularly known as the RAP Sheet, or the Report of Arrest and Prosecution. In Maryland, the RAP sheet is fingerprint-based for positive identification so that each involvement can be sequentially recorded to form an individual's criminal history. The RAP Sheet is often the first (computerized) document consulted by criminal justice officials as they process an individual through the various stages of the system: booking, prosecution, institutional admission, etc.

Although well known for its contribution to the criminal justice system's efficiency and effectiveness, the RAP Sheet is only one of many hundreds of different kinds of criminal justice records maintained throughout Maryland.

- Some of these records, like the RAP Sheet, are accessed statewide, and include mechanisms to alert public safety officials to an individual's status in or out of custody.

- Many criminal justice records are agency- or function-specific, and are utilized only by those responsible for specific niches in the system, e.g., the collection of fines and fees, or the calculation of earning and forfeiture of diminution of confinement credits.

- Some of these criminal justice records may be used by the general public, whether by direct access as with the Sex Offender Registry online (www.dpscs.state.md.us/sor) or by submission of fingerprints as authorized by a variety of statutes permitting criminal history records checks for employment and licensing purposes.

It is the improvement of criminal justice records, to the ultimate benefit of public safety, that is the subject of the Criminal Justice Records Improvement (CJRI) Master Plan 2006 before you. Maryland has been operating under a CJRI Master Plan originally conceived in 1992 and designed to improve the criminal justice records and systems that then existed. What follows is the 2006 yearly update to a comprehensive revision and update to that plan, one that reflects the changes brought by more than a decade of development, not just in technology, but in technology's impact on criminal justice processes and processing as well.

The CJRI Master Plan is designed to be a living document. As such, plans are that Maryland's Criminal Justice Information Advisory Board will review it each year so it can be updated and revised as necessary to keep pace with developing needs. Your comments and suggestions concerning the CJRI Master Plan are welcome. You may address them to Leigh Middleditch, Chairperson, Criminal Justice Information Advisory Board, P.O. Box 5743, Pikesville, MD 21282-5743.

In our capacity for joint oversight of the Criminal Justice Information System in Maryland, we are pleased to present the CJRI Master Plan 2006 for criminal justice records statewide.

Robert M. Bell, Chief Judge
Court of Appeals

Mary Ann Saar, Secretary
Department of Public Safety and Correctional Services

## ACKNOWLEDGEMENTS

This document is the result of the collaborative efforts of a number of highly qualified professionals who contributed time to the preparation and/or review of the various drafts of this document.

Work on the CJRI Master Plan began at the direction of the Chairperson of the Criminal Justice Information Advisory Board. The bulk of the text and project outlines were developed by staff in the Criminal Justice Information System (CJIS) Central Repository and in the Information Technology and Communications Division of the Department of Public Safety and Correctional Services. Board members and members of the Records Assessment Subcommittee of the Board, comprising a broad cross-section of the criminal justice community, reviewed the plan at different stages before its approval by the Criminal Justice Information Advisory Board.

Certain Board and Subcommittee members and others deserve special mention for their extra efforts on behalf of this project:

- Lowell Anderson, Director of Legacy Systems, Information Technology and Communications Division, Department of Public Safety and Correctional Services
- Patricia Grothe, Grants Manager, Information Technology and Communications Division, Department of Public Safety and Correctional Services
- Kim Valenzia, Director of Criminal Systems, Information Technology and Communications Division, Department of Public Safety and Correctional Services
- Cookie Pollock, District Court Manager, Judicial Information Systems, Administrative Office of the Courts
- Carolyn Scruggs, Assistant Director, CJIS Central Repository
- David Wolinski, Assistant Director, CJIS Central Repository
- Carole Shelton, Director, CJIS Central Repository

- Richard Tamberrino, Executive Director, Planning, Policy, Regulations, and Statistics, Office of the Secretary, Department of Public Safety and Correctional Services

- Jillian Watts, CJIS Systems Officer, Maryland State Police

## INTRODUCTION

**CJRI Plan Requirement -** The 1990 Crime Control Act amended Part E of the Omnibus Crime Control and Safe Streets Act to require that each State receiving Edward Byrne Memorial State and Local Law Enforcement Assistance Formula Grant funds allocate at least 5 percent of its total award for the improvement of criminal justice records. The improvements, itemized in Appendix I (BJA Goals), include the following:

- The completion of criminal histories to include the final dispositions of all arrests for felony offenses
- The full automation of all criminal justice histories and fingerprint records
- The frequency and quality of criminal history reports to the Federal Bureau of Investigation (FBI)
- Extension of the improvement of State record systems and the sharing with the Attorney General of all the records described above, as required to implement:
  - The National Instant Criminal Background Check System (NICS), to be used for checking eligibility of potential firearm purchasers under Brady, and
  - The Child Protection Act

In addition, Section 40602 of the Violent Crime Control Act of 1994, in authorizing a grant program to assist States in entering data on stalking and domestic violence offenses and protection orders into local, State, and national databases, emphasized the importance of ensuring that these types of crimes are included in databases being developed with federal funds. Likewise, the Jacob Wetterling Act (Title 17 of the 1994 Act), established required registries of sex offenders under guidelines promulgated by the Department of Justice (January 9, 1999), non-compliance with which mandates a 10 percent cut in a State's Byrne fund grant allowance.

Starting with Fiscal Year 1992, States were required to prepare statewide criminal justice records improvement plans for review and approval by the Bureau of Justice Assistance (BJA) and the Department of Justice (DOJ).

**Maryland's CJRI Master Plan -** The first CJRI Plan for Maryland was submitted on August 10, 1992. It was sufficient unto its time and has been followed, in general outline, since. However, dramatic, and substantive changes have occurred in Maryland over the past decade that have had a profound impact on the State's criminal justice records environment and thus dictate that a new CJRI Plan needed to be developed. This was done in 2003 and yearly updates have occurred since that time.

High profile incidents have highlighted perceived failures of the criminal justice system. These have included the

deaths of two children because the protective order that would have prevented their father from obtaining a handgun was not available on the warrant system. There has also been major media attention on problems and inefficiencies affecting the Baltimore City criminal justice system, including inadequate police-prosecutor cooperation, poor case preparation, overcrowded dockets, etc. More and better criminal justice information is being demanded by criminal justice users for appropriate decision-making and program evaluation purposes, and by non-criminal justice users for employment and licensing purposes.

State mandates directed at improving overall State services and efficiencies are increasingly affecting criminal justice records and record requirements. The necessary review of computer systems as part of Year 2000 (Y2K) preparations revealed some alarmingly fragile and vulnerable criminal justice systems in Maryland, including the Maryland Interagency Law Enforcement System (MILES) that serves as Maryland's link to the federal databases and interstate communications. In 2000, the Maryland General Assembly established an electronic government initiative called "50-65-80", so-described because by 2002, 50% of Maryland's State agencies must web-enable State information and services over the Internet, 65% by 2003, and 80% by 2004. Information technology (IT) units of Maryland State government are also required to produce IT Master Plans and IT Project Requests to promote plans and projects that are consistent across statewide and enterprise-wide functions. Similarly, all State government agencies since 1998 have been required to establish performance standards and measurements according to "Managing for Results" (MFR), an initiative intended to provide for greater accountability and customer-centricity in the State's provision of services and use of resources.

Focusing on criminal justice matters, Maryland also established a Statewide Task Force on Public Safety Technology in 1999. This group has since been recast into the State Commission on Public Safety Technology and Critical Infrastructure, a 19-member group that will sunset in 2006. At the same time, Maryland's compliance with federal deadlines to meet NCIC 2000 requirements, its participation in the Interstate Identification Index (III) since March 1998, and its desire to ratify the National Crime Prevention and Privacy Compact (for the interstate exchange of criminal history records for non-criminal justice purposes), also create opportunities and obligations that were not reflected in the original CJRI Plan of 1992.

Such events and issues, to include the attacks of September 11, 2001 and new Homeland Security needs, collectively demanded that Maryland's CJRI Plan be re-visited and restructured. It was no longer appropriate to continue to successively layer modifications onto the 1992 CJRI Plan. Many changes have occurred since 1992 in management in customer needs and requirements. Furthermore, the economic downturn being experienced in Maryland and nationally will require all segments of government not just to wisely ration resources but to actively seek collaboration in the

investment of resources. Nowhere is this reality more self-evident than in the field of criminal justice records.

Collective resources established a new Criminal Justice Record Improvement Master Plan in 2003. This document was approved and officially endorsed and adapted as our new Maryland plan on June 16, 2003.

The Criminal Justice Advisory Board established a yearly update process that will allow the Criminal Justice Record Improvement Records Assessment Subcommittee the opportunity to update this plan on a regular basis.

The following pages will present a discussion of the players and priorities, business drivers and technologies that form the basis for the CJRI Master Plan. Maryland's CJRI Task Force and the Criminal Justice Information Advisory Board approved this updated document at it's meeting on June 19, 2006.

## *1. The Stakeholders*

### a. Criminal Justice Information System (CJIS) and the CJIS Central Repository

The rationale underlying the enactment of the enabling legislation for Maryland's Criminal Justice Information System (CJIS) is:

> *to create and maintain an accurate and efficient criminal justice information system in the State consistent with applicable federal law and regulations, the need of criminal justice units in the State for accurate and current criminal history record information, and the right of persons to be free from improper and unwarranted intrusions into their privacy. (Criminal Procedure Article, §§ 10-202)*

Accordingly, in 1976, CJIS was created and the CJIS Central Repository was established effective December 31, 1977, to operate it (Criminal Procedure Article, §§ 10-201—10-234, formerly Article 27, §§ 742—755). CJIS is overseen jointly by the Secretary of Public Safety and Correctional Services and the Chief Judge of the Court of Appeals, who are advised by the Criminal Justice Information Advisory Board. For administrative purposes, the CJIS Central Repository is housed in the Information Technology and Communications Division (ITCD) of the Department of Public Safety and Correctional Services.

In accordance with the Criminal Procedure Article, § 10-221, the Secretary of Public Safety and Correctional Services and the Chief Judge of the Court of Appeals have also adopted regulations and rules governing CJIS. Regulations are found in the Code of Maryland Regulations (COMAR) 12.15.01, 12.15.02, and 12.15.03. Rules governing the Judiciary are found in Maryland Rules 16-308 and 16-503. Collectively, these regulations and rules govern the following:

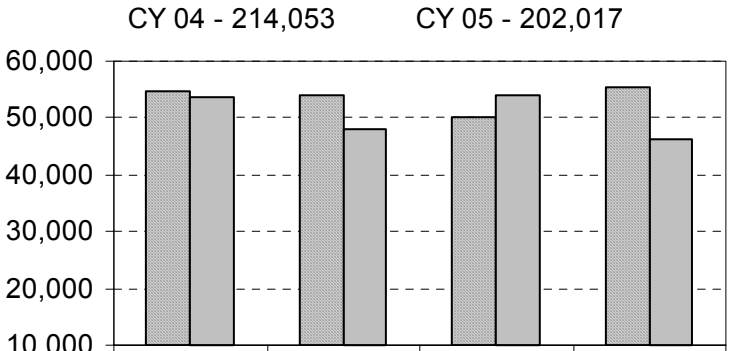
- Collection, reporting, and release of criminal history record information by the courts and other criminal justice agencies;
- Security for CJIS and all criminal history record information;
- Dissemination of such information consistent with federal law and regulations;
- Inspection and challenge of criminal history record information;
- Audit of criminal justice agencies to ensure the accuracy of records and the legality of their distribution; and
- Procedures for using criminal history record information in research, evaluation, and analysis of crime.

Originally called "Criminal Records Central Repository," CJIS Central Repository was administered by the Maryland State Police. On July 1, 1989, it was transferred to the Data Services Division (now the Information Technology and Communications Division) in the Office of the Secretary, Department of Public Safety and Correctional Services. CJIS Central Repository has evolved to be a direct service-provider to both the criminal justice community as well as the general public, using the technology services provided by the IT units of the Information Technology and Communications Division. As such, it is an essential building block to the operation of the entire criminal justice system in Maryland.

Designated by the FBI as Maryland's official criminal identification bureau, the CJIS Central Repository receives, maintains, and disseminates Maryland's criminal history records, which are fingerprint-supported for positive identification. It receives reports of criminal "events" from the police, courts, corrections, and other criminal justice entities (see Figure 12). These are compiled into chronological history of an individual's arrests, convictions, sentences, etc., to form the so-called "RAP" Sheet ("Report of Arrest and Prosecution").

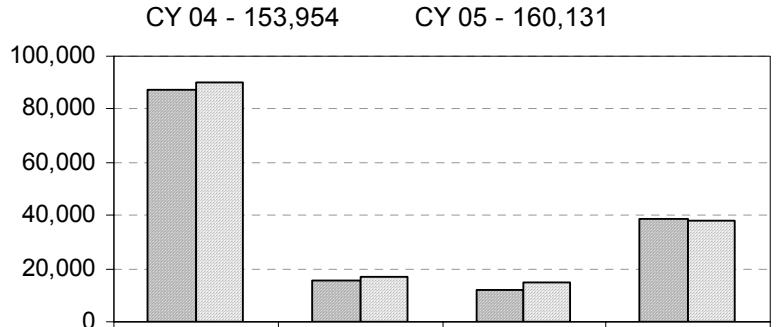
These offender-based records are used by criminal justice agencies (police, sheriffs, State's attorneys, courts, correctional agencies, parole and probation, etc.) for investigation, apprehension, prosecution, correctional and supervision classification, and other criminal justice purposes. CJIS Central Repository provided 202,017 ~~208,722~~ criminal history records checks to criminal justice agencies in calendar year ~~2003~~ 2005, a decrease of ~~1.54~~ 5.62% over ~~CY02~~ CY04. (See Figure 1).

**Figure 1**
**Criminal Justice Fingerprints Processed**




| | 1st Qtr | 2nd Qtr | 3rd Qtr | 4th Qtr |
|---|---|---|---|---|
| 2004 | 54710 | 53945 | 50081 | 55317 |
| 2005 | 53710 | 47883 | 54091 | 46333 |

**Figure 2**
**Applicant Fingerprints Processed**

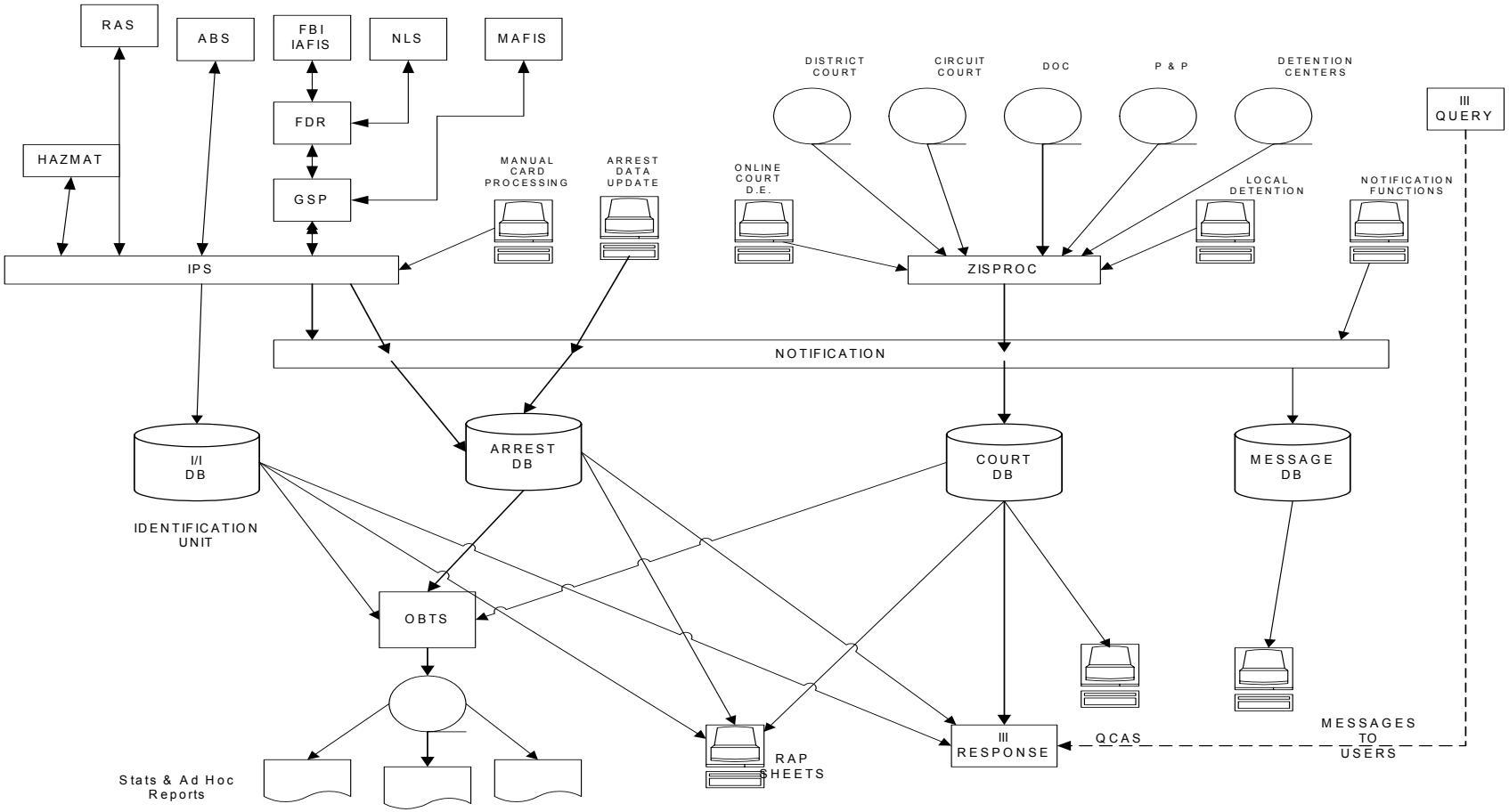



| | Child Care | Gov't Licensing | Others | CJ Employment |
|---|---|---|---|---|
| CY '04 | 87,412 | 15,716 | 12,115 | 38,711 |
| CY '05 | 90,423 | 17,160 | 14,854 | 37,694 |

Since the 1980s, these records are also used by authorized governmental and private agencies for non-criminal justice purposes. In this respect, over 160,000 criminal history records checks are performed annually for many employment and licensing purposes, such as taxi driving, adoption, adult dependent care, etc. Fifty-seven percent of all non-criminal justice applicant checks are in the child-care field. (See Figure 2) In addition, the CJIS Central Repository maintains Maryland's Sex Offender Registry (Criminal Procedure Article, §§ 11-701 *et seq*.), which became publicly available online in April 2002. It also performs court-ordered expungements (Criminal Procedure Article, §§ 10-101 *et seq*.).

Technically, the CJIS Central Repository accomplishes its functions through the interface of four computer systems (see Figure 3). Arrest/Disposition Reporting (ADR) is the recording mechanism that creates the Computerized Criminal History (CCH), or the "RAP Sheet". The RAP Sheet is a combination of arrest data, "court" data (including charges, dispositions, confinements, releases, and escapes), and the
demographic data. The system is indexed by the Identification Index (Ident/Index), and is validated by the Maryland Automated Fingerprint Identification System (MAFIS) and the FBI's Integrated Automated Fingerprint Identification System (IAFIS). Of the Repository's 5 million archived prints which include subsequent arrests, MAFIS currently contains approximately 2.5 million individual records.

**Figure 3**
**Criminal Justice Information System**



The Director of CJIS Central Repository had adopted this plan as its Master Plan. The CJRI Master Plan 2006 will provide the Repository with a road map for change and provide significant programmatic and operational ways for continuity and consistency over time.

### b. Law Enforcement

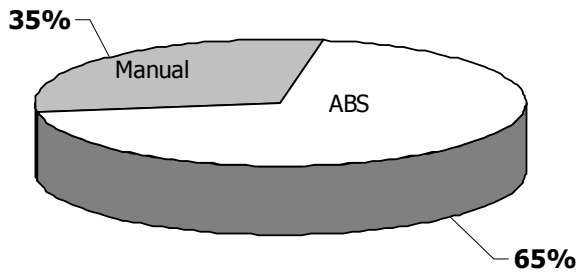
The 170-plus law enforcement agencies in Maryland—including the Maryland State Police, as well as county and municipal sheriff and police units—contribute to Maryland's criminal history records through the submission of fingerprint-supported arrest data. These agencies also rely on terminal access to CJIS Central Repository's database, as well as on a wide variety of criminal justice systems maintained by the Department's Information Technology and Communications Division, for the administration of their criminal justice functions for arrest, investigation, etc.

**ABS** Fingerprint-supported arrest data is the cornerstone of the CJIS Central Repository's database. Two-thirds of Maryland's 24 jurisdictions submit manual fingerprint cards through the mail, just as was done when CJIS Central Repository was established in 1977. However, nine subdivisions use Maryland's Arrest Booking System (ABS) and submit fingerprint arrest data electronically. Since its inception in 1995 at the Baltimore Central Booking and Intake Center (BCBIC), ABS has been used to process thousands of individuals arrested in the counties of Charles, Frederick, Harford, Howard, Montgomery, Prince George's, St. Mary's and Wicomico. We recently expanded Prince George's County to include sites in Eastover and Upper Marlboro. While most ABS locations are operated by local law enforcement units, BCBIC is operated by the Department (Division of Pretrial Detention and Services) and others are operated by local detention facilities.

Through comprehensive data capture and automated processing of arrested persons, ABS improves the timeliness and quality of information available for the decision making of officials involved in arrest/booking agencies across the State. The ABS process identifies arrestees on average in only 20 minutes. Statewide, ABS-processed offenders account for almost 65% of all offenders. That means, however, that 35% of all criminal arrest and booking data are still processed manually, meaning that a delay between arrest and the posting of that information on the Maryland RAP Sheet will occur. (See Figure 4)

**Figure 4**
Network

**Criminal Fingerprint Volume**

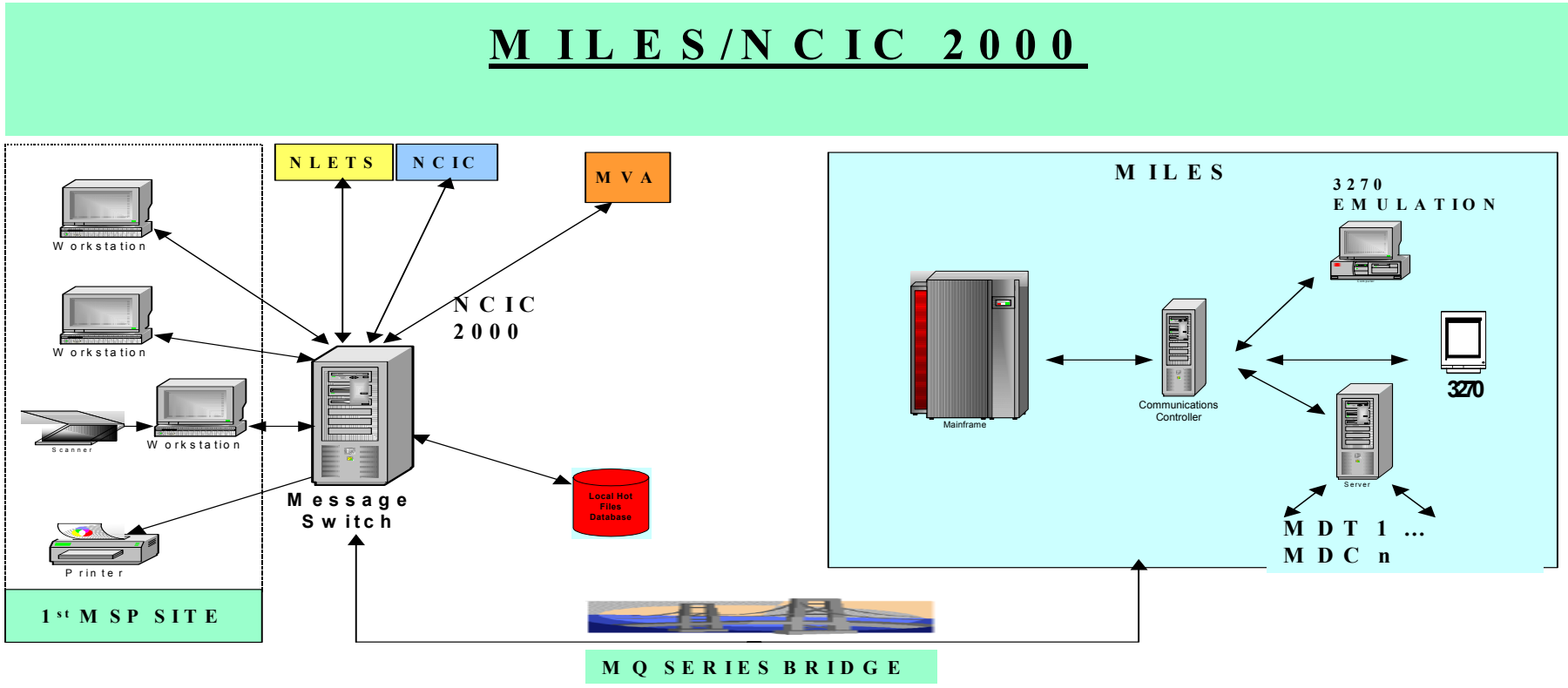



**NETWORK LIVESCAN.** Is the future direction we have taken on over the past few years. This project will continue to move the 35% manual criminal submissions toward automation with new and advanced technology solutions. These solutions offer better ways to provide high quality images and more complete criminal history. We will continue to move in this direction with the collection of fingerprint supported arrests as well as applicant collections. We were able to implement our pilot site in Baltimore County. We have completed the site surveys for the remaining 14 county locations that do not have any electronic means of submission and implementation occurred in 13 of the 14 counties. Those counties are Allegany, Anne Arundel, Calvert, Caroline, Carroll, Cecil, Dorchester, Garrett, Kent, Queen Anne's, Somerset, Talbot and Worcester. Washington County is the last one scheduled for roll out on June 13, 2006. This will help to get us closer to our goal of 100% criminal electronic submission.

**MILES**. Another significant public safety function is the management of warrants and "hot files", currently housed for statewide reference in a legacy system called the Maryland Interagency Law Enforcement System (MILES). MILES is a centralized, statewide, computerized data storage and retrieval system delivering telecommunications and services 24 x 7 to law enforcement and criminal justice agencies. MILES has over 9,600 authorized users and serves more than 191 agencies, e.g., Maryland State Police, agencies in the Department of Public Safety and Correctional Services (e.g., the Divisions of Correction and Parole and Probation), county and municipal police and sheriff's departments, federal and State courts, and a variety of federal agencies such as the Federal Bureau of Investigation (FBI), the Drug Enforcement Administration, the Bureau of Alcohol, Tobacco and Firearms, the U.S. Secret Service, and Department of Defense installations.

MILES was written over 20 years ago. It was designed to serve multiple purposes as Maryland's "criminal justice data highway," and thus contains well over 450 separate programs and maps in support of a statewide message switching capability for criminal justice agencies (primarily law enforcement), and on-line access (via CPU-to-CPU interfaces) to key national and State criminal justice and other information systems. (See Figure 5)

**Figure 5**


M I L E S / N C I C 2 0 0 0
N L E T S
N C I C
M V A
N C I C
2 0 0 0
W o r k s t a t i o n
W o r k s t a t i o n
S c a n n e r
W o r k s t a t i o n
P r i n t e r
M e s s a g e
S w i t c h
Local Hot
Files
Database
1 s t M S P S I T E
M I L E S
3 2 7 0
E M U L A T I O N
Mainframe
Communications
Controller
3270
Server
M D T 1 ...
M D C n
M Q S E R I E S B R I D G E

- National access is provided to the FBI's Interstate Identification Index (III), the FBI's National Crime Information Center (NCIC), and the National Law Enforcement Telecommunications System (NLETS).

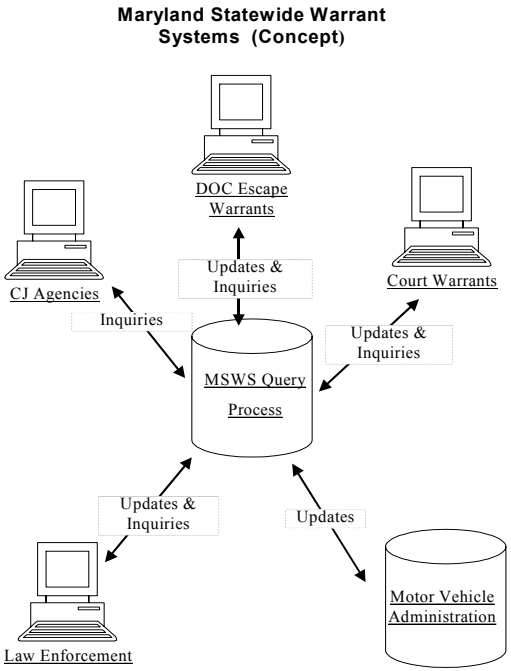
- Equally important access at the State level is provided to registration and driver's license information from the Maryland Motor Vehicle Administration (MVA), CJIS Central Repository criminal history records, and Maryland's "hot files" (wanted persons, civil warrants, *ex parte* and protective orders).

While MILES is a record system maintained by DPSCS, it is clearly "owned" by all State and local law enforcement agencies. However, the current MILES design no longer satisfactorily serves the business needs of law enforcement, due to its fragility and rigidity. Thus, its cost of ownership is steadily increasing.

**NCIC 2000.** The FBI's upgrade of its national criminal justice information system, NCIC 2000, requires that Maryland's communications have a graphical functionality, i.e., be able to digitally transmit mug shots and fingerprints to the FBI. However, the switching and programming codes for NCIC (as well as other critical systems) were too deeply embedded in MILES to risk modification to achieve compliance with NCIC 2000. Instead, what was needed was to route this capability around MILES via a new switching mechanism. The implementation of the Datamaxx switch in November 2002 allowed Maryland to meet its NCIC 2000 obligation. At the same time, it has enabled expanded capabilities for communicating with the FBI in NLETS and NCIC formats. Through the use of MQ Series, the communications gap has been bridged between the Datamaxx switch and the MILES system running on the DPSCS mainframe, thus ensuring contiguous processing. The switch's newer technology is the first of several steps that will ultimately phase out MILES as the central criminal justice data highway in Maryland.

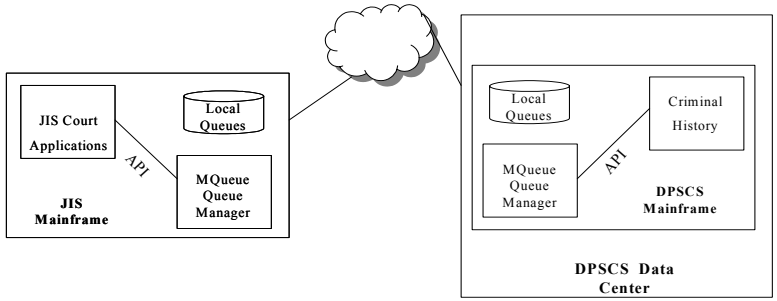
The 20-year-old warrant function of MILES is slated for replacement by the Maryland statewide warrant system. The new integrated information system will permit courts to provide warrant and domestic violence court order data into a statewide database for universal inquiry and status update by State and local law enforcement and certain other criminal justice personnel. This system will be available for inquiry and update on a 24 x 7 basis. It will also enhance the online interface with statewide systems (such as CJIS and the MVA database) and those operated by the FBI. (See Figure 6)

**Figure 6**




As designed, therefore, statewide warrant system will improve offender apprehension rates, as well as the management of *ex parte* and protective orders on a federal, State and local level. Two Memoranda of Understanding (MOUs) were executed in 2001 among the Judiciary, the Department of Public Safety and Correctional Services, and the Maryland State Police. They defined roles and responsibilities, established a Senior Management Committee for decision-making and governance, and outlined the coordination, funding, and other support of MSWS, including the collaborative use of MQ Series (see Figure 7) as the standard interface allowing data to be shared among all criminal justice agencies.

**Figure 7**
**MQ Series Interface**



### c. Judiciary

The Maryland Judiciary (collectively, the District Court of Maryland, the circuit courts, the Court of Special Appeals, and the Court of Appeals) provides the critical disposition information to CJIS Central Repository. The Administrative Office of the Courts supports the Judicial Information System (JIS). Currently, JIS provides data covering: the Maryland District Court; Baltimore City, Anne Arundel and Carroll County Circuit Courts; the Maryland Court Automated Indexing System (land and plat records), the Electronic Land Records Online Imagery (ELROI); and the Circuit Court Case Management system (Circuit Court civil and criminal records deploying statewide). This information is publicly available online by subscription.

The Judiciary is a linchpin to the criminal justice system; its contribution to criminal justice records and criminal justice record keeping extends from soon after the arrest, when a court commissioner makes a bail decision, through the trial and sentencing, to post-sentencing processes including appeals and court-ordered expungements. CJIS Central Repository and ITCD maintain a working relationship, using different forums, with the various components of the court system in terms of ongoing operations and management of criminal justice systems.

### d. Department of Public Safety and Correctional Services

The Department's overarching responsibility lies in the custody and supervision of persons adjudicated to terms of incarceration and/or community supervision for criminal offenses. Primary offender-related functions of the Department include Admissions, Incarceration, Community Supervision, and Release. These functions are shared among the Division of Correction (DOC), the Division of Parole and Probation (DPP), the Maryland Parole Commission (MPC), and the Patuxent Institution. Moreover, and unique in the nation, the Department's responsibilities extend to the arrest/booking process at the Baltimore Central Booking and Intake Center (BCBIC), management of the State's largest local jail (Baltimore City Detention Center – BCDC), and the pretrial functions handled by the Division of Pretrial Detention and Services (DPDS). The Department has agencies that perform the variety of functions associated with a comprehensive correctional system, e.g., setting standards for corrections, correctional training, and 911 emergency systems, operating a home detention program and regulating private home detention companies, assisting victims, handling inmate grievances, etc.

**Departmental criminal justice agencies -** Those required to report criminal history record information to the CJIS Central Repository include DOC and MPC. The Department's Information Technology and Communications Division also maintains departmental management information systems, including the

Offender-Based State Criminal Information System (OBSCIS) I and II and that support DOC and DPP, respectively, and the Parole Information System (PARIS) that supports MPC.

**e. Other authorized users of criminal history record information**

**Other criminal justice agencies -** Other agencies in the State required to report criminal history record information to CJIS Central Repository include local detention centers and the Department of Health and Mental Hygiene (the latter for those individuals disposed as guilty but Not Criminally Responsible—NCR). Additional stakeholders in the quality of criminal justice records include State's Attorney's Offices, the Attorney General's Office, and, when defending a client in a criminal proceeding, the Maryland Public Defender and other defense counsel.

**Government licensing and employment -** A federal, State, or local appointing authority may obtain a State conviction criminal history for employment screening purposes under COMAR 12.15.01.12B(1). State-only checks are also authorized by law for adult dependent care facilities under the Department of Health and Mental Hygiene and for for-hire drivers licensed by the Public Service Commission. In addition, Maryland has numerous statutes that authorize both State and national criminal history records checks (under Pub. L. 92-544; (see Figure 8) for a wide variety of employment and licensing purposes, ranging from caretakers of vulnerable populations to employees in sensitive professions and businesses to keepers of security and public safety. In 2005 the Maryland General Assembly through HB163 broadened the notification requirements for child care to the dissemination of criminal background checks directly to the Child Care Administration. HB1040 provided that the Department of Labor, Licensing, and Regulation improve regulation of mortgage originators to include requiring background checks by January 1, 2007.

The growth of these criminal history record checks for non-criminal justice purposes has been steady over time. In calendar year 1994, the CJIS Central Repository performed 106,603 checks for non-criminal justice purposes. In calendar year 2005, it performed 160,131 checks, a 41% increase in nine years. Similarly, checks under Maryland's Family Law Article (§ 5-560 *et. seq.)* that covers childcare facilities, employees, and volunteers, grew 95% in the same period (43,156 to 84,271). The checks performed in the "caretaking" field, to include childcare, adoption, and adult dependent care, constituted almost 56% of all applicant checks in calendar year 2003. Of those checks, 14,281 or 8.9% resulted in "hits"-the identification of a criminal record.

**Figure 8**
**Maryland Statutes for Public Law 92-544-Approved National Criminal Record Checks**

| Applicant Categories | Authority | Conviction | Non-convictio |
|---|---|---|---|
| **Caretakers** | | | |
| Licensees and individuals who care for or supervise children "Volunteers" to be inserted when applicable | Family Law Article, §§ 5-560-5-568 | √ (incl. NCR) | √ (pending charges & P only) |
| Department of Juvenile Justice employees | Article 83C, § 4-132 | √ | √ |
| Providers and employees of congregate (sheltered) care for the elderly (need research) | Article 70B, § 4(b)(7) | √ | √ |
| **Professions and Businesses** | | | |
| Secondhand precious metal dealers and pawnbrokers, dealers, and their employees | Business Regulations Article, §§ 12-203—12-204 | √ | |
| Specified mortgage lenders | Financial Institutions Article, §§ 11-501—11-507 | √ | √ |
| Maryland Racing Commission Executive Director, employees of the Commission, applicants for licenses, and other individuals or agents identified by the Commission | Business Regulations Article, §§ 11-205—11-312 | √ | √ |
| Check cashing services | Financial Institutions Article, §§ 12-101—12-107 | √ | √ |
| MD Debt Management Services licenses | Financial Institutions Article, §§ 12-901—12-934 | √ | √ |
| For-hire drivers. | Public Utility Companies Article, § 10-104(b)(6). | √ | √ |
| Industrial hemp pilot program licensees | Agriculture Article, §§ 9-801—9-806 | √ | √ |
| Mortgage Originators | Financial Institutions Article, § 11-606 | √ | √ |
| Health Occupations – State Board of Nursing License and renewal | MD. Health Occupations Articles §§§ 8-303, 8-304, 8-6A-05 | √ | √ |

[1] The results of an FBI check may go directly to a governmental employer/licensor, etc. However, when the employer is a private entity, the Central Repository receives the FBI check and screens it to produce a "printed statement" that indicates whether or not the applicant has a criminal "hit".

| Applicant Categories | Authority | Conviction | Non-convictio |
|---|---|---|---|
| **Current & Prospective Government Employees** | | | |
| Current or prospective government employees and contractors in Carroll County | Criminal Procedures Article, §10-232 | √ | √ |
| Applicants for taxicab license in Montgomery County | MD Article, 27 § 754C | √ | √ |
| Applicants for government employment in Washington County | Criminal Procedures Article, § 10-235 | √ | √ |
| Applicants for government employment in Prince George's County | Criminal Procedures Article, § 10-236 | √ | √ |
| **Security and Public Safety** | | | |
| Security guard agency licensees and guards | Maryland Security Guards Act, Business Occupations and Professions Article, §§ 19-101—19-701 | √ | √ |
| Applicants for fire fighters, rescue squad members and paramedics | MD Article 38A, § 7A | √ | √ (arrests on |
| Applicants for firearm dealer's license | MD Article27, § 443 [ b ] [ 4 ] | √ | √ |
| Applicants for handgun permits | MD Article 27, § 36E [ b ] [ 3 ] | √ | √ |
| Licensing for explosives and blasting permits | Public Safety Article, §§ 11-106—11-107 | √ | √ |
| Security systems technicians | Security Systems Technicians Act, Business Occupations and Professions Article, §§ 18-101—18-701 and 18-3A | √ | √ |
| Private home detention monitoring agencies and employees/monitors | Business Occupations and Professions Article, §§ 20-101—20-701 | √ (felony only) | |
| Applicants for private detective agency license and an employee of, or an applicant for employment with, a private detective agency | Business Occupations and Professions Article, §§ 13-101—13-801 | √ | √ |
| Commercial Driver's License - Hazardous Materials | MD Transportation Article § 16-815 | √ | √ |
| **Law Enforcement/Criminal Justice Purpose – No User FEE** | | | |
| Special Police Officer | MD Article, 41 §§ 4-901 through 4-913 | √ | √ |
| **Maryland Liquor Licensees** | | | |
| Current counties included under this law are: Calvert, Caroline, Carroll, Cecil, Charles, Dorchester, Frederick, Garrett, Harford, Howard, Kent, Montgomery, St. Mary's, Talbot, and Wicomico | Maryland Alcoholic Beverages Law (Article 2B, § 10-103) | √ | √ |

92-544-md laws - conviction and non-conviction rev 061406

**Private party petitioners -** Under the "private party petition" procedure outlined in COMAR 12.15.01.13, a private entity may qualify to obtain conviction criminal history record information for the purpose of screening for employment, leasing, or association membership upon submission of the subject's fingerprints and payment of the required fee. Maryland currently has several thousand "private parties" authorized to submit fingerprints for this purpose.

**General public.** Finally, reaping the benefits of the authorized use of complete, accurate, and timely criminal justice records is the general public in Maryland and throughout the nation. While many individuals may never have contact with criminal justice records (either as subjects or applicants), they nevertheless live and work in communities that are safer because law enforcement has 24 x 7 access to these records, because correctional personnel can make better decisions due to linked information, because judges have more complete information on which to base sentencing decisions. These are the people whose quality of life may be enhanced, to an unquantifiable degree, by the quality of criminal justice records.

### f. The Service Agency: Information Technology and Communications Division of the Department of Public Safety and Correctional Services

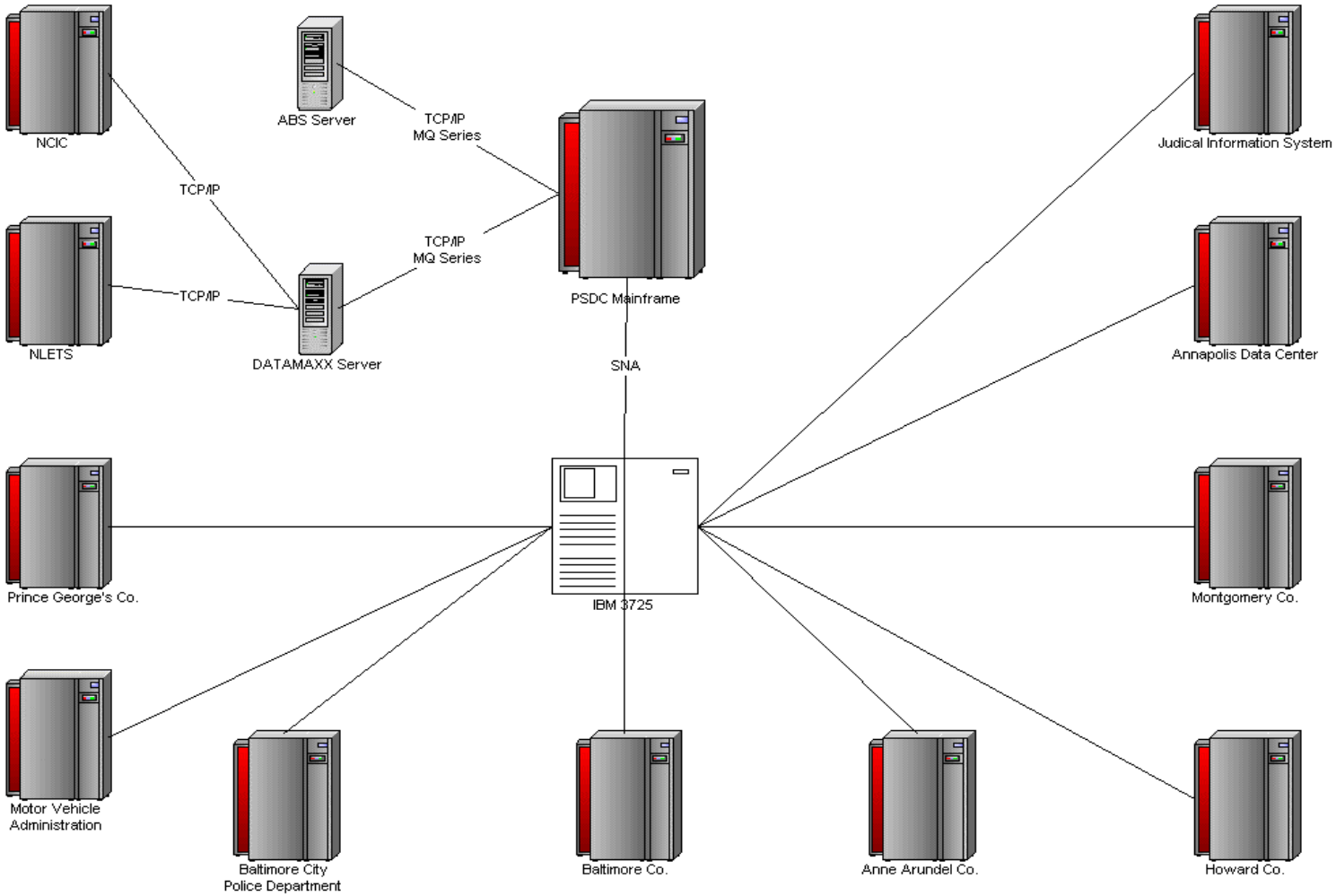
The Information Technology and Communications Division (ITCD) in the Department provides three primary, behind-the-scenes areas of service delivery:

- Technology and information services that support the internal business of the Department's operational and support agencies and divisions;
- Technology and information services that support State and local criminal justice agencies; and
- Management and operations of the CJIS Central Repository.

ITCD maintains the infrastructure that allows Maryland's criminal justice agencies to access national systems, such as the FBI's National Crime Information Center (NCIC). To support these technologies, the ITCD manages one of the State's largest data centers, providing 24 x 7 services that in Fiscal Year 2003 processed 471,879,498 transactions (requests for information) from 15,723 authorized users with logon-ID access. ITCD also provides major application suites (analysis, coding, quality assurance and operation), the underlying technology infrastructure (hardware, software, telecommunications, help desk), and the security umbrella and general administration of the systems supplied to the Department and criminal justice agencies in the State. (See Figure 9) For CJIS Central Repository, ITCD provides and maintains specialized hardware and software to enable fingerprint storage and matching functions and supports certain applications for its business processes.

ITCD has marked significant progress in each of the three major focus areas for technology investments.

**Figure 9**
Public Safety Data Center



First, ITCD continues its efforts to stabilize its legacy systems, provide bridging mechanisms, and re-engineer departmental information technology systems and infrastructure. Second, the majority of ongoing major projects are targeted at the provision of services to the statewide and national criminal justice efforts and are in support of Maryland criminal justice information interoperability. Finally, progress continues in making needed improvements in the underlying support systems of the CJIS Central Repository and, more dramatically, for the programmatic and operational aspects of that unit in its service delivery.

Underlying these accomplishments are concerted efforts to address data quality/delivery issues from three broad perspectives: (1) internal operational/management issues, (2) technological issues, and (3) policy and compliance issues. The first has led to the development of significant audit and benchmark initiatives that reflect an attention to accountability and performance measurements. The second has placed technology in the service of customer needs for increased accuracy and timeliness, e.g., the bottom line utility of ABS extended throughout Maryland through the use of Livescan; improved fingerprint/record exchanges with the FBI. The third is a perspective that informs the other two, that is, as technology reaches new capabilities and management seeks new responses, appropriate support systems (e.g., policies, legislation, practices) must be developed and implemented to safeguard and maximize the processes.

Of further note regarding ITCD's role in criminal justice records is the fact that Maryland is one of thirteen states in which designated control over criminal justice systems is bifurcated. The bifurcation was created in 1994, when the Maryland State Police, until that time a part of the Department of Public Safety and Correctional Services, was reorganized as the Department of Maryland State Police. As a consequence, the Department of Public Safety and Correctional Services (via ITCD) retained administrative control over the CJIS Central Repository designated by the FBI as the State Identification Bureau. The Maryland State Police, on the other hand, is designated by the FBI as the CJIS Systems Agency for access to the National Crime Information Center (NCIC). It also controls authorized access to the National Law Enforcement Telecommunications Systems (NLETS) and to MILES.

## *2. The Environment*

### a. National Initiatives

The events of September 11, 2001 have forever altered the United States' perception of its invulnerability to an organized attack carried out on American soil. Its ramifications have still not been fully identified, although the response by public safety officials at all levels of government was immediate and continuing. Criminal justice records have gained added importance as a result, and will play an integral part in the government initiatives aimed at improving security and preventing future terrorist attacks.

**USA PATRIOT Act.** This was the first legislative response, enacted October 26, 2001 (Pub. L. 107-56). Entitled "Uniting and Strengthening America by Providing Appropriate Tools Required to Intercept and Obstruct Terrorism Act," the USA PATRIOT Act includes several sections having direct relevance to criminal history records checks and the use of criminal justice records in general as tools in the war against terrorism. For example, Section 1012 covers requirements for national criminal and background checks for commercial driver's licenses (CDLs) for the transportation of hazardous materials. It also contains provisions concerning the development and use of biometrics for identification purposes. On May 14, 2002, Pub. L. 107-173 was enacted to amend a portion of the USA PATRIOT Act to authorize the development of an interoperable system between law enforcement agencies for the purpose of information sharing.

**Aviation and Transportation Security Act**. This was enacted November 19, 2001 (Pub. L. 107-71). It created the Transportation Security Administration (TSA) that is now within the Department of Homeland Security. The TSA is charged with improving security for all kinds of transportation, and is required to establish for the first time background checks for airport security screening personnel, individuals with access to secure areas of airports, airline employees, and other transportation security personnel. The TSA was also made responsible for the screening of individuals transporting hazmat and on that matter issued an "interim final rule" on May 5, 2003. The TSA has agreed to coordinate with the National Crime Prevention and Privacy Compact Council (inasmuch as these national background checks are for non-criminal justice purposes): while new applicants will submit fingerprints, current hazmat CDL-holders may undergo name checks followed by fingerprint submission. TSA issued a Final Rule on April 1, 2004 detailing the guidelines around this process and requesting compliance by the states by January 31, 2005.

**Maritime Transportation Security Act.** Enacted November 25, 2002 (Pub. L. 107-295), this Act requires the Secretary of the new Transportation Security Administration to conduct background checks of individuals having access to a secure area of a vessel or maritime facility.

**Homeland Security Act of 2002.** Enacted November 25, 2002 (Pub. L. 107-296), this Act established the Department of Homeland Security, comprising the most extensive reorganization of federal government in the past 50 years, and amended existing security provisions (e.g., the Safe Explosives Act (SEA)). State and local governments, as well as the private sector, will be key players in Homeland Security initiatives. A new Office of Federal and State Coordination has been created that is intended to facilitate the sharing of information defined as "homeland security information".

*The National Strategy of Homeland Security,* available at (www.whitehouse.gov/homeland/book, see especially "Executive Summary", pp. vii—xiii, and "Information Sharing and Systems", pp. 55—58), lists six critical mission areas of Homeland Security in three categories:

- *Preventing terrorist attacks*: (1) intelligence and warning; (2) border and transportation security; and (3) domestic counter terrorism

- *Reducing vulnerabilities*: (4) protecting critical infrastructure; (5) defending against catastrophic terrorism; and

- *Minimizing damage and promoting recovery*: (6) emergency preparedness and response.

All Maryland criminal justice agencies will come to play a role in Maryland's Homeland Security plans undertaken at the State or local levels. At the same time, the Department will also be reinforcing the protection it affords for the infrastructure represented by the CJIS database and the interfaces maintained by the Public Safety Data Center.

"Information sharing and systems" has been identified as one of four foundations envisioned to support these six critical mission areas. Clearly, it is in this arena where Maryland's criminal justice information and technology contribution will be felt. The national vision for information sharing and systems has been crafted as follows:

> *We will build a national environment that enables the sharing of essential homeland security information. We must build a "system of systems" that can provide the right information to the right people at all times. Information will be shared "horizontally" across each level of government and "vertically" among federal, State, and local governments, private industry, and citizens. With the proper use of people, process, and technology, homeland security officials throughout the United States can have complete and common awareness of threats and vulnerabilities as well as knowledge of the personnel and resources available to address these threats. Officials will receive the information they need so they can anticipate threats and respond rapidly and effectively. The incorporation of data from all sources across the spectrum of homeland security will assist in border management, critical infrastructure protection, law enforcement, incident management, medical care, and intelligence. In every instance, sensitive and classified information with be scrupulously protected. We will leverage America's leading-edge information technology to develop an information architecture that will effectively secure the homeland.*

One of the five goals for the development of information sharing and systems is to integrate information sharing across State and local governments, private industry, and citizens. To achieve this, Homeland Security will follow five principles:

- Balance security requirements with citizens' privacy, as well as the public's right to access information

- View the federal, State, and local governments as one entity

- Capture information once (at the source) and use it many times (to support multiple requirements)

- Create databases of record (trusted sources of information)

- Create an information architecture that will be a dynamic tool

Several of the projects outlined in this CJRI Master Plan 2006 reflect several of these initiatives and principles.

Apart from the immediate impact of the massive reorganization entailed by the creation of the Department of Homeland Security, a practical consequence of the Homeland Security Act of 2002 was addressed at the December 2002 meeting of the FBI's Advisory Policy Board (APB). At that time, the APB determined that Homeland Security activities or matters that coincide with functions of the administration of criminal justice, e.g., investigating suspected terrorists, will be "accorded equal status" when access is sought to the various national databases, such as NCIC or NLETS. However, the FBI Criminal Justice Information Services Division also affirmed at the February 2003 meeting of the Compact Council that when such Homeland Security activities or matters coincide with licensing or employment functions, existing procedures laid down under Pub. L. 92-544 and the provisions of the National Crime Prevention and Privacy Act of 1998 shall prevail.

In May of 2003 and March of 2004, SEARCH (the National Consortium for Justice Information and Statistics) co-sponsored with the Bureau of Justice Statistics (U.S. Department of Justice) two workshops focusing on interoperability. Maryland's attendees included the Director of CJIS Central Repository and representatives from the Maryland District Court and the Maryland Judicial Information System. The workshop in 2003 focused on mutual needs and concerns about criminal history records—quality, reliability, technology—and the resources and projects addressing those concerns.

In March 2004, the second workshop was provided entitled "2004 Symposium on Integrated Justice Information Systems – Supporting the Homeland". This workshop focused on interoperability best practices, information exchange tools and review of emergency funds and non-traditional public and private information sharing partnerships. Legal, policy, operational and technological implications of justice information sharing was also reviewed.

**National Fingerprint-based Applicant Check Study (N-FACS).** In a publication entitled, *Interstate Identification Index Name Check Efficacy: Report of the National Task Force to the U.S. Attorney General, July 1999*, the Department of Justice reported that name

checks are frequently subject to false-positive and false-negative results because of applicant use of aliases, identity theft, etc. Nonetheless, proponents of name checks have continued to point to the lengthy time lag in providing results of fingerprint-supported checks to employers and licensing agencies as justification for relying on the speed of name checks for these purposes. Accordingly, the National Fingerprint-based Applicant Check Study (N-FACS) was approved by the FBI APB and the Compact Council, and has been underway since 2000 to evaluate alternatives to speed the fingerprint-based responses. Ohio and Texas are cooperating with the FBI to demonstrate the utility, speed, and reliability of electronically submitted flat (vs. rolled) prints for both State and national criminal history records check purposes. Ohio has implemented an intrastate fingerprint-based criminal history records check system whereby scanning machines in regulatory offices transmit fingerprint images to the State central repository and obtain results in a matter of hours.

**Hot File and Fingerprint Check.** One seemingly glaring omission from standard criminal history records checks is a link to a "wanted" or warrant file. That is because warrants, with few exceptions (e.g., escapes, violations of probation or parole), are not positively linked to the individual wanted. However, an ongoing project under the auspices of the FBI APB is seeking to provide the logic behind such a linkage in the future.

**b. Resorces**

The terrorist attacks of September 11, 2001 did more than murder civilians and assault symbols of America's strength and preeminence; coupled with pre-existing phenomena (e.g., the dot-com boom and bust), they have contributed to a major downturn in State and national economies. As a result, the State dollars available to support the infrastructure for criminal justice records have been cut in the fiscal years leading to fiscal year 2006. The outlook for the economy and the resulting Maryland revenues for fiscal year 2006 are not promising. The possible implications for Maryland's criminal justice community and its criminal justice records are manifold.

- The infrastructure that supports the current critical processes and systems for the criminal justice community supported by the Department of Public Safety and Correctional Services is at risk of not being available in the required 24 x 7 timeframes.
- The monitoring, maintenance, and support for the Department's newly created wide-area and local area networks will be insufficient and/or non-existent, impacting the reliability of electronic computer software systems that are used on a daily basis for the business of public safety and correctional and community supervision services.

- The Information Technology and Communications Division will not be able to fully staff required functions in order to adequately provide technology services to a customer base of almost 15,700 authorized criminal justice users statewide, directly impacting customer satisfaction and delaying the expansion of services that have been previously identified.

The heart of the criminal justice process, including positive identification of potential terrorists, is the identification system (MAFIS) and the RAP Sheet compiled from the "reportable events" mandated by law. Consequently, any delay in automating manual criminal justice processes will have a direct impact upon the timeliness, accuracy, and completeness of these systems.

- The expansion of the Network Livescan to increase to 100% the real-time reporting of arrests and the consequent timely identification of persons arrested statewide, is delayed, directly impacting public safety efforts at the local level and overall Homeland Security efforts.
- The automation of a manually intensive and error-prone applicant (non-criminal justice) criminal history records check process is delayed, and needed improvements for the delivery of satisfactory services are delayed.
- The re-engineering of a web-based (as opposed to manual) registration system for sex offenders has been delayed.

Within the correctional and community supervision arena, auxiliary systems that could enhance the intelligence efforts for Maryland's Homeland Security, and in fact the nation's efforts, are now delayed indefinitely.

- The implementation of an integrated offender management system has become obsolete due to funding costs.
- A data warehouse to mine arrest and offender information, trapped in legacy, stovepipe systems, is delayed even while the need for law enforcement to enhance investigative efforts is heightened in the aftermath of the September 11, 2001 terrorist attacks.

### *3. The Maryland CJRI Task Force*

#### a. Criminal Justice Information Advisory Board

Organized in 1976 (Chapter 239, Acts of 1976) and pursuant to the Criminal Procedure Article, §§ 10-207—10-210, the Criminal Justice Information Advisory Board advises the Secretary of Public Safety and Correctional Services and Chief Judge of the Court of Appeals on the Criminal Justice Information System (CJIS). For budgetary and administrative purposes only, the Board is located within the Department of Public Safety and Correctional Services. Since 1992, the Board has also functioned as Maryland's CJRI Task Force.

The duties of the Criminal Justice Information Advisory Board are to:

- Advise the Secretary, the Court of Appeals, and the Chief Judge of the Court of Appeals on the development, operation, and maintenance of CJIS;
- Propose and recommend regulations to the Secretary necessary to develop, operate, and maintain CJIS;
- Propose and recommend rules, in conjunction with the Standing Committee on Rules of Practice and Procedure of the Court of Appeals, to the Court of Appeals and the Chief Judge of the Court of Appeals necessary to develop, operate, and maintain CJIS;
- Monitor the operation of CJIS; and
- Recommend: (1) procedures and methods for criminal history record information to be used in the research, evaluation, and statistical analysis of criminal activity; and (2) any legislation necessary to implement, operate, and maintain CJIS.

In 2002, the Maryland General Assembly authorized the expansion of the Board from 18 members to 22 members (Chapter 206). In 2005 another amendment was presented to add three additional members, bringing the total membership to 25. This amendment also supported a call for a yearly interoperability plan document from the board to ensure forward motion of this initiative. Each member is appointed for a term of three years. The representative nature of the Board, and all those appointed to it as of June 12, 2006 is found in Figure 10.

While the Board currently does not have appointed membership from local detention centers, nor the State's Division of Correction, Division of Parole and Probation, and Maryland Parole Commission (all agencies within the Department of Public Safety and Correctional Services), the involvement of these constituencies with the Board's activities has been solicited. Representatives started attending the Board's meeting in April 2003.

Under the leadership of Leigh Middleditch, Director of CJIS Programs for the Governor's Office of Homeland Security and Board Chairperson, the Board meets quarterly and obtains regular reports on the status of CJIS Central Repository activities and other developments related to criminal history record information generally. On June 25, 2001, the Board created five working groups as a mechanism to obtain policy and technology advice from the broader community of Maryland's criminal justice agencies and constituencies, i.e., to directly solicit input and participation from both contributing and user agencies beyond the membership of the Board in activities surrounding and impacting on criminal justice records. The current working group that remains active is the Records Assessment.

**Figure 10**
**Maryland Criminal Justice Information Advisory Board**

| Appointed By | Name | Representing |
|---|---|---|
| Chief Judge | Phillip S. Braxton, Executive Director, Judicial Information System (JIS), Judiciary | Judiciary |
| Chief Judge | Faye Gaskins, Deputy State Court Administrator | Judiciary |
| Chief Judge | Mark Bittner, Enterprise Project Manager | Judiciary |
| President of the Maryland Senate | Senator Phillip C. Jimeno | Maryland State Senate |
| Speaker of the Maryland House of Delegate | Delegate Darryl Kelley | Maryland House of Delegates |
| Ex Officio | J. Joseph Curran | Maryland Attorney General |
| Ex Officio | Alan C. Woods, III | Executive Director, Governor's Office of Crime Control and Prevention |
| Ex Officio | Sally Simpson | Director, Justice Analysis Center, University of Maryland—College Park, Maryland |
| Ex Officio | Ellis Kitchen | State Chief Information Officer |
| Ex Officio | Dennis Schrader | Executive Director, Governor's Office of Homeland Security |
| Governor | Leigh B. Middleditch *(designated Board Chairperson)*, Director of CJIS Programs for the Governor's Office of Homeland Security | Recommended by the Secretary of Public Safety and Correctional Services |
| Governor | Richard A. Tamberrino, Executive Director, Office of Planning, Policy, Regulations, and Statistics, Department of Public Safety and Correctional | General Public |

| Appointed By | Name | Representing |
|---|---|---|
| | Services | |
| Governor | Carole Shelton, Director, CJIS Central Repository | Recommended by the Secretary of Public Safety and Correctional Services |
| Governor | Vacant, Chief Information Officer, Department of Public Safety & Correctional Services | Recommended by the Secretary of Public Safety and Correctional Services |
| Governor | Vacant, Maryland State Police | Executive official from State, county, or municipal police unit |
| Governor | Vacant | Executive official from State, county, or municipal police unit |
| Governor | Frank Weathersbee, State's Attorney for Anne Arundel County | State's Attorney |
| Governor | T. Bryan McIntire, Baltimore County Councilman, Third District | Elected county official |
| Governor | Roger Lee Layton, Caroline County Commissioner | Elected county official |
| Governor | Vacant | Elected municipal official |
| Governor | Vacant | Elected municipal official |
| Governor | Dr. W. Larry W. Fitch, Director, Office of Forensic Services | Department of Health and Mental Hygiene |
| Governor | Peter Keefer, Assistant Director, Child Advocacy & Investigations | Department of Juvenile Justice |
| Governor | W. Lawrence Wescott | Motor Vehicles Administration |
| Governor | Vacant | State Council on Child Abuse and Neglect |

*Records Assessment* (Chair: Richard Tamberrino, Executive Director, Planning, Policy, Regulations and Statistics, Office of the Secretary, DPSCS, and a Board member) *Purpose*: To provide advice and recommendations on the CJRI plan and update, standardized RAP Sheet, expungement issues, responses to FBI audit of III compliance, etc. The Criminal Justice Record Improvement Records Assessment Subcommittee is directly responsible for helping to assess and monitor Maryland's CJRI Master Plan. Membership includes:

- Patricia Allen, Division of Correction, DPSCS
- Lowell Anderson, ITCD, DPSCS
- David Brown, Montgomery Co. PD
- John Clendenin, Department of Juvenile Services
- Tom Conti, AOC, JIS
- Mary Davison, Montgomery Co. PD
- Dalene Drum, Maryland State Police
- Lt. James Felix, Division of Correction, DPSCS
- Faye Gaskin, Administrative Office of the Courts
- Patricia Griffin, Division of Parole and Probation, DPSCS
- Kenneth Holloway, ITCD, DPSCS
- Sgt. Steven Kowa, University of Maryland Police Department
- Peggy Lyles, Montgomery Co. PD
- Judy Mizell, Division of Pretrial Detention and Services, DPSCS
- Charles Moulden, Administrative Office of the Courts
- Ellen Mugmon, Johns Hopkins University
- Cookie Pollock, Judicial Information Systems, Administrative Office of the Courts
- Carolyn Scruggs, CJIS Central Repository, DPSCS
- Carole Shelton, CJIS Central Repository, DPSCS
- Brenda Sims
- Cpl. Mark Sparks, University of Maryland Police Department
- Christina Stanley, Harford County State's Attorney's Office
- Sam Strasbaugh, ITCD, DPSCS
- Richard Tamberrino, OPPRS
- Mike Tarlton, ITCD, DPSCS
- Jillian Watts, Maryland State Police
- Maj. Glen Williams, Baltimore Police Department
- David Wolinski, CJIS Central Repository, DPSCS

**b. Other Cross-Disciplinary Stakeholders in Criminal Justice Records**

The following groups have been organized to address specific areas involving criminal justice records. The CJRI Master Plan will be shared with these groups so that mutual benefit can be derived from the addition of these perspectives. All of these groups are being reviewed by current leadership to ensure Maryland is able to gain strides and efficiency towards interoperability.

**Maryland Integrated Interagency Justice Information System (MIIJIS) Work Group.** MIIJIS is a BJA-funded project focusing on Maryland's need for integration of fundamental criminal justice functions, including information sharing, communications sharing, emergency response and disaster preparedness and recovery, as well as the need to identify core infrastructure gaps. Members of the MIIJIS Work Group include:

- Philip Braxton, Director, Judicial Information System (Criminal Justice Information Advisory Board member)
- Amir Holmes, Program Coordinator, SEARCH
- Deputy Executive Director, SEARCH (currently vacant)
- Kristina Shelor, Senior Architect, Maryland Department of Budget and Management
- Wilson Parran, Chief Information Officer, Department of Public Safety and Correctional Services
- Chief, Management Information Systems, MSP

Due to the recent gubernatorial transition, new appointments as the Maryland Chief Information Officer and the Lt. Governor's Senior Policy Advisor will replace predecessors on the MIIJIS work group.

**Governance Homeland Security**

***Governance Structure.*** Governor Robert L. Ehrlich, Jr., formed the Governor's Office of Homeland Security within the Executive Department in July 2003. The office coordinates and directs state homeland security efforts; advises the Governor on such issues; and continually assesses Maryland's readiness and ability to prepare for, prevent, and respond to disasters and emergencies, including terrorist attacks. To avoid duplication of effort and resources, the office coordinates efforts to obtain and allocate federal funds for state and local homeland security. The office further serves as state liaison to the White House Office of Homeland Security and the US Department of Homeland Security.

The State is currently engaged in interoperability activities, e.g., the Public Safety Communications Interoperability Governance Work Group was convened by the Director of the Governor's Office of Homeland Security in December 2003. The Work Group advises the Governor on strategies for strengthening communications during times of emergency. The Work

Group will make its final recommendation to the Governor in December 2004.

**Current Planning Efforts.** The Governor's Office of Homeland Security is currently evaluating the State's readiness, and is preparing to gather and analyze assessment criteria from individual agencies statewide. The goal is to compile a statewide strategy to assist in determining needs on a statewide level. The State is currently engaged in interoperability planning issues, e.g., the Governor's organization structure has been expanded to include an Information Technology Department. The Governor's Chief Information Officer has frequent contacts with Cabinet- and Department-level Chief Information Officers to discuss short- and long-term IT issues, concerns, and strategies.

**Analysis of Information Exchange.** Individual State-level departments have begun the process of analyzing information exchange by identifying and documenting relevant instances of information passing between justice organizations. The information exchange analysis is mostly incomplete; however, since most agencies have analyzed only the most major of their information systems. The Department of Public Safety and Correctional Services has analyzed its statewide Arrest Booking System, as well as the Division of Correction inmate system, and the Division of Parole and Probation supervision of parolees and probations.

**Creating a Sound Integration Infrastructure.** The State Department of Budget and Management is responsible for reviewing each Cabinet and Department-level Information Technology Master Plan (ITMP). The ITMP contains the following relevant information: (1) business functions; (2) mission and vision statements; (3) major goals, objectives and key strategies; (4) IT accomplishments; (5) strategic direction; and (6) future IT vision. The ITMP also includes an inventory of each Department's physical locations, IT equipment, information systems, and staffing.

The former Governor's Administration compiled the following documentation: (1) Architecture and Infrastructure Matrix of its criminal justice agencies; (2) Framework for Upgrading Technology and Justice Integration; (3) Information Sharing Scenario; (4) Communications Scenario; (5) Emergency Preparedness Scenario; (6) Statewide Integrated Criminal Justice Information Systems Strategic Plan; (7) Statewide Needs Assessment; (8) Strategic Plan for Technology Modernization; and (9) Strategic Vision for Technology Modernization.

The Department of Public Safety and Correctional Services has begun the process of upgrading its mainframe hardware and software, expanding network capabilities (LAN and WAN), and building a safer environment to secure the transport of information system data both internally and externally.

**Establishing Interfaces.** The Department of Public Safety and Correctional Services has 30+ information systems that analyze and disseminate criminal justice related data to other Departments with a demonstrated need to access such information. The Department has developed working relationships with the Administrative Office of the Courts' Judicial Information System, the

Maryland State Police, the Department of Health and Mental Hygiene, and the Motor Vehicle Administration to build appropriate interfaces for sharing criminal justice information. Examples of specific interfaces include:

- The Department of Public Safety and Correctional Services partnered with the Judicial Information Systems to build an MQSeries interface to expedite the transmission of court-supplied arrest and disposition data for uploading into DPSCS information systems.

- The Department of Public Safety and Correctional Services partnered with the Maryland State Police to build an MQSeries interface to expedite the processing of gun registration permit data for uploading into the DPSCS automated firearms information system.

- The Department of Public Safety and Correctional Services partnered with the Maryland State Police to build an interface to expedite the transmission of "hot files" and warrant data from its Maryland Interagency Law Enforcement System to the NCIC 2000 platform.

**4. Assessment of the completeness and quality of the criminal justice records**

**a. Which agencies report data to CJIS Central Repository?**

Maryland law requires that certain "reportable events" be reported to CJIS Central Repository for collection and maintenance as the "RAP Sheet" and for dissemination to authorized users. Figure 11 shows which agencies/systems are responsible for each reportable event. Figure 12 describes the conceptual building of the RAP Sheet based on the sequential events in the criminal justice continuum.

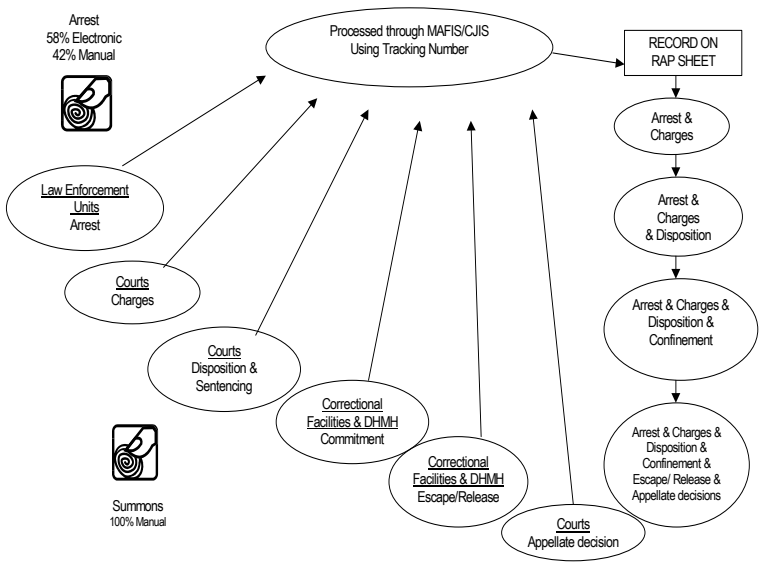
**Figure 11**
## CJIS – REPORTABLE EVENTS ("criminal history record information") and SOURCES

| REPORTABLE EVENT (Criminal Procedure Article, § 10-215(a)) | | FROM AGENCY/SYSTEM |
|---|---|---|
| 1. | Issuance or withdrawal of an arrest warrant; | (MILES entry) |
| 2. | An arrest; | Law enforcement; ABS |
| 3. | Release of a person after arrest without the filing of a charge | Law enforcement; ABS |
| 4. | Presentment of an indictment, filing of a criminal information, or filing of a statement of charges after arrest | Courts/JIS |
| 5. | A release pending trial or appeal | Courts/JIS |
| 6. | Commitment to a place of pretrial detention | Courts/JIS |
| 7. | Dismissal or quashing of an indictment or criminal information | Courts/JIS, DPDS |
| 8. | A nolle prosequi | Courts/JIS |
| 9. | Placement of a charge on the stet docket | Courts/JIS |
| 10. | An acquittal, conviction, verdict of not criminally responsible, or other disposition at or following trial, including a finding of probation before judgment | Courts/JIS |
| 11. | Imposition of a sentence | Courts/JIS |
| 12. | Commitment to a correctional facility, whether State or locally operated | (Date rec'd): DOC, local detention centers |
| 13. | Commitment to the Department of Health and Mental Hygiene under § 12-105 or § 12-111 of the Health – General Article as incompetent to stand trial or not criminally responsible | Courts/JIS, DHMH |
| 14. | Release from detention or confinement | DOC, local detention centers |
| 15. | Conditional release, revocation of conditional release, or discharge of an individual committed to the Department of Health and Mental Hygiene as incompetent to stand trial or as not criminally responsible | Courts/JIS; DHMH |
| 16. | An escape from confinement, or escape from commitment | DOC, local detention centers |
| 17. | A pardon, reprieve, commutation of sentence, or other change in a sentence, including a change ordered by a court | Courts, DOC, local detention centers, MPC |
| 18. | Entry of an appeal to an appellate court | Courts |
| 19. | Judgment of an appellate court | Courts |

| REPORTABLE EVENT (Criminal Procedure Article, § 10-215(a)) | FROM AGENCY/SYSTEM |
|---|---|
| 20. Order of a court in a collateral proceeding that affects a person's conviction, sentence, or confinement | Courts/JIS |
| 21. An adjudication of a child as delinquent: (i) If the child is at least 14 years old, for an act described in § 3-8A-03(d)(1) of the Courts and Judicial Proceedings Article; and (ii) If the child is at least 16 years old, for an act described in § 3-8A-03(d)(2), (3) or (4) of the Courts and Judicial Proceedings Article | Courts/JIS |
| 22. Issuance or withdrawal of a writ of attachment by a juvenile court; and | (MILES entry) |
| 23. Any other event arising out of or occurring during the course of criminal justice proceedings declared to be reportable by rule or regulation of the Secretary or the Court of Appeals | |

**Figure 12**

**How a Fingerprint Becomes a Record**




### b. How are records transmitted and what happens when a record reaches CJIS?

Fingerprints and related arrest data are obtained at the nine ABS sites and one Network Livescan site in the State is transmitted electronically via Livescan terminals connected directly to MAFIS. Positive identification, or a new State Identification (SID) number in the absence of an existing fingerprint in MAFIS, is transmitted back to the electronic site. When fingerprint cards are submitted manually from other arrest and booking sites in Maryland, they are received via the U.S. Postal Service. Cards with SID numbers on them are double-checked to ensure the accuracy of the fingerprint match. Cards without SID numbers are scanned against the MAFIS database and, if no match is found, a new SID is issued and the card is filed in the Master Fingerprint File.

Court disposition information is provided to CJIS bi-weekly via MQ Series. The information is entered directly into the CJIS court disposition database. Division of Correction (DOC) commitment data is provided to the CJIS court disposition database through a real time interface with DOC's Offender Based State Criminal Information System (OBSCIS). Because dispositions and other reportable events contain the tracking number established by the original fingerprint-based arrest event (or other avenue supplying fingerprints), all reportable events may be linked to a singular individual on the RAP Sheet.

### c. What is the basis for completeness, accuracy, and timeliness of the reports and CJIS records?

**Completeness** of Maryland's criminal history records depends on each criminal justice agency reporting each applicable reportable event to CJIS Central Repository.

In general, "complete" records must include arrests, dispositions, and correctional status.[1]

**Accuracy** of the reporting depends on each agency, including CJIS Central Repository, having developed quality standards for data entry, data linkages, and expungements.

**Timeliness** of reporting (including timeframes for expungements) is mandated under Maryland law as follows:

- Data pertaining to an arrest or the issuance of an arrest warrant shall be reported within 72 hours after the earlier of the arrest or the issuance of the arrest warrant (Criminal Procedure Article, § 10-214(b)(1));

- Data pertaining to the release of a person after an arrest without the filing of a charge shall be reported within 30 days after the person is released (Criminal Procedure Article, § 10-214(b)(2));

- Data pertaining to any other reportable event shall be reported within 60 days after the reportable event occurs (Criminal Procedure Article, § 10-214(b)(3));

- If a defendant was not fingerprinted at the time of arrest, if the defendant is subject to fingerprinting, and if the defendant cannot be fingerprinted at the time of sentencing, the sentencing judge shall order the defendant to report to a designated law enforcement unit to be fingerprinted within 3 days after the date of the sentencing. (Criminal Procedure Article, § 10-216(b)(2));

- If a child has not been previously fingerprinted as a result of arrest for the delinquent act and if the child cannot be fingerprinted at the time of the disposition hearing, the court shall order the child to report to a designated law enforcement unit to be fingerprinted within 3 days after making a disposition on an adjudication of delinquency (Criminal Procedure Article, § 10-216(e)(3));

- Within 30 days after receipt of the notice to expunge a police record, the Central Repository, booking facility, and any other law enforcement unit shall search diligently for and expunge a police record about the arrest, detention, or confinement of an individual prior to a release without charge (Criminal Procedure Article, § 10-103(d));

[1] "Felony identification" is also noted as part of "complete criminal history records" (BJA, *Guidance for the Improvement of Criminal Justice Records*, 1991, p. 7). However, Maryland is a common law State, which precludes the flagging of reported offenses as felonies or misdemeanors.

- Unless an order is stayed pending an appeal, within 60 days after entry of the order [i.e., 30 days after receipt of the order by the CJIS Central Repository], every custodian of the police records and court records that are subject to the order of expungement shall advise in writing the court and the person who is seeking expungement of compliance with the order (Criminal Procedure Article, § 10-105(f))

In addition, the Criminal Procedure Article, § 10-214(c), permits the Secretary by regulation or the Court of Appeals by rule to reduce the time for reporting the criminal history record information.

The assessment of overall data quality, as determined by the standards for completeness, accuracy, and timeliness, has been the subject of audits and ad hoc findings (see Section 5).

**d. What are Maryland's user requirements/needs?**

Maryland has not officially surveyed its users as to specific requirements and needs for the purpose of this document. However, the Information Technology and Communications Division of the Department and the CJIS Central Repository itself have recently made specific efforts aimed at obtaining direct user/business/customer feedback. This feedback has been solicited in a variety of forms, including user focus groups, customer satisfaction surveys, and task forces and special work groups targeting user problems or requirements. From these informal sources, the following "business drivers and critical issues" can be identified for Maryland's stakeholders, including CJIS Central Repository, in criminal justice records.

**CJIS Central Repository:**

- The demand for applicant criminal history records checks, in particular the speed of desired response following September 11, 2001, has significantly increased.

- The results of FBI and internal audits, as well as ad hoc findings, indicate a continuing need to improve quality control and best management practices.

- Megan's Law continues to drive a demand for timely and accurate responses to inquiries regarding sex offenders, even as national attention is focused on legal challenges to the sex offender registration/notification laws mandated by the Wetterling Act of 1994.

- Maryland's participation in the Interstate Identification Index (III) and proposed adoption of the National Crime Prevention and Privacy Compact will redirect other States to access Maryland criminal history records when the FBI shows an indexed Maryland record for an offender.

**Criminal Justice Advisory Board:**

- Record Improvement Records Assessment Subcommittee aims to annually update the 5-year Criminal Justice Record Improvement Plan by eliciting, reviewing, and processing feedback provided by user groups (Law enforcement, Courts, state agencies, etc.) regarding current needs and the timely, complete, and accurate collection and dissemination of criminal history.

**Law enforcement:**

- Incomplete information and unclear procedures have cost lives, as in the widely reported Spicknall case where a father obtained a gun and killed his children after a protective order was improperly removed from a system.

- Mobile data terminals, placed in police cars, can allow officers instant access to all supporting data systems, driving the demand for DPSCS to supply this new service.

- Until MSWS is implemented, there will be no current central locations from which criminal justice agencies can obtain pertinent warrant information concerning issuance, service, quashing, modification or withdrawal of all warrants. Warrant information is often maintained locally, and its entry into State or local systems is voluntary; criminals can cross county boundaries and be apprehended on one warrant and then let go while another, possibly serious, warrant remains outstanding.

- There has been growth in *ex parte* and protective orders. In 2002, House Bill 663 (Chapter 235) provided for 24 x 7 issuance of *ex parte* orders.

- Local law enforcement needs to obtain photographs of offenders from the State to assist in investigations and apprehensions (serving warrants), or to rapidly provide escapee information to the media.

- Turnaround time for criminal identification for non-ABS agencies (fingerprint checks of arrestees) takes too long and potentially results in improper releases or extended stays in booking facilities.

- Ad hoc support for adding automated data collection, interfaces, and summary of data, particularly for other law enforcement agencies, is an increasing workload.

**Judiciary:**

- There is mounting pressure to make court records, traditionally open to the public, available electronically on demand. This demand has a collateral impact on the issue of access to official criminal history record information. In 2000, the Judiciary formed a Committee on Access to Court Records. Chaired by retired Judge Paul Alpert,

the Committee included the Department's Chief Information Officer and the Director of the CJIS Central Repository as appointed members, along with representatives from the Maryland General Assembly, the private sector, and the Judiciary. The Committee's meeting minutes, interim documents, and final report may be accessed at http://www.courts.state.md.us/access/index.html. A final rule report was published in the Maryland Register December 12, 2003 with rules becoming effective October 1, 2004. Title 16, Chapter 1000 of the Maryland Rules of Procedure.

- Rising court dockets are threatening to jam courts, particularly in Baltimore City; recent alternatives such as "Drug Court", which has been operating in the City and other jurisdictions, are being reviewed by the Drug Treatment Court Commission.

- Chain-of-evidence problems can create problems for police and State's Attorneys in certain cases, forcing them to dismiss or plea bargain cases.

- The collection of fines and fees, including restitution, imposed by courts on defendants ramifies into a complex sequence of events having both fiscal and legal implications and impacts on defendants, victims, the courts, the Division of Parole and Probation, and the State's Central Collection Unit.

- Public and media's perceptions (and misperceptions) concerning pretrial release, plea bargaining, sentencing, appellate decisions and rights, etc., continue to negatively color general attitudes towards the criminal justice system

**Department of Public Safety and Correctional Services:**

- Cost containment and a slowing economy have driven a reduction in staffing and resources while offender populations continue to expand. This has forced the Department to be creative in devising ways to do much more with far fewer available resources than ever before.

- New programs and models, particularly enhancements in community supervision, have been introduced nationally in response to changing trends in criminal justice and to maximize scarce resources.

- There is a significant amount of criminal behavior in prisons, particularly involving visitors and known associates that could aid in investigations.

- Supervising agent case notes in the Division of Parole and Probation are now kept manually. Consequently, there is an intensified need to electronically provide corrections and community supervision with "trapped" data for intelligence purposes.

- Health Insurance Portability and Accountability Act (HIPAA) regulations have increased the security

requirements for the handling of inmate medical records.

- Homeland Security requirements have highlighted ITCD's role in public safety because of the information services provided statewide to all criminal justice agencies, including the fingerprint-based records maintained by the CJIS Central Repository.

- There is a federal requirement to implement NCIC 2000 capabilities for criminal justice users that enables graphical data representations (fingerprints, images, photos) using personal computers in fixed and mobile settings.

- A paper-intensive process between the Division of Parole and Probation and the Maryland Parole Commission for reporting and reviewing allegations of violations of parole means that a lengthy period of time may ensue before a parolee's behavior is appropriately adjudicated by the Commission.

- Capital Wireless Integrated Network (CapWIN), a regional data and communications sharing effort supported by the federal government, will place demands on the services provided by the Public Safety Data Center.

- The Maryland State Police have not been successful in obtaining the necessary resources that would foster its leadership role within the statewide law enforcement community; ITCD remains the lead agent for interface with the law enforcement community with regard to the statewide technology service delivery and for training on the applications.

- Increased need for additional prison beds (bed management) is a major factor impacting the business of DPSCS. Nationally this has caused the need to consolidate costs, close prisons in some cases, and unilaterally place non-violent offenders back into the community. Maryland has not embraced this model even though its prison populations steadily increase.

- There is a long-standing, demonstrated, and well-identified need for cross-organizational functionality and a corresponding need for a comprehensive offender management automated system.

- Offender data is keyed or stored manually by every agency and division of DPSCS, resulting in large amounts of costly, error-prone, and duplicate data entry that cannot be quantified or reported because of a lack of centralized, automated systems for storage and retrieval.

**Other criminal justice agencies:**

- To fight crime, to keep people safe, and to streamline case processing, criminal justice agencies need information that is now inaccessible in the Department's stovepipe systems; a data warehouse must be provided.

- Critical systems managed by ITCD must be available to all criminal justice agencies as a 24 x 7 essential function, intensifying the need for adequate business resumption and disaster recovery investments.

- Statewide architectural standards, and planning and governance models are emerging; the Maryland's Integrated Interagency Justice Information sharing is being planned; the Department is participating in mapping efforts.

- E-Maryland legislation drives client access to "one stop shopping" or eMaryland Portal; the Department and the criminal justice community seek immediate ways to access information anywhere, anytime, but only by authorized individuals.

**e. How is data security provided and what are the needs?**

Data security for CJIS and criminal history record information is provided in a number of ways.

**Agreements.** Maryland's CJIS statute mandates that agreements with criminal justice agencies for access to criminal history record information (CHRI) must contain provisions governing the "maintenance of security in all transactions between the Central Repository and the criminal justice unit" (Criminal Procedure Article, § 10-217(b)(4)).

Accordingly, Section 8 of the Criminal Justice Unit (CJU) Agreement currently in use under these circumstances states that:

> *The parties acknowledge that CHRI and the facilities used for the collecting, reporting, and dissemination of CHRI must be maintained in a secure environment so as to ensure against unauthorized access, dissemination, alteration or destruction. The CJU shall adopt the following minimum security standards:*

*(a) CJU Terminal Users.*

*In the event that the CJU has the use and control of a terminal for the purpose of reporting or*

*receiving CHRI, the CJU shall implement procedures designed to:*

- *Ensure that access to terminals is permitted only to its own authorized CJU personnel who need access in order to exercise their criminal justice responsibilities;*

- *Ensure that access to terminals (where requested for the purpose of obtaining CHRI) by other CJUs which do not have a terminal is permitted only to such CJUs whose right to access such terminals has been previously authorized by the CJIS Central Repository;*

- *Ensure that access to terminals is prohibited to non-CJUs;*

- *Ensure that passwords are known only by the employees of the CJU to whom they are assigned and by supervisory personnel having a need to know such passwords; and*

- *Ensure that the CJIS Central Repository is notified in the event of termination of employment of any person assigned a password, or the transfer of such person to another position within the CJU in which position access is not required by such person in order to exercise his or her responsibilities.*

*(b) All CJU Users*

*The CJU shall designate an employee (i.e., the security officer) who shall have primary responsibility for the security of the CHRI and the facilities by which CHRI is reported, maintained, and disseminated. Such responsibilities shall include:*

- *Implementation of necessary procedures to prevent unauthorized reporting, dissemination, modification, or destruction of CHRI;*

- *Maintenance of logs and records necessary for the CJIS Central Repository to conduct an audit and inspection of the CJU's facilities for the purpose of determining the CJU's compliance with the requirements of this Agreement; and*

- *Instruction of each employee of the CJU authorized to have access to CHRI as to the security provisions of this Agreement and the conditions contained herein regarding the reporting, use, and dissemination of CHRI.*

Similarly, the Non-Criminal Justice Unit User Agreement currently used to govern the provision of criminal history record information in support of legitimate research

(COMAR 12.15.01.12B(6)), states the following in Section 7:

*(a) The User shall maintain all CHRI disseminated to it by the CJIS Central Repository under this Agreement in a secure environment so as to ensure against unauthorized access, dissemination, alteration, or destruction.*

*(b) Access to such CHRI shall only be permitted to those employees of the User who:*

- *Have a need for access in fulfillment of their duties and responsibilities to the User; and*
- *Have been instructed by the User as to the security provisions of this Agreement and the conditions and limitations regarding the use and dissemination of CHRI.*

**Regulations (COMAR).** The statute also mandates that the Code of Maryland Regulations (COMAR) established by the Secretary of the Department of Public Safety and Correctional Services shall "ensure the security of the criminal justice information system and criminal history record information reported to and collected from it" (Criminal Procedure Article, § 10-221(b)(2)). Accordingly, COMAR 12.15.01.15 includes the following requirements:

A. *Criminal justice agencies are responsible for reporting in a timely manner breaches or failures of physical or operational security to the Secretary or the Secretary's designee.*

B. *If there is a breach of the physical security of CHRI or a failure to meet physical security standards of CHRI as stipulated in these regulations and as supplemented by operational policies issued by the Central Repository relating to the physical security of CHRI, the Secretary of Public Safety and Correctional Services has the responsibility to ensure that the breach is corrected.*

C. *If there is a failure to comply with personnel policies relating to CHRI as stipulated in these regulations and as supplemented by personnel policies issued by the Central Repository relating to CHRI, the Secretary of Public Safety and Correctional Services has the responsibility to ensure that this failure is corrected.*

D. *If there is a breach of the operational security of the Criminal Justice Information System as defined in the Criminal Procedure Article, § 10-201(e)[2], Annotated Code of Maryland, or a failure to meet the operating security standards of that system as stipulated in these regulations and as supplemented by operational procedures issued by the Central Repository relating to the security of operations*

[2] Formerly Article 27, § 743(g).

*in the Criminal Justice Information System, the Secretary of Public Safety and Correctional Services has the responsibility to ensure that this breach or failure is corrected.*

*E. If the privacy or confidentiality of CHRI has been intentionally or inadvertently abused or when the potential for this abuse may exist, the Secretary of Public Safety and Correctional Services has the responsibility to ensure that this abuse or potential for abuse is corrected.*

**Log-On IDs.** Access to CJIS and related criminal justice information systems is organized according to a hierarchy requiring a Log-On Identification code plus password and the assignment of a "profile". Individuals requiring access to one or more systems as part of their tasks and duties for employment with a criminal justice agency submit an application for Log-On ID and are subject to a criminal history records check. Upon approval, a Log-On ID is centrally assigned by staff in the Information Security Unit of the Information Technology and Communications Division of the Department. A "profile" (pre-set access to selected systems) is assigned and the individual is instructed in requirements for selecting, protecting, and changing passwords. Employees in the Department are also required to sign acknowledgement of receipt of the *Micro-Computer Security Policy (1996)*, which sets out standards for security.

**Future.** Modern security experts consider passwords outmoded as security devices in part because users, when confronted with multiple systems having different requirements to remember, often resort to the insecure practice of recording the IDs and passwords. To comply with NCIC 2000 security requirements, and to encompass the rapid growth of the distributed environment that the Department (through ITCD) administers and maintains, the Department is planning to introduce Secure Single Sign-on, of which strong authentication, centralized authentication, and centralized authorization will be main components (see Project II-2).

**5. Audits (Assessment Tools)**

COMAR 12.15.01.16 provides for the auditing of CJIS Central Repository as follows:

*A. Audit of CHRI.*

*(1) As required by applicable federal and State laws and regulations, criminal justice agencies and CHRI repositories shall be audited on site for compliance with applicable laws, regulations, and agreements pertaining to the security, dissemination, completeness, and accuracy of CHRI.*

*(2) An annual on-site audit of a random sample, representative of State and local criminal justice agencies and repositories, shall be made at the direction of the Secretary. The audit shall ensure that*

*CHRI is accurate and complete and that it is collected, reported, and disseminated in accordance with the provisions of Criminal Procedure Article, §§ 10-201—10-228*[3]*, Annotated Code of Maryland.*

*(3) At a minimum, the on-site audit shall evaluate a criminal justice agency's compliance with applicable rules, regulations, agreements, and laws pertaining to physical, personal, and operational security, dissemination, completeness, and accuracy of CHRI.*

*(4) An audit of a representative sample of CHRI shall be made not less than quarterly.*

*(5) As required, other methods, procedures, and standards for auditing criminal justice agencies and CHRI repositories may be established at the direction of the Secretary.*

*B. Criminal justice agencies and CHRI repositories shall retain and provide access to CHRI source documents, dissemination logs, security manuals, and other data as deemed necessary to perform the audit in § A of this regulation. Records shall be retained a minimum of 15 years.*

[3] Formerly Article 27, §§ 742-755.

**a. External Audits (audits by agencies external to the CJIS Central Repository).**

**SEARCH and Office of Legislative Audits (OLA).** SEARCH, the National Consortium for Justice Information and Statistics, undertook the first audit of criminal justice reporting agencies in 10 Maryland subdivisions in 1987. It submitted its final report in 1990. Thereafter, the Maryland Office of Legislative Audits (OLA) performed regular audits of CJIS in beginning in 1990, and continuing in 1991, 1992, 1994, 1996, 1998, and 1999 pursuant to Memoranda of Understanding signed by the Director of the OLA, the Secretary of Public Safety and Correctional Services, and the Chief Judge. Overall, records audited by SEARCH and the OLA spanned 1980 through 1997.

**Assessment by University of Maryland**. During the course of 2002, an audit of CJIS was conducted by Dr. Charles Wellford (Board member) of the Justice Analysis Center, Department of Criminology and Criminal Justice, University of Maryland. The work to be conducted during fiscal year 2002 was an analysis of CJIS Central Repository records from January 1, 1998, through December 31, 2000, with the following objectives:

- Phase I: to determine the timeliness, accuracy, and completeness of certain reportable events required to be reported to and maintained by the CJIS Central Repository on the RAP Sheet. This phase has been completed.

- Phase II: to review and evaluate the process by which the CJIS Central Repository conducts State and national criminal history records checks under the Family Law Article (FLA), §§ 5-560—5-568; and;
- Phase III: to examine and evaluate prior audits or review of criminal history record information collected and maintained by the CJIS Central Repository. This phase has been completed.

A preliminary report involving Phase I was received by the Department on March 11, 2003. The Department reviewed the report for accuracy and completeness. These findings were shared with stakeholders in criminal justice records to obtain comments and feedback. Management of the CJIS Central Repository established plans for problem resolution/mitigation, which are folded into the CJRI Master Plan Update 2006.

In Phase III the Justice Analysis Center noted 64 audit action items. 38% (24) of which have been completed, 30% (19) are partially completed, 27% (17) are currently open items and 6% (4) are inactive do to lack of funding, cancellation of the projects, or a future project. Plans have been pursued in order to address record issues identified in all phases of this audit. All current outstanding issues have been included in this CJRI Master Plan update.

**FBI Interstate Identification Index (III) Audits.** These audits are now conducted triennially by the FBI to ensure that Maryland meets the FBI standards for participation in the III. Maryland began participation with III, on a day forward-basis, in March 1998. The two audits conducted to date reflected CJIS Central Repository's status as of 2000 and 2002. The findings and responses were covered in Projects I-9, I-10, and IV-3. All three projects have successfully been implemented in 2003

**b. Internal Audits (audits by teams internal to CJIS Central Repository).**

The CJIS Central Repository has been involved in a variety of activities designed to measure and increase the level of accuracy and completeness its criminal history records.

- A consultant provided a report in August 2002 entitled, *CJIS Central Repository Criminal History Record Audit Methodologies and Recommendations—Final Report*. (Phase III of the University of Maryland assessment will augment this report with its analysis of prior audits.) The document developed audit methodologies for CJIS databases and to assist CJIS staff in obtaining a level of data accuracy sufficient for FBI Interstate Identification Index (III) compliance.
- A Criminal History Records Audit Form has been created for use by CJIS Central Repository auditing staff to highlight specific areas of arrest records where information is either incomplete or missing when reviewing records. The Audit Form is designed to serve as a useful management

tracking and reporting tool, and will assist CJIS Central Repository management in gathering and analyzing business efficiency.

- A CJIS Central Repository III Audit Unit has been created to review, research and analyze Maryland Ident Index records against records stored in the FBI database. The record comparisons are performed through reports generated from synchronization tapes the CJIS Central Repository receives quarterly from the FBI.

- Under a prior administration, the mandatory auditing of criminal justice agencies that contribute data to the CJIS Central Repository's criminal history record information database disappeared, due in part to the lack of State resources to apply to functions other than the day-to-day operations of CJIS Central Repository. However, recent CJIS Central Repository leadership has created a program called the Contributor Audit Program (CAP). In its first phase, staff will visit Maryland law enforcement agencies in an outreach effort to revitalize the partnership with the law enforcement community concerning the provision of timely, complete, and accurate fingerprint-based arrest data. The second phase will perform an annual audit of CHRI reporting by law enforcement units, i.e., submission of fingerprint and arrest data for accuracy, completeness, timeliness and quality of prints. The third phase will extend the educational outreach program to the Non-Criminal Justice Agencies (NCJA), which receive CHRI from CJIS-CR. The fourth phase will extend the external audit program to the NCJA's to determine the degree of compliance with the storage, security and dissemination of the CHRI within those agencies.

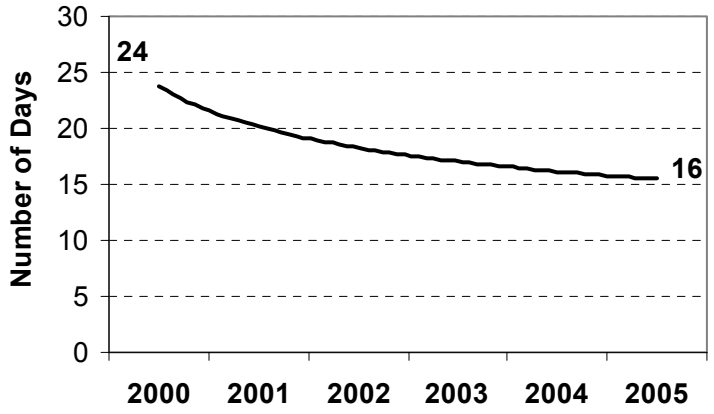
- A Quality Assurance/Managing For Results monitoring instrument was created as an internal auditing tool for all CJIS Central Repository operational areas. This instrument is designed to capture and measure the quality (accuracy, completeness, and timeliness) of work conducted in CJIS Central Repository units, as well as measure performance in meeting Managing For Results goals (see Appendix III – Department of Public Safety and Correctional Services Managing for Results Goals and Maryland's State Enterprise Business Goals). The instrument was used by in-house Quality Assurance teams to apply the findings of ongoing audits (University of Maryland assessment, FBI III audit, etc.) and fold "fixes" into standard operating procedures so that deficiencies are identified and corrected. As of January 2004, the CJIS-CR completed and compiled one complete calendar year (January 2003-January 2004) of data and performance analysis. The resource we had to oversight this area has been eliminated and we no longer have a QA program.

**c. Other efforts to identify/resolve data quality issues.**

**Customer Satisfaction Surveys.** Surveys undertaken since 2000 that are pertinent to the quality of Maryland's criminal history record information database have been submitted by individuals required to take CJIS/NCIC training on the use of those databases, and by individuals who have taken the CJIS Central Repository's classes in fingerprint training. The overall satisfaction rate with the training has been very high. In particular, the fingerprint training outreach effort
(targeting both criminal justice and non-criminal justice contributing agencies) has resulted in a marked decline in fingerprint rejection rates of applicant fingerprints with the direct outcome of improved response time in applicant fingerprint processing (see Figure 13).

**Figure 13**

**Applicant Fingerprint Processing Response Time**




**Challenges to CJIS records.** The Criminal Procedure Article, §§ 10-223—10-224, and COMAR 12.15.01.05—.07 provide for the right of an individual to inspect and to challenge the criminal history record information that forms his or her official criminal record in Maryland. This is an important safeguard for Maryland's criminal history records, and is another avenue to obtain data concerning the quality of records. In calendar year 2004, the CJIS Central Repository processed 10 challenges. Of these, 6 were unfounded, i.e., the record was proven accurate. (See Figure 14)

**Figure 14**

**CJIS-CR Individual Challenges: 1999 - 2005**

| Individual Challenges | | | | |
|---|---|---|---|---|
| Calendar Year | Number of Applicant Requests | Number of Challenges | Number of Correct CH | Number of Incorrect CH |
| 1999 | 142,086 | 19 | 18 | 1 |
| 2000 | 147,847 | 18 | 15 | 3 |
| 2001 | 150,490 | 11 | 7 | 4 |
| 2002 | 154,038 | 25 | 22 | 3 |
| 2003 | 150,807 | 28 | 20 | 8 |
| 2004 | 153,954 | 10 | 6 | 4 |
| 2005 | 160,131 | 15 | 8 | 7 |

## 6. Reasons for incompleteness and inaccuracies

The variety of sources that permit an assessment of data quality (timeliness, completeness, and accuracy) likewise point to a variety of reasons for incompleteness and inaccuracies. Some are continuing issues; others are new. Some are technological; others are related to human resources. Among these reasons are: linkage problems due to missing/incorrect tracking numbers and missing (non-reported) reportable events (e.g., missing fingerprint cards; missing dispositions); manual processing of criminal fingerprints, expungements, etc.; absence of real-time charge and dispositions reporting capabilities. Each of the projects outlined as part of the CJRI Master Plan 2003 identifies the specific problem area that the project is designed to address and resolve.

## 7. Maryland's CJRI Master Plan for 2006

### Maryland's CJRI goals

I. **Optimal Accuracy and Completeness of Criminal History Data**

II. **Full Automation of All Criminal History and Fingerprint Cards**

III. **Optimal Timeliness of Criminal History Reporting**

IV. **Full Cooperation with Federal Initiatives (e.g., NICS, III, NFF)**

V. **Optimal Overall Customer Services**

These goals have been approved by the Criminal Justice Information Advisory Board and comport with the goals established by the Bureau of Justice Assistance for criminal justice records improvement (see Appendix I – BJA Goals). They are also consistent with the Department's Managing for Results goals, as well as Maryland's State Enterprise Business Goals (see Appendix III – DPSCS MFR goals).

Many of the projects listed in this Master Plan directly serve the criminal justice and non-criminal justice customer bases of the CJIS Central Repository. They include, for example, plans for:

- The enhancement and technology refreshment of the systems that provide real-time fingerprint-based identification of offenders and collection of information to support the internal business processes of the CJIS Central Repository;
- Web-enabling sex offender registration by local registration authorities;
- Information retrieval mechanisms so the public can inquire as to the status of applicant checks;
- The distributed use of remote fingerprint stations to capture data statewide in a convenient manner that also will improve the overall quality of fingerprint information and increase the ability of the systems to identify criminals.

There are other projects, however, that reflect the service obligations of the Information Technology and Communications Division while also addressing criminal justice record issues. For example, upgrading the system used by the Maryland State Police for the handgun permitting process and adding a warrant flag to the Motor Vehicle Administration database is part of this extended Master Plan.

In developing and prioritizing the components of this plan, a number of considerations were reviewed, including:

- Business impact(s) and dependencies;
- Legislative/regulatory compliance;
- User benefits and number of users;
- Optional benefits;
- Federal initiatives; and
- Audit findings.

Further, fiscal and human resources available (and potential) have also been factored in so that an approximate timeframe planned for ongoing projects and tentative for future projects could be established, as outlined in Figures 15 and 16. Since the development of this chart in 2003, we have updated timeliness to be more reflective of the projects.

**Figure 15**
**CJRI Projects – Goals, Priorities, Timeframes**

| Proj # | Project Name | Relative Priority | Tentative Timeframe FY |
|---|---|---|---|
| **I. Optimal Accuracy and Completeness of Criminal History Data** | | | |
| I-1 | Arrest/Booking System (ABS) Stabilization | 2 | 2003 Q4 – 2006 Q4 |
| I-2 | Network Livescan | 3 | 2002 Q3 – 2006 Q4 |
| I-3 | Capturing Division of Correction (DOC) Reportable Events | 4 | 2003 Q3 – 2006 Q2 |
| I-4 | RAP Sheet Linkage Project | 5 | 2003 Q3 – 2006 Q2 |
| I-6 | Release Without Charge Processing | 6 | 2007 Q1 – 2007 Q4 |
| I-11 | CJIS Warrant Flag | 11 | 2005 Q2 – 2006 Q1 |
| I-12 | ADR/CCH System Replacement | 22 | 2008 Q1 – 2010 Q1 |
| I-13 | Uniform Fingerprinted Offender (UFO) | 33 | 2006 Q4 – 2007 Q4 |
| I-14 | Pretrial and Detention | 34 | 2006 Q2– 2009 Q2 |
| **II. Full Automation of All Criminal History and Fingerprint Cards** | | | |
| II-1 | Electronic Submission of Manual Criminal Fingerprint Cards | 7 | 2004 Q1 – 2005 Q4 |
| II-2 | Implementation of Revised CJIS Security Policy Requirements | 9 | 2003 Q2 – 2006 Q4 |
| II-3 | Maryland statewide warrant system (MSWS) | 14 | 2006 Q1 – 2008 Q2 |
| II-5 | MAFIS Replacement | 16 | 2005 Q3 – 2007 Q4 |
| **III. Optimal Timeliness of Criminal History Reporting** | | | |
| III-2 | Electronic Submission of Applicant Fingerprint Cards | 21 | 2005 Q3 – 2006 Q4 |

| | | | |
|---|---|---|---|
| **IV. Full Cooperation with Federal Initiatives (NICS, III, NFF, etc.)** | | | |
| IV-1 | NCIC 2000 | 8 | 2003 Q1 – 2006 Q2 |
| IV-2 | NICS Research (Maryland State Archives) | 17 | 2003 Q1 – 2006 Q4 |
| IV-4 | IFFS (NICS) Flag Processing | 19 | 2007 Q1 – 2007 Q3 |
| IV-6 | Standardized RAP Sheet & Automated Response | 23 | 2007 Q1 – 2008 Q1 |
| **V. Optimal Overall Customer Service** | | | |
| V-1 | Public Safety Data Center Disaster Recovery | 1 | 2004 Q1 – 2006 Q2 |
| V-2 | Warrant Flag to MVA Database | 10 | 2003 Q4 – 2008 Q4 |
| V-3 | Purge of Criminal Event Notification Flags (Applicants) | 16 | 2005 Q3 – 2006 Q3 |
| V-5 | Rapid Juvenile Identification Process | 20 | 2004 Q4 – 2007 Q2 |
| V-6 | Case Management | 36 | 2006 Q1 – 2008 Q3 |
| V-7 | Web-Enable Sex Offender Registration Process | 24 | 2006 Q1 – 2007 Q1 |
| V-8 | Implement Extranet for Criminal Justice Users (“eGov” or “50-65-80” Initiative) | 25 | 2006 Q3 – 2007 Q2 |
| V-9 | Customer Response System (CRS) Enhancements | 26 | 2006 Q1 – 2007 Q1 |
| V-10 | Web-Enable CJIS Automation and Customer Services | 27 | 2007 Q1 – 2008 Q2 |
| V-11 | CJIS Customer Kiosks | 28 | 2007 Q1 – 2008 Q1 |
| V-14 | CJIS Customer Call Center Phone System Improvements | 31 | 2006 Q1 – 2006 Q2 |
| V-15 | Mobile Livescan Fingerprint Service | 32 | 2008 Q1 – 2010 Q1 |
| V-16 | NFF Participation Rollout Plan | 35 | 2006 Q1 – 2009Q2 |

**Figure 16**

## CJRI Master Plan 2006– Timeframes

| CJRI TIMELINE | | 2001 | | 2002 | | 2003 | | 2004 | | 2005 | | 2006 | | 2007 | | 2008 | | 2009 | | 2010 | | 2011 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 |
| **I-1** | Arrest Booking System Stabilization | | | | | | | | | | | | | | | | | | | | | | |
| **I-2** | Network Livescan | | | | | | | | | | | | | | | | | | | | | | |
| **I-3** | Capturing DOC Reportable Events | | | | | | | | | | | | | | | | | | | | | | |
| **I-4** | RAP Sheet Linkage Project | | | | | | | | | | | | | | | | | | | | | | |
| **I-6** | Release Without Charge Processing | | | | | | | | | | | | | | | | | | | | | | |
| **I-11** | CJIS Warrant Flag | | | | | | | | | | | | | | | | | | | | | | |
| **I-12** | ADR/CCH System Replacement | | | | | | | | | | | | | | | | | | | | | | |
| **I-13** | Uniform Fingerprinted Offender (UFO) | | | | | | | | | | | | | | | | | | | | | | |
| **I-14** | Pretrial & Detention | | | | | | | | | | | | | | | | | | | | | | |
| **II-1** | Elec. Submission Manual Crim. Fingerprint Cards | | | | | | | | | | | | | | | | | | | | | | |
| **II-2** | Implement-Revised CJIS Security Policy Req. | | | | | | | | | | | | | | | | | | | | | | |
| **II-3** | Maryland statewide warrant system | | | | | | | | | | | | | | | | | | | | | | |
| **II-5** | MAFIS Replacement | | | | | | | | | | | | | | | | | | | | | | |
| **III-2** | Elec. Submission of Applicant Fingerprint Cards | | | | | | | | | | | | | | | | | | | | | | |
| **IV-1** | NCIC 2000 | | | | | | | | | | | | | | | | | | | | | | |
| **IV-2** | NICS Research (Maryland State Archives) | | | | | | | | | | | | | | | | | | | | | | |
| **IV-4** | IFFS (NICS) Flag Processing | | | | | | | | | | | | | | | | | | | | | | |
| **IV-6** | Standardized RAP Sheet & Automated Response | | | | | | | | | | | | | | | | | | | | | | |
| **V-1** | Public Safety Data Center Disaster Recovery | | | | | | | | | | | | | | | | | | | | | | |
| **V-2** | Warrant Flag to MVA Database | | | | | | | | | | | | | | | | | | | | | | |
| **V-3** | Purge of Criminal Event Notification Flags | | | | | | | | | | | | | | | | | | | | | | |
| **V-5** | Rapid Juvenile Identification Process | | | | | | | | | | | | | | | | | | | | | | |
| **V-6** | Case Management | | | | | | | | | | | | | | | | | | | | | | |
| **V-7** | Web-Enable Sex Offender Regis. Process | | | | | | | | | | | | | | | | | | | | | | |
| **V-8** | Implement Extranet for Crim. Justice Users | | | | | | | | | | | | | | | | | | | | | | |
| **V-9** | Customer Response System Enhancements | | | | | | | | | | | | | | | | | | | | | | |

| CJRI TIMELINE | | 2001 | | 2002 | | 2003 | | 2004 | | 2005 | | 2006 | | 2007 | | 2008 | | 2009 | | 2010 | | 2011 | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 | H1 | H2 |
| V-10 | Web-Enable CJIS Automation & Customer Svcs. | | | | | | | | | | | | | | | | | | | | | | |
| V-13 | CJIS Customer Svc. Ctr. Storefront Enhance. | | | | | | | | | | | | | | | | | | | | | | |
| V-14 | CJIS Customer Call Ctr. Phone System Improv. | | | | | | | | | | | | | | | | | | | | | | |
| V-15 | Mobile Livescan Fingerprint Service | | | | | | | | | | | | | | | | | | | | | | |
| V-16 | NFF Participation Rollout Plan | | | | | | | | | | | | | | | | | | | | | | |

The improvement of criminal justice records over time can only be accomplished through the collaborative efforts of the people, agencies, and other stakeholders enumerated elsewhere in this document. The vision of the future must be shard among these groups. In support of the initiative, and as a basis for its own operations within the Department of Pubic Safety and Correctional Services, the management of the Information Technology and Communications Division (which comprises CJIS Central Repository management as well) adopted the following vision statement:

> ***The managers and staff of ITCD are committed to continuous learning about the criminal justice system. Therefore, we envision providing the most appropriate technology services and solutions that reflect the visions of the businesses of our stakeholders and their respective missions.***

## 8. Project Detail List

### Goal I: Optimal Accuracy and Completeness of Criminal History Data

| **PROJECT NAME/Number** | **I-1 – Arrest Booking System (ABS) Stabilization** |
|---|---|
| Problem Description | The current ABS equipment at the Baltimore Central Booking and Intake Center (BCBIC), one of the largest booking process locations in Maryland is ten years old. Recent ABS equipment malfunctions due to age contribute to submission of poor quality fingerprints; population of incomplete WIPQue records; failure to properly update criminal history information; FBI rejections and problems with completeness, accuracy and timeliness for criminal history records. All the ABS equipment is still working on older OS2 operating systems. Over the years booking sites have used the system for functions other than its intended purposes. This results in the submission of non-reportable events, the absence of tracking numbers and the failure of disposition linking, thus causing an incomplete and inaccurate RAP sheet. The system also allows generic logon of persons taking fingerprints. This cause the reproduction of a card needed for court testimony to be immiscible; thus jeopardizing case outcomes. ABS must be stabilized or replaced with newer Network Livescan technology. |
| Project Cost | Phase I: Estimated $72,951.<br>Phase II: Estimate not available<br>Phase III: Estimate not available |
| NCHIP/State funding availability | State funded. FY06 $461,000 Phase II |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q4 – 2006 Q4<br><br>Full description contained in CJRI Plan 10/31/01, p. 10. Replace outdated ABS technology/equipment with updated Livescan devices with connectivity to the CJIS-CR.<br>The system must be stabilized or replaced with Network Livescan technology to ensure the integrity of CHRI disseminate to the Repository. |

| PROJECT NAME/Number | I-1 – Arrest Booking System (ABS) Stabilization |
|---|---|
| | Phase I:<br>Milestones:<br>• Install Arrest Booking Data Translator (ABDT) to translated ABS data to NIST standards so that Live Scan equipment can be upgraded. Ensure mandatory fields are required prior to record dissemination.<br>• Contract to update ABS Application to current/supported software release.<br>• Install new Live Scan equipment that is user friendly and able to manage booking site populations.<br>• Order replacement equipment (servers);<br>• Switch network from Token Ring to Ethernet.<br>• Install new ABS software on new servers and test;<br>• Install new livescan equipment and all supporting software.<br>• Implement new process.<br>• Ensure that all users and CJIS-CR after part of the testing.<br>• Conduct an initial user training<br>• Design an annual in-service training<br><br>Phase II:<br><br>This phase will cover the rollout of the following milestones from Phase I to any/all current ABS sites in the state.<br><br>Milestones:<br>• Install new NIST compliant Live Scan equipment.<br>• Order replacement equipment for initial and end users.<br>• Switch network from Token Ring to Ethernet.<br>• Install new ABS software on new servers and test, and train.<br>• Install new livescan equipment; and<br>• Implement new standard operating procedures. |

| PROJECT NAME/Number | I-1 – Arrest Booking System (ABS) Stabilization |
|---|---|
| | Phase III:<br>The current ABS System allows the Demographic data to be transmitted before the fingerprint images are taken. This causes problems when the demographics are transmitted and for some reason the fingerprint images are never received. Thus, work in process ques build causing a system crash, failure by the Repository to receive and process records; use of resources to troubleshoot system problems thus resulting in downtime and inability to resolve incomplete record transmissions. The solution is to have ABS send the demographics and the Images as a complete record and send the NIST record types as a package ensuring timeliness and accuracy.<br><br>Milestones:<br><br>• Change and implement ABS Software<br>• Implement new SOP for user. Ensure training.<br>• Stabilize current ABS system |
| Measurements to achieve BJA goals 1-5 | Improves reliability of system, thereby reducing down time and the need to switch to "manual" mode. Improves record accuracy by eliminating incomplete and duplicate records. Reduces rejections by FBI. Reduce the need for a daily MAF report to troubleshoot incomplete records. |

| PROJECT NAME/Number | I-2 – Network Livescan |
|---|---|
| Problem Description | Currently, 9 ABS sites and one NLS site (Balto. Co. White Marsh) electronically submit fingerprint records for identification by CJIS-CR and the FBI. All other criminal justice units must mail fingerprint cards to the CJIS-CR for manual processing. Thus, these CJU's do not receive timely notification of the results of fingerprint identification processing. This project is intended to expand the electronic exchange of criminal fingerprints and resulting criminal identifications among CJIS-CR, the FBI, and authorized criminal justice users statewide. |
| Project Cost | |

| **PROJECT NAME/Number** | **I-2 – Network Livescan** |
|---|---|
| NCHIP/State funding availability | Phase I: Completed at a cost of $144,444 (State funds)<br><br>Phase II:<br>Estimated cost is $122,822. The Department received BJA grant funding in the amount of $92,116.88. State match funding in the amount of $30,705.62 was committed to the project. The project is currently active.<br><br>Phase III:<br>Estimated cost is $581,444.44. The Department anticipates expending FY 1999 NCHIP funding for this portion of the project, redirected from Project #I-1.<br><br>Phase IV:<br>Estimated cost is $908,000 |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2002 Q3 – 2007 Q4<br><br>This project was referred to as ABS Re-Design/Clean-up in the *CJRI Plan Update 2001*, p. 10. It is designed to electronically submit fingerprint records from a Livescan device to the CJIS-CR and the FBI for the receipt of identification numbers. The Department has completed an initial analysis and documentation of its existing Livescan systems, fingerprint systems, and the need for expanded electronic submissions as well as the use of Livescan for submission and processing of fingerprint records by other States. A vendor has prepared a recommended Systems Design. This project is designed for implementation through the following stages:<br><br>• Phase 1: Uniform Fingerprinting of Offenders (UFO) Pilot (Prince George's County) – completed May 2002<br>• Phase 2: Network Livescan Pilot (Baltimore County) - Completed<br>• Phase 3: Network Livescan Design and Development - Completed<br>• Phase 4: Network Livescan Rollout |

| PROJECT NAME/Number | I-2 – Network Livescan |
|---|---|
| | • Phase 5: Network Livescan Rollout to ABS Sites in 8 counties.<br><u>Phase 1: UFO Pilot (Prince George's County)</u><br>The UFO project addresses a departmental goal of providing a single common identifier for DPP probations that did not submit court ordered fingerprinting upon rendering of a disposition and it will improve verification, validation, and event tracking of these offenders. The overall benefit will be an improved quality of information and integrity of data disseminated by the Repository to better protect public safety. The Department entered into a pilot, completed in June 2002, between the Division of Parole and Probation (DPP) and the Information Technology and Communications Division (ITCD), which involved installing a Livescan machine at the Upper Marlboro DPP intake facility, and using this equipment to capture fingerprints of individuals being taken into supervision. Two thousand (2,000) offenders have been fingerprinted since startup in October 2001, 25% of whom have been assigned a new SID number. These "new" offenders represent persons not previously fingerprinted in Maryland and their fingerprint records are being added to the Maryland Automated Fingerprint Identification System (MAFIS), II and ADR. The CJIS-CR receives the fingerprints for these DPP clients and processes them manually using the Department's Identification Processing System (IPS). If a "hit" is made (i.e., the fingerprints match an existing record in the database), CJIS-CR sends notification to the DPP intake office, via email, of the client's SID number. DPP may then run a criminal history check on the SID number to determine aliases, prior convictions, outstanding warrants, and current supervision status on the offender.<br><br>The following activities have been completed in Phase 1:<br><br>• The analysis and documentation of current fingerprint processing systems was completed in May 2002.<br>• The proposed design of Network Livescan deliverables were submitted in June 2002.<br><br>Still needed are:<br><br>• Automation of this project |

| PROJECT NAME/Number | I-2 – Network Livescan |
|---|---|
| | • Expansion to other DPP sites<br>Phase 2: Network Livescan Pilot (Baltimore County)<br>The phase will primarily address the printing of offenders' fingerprint cards through the network to a printer located at the CJIS-CR operations unit, at the Reisterstown Plaza Office Center (RPOC). This is based on the technology developed for UFO in Phase I. The Baltimore County Police Department will also serve as the pilot site for the fully automated Network Livescan project schedule in phase 3.<br><br>The following resources are required for phase 2:<br><br>• One Livescan unit including installation software<br>• Maintenance and service agreement for one-year following the pilot period.<br>• Travel to and from the Department to local law enforcement agencies.<br><br>Phase 3: Network Livescan Pilot (Baltimore County)<br>The deliverable of this phase will be the actual design and development of the Network Livescan system. This includes bringing up one Livescan machine in Baltimore County, as the pilot site. This was completed May 16, 2004.<br><br>Phase 4: Network Livescan Rollout<br>After rollout to Baltimore County, there remain 14 counties that do not use ABS, and therefore have no capability to submit fingerprints electronically for rapid identification. A rollout plan for the Livescan machines has been finalized. As of June 5, 2006, 13 of the 14 counties have been rolled out. Those counties are Allegany, Anne Arundel, Calvert, Caroline, Carroll, Cecil, Dorchester, Garrett, Kent, Queen Anne's, Somerset, Talbot, and Worcester. Washington County is schedule to roll out June 13th.<br><br>Phase 5: Network Rollout to ABS County Sites – 8 counties<br>Eight counties outdated TP 600's are in most sites – transition plan for each county and needs assessment. Mug shots systems and livescans must have mug shot capability or interface with DC track mug shot system. Contractual serves for interfaces with Network |

| PROJECT NAME/Number | I-2 – Network Livescan |
|---|---|
| | Livescan and their booking site. Funding for morpho modification to have consistem interface.<br><br>Phase 6: Local Detention Centers<br><br>Phase 7: Court Collection |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | I-3 – Capturing Division of Correction (DOC) Reportable Events |
|---|---|
| Problem Description | Maryland's CPA, § 10-215, identifies the "reportable events" that all criminal justice units (CJUs) are required to report to CJIS-CR to become part of the State RAP Sheet, among which are the admission, release, and escape status of DOC inmates. These events are being reported via OBSCIS I (DOC MIS) only incompletely, however. To ensure compliance with statute, this project was designed to meet the following goals and objectives:<br><br>Phase I: Completed<br>• To ensure the OBSCIS I data collection process provides proper release and receipt codes, and that tracking numbers are collected and edited;<br>• To re-write each Arrest Disposition Reporting (ADR) update program to use tracking numbers to ensure proper linking to District and circuit court cases;<br>• To ensure exception reporting on DOC records that fail to link to court data.<br><br>Phase II:<br>• All Historical data (November 2003 and earlier) will be corrected as defined in Phase I.<br>Analysis has begun – a Statement of Work document has been completed, programming is completed and historical data from 1993 to 2003 has been added to ADR. |

| PROJECT NAME/Number | I-3 – Capturing Division of Correction (DOC) Reportable Events |
|---|---|
| | Phase III:<br>• All OBSCIS II data historical and day forward rolled into this corrective process.<br>• Pursue OBSCIS II Analysis -Statement of Work has been finished.<br><br>Phase IV: Pretrial and post conviction data collection issue addressed. |
| Project Cost | Phase I: Estimated $110,966<br>Phase II: Estimated N/A<br>Phase III: Estimated N/A<br>Phase IV: Estimated N/A |
| NCHIP/State funding availability | State funded. |
| CJRI monies by FY | The Department requested FY 2001 Byrne 5% funding from the Governor's Office of Crime Control and Prevention for this project. Request denied. State funding has been reprioritized to address this project. |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q3 – 2006 Q2<br><br>The above objectives will be achieved by hiring contractors to prepare a Requirements Definition for the desired objectives and complete a Systems Design. ITCD applications staff will assist the contractors in coding the records contained in the ADR database. After unit testing of revised coding and user acceptance testing to ensure accuracy, DOC case management staff will be trained on proper entry of data in the revised ADR system, and ITCD staff will be trained on the management, reporting and maintenance of the revised ADR database - completed.<br><br>To date the Statement of Work has been written and approved; the Detailed Design Specifications have been completed; and programming is complete. We have captured 10 years worth of historical DOC data. The number of runs needed depends on the volume of data per year.<br><br>Milestones:<br>• Tracking # field required on DOC - Completed |

| PROJECT NAME/Number | I-3 – Capturing Division of Correction (DOC) Reportable Events |
|---|---|
| | • Case number field expanded on DOC - Completed<br>• ADR matching on tracking number/case number – Completed<br>• Capture all historical data for DOC – Historical data from 1930 to 2004, June has been added to ADR.<br>• Capture Day forward and Historical data for P&P. Work in Progress<br>• Training of pretrial detention staff for online entry program use. |
| Measurements to achieve BJA goals 1-5 | Performance measurements:<br>• Number of reportable events entered onto RAP Sheets;<br>• Existence of release and receipt codes based on the number of tracking numbers collected and edited;<br>• Number of confirmed cases with tracking number linkages;<br>• Number of cases indicated on exception reports.<br>• All pretrial and post conviction data captured in CJIS. |

| PROJECT NAME/Number | I-4 - RAP Sheet Linkage Project |
|---|---|
| Problem Description | Maryland's CPA, § 10-215, identifies the "reportable events" that all CJUs are required to report to CJIS-CR to become part of the State RAP Sheet. These reportable events must be linked together by the use of a Tracking Number in order to provide for the chronological criminal history of an offender. Absent the proper use of the tracking number and other internal linking requirements, reported data would not appear on an offender's RAP sheet. OBSCIS II Data must be present on the RAP sheet.<br><br>Phase I:<br>Tracking number corrections and extraction of all Department of Corrections reportable events on a day forward basis. - Completed |

| PROJECT NAME/Number | I-4 - RAP Sheet Linkage Project |
|---|---|
| | Phase II:<br>Circuit court and appeals court tracking numbers. The linkage of appeals findings with the tracking number. Appellate data does not match and link in JIS or CJIS. This needs to be corrected. All historical data for the Department of Corrections reportable events before the completion of Phase I - Completed<br><br>Phase III:<br>Parole Data Linkage to the Rap Sheet. Non-compliance with the reportable event of release of an individual from confinement. Extraction of warrant information for identified individuals for inclusion on the RAP sheet. Non-compliance with the reportable event. All OBSCIS II data must be on the RAP sheet.<br><br>Phase IV:<br>Error reports must be designed and provided to Detention Centers in an effort to have reporting process confirm to CJIS standards. |
| Project Cost | Current ITCD resources as needed. |
| NCHIP/State funding availability | None |
| CJRI monies by FY | N/A |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q3 – 2006 Q2<br><br>To ensure compliance with statute, this project is designed to meet the following goals and objectives:<br><br>1. The editing and check digit routines of the Tracking Number are consistent among all systems - Completed<br>2. The entry of Tracking Number will become a mandatory process – Completed<br>3. Exception reports will be generated, distributed and worked to resolve issues - Completed<br>4. Exceptions from contributing agencies will be worked through their representatives - |

| PROJECT NAME/Number | I-4 - RAP Sheet Linkage Project |
|---|---|
| | Completed<br>5. Investigate and correct anomalies on RAP Sheet exceptions - Completed<br><br>Court Reporting data validation reports have been programmed and are being tested. The editing and check digit routines in the Tracking Number have been validated across systems. Work is progressing to make the Tracking Number a mandatory field on all systems. Tracking number has been designated as mandatory in OBSCIS I and OBSCIS II; all systems are now using the same tracking number check digit and edit routines.<br>Milestones:<br><br>• Tracking Number fields mandatory on all systems<br>• Exceptions worked through appropriate agency representatives<br>• Improvement of the tracking number linkage<br>• Improvement of the circuit court data and appeals court data in ADR<br>• Improvement of reportable event number 14 in the RAP sheet<br><br>Phase II - Circuit Court and appellate court tracking numbers – Completed<br>Phase III - Parole data linkage to the RAP to be completed. Pending resources<br>Phase IV – Report must be designed for programming work to start. |
| Measurements to achieve BJA goals 1-5 | Accuracy and completeness of criminal history data.<br>Timeliness of criminal history reporting<br>Overall customer service |

| PROJECT NAME/Number | I-6 – Release Without Charge Processing |
|---|---|
| Problem Description | Release Without Charge (RWOC) is a “reportable event” in Maryland statute (CPA, § 10-215). The Arrest Booking System (ABS) has a specific release type for reporting RWOC dispositions. ABS software will pass an Arrest Disposition Numeric Code ‘207’ that will |

| PROJECT NAME/Number | I-6 – Release Without Charge Processing |
|---|---|
| | display on the RAP sheet with an arrest literal of "Released w/o Charge". However, ABS users are not currently using the proper release type to report RWOC dispositions, but instead are choosing the "exception release" code and typing the letters 'RWOC' in the free-form text area provided. While this entry methodology is less cumbersome for the user, it results in a criminal arrest record and a State and FBI fingerprint card that does not reflect the fact that the arrest resulted in an RWOC. Furthermore, the FBI will update the III pointer to reflect that Maryland has a criminal record on this individual. Since, a court record (charges and disposition) will never be received, the RAP sheet will not reflect that the arrest resulted in a RWOC. Finally, the fingerprint card will be archived absent a notation that the arrest resulted in an RWOC.<br><br>The New Network Livescan (NLS) System will need to allow for the processing of individuals who are Released Without Charge. Since arrested individuals can be held up to 24 hours before seeing a Court Commissioner, we propose a solution for the NLS system to hold all arrest records in suspense for twenty-four hours to allow the Release without Charge processing to take place. If after 24 hours from the date and time of arrest, the arrest record remains, it will flow through the normal update process and be posted to the individuals RAP sheet and the FBI. If the individual is Released Without Charge, that will also be reflected on the RAP sheet, but no FBI record will be created.<br><br>This project is intended to correct the RWOC process in ABS and to provide the above-described solution in NLS. |
| Project Cost | $33,000 – 600 Programming hours |
| NCHIP/State funding | State funding |

| PROJECT NAME/Number | I-6 – Release Without Charge Processing |
|---|---|
| availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2007 Q1 - 2007 Q4.<br>Prilimanary Analysis **:** understanding the requirement and gathering relevant information has started . ~~This project will be started after the implementation of NLS.~~ |
| Measurements to achieve BJA goals 1-5 | Improve the accuracy of the criminal history record. Comply with state law regarding reportable event #3. Reduce III synchronization errors. |

| PROJECT NAME/Number | I-11 – CJIS Warrant Flag |
|---|---|
| Problem Description | The issuance of an arrest warrant is one of the "reportable events" required under the CPA, § 10-215. However, because warrants are not fingerprinted-supported when issued, their entry onto the CJIS RAP Sheet has never been accomplished (a warrant subsystem of MILES has been available statewide via MILES for many years). It has been determined, however, that there are certain categories of warrants for whom the identification of the wanted individual is already known to criminal justice authorities, and matches against CJIS data would not therefore corrupt the system. These warrant types include: escapes from correctional facilities; alleged violators of parole and probation; individuals wanted for "FTA"; and absconding or non-compliant registered sex offenders.<br>The proposed process includes reading the Hot files on the switch and extracting all warrants that have a SID number attached. The extract would pick up whether the warrant was served or canceled and update ADR appropriately. |
| Project Cost | $11,000 – 200 Programming hours |
| NCHIP/State funding availability | Phase I Phase II |
| CJRI monies by FY | |
| Current status | This is a future project. Estimated timeframe 2005 Q2 – 2006 Q4 |

| | |
|---|---|
| (implementation strategy, including timeframe and milestones) | Phase I – Extract from Hot files warrants that have accompanying SID files. Update of rap sheets. Future project. Estimated timeframe: 2008 Q2 – 20010 Q1.<br><br>Phase II |
| Measurements to achieve BJA goals 1-5 | Improve the accuracy of the criminal history record. Comply with state law by making arrest warrant entered onto RAP Sheets as reportable event. |

| **PROJECT NAME/Number** | **I-12 – ADR/CCH System Replacement** |
|---|---|
| Problem Description | The current CCH system is very old code, has many years of undocumented changes, and is based on an IMS hierarchical database. |
| Project History | A vendor was contracted to do a study and make a recommendation as to whether we should update our current system to a relational database, do custom development, or purchase a COTS system that would encompass newer technology. That study recommended that a COTS distributed system be purchased, with customization necessary for Maryland unique requirements. Another contract was let to develop a detailed requirements document and an RFP to purchase the COTS package. As part of that work, a user survey was distributed and customer needs were documented. The vendor's document was reviewed and approved.<br>The costs below represent the Phase 2 &3 of this application replacement.<br>Phase 1 is the Requirements/RFP phase. This Phase is complete. Due to budgetary constraints the RFP was never published.<br>Phase 2 is the Purchase/Customization/Test/Implementation phase of a COTS package. Phase 3 is the on going Maintenance phase. Delaying Phase 2 and 3 will require funding to add and update the existing antiquated system to comply with the standard FBI RAP sheet specifications.<br><br>During the period November 2001 through August 2002, the Department engaged the University of Maryland's Center for Criminal Justice Technology (CCJT) to perform an assessment of the Department's complete Criminal History records system. The CCJT recommended that the Department select a CCH vendor with a core system containing most of the Department's functionality requirements, and customize the chosen product to meet |

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| | Maryland's CCH requirements.<br><br>The Department planned to publish the Request For Proposal (RFP) for the CCH Improvements project by December 2002. However, the State's extreme budget shortfall has frozen the project.<br><br>The project is scheduled for 2008 budget monies but maybe started sooner if monies are available. |
| Project Cost | Est. cost for Phase 2 and 3 $3—4 million |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2008 Q1 – 2010 Q1. |
| Measurements to achieve BJA goals 1-5 | Accuracy and completeness of criminal history data.<br>Timeliness of criminal history reporting<br>Overall customer service |

| **PROJECT NAME/Number** | **I-13 – Uniform Fingerprinted Offender (UFO)** |
|---|---|
| Problem Description | In October 2001 via directive from then Secretary, the Division of Parole and Probation was provided an opportunity to pilot the Uniform Fingerprinting of Offenders Project. The project was done through the DPP Upper Marlboro Intake Location. The project was initiated to address the concern that approximately 20,000 offenders under the supervision of DPP do not have State identification numbers (SID'S). This occurrence is primarily due to the issuance of a probation disposition absent an arrest. The project is designed to assign a SID to all offenders reporting to intake who currently have no SID on file. This SID will facilitate the Department's plan to develop a single identifier that can be used throughout the system and thus allow the charge and disposition to update the Maryland Rap sheet. The project |

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| | will additionally allow the CJIS-CR to become compliant with Annotated Code of Maryland 10-215 #10: the acquittal, conviction, verdict of not criminally responsible, or any other disposition of a case following a trial. This project was initially created as Phase I of project I-2 (Network Livescan) for one site in Prince Georges County. |
| Project Cost | Estimate not available |
| NCHIP/State funding availability | Internal Resources |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2006 Q4 – 2007 Q4<br>• Phase I: Which is currently implemented in Upper Marlboro allows for DPP to fingerprint candidates and enter the necessary data through the Livescan machine. The information is sent to CJIS via the UFO network printer. Upon receipt of the card CJIS conducts a search via MAFIS and returns an email to DPP. The email includes The SID #, FBI# and true name if applicable.<br>• Phase II: Will allow for the electronic submission of this data directly to GSP for processing, via IPS and MAFIS thus allowing the return of an electronic response. (Network Livescan programming may assist in this effort)<br>• Phase III: Will allow for the total connectivity of all DPP sites. |
| Measurements to achieve BJA goals 1-5 | 1. Increase in the integrity of data maintained in Maryland's RAP Sheet<br>2. Increase in the integrity of data used by criminal justice and non-criminal justice units in making business decisions, i.e., judicial sentencing, employment, etc.<br>3. Compliance with Reportable event standard #10<br>4. DPP will be able to relay on the ADR system for all cases and will not have to perform name search based record checks for offenders<br>5. The existence of a unique identifier (SID) will improve the reliability of data in OBSCIS I and II. |

| **PROJECT NAME/Number** | **I-14 – Pre-Trial and Detention** |
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| Problem Description | Detention centers are not submitting all applicable/required pretrial detention data to the Central Repository. (Audit #2-1990; Audit #3-1991; Audit #4-1992). As a result, CJIS-CR is unable to submit pretrial detention data into the Central Repository database. (Audit #2-1990; Audit #3-1993; Audit #4-1992). This results in CJIS-CR being unable to return error reports to detention centers when there are errors in the data submitted to the Central Repository by the detention centers (Audit #2-1990). |
| Project Cost | $250,000 (ROM estimate) |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2008 Q1 – 2011 Q2<br><br>Phase I:<br>An on-line program was created for detention centers to enter pretrial and detention data. The program must be updated and pretrial/detention center personnel re-trained in the use of the program and in the statutory requirements for data they must submit. If this program works directly, it should inform detention centers of all errors in their entered data and reject the data until it is entered correctly, which will remove the need for error reports identified in the 1990 audit. So far, this procedure has been ineffective.<br><br>Phase II:<br>• A project will be initiated to electronically connect to each detention center to transmit the required data. Training of pretrial and detention center staff must occur as well.<br>• Local Detention center submission of pretrial data be collected and update on ADR,<br>• Local Detention center staff handling pretrial and post conviction incarceration be retrained in the process of using the program.<br>• Initiate local detention error reports and distribute data to them.<br><br>Phase III:<br>• Comparison of sentencing data with detention center data. |

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| | • Comparison of sentence data with Detention center intake data. Need a customized program to check this.<br>• Provide training on any new programming completed with the Detention center staff.<br>• Initiating local detention centers error reports in an effort to get errors made corrected and standard<br><br>Milestones:<br>• Assess software application availability/usage for all the detention centers<br>• If application software exists, design/develop MQ Series Interface (by the detention centers)<br>• Modify all interfacing systems<br>• If no application software exists, develop Java/internet application to capture data<br>• Evaluate replacement software for JAIL that is used by Baltimore Detention Center<br>• Procure the software<br>• Install the software<br>• Modify all interfacing systems |
| Measurements to achieve BJA goals 1-5 | TBD |

**Goal 2: Full Automation of All Criminal History and Fingerprint Cards**

| **PROJECT NAME/Number** | **II-1 – Electronic Submission of Manual Criminal Fingerprint Cards** |
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| Problem Description | The CJIS-CR receives and processes annually approximately 200,000 criminal cards manually. Currently, electronic submissions of fingerprint cards are limited to criminal submissions from the ABS and one NLS site. Any criminal fingerprint cards not processed through ABS are processed manually, which is labor intensive, prone to error, and causes delays in updating of ADR. Approximately 40% of criminal arrests are processed manually. Processing the manual cards electronically will result in cost savings, expedited delivery of identification results, improved accuracy of SID numbers, reduced inconsistencies in the |

| PROJECT NAME/Number | II-1 – Electronic Submission of Manual Criminal Fingerprint Cards |
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| | processing III synchronization reports, and improved customer service. The objectives of this project are:<br><br>• To improve the state's record quality index (RQI).<br>• To achieve timeliness, completeness, accuracy and quality of MD's CHRI.<br>• To improve the quality of CHRI dissemination; thus, resulting in a more complete RAP sheet.<br>• Reduces the need for manual intervention.<br>• Allow for judicial, legislative and executive decisions related to criminal history to be more accurate, complete and timely. |
| Project Cost | $37,741 |
| NCHIP/State funding availability | State funded. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2004 Q1 – 2005 Q4<br><br>The Scope of Work includes the modification of the GSP III to:<br><br>• Always default to request an IAFIS search for both criterion and non-criterion offenses;<br>• Automatically print the contents of any and all records in National Institute of Standards and Technology (NIST) Edit status to a single designated print server after the record has been in the NIST Editor for more than thirty (30) days;<br>• Develop a one-time process to print every record that is currently in the NIST Editor regardless of its age; and<br>• Develop an hourly process to locate new records sent to NIST Edit status and send the contents of those records to a designated print server.<br><br>The GSP-III upgrade will include implementing visualized updates of "real-time" activity in GSP III from remote sites to: |

| **PROJECT NAME/Number** | **II-1 – Electronic Submission of Manual Criminal Fingerprint Cards** |
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| | 1. Ensure that quality images are transmitted;<br>2. Improve processing times;<br>3. Advise remote sites of poor image quality while arrestee is still in custody; and<br>4. Reduce the number of misidentifications to maintain quality control.<br><br>Card scanners to complete this project have been ordered. |
| Measurements to achieve BJA goals 1-5 | • Improve RQI in comparison to national average<br>• Rapid identification and updating of CHRI<br>• Shifting of resources due to automation<br>• Allow for accuracy in final adjudication and decision related to Hazmat, NICS and bio terrorism. |
| Current status (implementation strategy, including timeframe and milestones) | The card scanners that were ordered for this project will be moved into production on June 25, 2006. |

| **PROJECT NAME/Number** | **II-2 – Implementation of Revised CJIS Security Policy Requirements** |
|---|---|
| Problem Description | Federal requirements (CJIS Security Policy 9/2004) for the NCIC 2000 application have dramatically changed the level of security that DPSCS must support. In order to be compliant, and to simplify network and system complexity, DPSCS endorses these new requirements for its entire application and network architecture. |
| Project Cost | |
| NCHIP/State funding availability | State funded, depending on availability. |
| CJRI monies by FY | |
| Current status | Estimated timeframe: 2004 Q2 – 2006 Q4 |

| PROJECT NAME/Number | II-2 – Implementation of Revised CJIS Security Policy Requirements |
|---|---|
| (implementation strategy, including timeframe and milestones) | During FY 2004, the major security initiatives planned by DPSCS are as follows.<br><br>1. The formation of ISO office was completed and is fully operational. The new Information Security Office (ISO) centrally manages user accounts and profiles, maintains and monitors network-based intrusion detection system, performs system and network audits, audits user network and application activity, and provides tier 3 support for security applications and services.<br>2. New Internet Firewalls are currently being migrated into the network to solve existing firewall performance problems while maintaining effective security at its perimeter.<br>3. The installation of a Network Intrusion Detection System (NIDS) was completed and is fully operational. This will allow DPSCS to monitor its network for suspicious activity that might indicate intrusion or inappropriate internal activity. Fiber taps are being implemented on major network links in such a way that monitoring will continue even if major pieces of the DPSCS network infrastructure fail.<br>4. Tripwire is currently being installed on the servers for system-level integrity monitoring so that it can monitor changes on servers and compare these changes to scheduled upgrades and software installation. Unauthorized or unscheduled system changes may indicate system compromise or other inappropriate activities. The integrity of server resources is paramount.<br>5. Mainframe password policy was in violation with State policy and was changed to comply with State policy.<br>6. Network Intelligence was installed to collect security events from both border routers and servers.<br>7. To address user management complexity, single sign-on technology is being implemented in phases, with NCIC 2000 in current deployment. Requiring a user to remember multiple user names and passwords confuses the user, and creates further security risk when the user is forced to record them in order to remember them. Legacy applications and COTS software will have to be modified so that the user can use a single form of authentication, but seamless access may not be possible. DPSCS will attempt to integrate existing applications while introducing the single sign- |

| PROJECT NAME/Number | II-2 – Implementation of Revised CJIS Security Policy Requirements |
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| | on architecture with its major new application initiatives. Secure single sign-on is a main component in the DPSCS compliance strategy.<br><br>Secure Single Sign-On<br>This centrally controlled single sign on system will be maintained by account administrators in the ISO under the supervision of the Chief Security Officer. The main components of this system are as follows:<br><br>• Strong Authentication - also known as two-factor authentication, refers to a system where two things are required to authenticate a user. One of the most common examples of this, and the one which DPSCS has chosen to implement, is RSA SecurID. This technology is well accepted in the law enforcement and security community, and represents a dramatic improvement over simple password authentication. In this system, the user authenticates using both a numeric PIN that only the user knows and a RSA SecurID token, which provide a time-sensitive single-use pass code. These two items combine to make the user's two-factor authentication and uniquely identify the user to the system. To login to an application as the user, an intruder would have to capture both the RSA token and also have possession of the user's PIN.<br>• Centralized Authentication - The RSA ACE Server, which is the server component of RSA SecurID, provides DPSCS with the ability to authenticate users of distributed applications against a central authentication system. This allows DPSCS to create a user once, modify the user in a single place, and delete the user from a single system. When a user is disabled in or deleted from the central authentication system, the user is immediately unable to access all DPSCS applications that are controlled by the centralized authentication system. This effectively removes the risk of the current environment where many steps and actions by several individuals are necessary to effectively remove a user from all DPSCS systems and resources.<br>• Centralized Authorization - DPSCS is in the process of developing a central LDAP-compliant directory for use in storing information about users. LDAP (Lightweight Directory Access Protocol) is the standard for directories in use today. The directory |

| PROJECT NAME/Number | II-2 – Implementation of Revised CJIS Security Policy Requirements |
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| | will enable DPSCS to manage user profiles in a central location without having to add/modify/delete them in distributed applications. This, combined with centralized authentication, will enable DPSCS to simplify user management as described above and provide fast read-only user profile access to applications so that these applications can make transaction-level decisions about the authorization of users.<br>• Implementation of the DPSCS Restricted Access Network (RAN) - In order to be compliant with federal requirements, and to simplify network architecture, DPSCS will be requiring all users, no matter what their location, to establish a VPN session with a segment of its network known as the RAN. This will enable DPSCS to monitor who is connecting to its resources while providing data integrity and confidentiality (via encryption). User access to resources in the RAN will only be possible through a VPN session which requires strong authentication as part of the DPSCS secure single sign-on architecture. Ran is currently being deployed; however, achievement of this depends on the completion of migration to new Internet Firewalls.<br><br>Future Security Plans - DPSCS will strive to expand its secure single sign-on architecture to support all of its applications and users. Legacy and existing applications will be replaced with alternatives that fit its security model. NCIC 2000 rollout will conceivably expand to a total of approximately 20,000 users and support will have to be scaled to handle this increase. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | II-3 – State Warrant System (Ken) |
|---|---|
| Problem Description | Warrants are issued by courts throughout the State and then forwarded to law enforcement agencies for service. Criminal justice officials who are looking for warrants for an individual must check many different systems in their attempts to find these documents. This time consuming process is inefficient and impractical. By identifying these various systems basic warrant information could be extracted from these sources and maintained within the current |

| PROJECT NAME/Number | II-3 – State Warrant System (Ken) |
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| | hot files. Programming is required to retrieve the data from the various existing systems, transfer that data to the existing warrant system, and to deal with administrative issues related to handling warrants in this manner. |
| Project Cost | TBD |
| NCHIP/State funding availability | State funded, depending on availability. |
| CJRI monies by FY | $260,340 |
| Current status (implementation strategy, including timeframe and milestones) | Estimated Timeframe: 2007 1Q – 2Q<br>• Research administrative issues and develop solutions<br>• Identify source systems and establish connectivity<br>• Establish procedures for transferring data and make system adjustments to accommodate warrants. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
|---|---|
| Problem Description | 1. There is a need to increase electronic fingerprint intake and transmission to the FBI Integrated Automated Fingerprint Identification System (IAFIS). Currently, 80% of all criminal fingerprints are captured with the aid of LiveScan machines. MAFIS submits 60% of Maryland's criminal fingerprints, which represent nine ABS sites and one NLS site, to IAFIS, with a 2-hour response time. For the hard copy cards mailed to FBI, no response is generated for criminal and applicant responses take 6-8 weeks. This is being addressed in the on-going Network LiveScan System (NLS) project which when fully implemented will allow users to transmit demographic data and fingerprint image from non Arrest Booking Site to the State Fingerprint Data Router (FDR) for rapid positive identification of criminal and non-criminal subjects on the IPS and MAFIS. Current NLS site visits have been conducted for 15 locations: Sommerset Co. Sheriff, |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
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| | Worcester Co. Sheriff, Dorchester Co. Sheriff, Ocean City PD, Anne Arundel PD, Garrett Co. Detention Center, Alleghany Co. Sheriff, Washington Co. Sheriff, Carroll Co. Detention, Queen Anne's Co. Sheriff, Kent Co. Sheriff, Cecil Co. Sheriff, Calvert Co. Sheriff, Caroline Co. Sheriff, Talbot Co. Sheriff.<br>2. The MAFIS Archive scanning system is made up of two high-speed low-resolution scanners and one low-speed high-resolution scanner. There are two workflows associated with the archive system. The first workflow addresses the scanning, archiving and printing of existing State hardcopy fingerprint cards. The second workflow addresses the archiving and printing of Maryland NIST records received from LiveScan devices. This current system is not functioning properly. In the first workflow, each card is scanned on both high and low-resolution scanners and linked as one record. The high-speed scanners are capable of scanning more than 160 cards per hour; the low speed can only scan 50 cards per hour. At this rate, it would take 11 years to scan more than four million hardcopy cards in the CJIS-CR Archives. Current system rarely works and has no quality assurance tool associated with it.<br>3. The new solution would be to do a large card conversion from paper manual cards to digital images. This would allow us to free up storage space as well has human resources required to manage 4(+) million FP cards. The MAFIS Archival System was designed for 1 million records. With additional low speed scanners, the devices will be capable of inputting more than 200 cards per hour or over 4,800 records a day. If used to capacity, the storage RAID will be filled at the end of the 208$^{th}$ day. This does not include LiveScan or card scan generated records, which are submitted for MAFIS searching. If 900 records are added per day, storage capacity will be exhausted in 175 days. This does not support current work volumes. A combined solution of total card conversion and linkage between the live scan database, and other business systems in the Central Repository that will allow storage and retrieval of electronic stored FP cards.<br>4. ABS and NLS sites need to be able to print cards at various locations after retrieval from the Archival System.<br>5. There are many outdated hardware components in MAFIS. This equipment was installed prior to 1997 and must be replaced with newer architecture for improved |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
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| | speed integrity of data and better reliability. Among these are:<br>• 4 units of C10s RS deployed as String Controllers;<br>• 1 unit 250 deployed as a Matcher Controller; and<br>• 4 Units of 320Hs deployed as Matcher Controllers and spare.<br>• Hawkeye workstation<br>• CPU's that are at least 10 years old<br>• Scanners that take approximately 2 minutes to scan one card<br><br>6. Sex and age criteria should be removed from the MAFIS search process so that when a search is submitted to the system, MAFIS will search all fingerprints in the database regardless of sex or age. This will increase system identification-hit rates. MAFIS is presently configured with twenty (20) matchers. Removing sex search criteria will increase system-hit rate, decrease matching speed, and increase users' average SID return.<br>7. MAFIS does not meet ANSI Standards. The NGA is three tiered client/server architecture with scalable servers to meet the Department's throughput and response-time requirements. NGA incorporates COTS software products alongside vendor proprietary software. It allows the use of third party ten print-input devices on AFIS. In NGA, all images can be captured and stored in a 256-level grayscale format at a resolution of 500 pixels per inch or higher, which meets the ANSI standards and complies with the IAFIS image quality specification.<br>8. MAFIS does not have the ability to collect, process and store palm prints. With the implementation of NGA, MAFIS can be configured to accept electronic palm print from authorized LiveScan sites. Currently, the only way to collect palm prints is to ink the palms. This not only creates more paper, but eventually these prints will require a manual conversion process. MAFIS palm print interface will allow latent users to search latent prints against palm print database and have these images stored in our archive system.<br><br>This project is divided into 2 Phases: |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
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| | The first phase is to develop a detailed requirements document and an RFP to purchase the COTS package. A Task Order Request For Price has been issued and the vendor selection is in progress. As part of that work, a user survey will be conducted and customer needs documented. Based on the RFP generated from this phase a COTS package will be installed with an electronic archive solution.<br><br>Phase 2 is the Purchase/Customization/Test/Implementation phase of a COTS package.<br><br>Phase 3 is the maintenance contracts. |
| Project Cost | $12,168,000 |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2005 Q3 – 2007 Q4<br><br><u>FY 2006 Plans</u><br><br><u>1. Achieve 100% rate of transmitting electronic criminal and applicant fingerprints to IAFIS.</u> The result of this enhancement will be a decrease in overall response time from FBI records for applicant and a return of FBI responses for criminal. This initiative includes projects to:<br><br>• Install Fingerprint Data Router (FDR), make code changes on IPS and MAFIS GSP III to process and submit criminal and non-criminal fingerprints to IAFIS electronically and receive electronic responses; and<br>• Install LiveScan machines at agencies where manual ink printing is still the norm.<br>• As LiveScans are deployed by Maryland or purchased by local agencies, more than 90% of all cards received would be through electronic processes. Some of these |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
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| | LiveScan devices will be part of the NLS (Network LiveScan) project (see #1-6);<br>• 14 sites assessments conducted. Rollout schedule TBA.<br><br>The benefits include:<br><br>• Searching records against MAFIS and electronically submitting them to IAFIS will provide electronic turn-around from the FBI of 2 hours for criminal and 24 hours for applicant;<br>• IDs are obtained while a subject is still in custody, even if no match is found on MAFIS;<br>• CJIS operational workload streamlined and less manually intense as more records are sent electronically from remote sites to the system;<br>• Fingerprint records are automatically saved to the archive system; and<br>• CCH can be updated without duplicate data entry.<br><br>Resources required to implement these changes would cover consulting and programming services from the Sagem Morpho proprietary vendor and DPSCS staff. The project is in testing phase. Partial implementation took place on May 16, 2004 (NLS: one site Balto. Co.)<br><br>1. Increase archival scanning input rate and system capacity. There is a need for four additional low speed scanners to balance the rate of input between the two sets of scanners.<br><br>2. Implement NLS to create a generic positive ID process from fingerprints submitted from a LiveScan for any authorized reason. Resources required to accomplish these changes are four additional low speed scanners including the resources for setup, an image server as a storage system, and scanner expansion tools.<br><br>3. Web-enable the MAFIS Archival system. The benefit associated with this are: |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
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| | • Latent examiners would be able to print cards rather than request assistance from the CJIS archives; and<br>• More offenders will be taken off the street in a timely manner due to the ability to backup latent prints.<br><br>Resources required to accomplish this task include the purchase of an OPPIS software license with maintenance for each latent site.<br><br><u>FY 2006 Plans</u><br>4. <u>RS 6000 Hardware replacement</u>.<br>5. <u>Eliminate sex search criteria in MAFIS and segregate technical and demographic search process on IPS</u>. In order to achieve a reduction in system misidentifications, the following tasks will be accomplished:<br><br>• By segregating IP name and technical searches system identification accuracies will be improved; and<br>• Six additional matchers will be added to MAFIS to maintain current system match speed or throughput since removing sex search criteria will result in more records being searched for any given request.<br><br><u>Future MAFIS Plans</u><br><br>7. <u>Migrate MAFIS from XL to Next Generation AFIS (NGA)</u>. This initiative would require that DPSCS define all new throughput and capacity:<br><br>• Replaces the existing CC, DIRS, and DMS;<br>• Provides latent V3 Matchers;<br>• Replaces the existing V6 Coders with Image Processor;<br>• Replacement of all existing matcher with MetaMatcher; |

| PROJECT NAME/Number | II-5 – MAFIS Replacement |
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| | • Replacement of all existing AFIS workstations with General Purpose NGA AFIS Workstations; and<br>• Migration of XL 3.1.107 database to NGA.<br><br>8. Implement Palm Print Interface. The benefits of this major project are as follow:<br><br>• Palm prints can be electronically stored on the Archival System, which will allow their retrieval on demand at both the central site and any remote sites; and<br>• Palm Print data can be copied to tape in the future and electronically coded and loaded onto the new NGA, which will increase the efficiency and effectiveness of MAFIS identification process.<br><br>The resources required for this initiative are hardware, software and consulting.<br><br>The RFP was posted for bid in February 2006. The state evaluation team has completed reviews of RFP responses submitted by three major AFIS providers. As part of the evaluation process, Maryland evaluation team conducted system benchmarks on the vendors' AFIS. One of the primary reasons Maryland plans to replace the current system with a new AFIS for the State is that new AFIS technology has advanced significantly in accuracy capabilities. AFIS accuracy is the measure of the ability of the AFIS to match incoming ten-print, latent finger and latent palm print images against those corresponding images stored in the AFIS database. The purpose of the benchmark is to confirm the information provided within the vendor proposals based on the vendor COTS product. The final evaluation to the vendors' proposals and system benchmark will be completed by June 23, 2006. The notification and contract submission for MAFIS replacement will be made on June 30, 2006. |
| Measurements to achieve BJA goals 1-5 | TBD |

## Goal 3: Optimal Timeless of Criminal History Reporting

| **PROJECT NAME/Number** | **III-2 – Electronic Submission of Applicant Fingerprint Cards** |
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| Problem Description | The CJIS-CR receives and processes approximately 209,000 applicant fingerprint cards annually. The applicant cards are processed in through the CJIS Mail Room, entered into the appropriate Repository Administrative, manually batched, logged and screened. They are then sorted based upon requested type. State cards are flowed to MAFIS for ident processing. FBI cards are scanned out and mailed to Clarksburg, WV for an IAFIS check and response back to the appropriate ORI. Turn around processes for the state 10-12 days and the FBI 6-8 weeks.<br><br>The objectives of this project are:<br><br>• To decrease the FBI processing time on applicant and non-criminal fingerprint checks from the current average of 6-8 weeks to 3-4 business days; and<br>• To increase the customer satisfaction of contributors and applicants by providing quicker response times.<br>• To allow resources to be re-directed for other agency needs.<br>• To allow for interface with telecheck system to account for the collection of all associated fees.<br>• To provide less manual intervention.<br>• To decrease reject rates due to implementation of NIST standards for demographic data.<br>• To decrease illegibility rate due to poor image quality.<br>• To streamline a process that is currently prone to error. |
| Project Cost | Phase 1 Estimates $228,615 Phase 2 Estimates $228,965 Equipment Costs $200,000 |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and | Estimated timeframe: 2005 Q3 – 2006 Q4.<br><br>• The above objectives will be achieved by splitting the project into 2 phases. |

| PROJECT NAME/Number | III-2 – Electronic Submission of Applicant Fingerprint Cards |
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| milestones) | • The first phase will allow the electronic submission of Applicant finger print cards after they are manually scanned into the MAFIS system. This entails the use of Network Live Scan Card Scan technology. This phase will also entail the electronic capture and submission of Applicant finger print images and demographic data. The Network Live Scan equipment will be used to capture the Applicant information. The information from the card scan and live scan will update and interface with applications that control and submit the information to the FBI IAFIS system. The demographics, scanned and electronically submitted images will be electronically sent to the FBI IAFIS system. The electronic messages received from the FBI that are disseminated by CJIS will interface with the Correspondence Response System to notify both the employer and/or the employee in writing of the results of the search. During this phase the responses to the sub agencies will be disseminated by the FBI. All CJIS applicant finger print submissions to the FBI at the end of this phase will be electronic.<br><br>Objectives:<br><br>• The system will allow for notification<br>- Reprints<br>- Resubmissions<br>- SRE<br>- ERRT's<br>• The system will allow for automatic notification of alerts to employers dependant upon request type.<br><br>• The second phase will entail the capture and electronic dissemination of the messages from the FBI to the other submitting sub agencies which will require them to be able to receive email responses.<br><br>• All requirements have been documented and finalized. |

| PROJECT NAME/Number | III-2 – Electronic Submission of Applicant Fingerprint Cards |
|---|---|
| | • Phase 1 is in the final phases and scheduled for a June, 2006 implementation |
| Measurements to achieve BJA goals 1-5 | Performance Measures:<br><br>• The reduction in processing time of applicant and non-criminal fingerprint cards; and<br>• The reduction in customer complaints about applicant checks logged into the CJIS-CR Customer Response Unit.<br>• Reduction in response time<br>• Reduction in FBI rejects for demographics and quality |

| PROJECT NAME/Number | III-3 – Electronic Archive System Improvements – Closed Project w/note "to be absorbed in project II-5 MAFIS Replacement |
|---|---|
| Problem Description | Phase I: This project will enhance the CJIS-CR's electronic archival scanning system through connectivity with all systems to retrieve fingerprint card images efficiently. It is estimated this project will capture 70% of the annual fingerprint processing via Livescan and electronically submit the images directly to the Master Archive database. This initiative's goal is to improve CJIS Central Repository's business processes by electronically submitting fingerprint cards to the Master Archive storage database directly via Livescan fingerprints. Additionally, the various business units of the Repository would be able to retrieve prints needed to provide background checks, expungements, etc., while decreasing response time to customers.<br><br>Phase II: The CJIS-CR's 3.8 million (hard copy) fingerprint cards need to be converted into an electronic format to compliment the electronic archival storage cited above. Ideally, a vendor qualified in criminal history conversion (i.e. Morpho) would remove the fingerprint cards to an off-site location to accelerate the process of scanning demographic and fingerprint images into the existing database. Completion of Phase II of this project would drastically increase the efficiency of service for court ordered expungements, latent prints for the Maryland State Police (MSP) crime lab, accelerate positive identification of arrestees, etc. |
| Project Cost | Estimated $107,680 - Phase I |

| PROJECT NAME/Number | III-3 – Electronic Archive System Improvements – Closed Project w/note "to be absorbed in project II-5 MAFIS Replacement |
|---|---|
| | $1,500,000 – Phase II |
| NCHIP/State funding availability | Funding was requested from the general budget for FY05, but denied. Funding for FY06 was approved as a 2-year plan under the AFIS replacement project. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2006 Q1 – 2007 Q4. |
| Measurements to achieve BJA goals 1-5 | Decreased processing time for criminal history applicant fingerprints processed at the RPOC location from an 8-10 day turnaround time to a 2-3 day timeframe before the customers CHRI report is generated and mailed (Phase I). Decrease internal customers processing timeframes by 35-50% through direct connectivity with archived "Master" fingerprint cards, as well as the current electronic fingerprint database (Phase II). |

**Goal 4: Full Cooperation with Federal Initiatives**

| PROJECT NAME/Number | IV-1 – NCIC 2000 |
|---|---|
| Problem Description | The Department, in conjunction with the MSP, is responsible for upgrading the computer technology to comply with the NCIC 2000 enhancements, and for providing the required interfaces to support user access to the FBI central segment computer system. The project has involved network architects at both locations to define connectivity for the initial MSP site connection. |
| Project Cost | |
| NCHIP/State funding availability | Phase I: The Department received FY 2000 NCHIP grant funding totaling $922,500 on October 30, 2000, for two specific tasks - (1) Web-enabling the MILES; and (2) Moving message switching out of MILES. These tasks are necessary to meet mandatory requirements of the NCIC 2000 program. Through the quarter ending December 31, 2002, |

| PROJECT NAME/Number | IV-1 – NCIC 2000 |
|---|---|
| | the Department expended federal funds totaling $922,500, and matching funds totaling $102,500. The Department has made $24,000 available in order to have a "hot files" conversion analysis prepared by Datamaxx.<br><br>Phase II: The Department has requested PATRIOT Act funding for the general functional and technological enhancements to include the upgrade and linking of the MILES to federal databases, a new interface to the state's MVA and for re-engineering the database and access to "Hot" files. Effective December 5, 2003, the Department received approval to spend the PATRIOT Act grant award. The award for the project cost is estimated at $1,170,000. - Completed<br><br>Phase III: Rollout to all users. |
| CJRI monies by FY | None |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q1 – 2006 Q2.<br><br>Phase II:<br>This phase will provide further functional enhancements to MILES, new links of the MILES system to critical federal and state databases, and exploitation of technology upgrades. These additions in functionality are due to be implemented during the third quarter of 2005.<br><br>The objectives of Phase II are:<br><br>• To provide an expansion of the number and type of data elements available to local law enforcement units by migration of the existing MILES "hot files" to newer database server hardware and redefinition of their structure to use a newer relational database technology.<br>• To develop and implement a TCP/IP interface to Maryland's Motor Vehicle Administration (MVA) for textual data exchange and future image exchange.<br>• To provide Maryland's law enforcement community with more maintainable, user-friendly programs and databases, new graphical displays and data mining capabilities |

| PROJECT NAME/Number | IV-1 – NCIC 2000 |
|---|---|
| | when accessing critical databases.<br><br>Phase II Milestones:<br><br>• Redefining and moving Maryland's "hot" files from the aging mainframe computer environment to that of the newer server-based Oracle relational database. Completed<br>• Retrofitting the MQ Series interface between the new server environment and the legacy mainframe terminal environment to ensure continued support to existing users following the movement of the "hot" files and during the migration to the server based workstations. Completed<br>• Migrating to newer technology for greater ease in program and database maintenance. Completed<br>• Development of a new TCP/IP base interface to MVA for textual data exchange and future image exchange. Completed<br>• Implementing new training and certification software and hardware components of the NCIC 2000 system. Completed<br>• Implementation of an Archive and Retrieval System to support system access auditing. Completed<br>• Introduction of the single sign-on and user access account management features. Completed<br>• Conduct five pilot activities for Internet, Intranet, Extranet and Mobile forms of connectivity. One Pilot Site (Morgan State University was successfully used as a Proof of Concept. With the completion of the system Bi-directional certification update process, the system will be rolled out to the remaining Pilot Sites.<br>• Develop and implement a new interface for Maryland Law Enforcement Agency Mobile Data Terminal (MDT) users to directly access the NCIC Message Switch system. This interface is presently in the requirements analysis phase.<br><br><u>Phase III</u>: Rollout to all users (future phase) |

| PROJECT NAME/Number | IV-1 – NCIC 2000 |
|---|---|
| | The objective is to provide for the statewide deployment/rollout to all participating agencies.<br><br>Phase III Milestones:<br>• Contract with a vendor to conduct a comprehensive State-wide Site Assessment to define and document the required NCIC system hardware/software requirements.<br>• Complete a comprehensive deployment for the general deployment Statewide.<br>• Conduct required train-the-trainer training.<br>• Conduct required end user training.<br>• Deploy Internet based agencies.<br>• Deploy Intranet based agencies.<br>• Deploy Extranet based agencies.<br>• Deploy Mobile based agencies. |
| Measurements to achieve BJA goals 1-5 | N/A |

| PROJECT NAME/Number | IV-2 – NICS Research (Maryland State Archives) |
|---|---|
| Problem Description | Due to incomplete disposition data in the CJIS database, the Maryland State Archives (MSA) responds to more than half of all applications that NICS receives from Maryland, i.e., more than 1,800 annually. MSA staff research case numbers through an on-line system, or from docket book indices, or by contacting the courts. MSA then locates, reproduces, and faxes the dockets that reflect the charge and disposition. MSA archives staff average next-day response for requests received on weekdays, and always respond within three working days (unless they are dependant on the courts for case numbers which are reported after that time). The researching of NICS requests for dispositions of criminal cases has significantly strained the operating budget of the MSA. |
| Project Cost | |

| **PROJECT NAME/Number** | **IV-2 – NICS Research (Maryland State Archives)** |
|---|---|
| NCHIP/State funding availability | The Department received FY 2002 NCHIP funding (federal funding $41,430, State match funding $4,603) for this project. Project cost is estimated at $46,033. The FY 2003 NCHIP funding for this project was federal funding $47,250, MSA match funding $5,250 for a total of $52,500. FY06 NCHIP application includes a request for $45,000 to continue processing NICS requests was not approved by DOJ/BJS. There is sufficient residual funding from prior years to fully fund this project through at least September 2007. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q1 – 2006 Q4<br>• CJIS-CR established an MOU with MSA to share a staff resource to assist with gathering the needed information to correct the record error and complete the synchronization. - Completed<br>• The auditing team (see Project #I-2) developed a tracking and monitoring report in an effort to determine the number of potential record errors that currently exist, as well as the maximum number of records that will be identified during the course of the auditing project, and the amount of time required to correct those errors. - Completed (Conversion of Pre-1998 Records to III).<br>• On-going relationships between MSA and DPSCS to ensure that all NICS checks requested by the FBI get completed timely. |
| Measurements to achieve BJA goals 1-5 | 1. Statistical data provided in fiscal year quarterly reports from MSA to document total NICS checks performed per this Criminal History Record Improvement initiative<br>2. Statistical data on the number of criminal records synchronized with the aid of MSA research per fiscal year. |

| **PROJECT NAME/Number** | **IV-4 - IFFS (NICS) Flag Processing** |
|---|---|

| | |
|---|---|
| Problem Description | Maryland is not currently participating in the voluntary federal program to set IFFS (Identification For Firearms Sales) flags in III records. Therefore, manual research must be performed in response to a NICS (National Instant Check System) inquiry (to determine the eligibility of an individual to purchase a firearm). Compounding the issue, the results of that manual research cannot be entered into the system, so a subsequent firearms purchase by the same individual requires performing the same research again. Participation in the IFFS flag program will provide instant clearance or disqualification for those individuals for which the records are complete. Where there is an incomplete or pending record, research would still be required, but a system provision would allow the CJIS-CR personnel to manually set the flag once they had completed the research, thus eliminating the need to do the same research again. |
| Project Cost | 548 hrs X $110.61/hr (TSP) = $60,614 |
| NCHIP/State funding availability | Pending |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future Project. Estimated timeframe: 2007 Q1 – 2007 Q3 |
| Measurements to achieve BJA goals 1-5 | TBD |

| | |
|---|---|
| **PROJECT NAME/Number** | **IV-6 - Standardized RAP Sheet & Automated Response** |

| **PROJECT NAME/Number** | **IV-6 - Standardized RAP Sheet & Automated Response** |
|---|---|
| Problem Description | The use of the Interstate Identification Index (III) to exchange criminal history records among the States for criminal justice purposes has highlighted the fact that each State has developed its own RAP Sheet format. This slows transmission of RAP sheet data among the States, and impedes comprehension. Standardization of RAP Sheet format will help resolve this problem. The FBI is spearheading the standardization project, which has already produced some emerging standards for a Standardized RAP Sheet. Major changes will be required by the Maryland IT team to be able to meet these standards. NLETS has developed a standardized RAP sheet format using XML. All states and agencies interfacing with NLETS will be allowed to send and receive the standard RAP Sheet format.<br><br>A problem occurs when a CJU in another state uses NLETS to request CHRI from Maryland (i.e. a request for a RAP sheet). A printer in CJIS Central Repository receives those requests. Personnel manually retrieve the request, and then perform a manual search for the requested CHRI. If Maryland does not have data on the individual, an appropriate response is manually keyed and sent through NLETS to the requestor. If a criminal history record is found, the results must be manually re-keyed into NLETS, or the RAP sheet is mailed to the requestor if it is too long to be re-keyed. This process does not provide a timely response, and errors can occur due to the re-keying of data. Once a standardized RAP sheet has been developed, this RAP sheet should be used to respond to III requests and the NLETS requests. The response to the NLETS request will be automated. |
| Project Cost | TBD |
| NCHIP/State funding availability | Possible MJIS Money $105,000 |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2007 Q1 – 2008 Q1<br><br>Phase I – Completed<br>• Automation has been implemented which provides an electronic response for CHRI requests that result in a “No Record” found.<br>• Project addresses approximately 70% of the NLETS inquiries received by the Central |

| PROJECT NAME/Number | IV-6 - Standardized RAP Sheet & Automated Response |
|---|---|
| | Repository.<br><br>Phase II:<br>• Complete automation of NLETS responses for CHRI. The RAP Sheet responses will be sent in XML Standard RAP Sheet format using WEB Services. Automation of NLETS responses is completed.<br>• This will address the remaining 30% of NLETS requests that receive a "Hit" and continue to be processed manually. Completed<br>• The Maryland RAP sheet will be reformatted to the NLETS standard format and sent via NLETS to the requesting CJU.<br><br>Once the search results are narrowed down to the desired person, a Maryland RAP sheet will be sent electronically in the format specified by the NLETS Standard RAP Sheet response. RAP Sheets received from NLETS will be presented to the Users in a standard format. Internal requests for RAP sheets will go through the same style sheets and standardization as NLETS received RAP sheets. |
| Measurements to achieve BJA goals 1-5 | 1. Immediate automatic NLETS response implemented for "No Record" found for CHRI requests<br>2. Timely manual response (24-hr. weekdays/72-hours weekends) for "Criminal History Found" |

**Goal 5: Optimal Overall Customer Services**

| PROJECT NAME/Number | V-1 – Public Safety Data Center Disaster Recovery |
|---|---|
| Problem Description | The Department must have an appropriate alternate disaster recovery site for the existing PSDC, to enable the Department to provide critical operational information technology support to its law enforcement clients in the event of any major incident that would render the Department's Data Center unusable. |
| Project Cost | Estimated $2,000,000 (includes mainframe and distributed server applications). |

| **PROJECT NAME/Number** | **V-1 – Public Safety Data Center Disaster Recovery** |
|---|---|
| NCHIP/State funding availability | The Department has received a sub-award through MSP for the PATRIOT Act of $778,400. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2004 Q1 - 2006 Q2.<br><br>The project will prepare an alternate site at a distant location for the purpose of mimicking the existing PSDC in terms of computer hardware, software and communications facilities as closely as possible to provide continuing, alternative services to Maryland's criminal justice community if the primary Data Center were the subject of a catastrophic event.<br><br>The project will be accomplished by contracting with a private sector vendor for the basic system processing, data storage, communication and environmental components, i.e., hardware, software and facilities common to most commercial and governmental data centers. The disaster recovery site will be augmented with a NCIC 2000 message switch application and associated functionality to meet public safety processing requirements and methodologies. The DPSCS will provide for alternate connectivity paths to the remote disaster recovery data center location. The PSDC will periodically activate a test mode at the backup site to insure computer program compatibility, software and database concurrency and to validate operational readiness.<br><br>The project has been separated into two distinct areas, mainframe applications and distributed server applications.<br><br>1. Mainframe Disaster Recovery<br><br>SunGard was selected as the Vendor to provide an alternate disaster recovery Hot Site. The contract is in its final stages and is being reviewed by SunGard's legal department. DPSCS has requested that the contract be returned ASAP so that it can be presented for approval during the Board of Public Works on 6/21/06.<br><br>2. Distributed Server Disaster Recovery/High Availability Build-out |

| PROJECT NAME/Number | V-1 – Public Safety Data Center Disaster Recovery |
|---|---|
| | Fort Detrick has been chosen as a possible Hot Site location that may be able to support systems operations as defined in the contingency plan (i.e. a site that meets DPSCS requirements). The long term goal, to be achieved by the end of FY2008, is to transform Fort Detrick from a Hot Site to a Mirrored Site with fully redundant facilities and full real-time information mirroring. As high availability is built into the Hot Site, the Mirrored Site will become identical to the primary site in all technical respects.<br><br>Milestones:<br>• Statement of work – completed<br>• Detailed action plan - completed<br>• Mainframe upgrades<br>• Software upgrades<br>• Server upgrades<br>• Hardware purchases |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-2 – Warrant Flag to MVA Database |
|---|---|
| Problem Description | This pilot program is developed in response to passage of House Bill 1259 (Chapter 683, Acts of the Maryland General Assembly of 2000). This legislation mandates the Motor Vehicle Administration (MVA) to suspend the driver's license or privilege to drive of a person who is named in an outstanding arrest warrant upon notification by a law enforcement agency that has met criteria established by the MVA and entered into an agreement with the MVA. The bill also requires the MVA to refuse to register or transfer a vehicle if the applicant is named in an outstanding arrest warrant. These requirements only apply to an arrest warrant that is at least 31 days old and which the law enforcement agency attempted, but |

| PROJECT NAME/Number | V-2 – Warrant Flag to MVA Database |
|---|---|
| | failed, to serve on the person named in the warrant because of an inability to locate the person. In order to facilitate the process of suspending the license or refusing to register the vehicle of a person named in an outstanding arrest warrant, House Bill 1259 authorizes specified identifying information contained in the arrest warrant to be released to the MVA. The MVA must notify a person of any action that will be taken as a result of an outstanding arrest warrant and give that person the opportunity to contest the action. However, the only issue in a hearing to contest an action is mistaken identity. Under the legislation, once a person's license has been suspended, or a registration refused, the MVA may not reverse that action until it has been ordered to do so by a court or until a law enforcement agency informs the MVA that the person named in the warrant has been arrested or that the warrant has been otherwise satisfied.<br><br>At the present time, all State, county and municipal law enforcement units maintain separate local warrant files pertaining to each respective jurisdiction. The MSP maintains twenty-three such files, one for each Barrack. However none of this information is readily available through any automated process or system. |
| Project Cost | |
| NCHIP/State funding availability | The Department received FY 2002 NCHIP funding $215,799 ($194,219 federal funding, $21,580 State match funding) to enter a joint venture with the MSP. Project cost is $215,799. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q4 – 2008 Q4<br><br>As part of this project, multiple agencies (Baltimore County and the town of Manchester in Carroll County) are participating in a pilot program to supply the MVA with information identifying individuals who have outstanding arrest warrants. Matching MVA driver's license records are updated with a flag to indicate the existence of outstanding arrest warrants. Once flagged, subsequent inquiries made to MVA through MILES for driver license information will receive a response that will reflect the current status. Police officers then |

| PROJECT NAME/Number | V-2 – Warrant Flag to MVA Database |
|---|---|
| | must make a confirmation call to the two participating police departments to confirm the warrant status before any action can be taken.<br><br>In the course of this project, at a minimum, MSP barracks and selected law enforcement units serving counties and municipalities will be supplied with the ability to input information directly online that would cause MVA records to be flagged as in the pilot. Once this is accomplished, the indicator will immediately inform a police dispatcher of the location of the physical warrant for verification in accordance with NCIC confirmation guidelines. Most importantly, proper verification of the warrant can take place with minimal delay.<br><br>To increase the efficiency and effectiveness of the warrant flagging process through the MVA database, more automated processes will be put into place. Programmatic processes will be established to electronically forward the relevant information to the MVA system as warrants qualify for action by MVA. Further, all participating agencies would be provided the ability to do online inquiries upon the MVA database through the new MILES/NCIC 2000 message switch in search of the outstanding arrest flag indicator.<br><br>Automated validation of the flagged records from MVA will also be important to maintaining the rights of the citizens. By providing more current and complete identifying information, more accurate judgments can be made and actions taken to avoid potential mistakes of identification and record keeping.<br><br>The benefits of this project are:<br><br>• Validation and improved quality of the data at the point of entry;<br>• Prevention of costly redundant data entry;<br>• Availability of more timely and complete arrest warrants information for roadside stops when driver license and registration is requested;<br>• Linkages of warrant information to all law enforcement units through MILES and the NCIC 2000 message switch;<br>• Potential use of warrant information in intelligence tracking and wanted terrorist |

| PROJECT NAME/Number | V-2 – Warrant Flag to MVA Database |
|---|---|
| | systems currently being established under Homeland Security;<br>• Increased citizen safety through the timely data entry and availability of warrant information; and<br>• Provision of equipment and communications resources to expand the ability of MSP Barrack personnel for access to MILES/NCIC 2000 and related law enforcement systems (Customs, Immigration, etc.) at a future time;<br><br>Milestones:<br><br>• Produce "one time" file of Warrants for MVA;<br>• Convert MVA Processing to Datamaxx Switch;<br>• MVA changes programs to work with Datamaxx Switch; and<br>• Legacy terminal interface until complete rollout. |
| Measurements to achieve BJA goals 1-5 | • Tracking the MVA's driver's license suspensions, driving privilege and vehicle registration or transfer if the applicant is named in an outstanding warrant.<br>• Fully automate the warrant data transfer process between law enforcement and MVA with minimal mistaken identity issues. |

| PROJECT NAME/Number | V-3 – Purge of Criminal Event Notification Flags |
|---|---|
| Problem Description | When authorized by statute, a subsequent criminal event involving an applicant may be reported to the employer/licensor, specifically in reference to childcare, taxicab drivers, adult dependent care, and pawnbrokers. COMAR provides that CJIS Central Repository obtain updated employment records from the employing/licensing agencies periodically. In addition, certain criminal justice agencies have also requested notification of subsequent criminal involvement by their employees. Purging of the notification flags in these instances is not routine. A mechanism to purge the notification flag when the individual is no longer subject to notification (e.g., when he or she leaves employment) needs to be implemented in order to minimize unnecessary notifications. |

| **PROJECT NAME/Number** | **V-3 – Purge of Criminal Event Notification Flags** |
|---|---|
| Project Cost | |
| NCHIP/State funding availability | Current resources |
| CJRI monies by FY | No current funding source available. Leadership changes in Maryland Government have resulted in inactivity of this project. The project will be reassessed for future planning. |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2005 Q3 – 2006 Q3.<br><br>Beginning to define project scope and focus. Contact has been made with the Department of Labor Licensing and Regulation with the intent to secure access to state unemployment insurance records as a possible data source.<br><br>Milestones:<br><br>• Identify source data from employment updates<br>• Complete programming to create electronic updates<br>• Provide current arrest notifications to employers |
| Measurements to achieve BJA goals 1-5 | TBD |

| **PROJECT NAME/Number** | **V-5 – Rapid Juvenile Identification Process** |
|---|---|
| Problem Description | Police or the Department of Juvenile Services cannot now properly identify juveniles. |
| Project Cost | Phase I - $ 25,000<br>Phase II - $127,500 |
| NCHIP/State funding availability | State funded. |
| CJRI monies by FY | |

| **PROJECT NAME/Number** | **V-5 – Rapid Juvenile Identification Process** |
|---|---|
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2004 Q4 – 2007 Q2<br><br>This project will utilize MAFIS to develop an automated systems network between DJS, law enforcement agencies, and CJIS-CR to accurately identify juvenile offenders. MAFIS will be used as a means of providing true identity of juveniles processed via the new Baltimore City Juvenile Justice Center (BCJJC).<br><br>Phase I<br>Pending completion of the Network Livescan project (#I-2), CJIS-CR staff will process these requests from the BCJJC printed remotely at the Reisterstown Road Plaza site. A Fingerprint Specialist (FS) III position is required to verify matches, enter pertinent information into MAFIS, and return the State Identification (SID) Number to the BCJJC system via an electronic interface using MQSeries. Due to changes in the operating procedures additional programming and testing will be done. The programming for the MQSeries response is finished and testing with DJS will continue after the HAZMAT project is implemented.<br><br>Phase II<br>Electronic end-to-end process. Eliminate paper cards. This will require a complete revision of the current juvenile processing, including merging of the JUVE database with the Ident/Index database. Special security provisions will need to be implemented to prevent disclosure of juvenile information to those who are not authorized to access it. A sub-project for “Single SID” will be necessary to consolidate SID numbers for persons who now have two SIDs, one as a Juvenile and a different one as an adult. Once this is done, the electronic processing can be activated to utilize the same automated logic as adult criminals, with safeguards to prevent the juvenile data from going to the FBI or any unauthorized person or agency. The new DJS facility is currently equipped with live scan machines, and T1 lines are in place. ITCD staff is to work with them to set up the application for direct connectivity to the Repository. Repository staff is prepared to initiate user training and testing upon ITCD completion of the electronic connection. |

| PROJECT NAME/Number | V-5 – Rapid Juvenile Identification Process |
|---|---|
| | Milestones:<br>Phase I<br>• Install MQSeries on DJJ server; Completed<br>• Develop changes on mainframe Completed<br>• Develop changes on DJJ software; Completed<br>• Confirm processing. Testing interface 2004 Q4 – 2006 Q1<br><br>Phase II Work will begin after Applicant Processing project is implemented.<br>1. Merge JUVE and Ident Index<br>2. Single SID consolidation<br>3. Develop changes on mainframe 2006 Q3<br>4. Develop changes on DJJ software 2006 Q4<br>5. Confirm processing 2006 Q4 |
| Measurements to achieve BJA goals 1-5 | • The reduction in processing time of Juvenile fingerprint cards<br>• The timely return of Juvenile identities to the Baltimore City Juvenile Justice Center (BCJJC).<br>• The increase in customer satisfaction |

| PROJECT NAME/Number | V-6 – Case Management |
|---|---|
| Problem Description | The Department's criminal justice information systems are "stove piped" and require repetitive data entry. |
| Project Cost | |
| NCHIP/State funding availability | FY 2006 General Funds $1.5 million per year X 2 years = $3 million |
| CJRI monies by FY | |
| Current status | Estimated timeframe: 2006 Q1 – 2008 Q3 |

| PROJECT NAME/Number | V-6 – Case Management |
|---|---|
| (implementation strategy, including timeframe and milestones) | The management information systems serving the Department's correctional agencies are in the process of a gradual replacement. This project is being performed under a new model of collaboration and cooperative systems development at DPSCS. By using a Commercial Off the Shelf (COTS) software package, the project leverages current budgets to the maximum possible extent. The State realizes the economy of scale of a COTS package as opposed to a more expensive, in-house developed system. ITCD is coordinating this multi-year effort among the Department's business entities.<br><br>The project is designed to eliminate "stovepiped" systems and repetitive data entry by creating a substantive offender database for instant and historical management and operational reference as the offender moves through the correctional continuum. Supported by an ongoing rollout of a Department-wide network of PCs and applications, the project is being inaugurated by implementation of an automated case management system for the DOC, the Maryland Parole Commission (MPC), the DPP, the DSPS and other departmental agencies and divisions within the DPSCS to be implemented sequentially.<br><br>Vendor software has been evaluated to determine a "best fit" for the business areas. The appropriate choices have been narrowed down to 2 vendors. The evaluation team is in the process of completing their recommendation to the Executive Business Sponsors for approval to proceed.<br><br>ITCD has been interviewing the business users and documenting their requirements for this new Case Management System. This documentation will become the basis for the initial activity of doing a Gap Analysis once a software package is purchased. The Gap Analysis will help to determine which business area will require the least amount of modifications in order to be implemented. This activity determines the implementation order, as well as the scope of work for implementing each business application area.<br><br>In order to meet the needs of ITCD System Development Life Cycle methodology (SDLC), |

| PROJECT NAME/Number | V-6 – Case Management |
|---|---|
| | Project Executive Business Sponsors, a Project Steering Committee, and a Project Team have been created. These groups will be responsible for making decisions regarding the development and implementation of the project.<br><br>Ultimately, the project will become "transparently" interoperable with the other State systems so that Maryland's authorized criminal justice users will have complete, timely, and accurate information available whenever and wherever it is necessary - on the street, in the courtroom, in the DOC - to fulfill their duties in support of Maryland's public safety.<br><br>Milestones:<br><br>• Purchase COTS product;<br>• Perform Gap Analysis;<br>• Create Interfaces to Legacy Systems;<br>• Convert Legacy data;<br>• Sequentially pilot product to business areas depending on product "best fit"<br>• Sequentially rollout to business areas. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-7 – Web-Enable Sex Offender Registration Process |
|---|---|
| Problem Description | Since 1999, Maryland law has authorized the Department to post its sex offender registry (SOR) on the Internet. Aware of the pitfalls that other States' had experienced with their rush to post websites, Maryland adopted a planned approach so that negative experiences (e.g., crashing) could be avoided, and positive outcomes realized. As of April 8, 2004 there were currently 3,719 registrants on the SOR. |
| Project Cost | $519,369 (Phases I – II) |
| NCHIP/State funding | Phase I – $19,369 (FY 1999 NCHIP) |

| PROJECT NAME/Number | V-7 – Web-Enable Sex Offender Registration Process |
|---|---|
| availability | Phase II – $500,000 (NSOR)<br>Phase III – IV – State funded (300,000)<br>Phase V - $200,928 – includes startup and first year fees (FY06 Federal Block Grant/GOCCP). $108,080 – annual fees for subsequent years – State Funded.<br>Phase VI – TBD – Current operating budget |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2006 Q1 – 2007 Q1.<br>Measurements to achieve BJA goals 1-5<br>Phase I: Research: A consulting firm was hired to research other SOR websites and to propose a technical solution. The result, *Feasibility Study for the State of Maryland, DPSCS, SOR Internet Implementation*, was submitted on 2/18/00. Completed<br><br>Phase II: Connection to NSOR Completed<br><br>Phase III: Posting the SOR Online. As required by the Maryland General Assembly, the DPSCS submitted its final report concerning its plans for the posting of the SOR on the Internet on 1/25/02. The SOR was thereafter placed on-line in the Spring 2002. The Internet SOR receives on average 197,588 weekly file requests, 7,930 downloads of the Adobe ".pdf" registrant listing by zip code, 5,618 downloads of the Adobe ".pdf" registrant listing by name, and 5,150 on-line listing page hits. The posting has contributed to significant cost avoidance re: postage formerly required to mail monthly hardcopies of SOR. In the Spring of 2004 a major enhancement was implemented for the on-line SOR website to provide users with more efficient search options. The new feature allows individuals to narrow their search to specific sex offenders or find listings of offenders within zip code locations, those who attend institutions of higher educations, enter the State for employment, etc. Completed<br><br>Phase IV: Reengineering:<br><br>This phase will allow an interactive approach to the Sex Offender Registry. It will allow the 24-designated registering agencies to log-on to the internet and register the offenders live in the database. This will increase community notification time as well as decrease manual |

| PROJECT NAME/Number | V-7 – Web-Enable Sex Offender Registration Process |
|---|---|
| | entry errors.<br><br><u>Phase V: Expansion:</u><br>This phase will expand the functions of SOR application. Two major components will be implemented: Interface with Appriss and interface with Towson CGIS. Appriss will provide (1) Community Sex Offender Notification (2) Offender Arrest Monitoring/Notification and (3) VINE Sex Offender Notification. Towson CGIS will provide the zip-code based mapping of the Sex Offender data. Estimated completion date: 4Q 2006<br><br><u>Phase VI: Automation:</u><br>This phase will further automate the SOR registration function by installing NLS in the registration site. Phase V will accomplish complete automation of the Sex Offender Registration process. Estimated completion date: the cost for the NLS was included in the FY08 budget. If approved, the completion will be in 2008.<br><br>Milestones:<br><br>1. Automated updates to the Internet.<br>2. Web-enabled registration.<br>3. Decreased community notification time<br>4. Increased completeness and quality of registry records |
| Measurements to achieve BJA goals 1-5 | Increased customer satisfaction with the enhanced features which expedite searches of the department's Sex Offender Registry website by the general public and law enforcement in their efforts to provide greater public safety. |

| PROJECT NAME/Number | V-8 – Implement Extranet for Criminal Justice Users ("eGov" or "50-65-80" Initiative) |
|---|---|
| Problem Description | House Bill 274 (Chapter 5, Acts of the Maryland General Assembly of 2000) requires that each State agency offer public information and services over the Internet according to the |

| PROJECT NAME/Number | V-8 – Implement Extranet for Criminal Justice Users ("eGov" or "50-65-80" Initiative) |
|---|---|
| | following timetable and percent of services offered: 50% by 2002, 65% by 2003, and 80% by 2004. This initiative is commonly referred to as "50-65-80" or "eGov" (electronic government).<br><br>The information exchanged within the criminal justice community has historically been very tightly secured and online access is tightly regulated due to the stringent requirements of the Federal Bureau of Investigation (FBI) and Maryland's law and regulations concerning terminal access to criminal history. Web access to information of any kind will likely involve great scrutiny by judicial, legislative, and civic organizations. Various security models that are supported by the federal government which permit anywhere/anytime authorized access are being explored for use in Maryland. The criminal justice community will need tightly controlled, mobile authorization and access controls, using tokens or certificates that may, someday, be tied to a biometric such as facial recognition or fingerprints. For the purpose of its eGov initiative, the Department considers any access to information systems for the purpose of contributing to public safety to qualify as a "citizen access to government services" initiative.<br><br>Maryland State and local law enforcement agencies require connectivity, authentication, and authorization to numerous State and federal criminal justice systems. Currently, connectivity is dependent on a physical connection to specific hardware. Authentication and authentication is handled by each distinct system, thus requiring multiple logins. |
| Project Cost | TBD |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2006 Q3 – 2006 Q4.<br><br>The extranet will function as a portal to the law enforcement community providing secure internet connectivity through a VPN, three point authentication and single point authorization to law enforcement services and systems. In the future this portal will replace the current |

| PROJECT NAME/Number | V-8 – Implement Extranet for Criminal Justice Users ("eGov" or "50-65-80" Initiative) |
|---|---|
| | connection limitations and provide single sign on to the criminal justice community. For example, when a local law enforcement officer logs into the Portal across the Internet, only those systems and services that he was authorized access to use will be available on the menus. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-9 – Customer Response System (CRS) Replacement |
|---|---|
| Problem Description | Computer-generated responses to applicants/users are created when a barcode triggers the CRS, a stand-alone database. CJIS-CR does not have any CRS documentation and maintenance is difficult. If the CRS should fail, CJIS-CR applicant business processes will stop. It also is prone to generate responses containing errors that are difficult to correct. It is imperative that a more user-friendly and interoperable system be developed to replace the CRS. |
| Project Cost | Estimated $236,988. |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2006 Q1 – 2007 Q1.<br><br>This project will re-engineer the CRS to provide continuous electronic responses while maintaining accuracy of the information forwarded to applicants/users. The ITCD Applications Unit has designed a solution whereby the future CRS will be linked to all other CJIS databases and system via a web-based connection. The objectives of this project are:<br><br>• To decrease errors in the CRS by upgrading and linking it to other computerized CJIS databases; and |

| PROJECT NAME/Number | V-9 – Customer Response System (CRS) Replacement |
|---|---|
| | • To increase customer satisfaction by reducing the errors in CRS system generated responses to applicants/users.<br><br>To reach these objectives, contractors will prepare a Requirements Definition, a Systems Design phase will be completed, and coding/unit testing will follow. Upon successful completion of documentation, user training, and user acceptance, the system will be implemented. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-10 – Web-Enable CJIS Automation and Customer Services |
|---|---|
| Problem Description | Information and services supplied by CJIS-CR are currently available only in-person, by mail, or by telephone. |
| Project Cost | $400,000 |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated Timeframe: 2007 Q1 – 2008 Q2<br><br>This project provides CJIS-CR customers with the Internet (web-based) capability to access services information, applications, forms, surveys, etc. This initiative improves customer service, support Maryland's eGovernment (eGov) initiative (aka "50-65-80"), and also provide a new means of on-line communication for the CJIS-CR.<br><br>Milestones:<br>• Customer Service posted various forms on-line for customer use.<br>• CJIS-CR information is readily available to customer via the internet<br>• Shorter phone call duration by CSC educating customers to access materials on-line |

| PROJECT NAME/Number | V-10 – Web-Enable CJIS Automation and Customer Services |
|---|---|
| | • Reduce customer call volume<br>• Design and develop to capture the user demographic information<br>• Design and develop payment process<br>• Conduct market research for the credit card payment<br>• Procure the software product<br>• Integrate the software with the payment system<br>• Design and develop fingerprint status checking<br>• Design the storefront kiosk process<br>• Install a storefront kiosk |
| Measurements to achieve BJA goals 1-5 | • Reduce phone calls received by Customer Service Center<br>• Improved customer satisfaction by rapid access to necessary applications accessible via the DPSCS web page.<br>• Shorter phone call duration by CSC educating customers to access materials on-line<br>• Reduce demographic errors by CJIS-CR staff do to legible type from on-line forms submitted by customers |

| PROJECT NAME/Number | V-13 – CJIS Customer Service Center Storefront Enhancements |
|---|---|
| Problem Description | Currently, Livescan equipment is utilized to capture the applicant fingerprints. However, due to the lack of connectivity in the storefront areas, hardcopy fingerprint cards must be purchased and printed for forwarding to the "back of the house" for processing. |
| Project Cost | Estimated $18,180. |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2006 Q3 – 2007 Q3.<br><br>This project will improve operational efficiency of processing non-criminal fingerprints by connecting of storefront Livescan equipment to existing MORPHO systems. |

| PROJECT NAME/Number | V-13 – CJIS Customer Service Center Storefront Enhancements |
|---|---|
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-14 – CJIS Customer Call Center Phone System Improvements |
|---|---|
| Problem Description | Approximately 4,500 calls per month are made to the CJIS Customer Service line. However, these calls are received on a system that cannot provide automated management information or tracking. |
| Project Cost | |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2006 Q1 – 2006 Q2.<br><br>This project involves the procurement of a "state-of-the-art" telephone system (customer call center) in the CJIS-CR to track critical customer concerns to provide improved response time for customer calls, i.e., interactive customer functions, track volume of calls, route calls to specific services, etc. This interactive customer call center would provide improved customer call services through voice and/or keypad access, while eliminating waiting times for our customers. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-16 – NFF Participation Rollout Plan |
|---|---|
| Problem Description | Ratification of the Compact "in accordance with the laws of the executing State" has not yet been made a condition of State participation in the non-criminal justice phase of the III System. However, ratification of the Compact would provide a means of direct State-to-State |

| PROJECT NAME/Number | V-16 – NFF Participation Rollout Plan |
|---|---|
| | dissemination of CHRI while preserving Maryland's existing statutory provision governing other dissemination in compliance with federal law and regulation. Ratifying the Compact will also result in a uniform dissemination policy concerning CHRI for non-criminal justice purposes among States, while still ensuring that each State may apply its own laws within the State.<br><br>Ratification of the Compact is prerequisite to participation in the National Fingerprint File (NFF) on which the pointer system of the III System is based. The NFF will eliminate the duplicate fingerprint-based record system currently maintained by the FBI, and the State will only forward the first fingerprint-based record. In the long run, this will have significant cost savings, but in the short run requires planning and fiscal commitments to effect procedural and system changes, both of which require time. Nonetheless, ratification of the Compact in advance of NFF participation signals a State's commitment to this goal. Maryland's goal is to become an NFF State. On May 26, 2005, the Governor signed into law a bill ratifying the Compact for Maryland. This project will map out the 3-year planning to help us reach NFF status. |
| Project Cost | Estimated $344,344 spread over a 3 year period<br>(Phase I= 1038 hrs X $110.61/hr (TSP) = $114,813) |
| NCHIP/State funding availability | Possibly - NCHIP Monies $476,708 State Funding $52,967 (future request) |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2005 Q2 – 2008 Q1<br><br>The Department in Senate Bill 264 before the 2003 Maryland General Assembly introduced legislation. It did not pass. Legislation was not re-submitted to the 2004 General Assembly due to competing demands in the governor's office. Legislation was submitted to the 2005 General Assembly and passed.<br><br>The following are the prerequisites for becoming a Compact State after ratification of the Compact. |

| PROJECT NAME/Number | V-16 – NFF Participation Rollout Plan |
|---|---|
| | 1. Provide index records for all current and future authorized purposes. (Full III participating State).<br>2. Maintain a Central Repository of CHRI with full technical search capability based on fingerprint images of both criminals and non-criminals.<br>3. Subject fingerprints shall be submitted electronically with all requests for criminal history record checks for non-criminal purposes. (All fingerprint images that are sent to FBI are transmitted electronically.)<br>4. Serve as the single source submitter to FBI of both criminal and non-criminal fingerprints.<br>5. Do not forward fingerprints to FBI identified at State level.<br>6. Maintain 10 full fingerprint images to support each record and arrest cycle.<br>7. Include unique SID with all fingerprint images submitted to FBI.<br>8. Missed identifications by State repository less than 2%.<br>9. Receive and forward electronic results messages to all local fingerprint contributors (or receive electronic results messages, print and mail results).<br>10. Maintain criminal history records that contain ALL arrests, dispositions, and custody/supervision actions occurring in the State.<br>11. Remove a SIS from III record when expunged from State records.<br>12. Conduct III record synchronization with FBI at least twice a year.<br>13. Correct discrepancies within 90 days of audit tape receipt.<br>14. Forward CPI message to FBI within 24 hours of arrest.<br>15. Add supplemental identifiers.<br>16. Submit FIS transaction to FBI on subsequent fingerprint images that contain new amputations, new permanent scars or are of better quality than the State master prints.<br>17. Conduct file maintenance promptly.<br>18. Automated criminal history record response within 1 hour or less from receipt of query with electronic fingerprint images for non-criminal justice purposes.<br>19. Respond immediately to III record requests via NLETS.<br>20. Have experienced personnel available (24 X 7) to resolve problems if system cannot provide record within 1 hour. |

| PROJECT NAME/Number | V-16 – NFF Participation Rollout Plan |
|---|---|
| | 21. Provide record responses containing literal translations of all alphabetic and/or numeric codes.<br>22. Do not include any out-of-state criminal history.<br>23. Name a State Compact Officer.<br>24. Thoroughly test system upgrades or modifications.<br>25. Regulate the in-State use of records received by means of III from the FBI or other States. Ensure that records obtained under this compact are used only by authorized officials for authorized purposes.<br>26. Comply with rules, procedures and standards concerning record dissemination, use, response times, data quality, system security, accuracy, privacy protection and other aspects of III.<br>27. Manage so as not to diminish the level of service provided in support of criminal justice purposes.<br><br>Sixteen of the 27 prerequisites have NO impact. The current processing is in compliance. The remaining 12 have programming implications. |
| Measurements to achieve BJA goals 1-5 | TBD |

**9. Closed Project Detail List**

| PROJECT NAME/Number | I-5 – Legislation Regarding Reportable Events and Fingerprinting - Closed |
|---|---|
| Problem Description | The Criminal Justice Information Advisory Board has identified the following problems.<br><br>• Maryland's statutes authorizing the use of criminal history record information (CHRI) for non-criminal justice purposes such as employment and licensing explicitly require the submission of fingerprints. However, the enabling statute (CPA, §§ 10-201—10-228) does not. The CHRI maintained by the CJIS Central Repository is fingerprint-supported, as authorized under COMAR 12.15.01.09-1. |

| PROJECT NAME/Number | I-5 – Legislation Regarding Reportable Events and Fingerprinting - Closed |
|---|---|
| | • Under the CPA, § 10-216(b)(1)(ii), an individual who is summonsed, found guilty, and sentenced to PBJ under the CPA, § 6-220, is not permitted to be fingerprinted. Similarly, under § 10-216(c), an individual who is summonsed for a "petty" offense and is found guilty may be fingerprinted only at the discretion of the judge (note: the FBI's Advisory Policy Board (APB) has recently recommended that the Code of Federal Regulations (CFR) be amended to authorize the submission of non-serious offenses to the FBI). Because these individuals may not be fingerprinted in connection with the summons or the disposition, no record of these events will be entered into CJIS. This has important consequences that revolve around the issue of equity. That is, whether for a petty offense or PBJ disposition, in both cases were the individual *arrested;* he or she would have this event and its disposition recorded on CJIS. It is only because this individual was summonsed that a record of the guilty finding may not be reported via fingerprinting. Deleting the exemption of the PBJ sentence and petty offenses from court-ordered fingerprinting in summonsed cases will ensure that judges and licensing authorities receive full information about prior criminal history. Completed<br>• Although release on bail is a "reportable event" in Maryland statute (CPA, § 10-215), an individual's history of failure to appear (FTA) is not. If recorded by CJIS-CR and made available to authorized users charged with making pretrial and sentencing decisions, FTA data would result in better decision-making and improved public safety.<br>• HAZMAT bill authorizing the state of Maryland to collect fingerprints and complete a criminal history background check on Commercial Driver License holders with a special HAZMAT endorsement was submitted and passed to become law effective 10/01/04. This ensures the state's compliance with the USA PATRIOT Act. This represents a 30,000 increase in criminal history via fingerprinting requests for the state. |
| Project Cost | |
| NCHIP/State funding availability | N/A |
| CJRI monies by FY | |

| PROJECT NAME/Number | I-5 – Legislation Regarding Reportable Events and Fingerprinting - Closed |
|---|---|
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2004 Q4 – 2005 Q2<br><br>Legislation to close the above-cited loopholes was introduced before the 2003 Maryland General Assembly as Senate Bill 154 and House Bill 104 (companion bills). Only Senate Bill 154 was passed. While the fingerprinting of summonsed individuals (as described above) will therefore become effective 10/1/03, the statutory authorization for fingerprinting and the FTA provisions were deleted from the bill. The Board will re-examine these issues prior to the 2005 session of the General Assembly and agree on what to pursue for the next session. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | I-7 – External Auditing - Closed |
|---|---|
| Problem Description | Audits of agencies that report CHRI is a function mandated by the CPA, § 10-221(b)(5), and regulated by COMAR 12.15.01.16. |
| Project Cost | |
| NCHIP/State funding availability | Sharing funding of Project #IV-2 |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q3 – 2009 Q2<br><br>Phase I:<br>Staff resources have been assigned to audit Maryland law enforcement units to determine compliance with the submission of arrest records. These positions will conduct site visits and audits of CJUs that contribute fingerprint cards to the CJIS-CR. Plans include to:<br>• Develop external audit criteria and educate the criminal justice community prior to initiating external audits. Completed |

| PROJECT NAME/Number | I-7 – External Auditing - Closed |
|---|---|
| | • Develop audit guidelines, checklists, and data collection tools to be use for external audits. Completed<br>• Schedule a Contributor Audit Program (CAP) seminar in Summer 2003 and conduct the first audit thereafter. – Completed (4 audits conducted as of April 2004)<br><br>Phase II - Non-Criminal Justice Unit audits:<br>The presentation for introduction of these audits is tentatively scheduled for May 2004. Presentation package, and attendance list are being developed. First audit after educational seminar is anticipated for July/August 2004.<br>Phase III - Department of Corrections training and auditing:<br>IT connections must be established to ensure the capability of DOC to link its information to the Repository.<br><br>Milestones:<br><br>Phase I:<br>Complete CAP education sessions – Completed<br>Phase II:<br>• Establish NCJU audit criteria<br>• Non-criminal Justice Units achieve high compliance score or audits<br>Phase III:<br>• Dept. of Correction Training and audit packet/presentation gets established<br>• Successful training sessions occur with appropriate level of staff<br>• Improved DOC reportable events going in the 90% range. |
| Measurements to achieve BJA goals 1-5 | • Track and document pre-external audit errors/rate for criminal and applicant fingerprint data submitted to CJIS-CR by contributors.<br>• Compare pre and post audit errors/rate for criminal and applicant fingerprint data submitted to CJIS-CR by contributors<br>• Measurable improvement in compliance of timely manual fingerprint cards by |

| PROJECT NAME/Number | I-7 – External Auditing - Closed |
|---|---|
| | contributors, completeness of fingerprint cards, and improved fingerprint quality. |

| PROJECT NAME/Number | I-8 – Audit by University of Maryland 2002 - Closed |
|---|---|
| Problem Description | The CJIS Central Repository is required to obtain periodic audits in order to evaluate the timeliness, completeness, and accuracy of its criminal history records as reported by CJUs, and as maintained by the Repository. |
| Project Cost | $70,000 |
| NCHIP/State funding availability | No State funding needed |
| CJRI monies by FY | FY 1996 NCHIP funding |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2002 Q4 – 2003 Q4<br><br>An agreement was signed in January 2002 with the Justice Analysis Center (JAC) of the University of Maryland to conduct an assessment for CJIS Central Repository. The objectives of the project are:<br><br>a) To determine the timeliness, accuracy and completeness of certain reportable events required to be reported to and maintained by the CJIS Central Repository on the Rap sheet;<br>b) To determine the degree of completeness and accuracy of certain criminal history reportable events required to be reported under the CPA, § 10-215, for all “felonies” reported from January 1, 1998, to December 30, 2000;<br>c) To determine the timeliness of reporting of certain events to the CJIS Central Repository for the test cases selected; and<br>d) To review and evaluate the process by which the CJIS Central Repository conducts State and national criminal history record checks under Family Law Article (FLA), § 5-560-5-568. |

| | |
|---|---|
| | The Project has three phases. Phase I is to determine the timeliness, accuracy and completeness of certain reportable events required to be reported to and maintained by the CJIS Central Repository. Phase II is the review and evaluation of the process by which the CJIS Central Repository conducts State and National criminal history records checks under the FLA, 5-560---5-568. Phase III is the examination and evaluation of prior audits or reviews of CHRI collected and maintained by the CJIS Central Repository.<br><br>Activities to date include:<br><br>• JAC research staff conducted a review of the data samples, determined an appropriate sampling methodology, and established necessary parameters and procedures. The test cases selected will be reviewed for three sets of criteria: (1) case filings, (2) case dispositions, and (3) fingerprint cards/images.<br>• JAC selected a representative sample of 400 cases each from the Circuit Courts and the District Court.<br>• The JAC team has provided a draft audit report as of March 11, 2003, for Phase I, which is currently under review. |
| Measurements to achieve BJA goals 1-5 | TBD |

| **PROJECT NAME/Number** | **I-9 – Internal Auditing - Closed** |
|---|---|
| Problem Description | As a result of FBI III Audits and problems surfacing from NICS related activities, records have been identified that do not correspond to the III record maintained by the FBI and involve State identification (SID) and FBI numbers, sex, race, date of birth, missing information and different true names with the same SIDs. |
| Project Cost | |
| NCHIP/State funding availability | The Department has received NCHIP funding totaling $657,449 for the project. State match funding in the amount of $73,049 has been committed to the project. $358,301has been expended since the projects inception. |
| CJRI monies by FY | NCHIP Funding FY2006 |

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|---|---|
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q3 – 2006 Q4<br><br>CJIS-CR has developed and implemented an internal auditing program to identify missing criminal history records. Two Administrative Specialist positions (grant-funded contractual positions, were initially assigned to perform III auditing tasks including reconciling Maryland criminal history records currently maintained by the FBI. This audit team will:<br><br>• Conduct analysis, measurements, and evaluation of CJIS data in order to correct errors that diminish accuracy, completeness, and timeliness;<br>• Process each exception to investigate, expunge (remove) and correct the invalid data or initiate corrective action within the appropriate CJIS-CR unit;<br>• Perform internal quarterly audits of work samples to identify discrepancies and to facilitate ongoing efforts to synchronize III records.<br><br>Through out this year several positions have turned over and we have refilled those positions. Currently we have been reviewing the staffing patterns to ensure the closure of this project within budget and in line with milestone achievements.<br><br><u>Major Accomplishments to date:</u><br><br>• Completed a quarterly reconciliation of the FBI synchronization tape on time. Responsibility for the quarterly synchronization process will be transferred to the Data Entry group as the term of the NCHIP grant program ends in 4th Quarter 2005.<br>• An Audit Methodology document was created in August 2002; a CJIS-CR Criminal History Record Audit Form was developed in August 2002 to assist the Administrative Specialists in reviewing records to determine where mis-Ident errors exist. The form will also serve as a monitoring tool for assessing the number of records improved in the process.<br>• The first Quarterly Internal Audit was completed in October 2002. The audit found 25% of the sample contained major errors that would prevent a match to the Identification Index (Ident/Index) system. A project plan was developed to analyze the cause of the errors and to establish a work process to prevent those errors in the future; the second Quarterly Internal Audit is in progress. |

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|---|---|
| | • Quarterly internal audits of newly processed fingerprint cards were conducted through 1st Quarter FY 2004. A consistent error rate of about 7 % was found.<br>• As the grant funded staff has turned over and, more recently, positions have been left unfilled, the Internal Audit program has been put on hold pending additionally funding through NCHIP or other sources.<br><br>Milestones:<br>• Continue CJIS-CR III auditing function to correct additional record errors<br>• Seek additional funding sources to continue staffing the Audit Unit – Completed |
| Measurements to achieve BJA goals 1-5 | • Conduct one internal audit of data accuracy each fiscal quarter. One of these four audits will sample the entire fingerprint card population resident in CJIS-CR. Two of these three four audits will only sample the work processed within the prior 3 months;<br>• Develop a plan of action to resolve shortcomings found during the internal audits; and<br>• Facilitate and monitor corrective actions by CJIS staff in response to the plans of action. |

| **PROJECT NAME/Number** | **I-10 – Fingerprint Training and Certification - Closed** |
|---|---|
| Problem Description | A survey of fingerprint contributors revealed that the technical fingerprint quality submitted by Maryland law enforcement units was poor. This has two implications: criminal fingerprints entering the CJIS database were probably not of optimal quality, and applicants using law enforcement to take prints were subject to higher rejection rates (up to 38% of incoming fingerprint cards have been rejected from certain units submitting applicant fingerprints). |
| Project Cost | |
| NCHIP/State funding availability | The Department received FY 2001 NCHIP grant funding totaling $181,170 for this project. State match funding in the amount of $20,130 was committed to the project. Project cost is $201,300. $13,418.90 was expended in FY 2002. The project is currently active. |
| CJRI monies by FY | |
| Current status (implementation strategy, | Estimated timeframe: 2002 Q2 – 2005 Q4 |

| PROJECT NAME/Number | I-10 – Fingerprint Training and Certification - Closed |
|---|---|
| including timeframe and milestones) | CJIS-CR has developed and implemented a training and certification program for fingerprint technicians (sworn and civilian) as a means of improving the quality of the criminal records and cutting down the response time for applicants.<br><br>Two Fingerprint Specialists were assigned to develop and teach the Fingerprint Outreach Program.<br><br>• A grant-funded Computer Programmer were assigned to set up a database to track and monitor rejection rates on fingerprint card submissions to the FBI from Maryland's law enforcement units. The programmer interfaced with CJIS-CR audit personnel to identify and correct fingerprint record technical problems in an effort to reduce the current paper card rejection rate of 37%.<br>• Consulting services to prepare standard operating procedures (SOPs) and develop fingerprint record standards for local law enforcement units.<br><br><u>Major Accomplishments:</u><br><br>• 168 fingerprint training sessions conducted by the CJIS-CR Fingerprint Outreach staff have resulted in 1,268 fingerprint technician trainees receiving Maryland CJIS fingerprint certifications (through March 2004). The trainees represent local law enforcement and other sites that have submitted poor quality prints or improperly completed State and FBI fingerprint cards. The classes have been rated as satisfactory or better by 94% of the trainees.<br>• RESI provided the Department with a document titled, "Criminal Justice Information System – Central Repository Criminal History Record Audit Methodologies and Recommendations Final Report" in August 2002.<br>• RESI completed and delivered the draft "Standard Operating Procedures for Fingerprinting Technicians" in November 2002. Additionally, RESI completed their interviews and information gathering efforts relative to the Reporting Organization Audit deliverable. The audit methodology is expected the week ending December 6, |

| PROJECT NAME/Number | I-10 – Fingerprint Training and Certification - Closed |
|---|---|
| | 2002.<br>• Electronic monitoring tool was developed to track contributor fingerprint quality error rates. Results will be utilized to focus on those contributors and agencies that indicate need for improved fingerprint quality. |
| Measurements to achieve BJA goals 1-5 | • Collect, measure, and analyze pre and post contributor fingerprint quality submitted by contributors to CJIS-CR to determine the effectiveness of the Fingerprint Training and Certification program.<br>• Catalog and monitor the error rate and quality of fingerprints of those students who have attended the Fingerprint Training and Certification class.<br>• Monitor fingerprint quality error rate of cards rejected by FBI. |

| PROJECT NAME/Number | I-15 – CHRI Disposition Completeness - Closed |
|---|---|
| Problem Description | Project 1 – CJIS-CR is not able to claim responsibility for over 300,000 arrest records because arrest information is not properly matched with court disposition information or because the FBI has more arrest information than CJIS-CR. This project will provide salary for five contractual Administrative Specialist Is and two contractual Administrative Specialist IIs to research for missing disposition information to match to arrest records.<br>Project 2 – Maryland's RAP sheet is populated from the ADR system. The ADR system populated with arrest information with a fingerprint card first arrives at CJIS-CR. Theoretically, the arresting law enforcement officer will have affixed a court tracking number on the fingerprint card. Subsequently, when the arrest is adjudicated, CJIS-CR receives an automated data feed from the Judicial Information System that contains disposition information, including the court tracking number. If either the ADR or JIS is missing the tracking number, the disposition will not match the arrest and ADR is not updated. As research from Project 1 finds sufficient information to manually match arrest and disposition and disposition information, CJIS-CR must have a process and method to manually update ADR. This project funds the salary of a contractual DP Programmer through September 2006 to develop and implement an application enabling DEO staff to manually update ADR |

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| | with disposition information. The DP Programmer will also continue to support the CJIS-CR Criminal History Record Improvement initiatives begun under earlier NCHIP grant projects.<br>Project 3 – In January 2004, CJIS-CR initiated and External Audit process that audits criminal justice units for compliance with timeliness, accuracy, completeness and quality requirements and standards mandated by COMAR, agreements, accepted practice, or FBI. The audit team conducted 17 audits during 2004. The 2006 plan has 20 criminal justice audits scheduled. In May 2005, FBI will initiate its non-criminal justice unit audit program. CJIS-CR, likewise, will begin non-criminal justice unit audits in April/May 2005 and will schedule between 7 and 10 such audits over the remainder of 2005. In 2006, we plan to increase the number of non-criminal justice unit audits to between 10 and 15 per year. This project funds the salary of one contractual Administrative Specialist through September 2006 to enable the External Audit team to maintain its aggressive audit schedule.<br>Project 4 – The Federal Brady Gun Act of 1997 requires a pre-sale background check on individuals purchasing firearms. When Maryland's CHRI database does not provide sufficient background information or provides insufficient disposition information, the FBI sends the background check request to the Maryland State Archives. The Archives houses much of the historical court documents for the State. The Archives conducts additional research and often is able to provide the necessary response to support or deny the purchase request. Since 2001, in a cooperative inter-agency support effort, ITCD/CJIS-CR has allocated NCHIP funds to the Archives to offset the research expense associated with NICS checks. This project will extend this program through September 2006. |
| Project Cost | |
| NCHIP/State funding availability | NCHIP |
| CHRI monies by FY | NCHIP Grant funds for 2006 - **Grant is denied** |
| Current Status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2007 Q1 – 2008 Q1<br><br>Phase I – hire/rehire 6 contractual Administrative Specialist Is, 2 contractual Administrative Specialist IIs, and 1 contractual DP Programmer to begin work no later than October 1, 2005 and extending through September 2006.<br>Phase II – from October 2005 through September 2006:<br>- conduct missing disposition research<br>- build and implement an application to update ADR |

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| | - update ADR with validated disposition information<br>- continue to provide NICS responses to FBI<br>- continue to use IT resources to improve CHRI database<br>- conduct criminal and non-criminal justice agency audits<br>- Need funding to hire resources to perform Manual and programming work .<br>- Analysis has started |
| Measurements to achieve BJA Goals 1–5 | Research 50,000 records with incomplete disposition histories<br>Match 40,000 dispositions with arrest information and update CHRI database<br>Improve Maryland RQI in comparison to the national average RQI<br>Conduct 30 criminal justice and non-criminal justice unit audits during 2005 and between 30 and 35 criminal and non-criminal justice unit audits in 2006<br>MSA will respond to 1900 NICS requests each year during 2005 and 2006 |

| **PROJECT NAME/Number** | **I-17 – Circuit Court Disposition Interface - Closed** |
|---|---|
| Problem Description | CJIS-CR is experiencing a lower success rate for matching Maryland Circuit Court Disposition information to the associated arrest information then we experience with the District Court Dispositions. This appears to be due, in part, to court tracking numbers that are assigned to the case at the time of arrest are being changed when cases are bound over to the Circuit Courts or when the case is referred back and forth between the District and Circuit Courts. Additionally, the Circuit Court system for managing and inquiring on cases is much more cumbersome to work with than the system at the District Court level. This project will attempt to redesign the Circuit Court interface with ADR to mimic current District Court file. |
| Project Cost | |
| NCHIP/State funding availability | NCHIP 2006 Grant Award<br>FY 2006 Q2 – 2007 Q2 |
| CJIS monies by FY | |
| Current Status (implementation strategy, including timeframe and milestones) | The Statement of Work has been written for DPSCS and JIS. The Contracting company for JIS has been identified and will be on board shortly. - Completed |

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| Measurements to achieve BJA Goals 1-5 | A reduction in processing time<br>The timely availability of charge and disposition data for the RAP sheet<br>More accurate information included on the RAP sheet. |

| **PROJECT NAME/Number** | **II-4 – Automated Interface with Courts Using MQSeries - Closed** |
|---|---|
| Problem Description | Currently, the Department receives magnetic tapes from JIS containing various types of court data (e.g., filings of court cases, dispositions, charges, sentencing information, bail bonds, linkage data to arrests, and State identification (SID) numbers). Two magnetic tapes are delivered weekly, one containing District Court and one containing circuit court data, to the Department's Public Safety Data Center (PSDC). They are processed against the Department's court database, which is maintained on a mainframe computing environment. The design of an MQ Series interface for court data transmitted by JIS will reduce processing time by 2-3 days. |
| Project Cost | |
| NCHIP/State funding availability | The Department received FY 2002 NCHIP funding (federal funding $359,468, State match funding $39,941). Project cost is estimated at $399,409. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2004 Q1 – 2006 Q2<br><br>This project represents a joint venture between the Department and JIS.<br><br>Following implementation of this project, JIS will transmit weekly court data electronically using MQSeries technology middleware that enables cross network communication. Additionally, the Department plans to use MQSeries technology to provide electronic transmission of data for the following:<br><br>1. Restitution, court costs and fines to the courts (currently paper listings are provided to the courts from which the courts manually enter the restitution, costs and fines into the JIS system);<br>2. System generated disbursement reports to the courts (currently paper listings are mailed); and |

| PROJECT NAME/Number | II-4 – Automated Interface with Courts Using MQSeries - Closed |
|---|---|
| | 3. Data required by the Department's private sector vendor to collect monies due from offenders.<br><br>The benefits of electronically transmitting the aforementioned data types using MQSeries technology are:<br><br>1. Reduced processing time;<br>2. More timely availability of data to system users; and<br>3. Increased accuracy of data by reducing data entry errors through the use of software editing routines.<br><br>The project will be implemented in 3 phases:<br><br>Phase 1 - Daily Electronic updating of the Court Database with the District Court dispositions and Charges. Completed.<br>Phase 2 - Daily Electronic updating of the Court Database with the Circuit Court dispositions and Charges. Scheduled for 2006 Q2 – Completed<br>Phase 3 - Daily updating of the OBSCIS II database with the district and circuit court restitution, court costs and fines. Scheduled for 2006 Q2.<br>Phase 4 – Daily feedback to both Circuit and District on non-matching dispositions. Completed |
| Measurements to achieve BJA goals 1-5 | • A reduction in processing time<br>• The timely availability of charge and disposition data for the RAP sheet<br>• More accurate information included on the RAP sheet.<br>• More matched up dispositions. |

| **PROJECT NAME/Number** | **II-6 – Maryland Integrated Interagency Justice Information System (MIIJIS) - Closed** |
|---|---|
| Problem Description | In September 2000, the Maryland Public Safety Technology Task Force published a major report documenting Maryland's need for an interoperable system of criminal justice information databases that would enhance accuracy and comprehensiveness. |
| Project Cost | |
| NCHIP/State funding availability | The Department received BJA federal funding totaling $213,336, and committed State match funding totaling $71,112 for the project. Project cost is $284,448. Expenditures to date totaled $22,672 ($17,004 federal, $5,668 state match) the National Governors Association endorsed this project in spring 2000. Since then leadership has changed and the focus for this initiative has been redirected. The project is not currently active and funding will expire in Sept of 2005. Project closed funding redirected. |
| CJRI monies by FY | FY 2004 as detailed above |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2003 Q1 – 2005 Q4<br><br>The project consists of four phases:<br><br>• Phase I – Conduct a public safety needs assessment (completed September 2000).<br>• Phase II – Provide a framework for technology integration, i.e., a roadmap guiding the means of integrating technology among public safety units and the public (completed September 2001).<br>• Phase III – Develop detailed implementation plans and design the technology infrastructure as identified in the Framework (in the beginning stage).<br>• Phase IV – Oversee the implementation of the technology infrastructure (future).<br><br><u>Phase III:</u><br>• Completed documentation of the MIIJIS Program Office in preparation for turnover to the designated MIIJIS Program Office state executive (May 2003)<br>• Completed design and development of four secure connectivity alternatives for state agencies to access MILES/NCIC2000 in compliance with federal and state requirements (November 2003) |

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| | • State MIIJIS Program Office Executive appointed (February 2004)<br>• Designed an interface for the State's Motor Vehicle Administration to filter driver's license information through the Department's MILES (Maryland Interagency Law Enforcement System) to state and local criminal justice agencies (February 2004)<br>• Continued data mapping of critical Criminal Justice Information Systems.<br>• Continue data mapping of critical Criminal Justice Information Systems.<br>• Continue working with MMIJIS Program Office state executive on program strategies, prioritization, planning, resources, and communication. |
| Measurements to achieve BJA goals 1-5 | TBD |

| **PROJECT NAME/Number** | **II-7 – Expungement Automation - Closed** |
|---|---|
| Problem Description | The CJIS-CR receives, processes and executes court orders to expunge certain criminal history records. The current workflow process requires that each expungement request pass through 11 workstations. At the present time, 11 CJIS-CR staff are required to perform eight various task functions to complete an expungement request. The current process is inefficient and labor-intensive: (1) mail-in; (2) tracking; (3) screening/flagging; (4) request fingerprint cards from archive; (5) deletion; (6) correspondence preparation; (7) verification/certification; and (8) mail out. The result is that the average turnaround on an expungement request is lengthy, making it difficult to consistently meet the current statutory requirement that expungements be processed within 30 days. |
| Project Cost | Estimated $111,585. |
| NCHIP/State funding availability | |
| CJRI monies by FY | The Department requested FY 2001 Byrne 5% funding from the Governor's Office of Crime Control and Prevention for this project. The request was denied. State funding has been reprioritized to initiate this project. |
| Current status (implementation strategy, | Estimated timeframe: 2003 Q1 – 2003 Q4 |

| **PROJECT NAME/Number** | **II-7 – Expungement Automation - Closed** |
|---|---|
| including timeframe and milestones) | This initiative is designed to automate the process and ensure Maryland's CJIS-CR is in compliance with the current statute. The objectives of this project are:<br><br>• To assure processing time of 30 days as mandated by statute<br>• To decrease the number of manual processing errors through system automation<br>• To decrease the current backlog of over 800 court order requests for expungement of criminal history records<br>• To increase customer satisfaction through better service delivery<br>• To increase staff morale and performance<br><br>The deliverables of the initiative are:<br><br>• Revision of the workflow process by consolidating and streamlining existing steps to eliminate the current assembly-line process. The new process design will automate some of the existing manual functions, decrease the number of workstations involved in executing expungements, increase the technical proficiency of current expungement staff, increase the quality control function of the expungement process, and partially web-enable the process.<br>• Development by the ITCD Applications unit of a new web-based application to act as a process re-engineering enabler.<br>• Retraining of the expungement staff for work in the new web-based expungement application environment. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | II-8 – Interface to MSP and Local Criminal Justice Databases - Closed |
|---|---|
| Problem Description | The feasibility study is necessitated by the current "integration and interoperability" mode within Maryland government. The Department and the MSP plan to embark on the redesign and construction of a new Internet Protocol (IP) based information system. |
| Project Cost | |
| NCHIP/State funding availability | The Department received BJA grant funding totaling $154,899.38 for the project. State match funding in the amount of $51,633.13 was committed to the project. Project cost is $206,533. The National Governors Association endorsed this project in spring 2000. $0 expenditures have occurred during the reporting period. The project is currently inactive. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2004 Q1 – 2005 Q1<br><br>Leadership changes in Maryland Government have resulted in inactivity of this project. The project will be reassessed for future planning. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | III-4 – Haz-Mat - Closed |
|---|---|
| Problem Description | On May 5, 2003 the Transportation Security Administration published an IFR (Interim Final Rule) that requires a security threat assessment of commercial drivers who are authorized to transport hazardous materials. The IFR implements several mandates that include a criminal history background check. The rule further advises that databases that support criminal history cannot be accessed without submitting fingerprints. The purpose of this project is to specify databases requirements that meet Federal Bureau of investigation NIST standards as well as Maryland CJIS requirements for the use in criminal history processing |
| Project Cost | The state of Maryland proposes to utilize federal funds for the first procurement and operations. As a result of regulation restricting the amount of funds that can be generated for fingerprinting, Maryland will utilize federal funds for the second year of operation. Cost associated with the startup includes the procurement of hardware, software modifications to |

| PROJECT NAME/Number | III-4 – Haz-Mat - Closed |
|---|---|
| | the current state systems, connectivity from fingerprint sites to DPSCS and from the DPSCS to TSA and associated personnel costs. The first year total costs for the limited site program is $1,724,556. The second year operating costs are calculated at $560,000 for eleven sites for total commitment of $2,2284,566. |
| NCHIP/State funding availability | Federal Fund Grant- Pilot site for TSA |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2005 Q1 – 2005 Q3<br><br>Milestones:<br>The following milestones have been achieved:<br>• Meet mandate for fingerprinting and subsequent federal level background checks for Maryland HAZ-MAT CDL applicants<br>• *A partnership between MSP, MVA, DPSCS and TSA has been formed to provide the federally mandated background checks for Hazmat CDL applicants.*<br>• *On January 31, 2005 the DPSCS in conjunction with MVA opened an office at the MVA Headquarters in Glen Burnie. This office provides fingerprinting services and forwards the applicants information to the Central Repository and the FBI.*<br>• *Two additional offices have been scheduled to open in the MVA facilities located in Belair and Waldorf. These offices are targeted to open my May 1, 2005.*<br>• *On April 3, 2005 the automated submission of Hazmat applicant information was begun, decreasing the FBI response time to less than four business days.*<br><br>*Milestones To Be Achieved:*<br>• *Open two more sites at the MVA facilities in Frederick and Salisbury*<br>• *Decrease FBI response time from 6-8 weeks to 3-4 days.* |
| Measurements to achieve | 1. The reduction in processing time of applicant and non criminal fingerprint cards |

| PROJECT NAME/Number | III-4 – Haz-Mat - Closed |
|---|---|
| BJA goals 1-5 | 2. The reduction of customer inquiry and complaints as to the status of their response<br>3. The increase in customer satisfaction of contributors and applicants |

| PROJECT NAME/Number | IV-3 – Conversion of Pre-1998 Records to III- Closed |
|---|---|
| Problem Description | The purpose of the project is to convert historical arrest records older than March 1998 to III format. CJIS-CR management staff and ITCD Systems Applications team will work closely with the FBI to define the parameters of the project. This project will involve requesting the FBI to supply an extract from its files of all Maryland criminal records not pointing to Maryland. The internal audit team (see Project #1-2) has determined there are approximately 750,000 arrest data files that pre-date Maryland's "day-forward" participation in III in March 1998. Of these, it is estimated approximately 60% will not initially synchronize with the FBI's file. Preliminary data collection on manual resolution by the internal audit team suggests that required adjustments may take up to 3 years at full staff complement (one supervisor and eight administrative specialists). |
| Project Cost | |
| NCHIP/State funding availability | The Department received FY 2001 NCHIP grant funding totaling $193,019 for this project. State matching funds in the amount of $21,446 are required to complete the project. The funding was awarded on October 1, 2001. Project cost is $214,465. Project funds for this task have been adjusted and the total current funding is $132,071 NCHIP grant funds and $14,675 state matching funds for a total of $146,746. The project is currently active. To date funding in the amount of $54,142.40 has been obligated for the computer programmers' salary for a 12-month period beginning June 19, 2002. Total expenditures to date are $117,259. |
| CJRI monies by FY | |
| Current status (implementation strategy, | Estimated timeframe: 2003 Q2 – 2005 Q4 |

| PROJECT NAME/Number | IV-3 – Conversion of Pre-1998 Records to III- Closed |
|---|---|
| including timeframe and milestones) | One grant-funded contractual computer programmer has been hired and will assist the ITCD technical staff in developing system changes in support of the conversion of 752,000 older arrest records to III formatting. This position will assist in developing specialized tracking screens, and will assist the III Audit Supervisor in monitoring the progress being made in correcting III record deficiencies within the Maryland Ident/Index system. The CJIS-CR management team is working closely with the programmer and ITCD technical staff to develop a process to compare the FBI records with internal CCH data, and will set the standards required for record completion and accuracy in order to accomplish this task within the estimated timeframe. These efforts will need to be coordinated with the court systems and the MSA. The CJIS-CR management team is meeting bi-weekly with the ITCD technical staff to manage project activities, and address issues relating to the records conversion.<br><br>To date, over 567,000 of the 752,000 problematic records have been reconciled between the State's Identification Index system and the FBI database. Of the 567,000 resolved records, over 354,000 have been established in the FBI database with "pointers" indicating that Maryland is the responsible source for those arrest records.<br><br>In February, 2003, CJIS-CR funded and positioned one Administrative Specialist I position at the Maryland State Archives to assist in researching missing dispositions and conducting FBI requested NICS background checks for records pre-dating 1984. The position was vacated in August, 2003 and was not refilled due to limited amount of work being produced.<br><br>ITCD also provided direct NCHIP grant funds of $41,430 in FY 2002 and $47,250 in FY 2003 to pay the administrative costs of processing NICS background checks for the FBI.<br><br>Throughout this year several positions have turned over and we have refilled those positions. Currently we have been reviewing the staffing patterns to ensure the closure of this project within budget and in line with milestone achievements.<br><br>Milestones: |

| PROJECT NAME/Number | IV-3 – Conversion of Pre-1998 Records to III- Closed |
|---|---|
| | 10/01 – Project funding was received from the Bureau of Justice Statistics - Completed<br>05/02 – Computer programmer was hired - Completed<br>05/02 – Project initiation meeting was conducted - Completed<br>08/02 – Systems Applications Unit ran a report on the most recent quarterly synchronization tape received from the FBI to assess the nature of record errors and to determine the methodology for reviewing mis-ident records - Completed<br>11/02 – Received 11 data tapes from the FBI 752,000 records of Maryland based arrests - Completed<br>11/02 – Synchronizing of all 11 FBI tapes with Maryland's CCH records began.<br>02/03 - Hired 1-Administrative Specialist at the MD State Archives to conduct missing disposition and NICS research on pre-1984 records – Completed<br>03/03 – Programmatically synchronize 345,000 records.<br>04/03 – Begin transmitting MSR messages to FBI setting a pointer to Maryland's Ident/Index system for the 226,000 records identified as Maryland ownership.<br>11/03 – Provided a one-time database update of approximately 30,000 expungements to the FBI to update their files.<br><br>Milestones:<br>• Convert 3 – 4 thousand records per week<br>• Complete project by June 2005 |
| Measurements to achieve BJA goals 1-5 | • Process 1,500 records per week.<br>• Transmit up to 1,500 MSR messages to FBI weekly. |

| **PROJECT NAME/Number** | **IV-5 – Ratification of National Crime Prevention and Privacy Compact/NFF Participation - Closed** |
|---|---|
| Problem Description | Ratification of the Compact "in accordance with the laws of the executing State" has not yet been made a condition of State participation in the non-criminal justice phase of the III System. However, ratification of the Compact would provide a means of direct State-to-State dissemination of CHRI while preserving Maryland's existing statutory provision governing other dissemination in compliance with federal law and regulation. Ratifying the Compact will also result in a uniform dissemination policy concerning CHRI for non-criminal justice purposes among States, while still ensuring that each State may apply its own laws within the State.<br><br>Ratification of the Compact is prerequisite to participation in the National Fingerprint File (NFF) on which the pointer system of the III System is based. The NFF will eliminate the duplicate fingerprint-based record system currently maintained by the FBI, and the State will only forward the first fingerprint-based record. In the long run, this will have significant cost savings, but in the short run requires planning and fiscal commitments to effect procedural and system changes, both of which require time. Nonetheless, ratification of the Compact in advance of NFF participation signals a State's commitment to this goal. Maryland's goal is to become an NFF State. |
| Project Cost | Estimated $344,344 spread over a 3 year period<br>(Phase I= 1038 hrs X $110.61/hr (TSP) = $114,813) |
| NCHIP/State funding availability | NCHIP Monies $476,708 State Funding $52,967 (future request) |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated timeframe: 2005 Q2 – 2008 Q1<br><br>The Department in Senate Bill 264 before the 2003 Maryland General Assembly introduced legislation. It did not pass. Legislation was not re-submitted to the 2004 General Assembly due to competing demands in the governor's office. Legislation was submitted to the 2005 |

| PROJECT NAME/Number | IV-5 – Ratification of National Crime Prevention and Privacy Compact/NFF Participation - Closed |
|---|---|
| | General Assembly and passed.<br><br>The following are the prerequisites for becoming a Compact State after ratification of the Compact.<br><br>1. Provide index records for all current and future authorized purposes. (Full III participating State).<br>2. Maintain a Central Repository of CHRI with full technical search capability based on fingerprint images of both criminals and non-criminals.<br>3. Subject fingerprints shall be submitted electronically with all requests for criminal history record checks for non-criminal purposes. (All fingerprint images that are sent to FBI are transmitted electronically.)<br>4. Serve as the single source submitter to FBI of both criminal and non-criminal fingerprints.<br>5. Do not forward fingerprints to FBI identified at State level.<br>6. Maintain 10 full fingerprint images to support each record and arrest cycle.<br>7. Include unique SID with all fingerprint images submitted to FBI.<br>8. Missed identifications by State repository less than 2%.<br>9. Receive and forward electronic results messages to all local fingerprint contributors (or receive electronic results messages, print and mail results).<br>10. Maintain criminal history records that contain ALL arrests, dispositions, and custody/supervision actions occurring in the State.<br>11. Remove a SIS from III record when expunged from State records.<br>12. Conduct III record synchronization with FBI at least twice a year.<br>13. Correct discrepancies within 90 days of audit tape receipt.<br>14. Forward CPI message to FBI within 24 hours of arrest.<br>15. Add supplemental identifiers.<br>16. Submit FIS transaction to FBI on subsequent fingerprint images that contain new amputations, new permanent scars or are of better quality than the State master prints. |

| PROJECT NAME/Number | IV-5 – Ratification of National Crime Prevention and Privacy Compact/NFF Participation - Closed |
|---|---|
| | 17. Conduct file maintenance promptly.<br>18. Automated criminal history record response within 1 hour or less from receipt of query with electronic fingerprint images for non-criminal justice purposes.<br>19. Respond immediately to III record requests via NLETS.<br>20. Have experienced personnel available (24 X 7) to resolve problems if system cannot provide record within 1 hour.<br>21. Provide record responses containing literal translations of all alphabetic and/or numeric codes.<br>22. Do not include any out-of-state criminal history.<br>23. Name a State Compact Officer.<br>24. Thoroughly test system upgrades or modifications.<br>25. Regulate the in-State use of records received by means of III from the FBI or other States. Ensure that records obtained under this compact are used only by authorized officials for authorized purposes.<br>26. Comply with rules, procedures and standards concerning record dissemination, use, response times, data quality, system security, accuracy, privacy protection and other aspects of III.<br>27. Manage so as not to diminish the level of service provided in support of criminal justice purposes.<br><br>Sixteen of the 27 prerequisites have NO impact. The current processing is in compliance. The remaining 12 have programming implications. |
| Measurements to achieve BJA goals 1-5 | TBD |

| **PROJECT NAME/Number** | **V-4 – Interface from MAFSS to ATS (MSP) - Closed** |
|---|---|
| Problem Description | This project will allow the MSP to enhance its gun registration/special services Applicant Tracking System (ATS) with data from the mainframe based Maryland Automated Firearms Services System (MAFSS). The data from MAFSS will be supplied electronically to MSP's ATS using MQ Series technology. The software development will be a combined effort between MSP and ITCD. |
| Project Cost | |
| NCHIP/State funding availability | The Department received FY 1999 NCHIP grant funding in the amount of $100,000 for this project. No State match funding was required. The Department's ITCD is serving as the pass-through for the MSP on this project. To date, MSP has expended $100,000 for related hardware, software and programming services.<br><br>MSP received an additional NCHIP award in the amount of $54,189 for Phase III activities to enhance ATS software features and improve management reporting capabilities. The project is currently active and should be completed by December 2004. |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Estimated Timeframe: 2005 Q1 – 2005 Q3<br><br>Phase I - Completed<br>• MSP procured a server upgrade for their existing Lotus Notes system (2002).<br>• The Department provided MSP with a pass-through software license, MQSeries (2002)<br>• A vendor completed computer programming support for the MQ Series interface.<br><br>The MSP is currently in the process of preparing a request for bid on Phase II. The project work will not commence until late in the Summer of 2004.<br><br>Milestones:<br><br>• Install MQSeries on MSP server;<br>• Develop changes on Mainframe; |

| PROJECT NAME/Number | V-4 – Interface from MAFSS to ATS (MSP) - Closed |
|---|---|
| | • Employ Contractor to change ATS;<br>• Install T1 Line to Jessup facility; and<br>• Confirm connection. |
| Measurements to achieve BJA goals 1-5 | TBD |

| PROJECT NAME/Number | V-11 – CJIS Customer Kiosks - Closed |
|---|---|
| Problem Description | All demographic information required for fingerprint card submissions must be entered manually. Handwritten and then typed into our database after the customer has left us. This leaves a large area for errors. |
| Project Cost | |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2007 Q1 – 2008 Q1.<br><br>This project will improve operational efficiency of processing non-criminal fingerprints in multiple key locations across the State through direct demographic entry by customers that electronically connect to the images. The implementation of remote customer service kiosks is another type of "self-help" applicant fingerprint processing that could be implemented in multiple locations, e.g., MVA full-service centers, across Maryland. The kiosks would allow direct demographic entry by our customers that electronically connect the images once prints are submitted to the Repository. On average, 20%-40% of customers visiting the CJIS Storefront's Reisterstown Road Plaza Office for fingerprinting travel 20 miles or more to receive this service. Remote location would increase customer satisfaction while reducing gas consumption and relieving congested roadways across the State. |
| Measurements to achieve BJA goals 1-5 | TBD |

| **PROJECT NAME/Number** | **V-12 – CJIS Remote Customer Service Centers - Closed** |
|---|---|
| Problem Description | Many applicants are forced to travel great distances to have fingerprinting done. We would like to create multiple sites in the state to be able to capture the fingerprint images and electronically transmit them into the Repository. |
| Project Cost | Estimated $434,449. |
| NCHIP/State funding availability | |
| CJRI monies by FY | |
| Current status (implementation strategy, including timeframe and milestones) | Future project. Estimated timeframe: 2007 Q2 – 2008 Q2.<br><br>This project will capture more applicant fingerprints directly across the State. One of the objectives is to improve customer delivery time for applicant work and capture higher quality prints for our CHRI database. Cross match machine technology is being considered for this project. The Department successfully conducted a pilot project last year in the Beltsville, Maryland, MVA. The pilot generated positive customer feedback demonstrating a need for additional statewide fingerprinting stations. The ability to capture fingerprints at the beginning of the criminal history check process allows for quicker customer delivery, and ultimately less cost to the customer. Partnering with the MVA will allow the Department to keep overhead costs down and target a well-known, highly visible public location. |
| Measurements to achieve BJA goals 1-5 | TBD |

## *APPENDIX I*

### BJA Goals of the Criminal Justice Records Improvement Plan

**A) The completion of criminal histories to include the final dispositions of all arrests for felony offenses**

1. 95% of current felony arrest records and fingerprints are complete.

2. A reasonable attempt should be made to improve the availability of past records with a goal of achieving complete records for 90% of felony arrests during the past five years.

3. 95% of current felony arrest records contain disposition information, if a disposition has been reached.

4. A reasonable attempt should be made to improve the availability of disposition information in past records with a goal of achieving disposition information for 90% of felony arrest records for the past five years.

5. 95% of current sentences to and releases from prison are available.

6. A reasonable attempt should be made to improve the availability of incarceration information in past records with a goal of achieving incarceration information for 90% of felony arrest records for the past five years.

7. 95% of current arrest records identify felonies.

8. A reasonable attempt should be made to improve the flagging of felonies in existing records, with a goal of achieving felony identification for 90% of the offenses in the repository that occurred during the past five years.

**B) The full automation of all criminal justice histories and fingerprint records**

9. All criminal history records from the past 5 years have been automated.

10. All master name index records from the past 5 years have been automated.

11. New records for offenders with prior manual records are entered into the automated files (including the manual record).

12. Procedures have been established to ensure that all records related to felony offenses are entered into the automated system within 30 days of receipt by the central repository and all other records are entered within 90 days.

**C) The frequency and quality of criminal history reports to the Federal Bureau of Investigation**

13. Fingerprints taken at arrest and/or confinement are submitted to the State repository and, when appropriate to the FBI Identification Division (ID) within 24 hours. In single source States, the State repository shall forward fingerprints, when appropriate, to the FBI ID within two weeks of receipt.

14. Final dispositions are reported to the State repository and, when appropriate, to the FBI ID within 90 days after the disposition is known.

**D) Extension of the improvement of State record systems and the sharing with the Attorney General of all the records described [above, A-C], as are required for the purposes of implementing the National Instant Check Systems (NICS), to be used for checking eligibility of potential firearm purchasers under Brady.**

**E) Extension of the improvement of State record systems and the sharing with the Attorney General of all the records described [above, A-C], as are required for the purposes of implementing the [National] Child Protection Act.**

## *APPENDIX II*

### BJA Recommended Voluntary Standards for Improving the Quality of Criminal History Records Information [4]

1. Every State shall maintain fingerprint impressions or copies thereof as the basic source document for each arrest (including incidents based upon a summons issued in lieu of an arrest warrant) recorded in the criminal history record system.

2. Arrest fingerprint impressions submitted to the State repository and the FBI Identification Division (ID) should be complete, but shall at least contain the following data elements: date of arrest, originating agency identification number, arrest charges, a unique tracking number (if available) and the subject's full name, date of birth, sex, race and social security number (if available).

3. Every State shall ensure that fingerprint impressions of persons arrested for serious and/or significant offenses are included in the national criminal history records system.

4. All disposition reports submitted to the State repository and the FBI ID shall contain the following: FBI number (if available), name of subject, date of birth, sex, State identifier number, social security number (if available), date of arrest, tracking number (if available), arrest offense literal, court offense literal, and agency identifier number of agency reporting arrest.

5. All final disposition reports submitted to the State repository and the FBI ID that report a conviction for an offense classified as a felony (or equivalent) within the State shall include a flag identifying the conviction as a felony.

6. States shall ensure to the maximum extent possible that arrest and/or confinement fingerprints are submitted to the State repository and, when appropriate, to the FBI ID within 24 hours; however, in the case of single-source States, State repositories shall forward fingerprints, when appropriate, to the FBI ID within two weeks of receipt.

[4] Bureau of Justice Assistance, *Guidance for the Improvement of Criminal Justice Records* (December 10, 1991; NCJ 133015), Appendix A, p. 19.

7. States shall ensure to the maximum extent possible that final dispositions are reported to the State repository and, when appropriate, to the FBI ID within a period not to exceed 90 days after the disposition is known.

8. Every State shall ensure that annual audits of a representative sample of State and local criminal justice agencies shall be conducted by the State to verify adherence to State and federal standards and regulations.

9. Whenever criminal history record information is collected, stored, or disseminated, each State shall institute procedures to assure the physical security of such information, to prevent unauthorized access, disclosure or dissemination, and to ensure that such information cannot be improperly modified, destroyed, accessed, changed, purged, or overlaid.

10. Every State shall accurately identify to the maximum extent feasible all State criminal history records maintained or received in the future that contain a conviction for an offense classified as a felony (or equivalent) within the State.

## *APPENDIX III*

### Department of Public Safety and Correctional Services Managing for Results Goals

| | |
|---|---|
| Goal 1. Safe Communities | Help to keep Maryland communities safe. |
| Goal 2. Victim Services | Enhance victim services and mitigate the effects of crime on victims. |
| Goal 3. Offender Security | Secure defendants and offenders confined under Department supervision. |
| Goal 4. Offender Safety | Ensure the safety of defendants and offenders under Department supervision. |
| Goal 5. Offender Well-Being | Ensure incarcerated offenders are confined in humane conditions and receive appropriate treatment services (medical, mental health, social work, addictions) consistent with correctional health care and treatment practices and standards. |
| Goal 6. Good Management | Ensure the Department operates efficiently. |

### Maryland's State Enterprise Business Goals

| | |
|---|---|
| Goal 1. | Focus on Customer Service |
| Goal 2. | Improve Service Delivery Mechanisms to Respond to the Needs of a Growing, Diverse Population |
| Goal 3. | Balance Freedom of Information with Privacy and Security |
| Goal 4. | Improve the Quality of Information and Decision-Making |
| Goal 5. | Ensure IT Interoperability |
| Goal 6. | Promote Collaboration and Cooperative Systems Development |
| Goal 7. | Optimize Service Delivery through Improved Stewardship of Limited Resources |
| Goal 8. | Attract, Retain, Manage and Train a Highly Skilled Government Workforce |

## *APPENDIX IV*

Glossary of Acronyms

| | | | |
|---|---|---|---|
| 24x7 | 24 hours per day, 7 days per week | CJU | Criminal Justice Unit |
| ABS | Arrest Booking System | COMAR | Code of Maryland Regulations |
| ADR | Arrest Disposition Reporting | COTS | Commercial Off The Shelf |
| ANSI | American National Standards Institute | CPA | Criminal Procedure Article |
| APB | Advisory Policy Board | CRS | Customer Response System |
| ATS | Applicant Tracking System | DB | Database |
| BCBIC | Baltimore Central Booking & Intake Center | DEO | Data Entry Operator |
| BCDC | Baltimore City Detention Center | DIRS | Digital Image Retrieval & Storage |
| BCJJC | Baltimore City Juvenile Justice Center | DJJ | Department of Juvenile Justice |
| BJA | Bureau of Justice Assistance (US Dept. of Justice) | DMS | Data Management System |
| BOPA | Business Occupations & Professions Article | DOC | Division of Correction |
| BRA | Business Regulations Article | DOJ | Department of Justice |
| BWIN | Baltimore Wireless Integrated Network | DPDS | Division of Pretrial Detention & Services |
| CAP | Contributor Audit Program | DPP | Division of Parole & Probation |
| CapWIN | Capitol Wireless Integrated Network | DPSCS | Department of Public Safety & Correctional Services |
| CCH | Computerized Criminal History | ELROI | Electronic Land Records Online Imagery |
| CCJT | Center for Criminal Justice Technology | FBI | Federal Bureau of Investigation |
| CDL | Commercial Driver's License | FBI ID | Federal Bureau of Investigation ID Division |
| CFR | Code of Federal Regulations | FIA | Financial Institutions Article |
| CHRI | Criminal History Record Information | FLA | Family Law Article |
| CIO | Chief Information Officer | FTA | Failure to Appear |
| CJ | Criminal Justice | GPS | Gateway Service Provider |
| CJIS | Criminal Justice Information System | HIPAA | Health Insurance Portability & Accountability Act |
| CJIS-CR | CJIS Central Repository | IAFIS | Integrated Automated Fingerprint ID System |
| CJRI | Criminal Justice Record Improvement | Ident/Index | Identification Index |

| | | | |
|---|---|---|---|
| IFFS | Identification for Firearms Sales | NIDS | Network based Intrusion Detection System |
| III | Interstate Identification Index | NIST | National Institute of Standards & Technology |
| IMS | Information Management System | NLETS | National Law Enforcement Telecommunications System |
| INS | Immigration & Naturalization Services | NLS | Network Livescan |
| IP | Internet Protocol | OBSCIS | Offender-Based State Criminal Information System |
| IPS | Identification Processing System | OLA | Office of Legislative Audits |
| ISO | Information Security Online | OPPIS | Optical Photo Print Image Subsystem |
| IT | Information Technology | PARIS | Parole Information System |
| ITCD | Information Technology & Communications Division | PATRIOT | Providing Appropriate Tools Required to Intercept and Obstruct Terrorism |
| JAC | Justice Analysis Center | PBJ | Probation before Judgment |
| JIS | Judicial Information System | PC | Personal Computer |
| LDAP | Lightweight Directory Access Protocol | PCS | Proactive Community Supervision |
| LEAP | Law Enforcement Audit Program | PIN | Personal Identification Number |
| MAFIS | Maryland Automated Fingerprint ID System | PSDC | Public Safety Data Center |
| MAFSS | Maryland Automated Firearms Services System | Pub L. | Public Law |
| MDT | Mobile Data Terminal | RAID | Redundant Array of Inexpensive Disks |
| MFR | Managing for Results | RAN | Restricted Access Network |
| MIIJIS | Maryland Integrated Interagency Justice Information System | RAP | Report of Arrest & Prosecution |
| MILES | Maryland Interagency Law Enforcement System | RESI | Regional Economic Studies Institute |
| MOU | Memorandum of Understanding | RFP | Request for Proposal |
| MPC | Maryland Parole Commission | RPOC | Reisterstown Plaza Office Center |
| MQ | Message Queue | RWOC | Release without Charge |
| MSA | Maryland State Archives | SEA | Safe Explosives Act |
| MSP | Maryland State Police | SID | State Identification |
| MVA | Motor Vehicle Administration | SNA | Systems Network Architecture |
| NCHIP | National Criminal History Improvement Program | SOP | Standard Operating Procedures |
| NCIC | National Crime Information Center (FBI) | SOR | Sex Offender Registry |
| NCR | Not Criminally Responsible | TBD | To Be Determined |
| NFF | National Fingerprint File | TCP/IP | Transmission Control Protocol/Internet Protocol |
| NGA | Next Generation AFIS | TSA | Transportation Security Administration |
| NICS | National Instant Criminal Background Check Syst. | UFO | Uniform Fingerprinting of Offenders |

| | | | |
|---|---|---|---|
| VPN | Virtual Private Network | | |
| WIPQueue | Work In Process | | |
| XML | Extensible Markup Language | | |
| Y2K | Year 2000 | | |

## *APPENDIX V*

### List of Figures