

THE FLORIDA DEPARTMENT OF LAW ENFORCEMENT



**Computerized Criminal History
Strategic Needs Assessment**

REQUEST FOR INFORMATION

5/24/2012

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Glossary of Terms

Name	Definition
[I]AFIS	[Integrated] Automated Fingerprint Identification System
ALGOL	ALGOarithmic Language
ANSI	American National Standards Institute
AON	Arrest Offense Numeric
BIS	Biometric Identification Solution
CATT	ClearPath A Series Terminal Tool
CCH	Computerized Criminal History
CIB	Crime Information Bureau
CJIS	Criminal Justice Information Services
CJNet	Florida's Criminal Justice Network (managed by FDLE)
COAST	Career Offender Application for Statewide Tracking
COTS	Commercial Off-The-Shelf
CVS	Concurrent Versions System
CWCS	Civil Workflow Control System
DOA	Date of Arrest
DOC	Department of Corrections
DOJ	United States Department of Justice
EBTS	Electronic Biometric Transmission Specification
FCIC	Florida Crime Information Center
FDLE	Florida Department of Law Enforcement
FORTS	Florida Offender Registration and Tracking Services
FPP	Firearms Purchase Program
FSAC	Florida Statistical Analysis Center
FTA	Failure to Appear
FTP	File Transfer Protocol
GFIPM	Global Federated Identity and Privilege Management
ICD	Interface Control Document
IEPD	Information Exchange Process Document
III	Interstate Identification Index
IPC	Inter-Program Communication
ITL	Information Technology Laboratory (part of NIST)
JMS	Jail Management System
LDAP	Lightweight Directory Access Protocol
NAD	NICS Action Date (NAD)
NCIC	National Crime Information Center
NICS	National Instant Criminal Background Check System
NIEM	National Information Exchange Model
NIST	National Institute of Standards and Technology
Nlets	The International Justice and Public Safety Network

FDLE CCH Strategic Needs Assessment Request for Information

NSF	NICS Status Flag
NTA	Notice to Appear
OBTS	Offender Based Tracking System
ORI	Originating Agency Identifier
POC	Point of Contact
RAP	Record of Arrest and Prosecution
RFI	Request for Information
SAML	Security Assertion Markup Language
SOA	Service Oriented Architecture
TCP/IP	Transmission Control Protocol/Internet Protocol
UCN	Uniform Case Number – assigned by Clerks of Court Statewide
USB	User Services Bureau
USPS	United States Postal Service
VOP	Violation of Probation
WBS	Work Breakdown Structure
XML	eXtensible Markup Language

I. Background and Instructions

A. Purpose

Florida Department of Law Enforcement (FDLE) is requesting information, from qualified vendors, for a feasibility study to replace FDLE's Computerized Criminal History (CCH) with more modern technology. **Responses to this Request for Information (RFI) will be reviewed by the Agency for informational purposes only and will NOT result in the award of a contract.** Any request for cost information is for budgetary purposes only. Vendors submitting answers to an Agency's Request for Information are not prohibited from responding to any related subsequent solicitation.

B. Background Information

FDLE is responsible for operating and maintaining the State of Florida's central repository for criminal records. This repository is known as the Computerized Criminal History system. CCH contains records on more than 7 million subjects that originated from Florida law enforcement agencies. Each year, FDLE receives approximately 1 million arrest records from Florida law enforcement agencies.

Criminal records are used every day for a variety of purposes by many organizations, public and private. Criminal justice agencies use criminal records for investigations, security, prosecution, and sentencing decisions. Government agencies use criminal records in a wide range of employment decisions, security clearances, and licensing programs. Private firms rely on criminal records to make informed hiring decisions.

The CCH system began operation in the early 1970s and even though the system has undergone a number of significant changes, many of the underlying business processes and core technologies remain the same. There are many examples of how the current CCH structure does not efficiently support the daily operations of the state's criminal justice system.

The CCH system was designed based on the assumption that a subject will be arrested and booked, go to court and then potentially be sentenced to correctional supervision. Often, a subject may be booked (fingerprinted once) for what the local law enforcement and court agencies handle as multiple arrests (as in multiple burglaries with different locations and victims). Under the current system design, the subject would have to be fingerprinted multiple times at booking. This does not happen in most busy booking facilities. If there are added charges (or arrests) post-booking, the agency cannot simply add these to the original booking record. The result of this inability to attach multiple different local "arrests" or added charges to a single booking, impacts the completeness of the repository and the ability to match court data to arrests. These added charges may be firearm or licensing/employment disqualifiers. If there is a violation of probation without a prior arrest, the repository does not readily reflect the details of the event. The database is severely limited in the space allocated to describe arrest or court charges. If the crime has aggravating or extenuating circumstances, the system will not allow for that level of detail to be efficiently captured in the statute table

Prior to 1988, statute was not an element in the Florida criminal history repository. The data entry was driven by the Arrest Offense Number (AON), which is based on a Federal Bureau of Investigation (FBI) code standard. When statutes were initially introduced as a data field in CCH, FDLE accepted any statute reference submitted, but staff realized that there was a need to ensure the validity of the information. Information recorded in the state repository must conform to a state standard. FDLE began preparing and publishing statute tables for arrest and disposition reporting to the state.

The state statute table has severe limitations on fields such as charge description due to limits in the CCH database. Many State Attorneys have developed their own statute tables to address this deficiency, the lack of city/county ordinances, and other local needs and there are far more statute tables in use in Florida than the 20 judicial circuits. A major stakeholder

group that had to deal with problems created by inconsistencies among statute tables was the Clerks of Court who have reporting responsibilities at both the local and state level. Most of them have developed conversion programs from their local State Attorney table to the state's standard table.

With the advent of significant automation of police agencies, and specifically with Jail Management Systems, the validations of the statute table force standardization at the time of booking. Officers are caught between using the statute tables provided by their State Attorneys and the FDLE arrest statute table that is provided to booking agencies.

In July 2009, the FDLE Commissioner requested that the Criminal and Juvenile Justice Information Systems (CJJIS) Council establish a task force to look into and address this issue. The task force was established and met initially on August 11, 2009.

The 2010 Legislature passed HB 5401, which amends Chapter 943.03 of the Florida Statutes. This bill was passed to improve criminal history use within the criminal justice community through enhanced information sharing and establishing of standards between Florida's criminal justice agencies and law enforcement agencies.

FDLE has been given the responsibility to gather business requirements, make modifications to the uniform statute table, implement system modifications, and adopt rules for compliance.

The law addresses three specific action items:

1. Define minimum business requirements for successful implementation.
2. Consider business requirements of the stakeholders namely:
 - a. Sheriffs
 - b. Police
 - c. State Attorneys
 - d. Public Defenders
 - e. Criminal Conflict and Civil Regional Counsel
 - f. Clerks of Court
 - g. Judges
 - h. State Criminal Justice Agencies
3. Adopt rules establishing the necessary technical and business process standards required to implement, operate, and ensure uniform system use and compliance.

While the deficiencies of the statute table have received significant attention as noted, a Strategic Needs Assessment provides a chance to identify other shortcomings of the current CCH system and identify options for addressing the business needs of stakeholders on other issues. The information obtained through the RFI process will be used for a feasibility study looking at the replacement options for CCH. Identifying a more comprehensive set of needs for the CCH system provides the opportunity to make efficient use of available grant resources and to prepare a more thorough plan for improving the criminal history data that is relied upon by so many different users.

More information about the current system can be found in Appendix A: Current System Specifications.

C. Vendor Qualifications

Vendors responding to this RFI must meet the following criteria:

- Demonstrated experience implementing Criminal History system of record repositories for a U.S. State, Territory, or the District of Columbia.

- Successful operation and support of a Criminal History system of record repository for more than one year
- Retain working staff on similar projects who currently maintain active State and Federal background clearances

Vendors who have only implemented at a county or municipal level or who lack experience with systems within the US will not be considered and should not respond to this RFI.

D. Response Format

Responses to this Request for Information will be typed, formatted to follow the paragraphs in this section, and contain the information identified below. Additionally, a demonstration of the proposed solution may be requested by the Agency following the response. Responses must include eight (8) total paper copies and one (1) electronic copy in Microsoft Word format for the narrative and one (1) electronic copy in Microsoft Excel format for the cost. Include the following in your written responses:

1. Overview:
 - a. A description of the vendor understanding of, and approach to, accomplish the goals described in the Section II, Description of Products and Services.
 - b. A description of the suggested solution
 - c. An explanation of why the suggested solution was chosen
2. Solution – Provide a description of the overall solution:
 - a. If Commercial Off-The-Shelf (COTS), describe how much customization is required (vendor should cite specific examples of what customization was done for a successful implementation)
 - b. If Custom, describe how the solution was built and successfully implemented for a specific State
3. Product Components – Provide a detailed list of products that will be necessary to support the Agency's business needs to include system requirements for any necessary:
 - a. Software
 - b. Hardware
 - c. Third party products
4. Functionality – Provide narrative of the system functionality as it relates to:
 - a. System Architecture
 - b. Security
 - c. Licensing
 - d. User Interface
 - e. Level of component integration
 - f. Performance
 - g. Version Control
 - h. Quality Assurance/Control
 - i. Storage
 - j. Standards compliance/conformance

5. Data Conversion – Provide information on how the CCH data currently stored in the DMSII database will be converted to a RDBMS including:
 - a. Replication
 - b. Conversion
 - c. Data Integrity
 - d. Synchronization
 - e. Production Cutover

6. Cost – Provide a rough order of magnitude pricing for each of the components listed below. Include the maintenance services for hardware and software required after the CCH Replacement is complete. For clarity, if there are multiple designs, breakout the corresponding costs for each design. Complete the table located in Appendix D: Cost Sheet.

7. Core Product - Complete the following table specifying if vendor’s core product contains functionality that meets the following Functional Requirements from Appendix B: Preliminary Requirements

#	Functionality	Included in Core Product (Yes/No?)
1	Criminal Justice Information Services Program	
2	User Services Bureau	
3	Crime Information Bureau	
4	Agency Corrections	
5	Court Ordered Expunge & Seal	
6	Dispositions	
7	Quality Control	
8	Personal Reviews	
9	Notifications	
10	Disseminations	
11	Compromised Identity	
12	Name Changes	
13	Consolidations	
14	FBI III Audit Report	
15	Identification	
16	Statistical Analysis	
17	Clemency, Pardons, and Restoration of Rights	
18	Cite & Release, Notice to Appear	
19	Direct File, Indictment	
20	Incarceration, Custody, Probation	
21	Registrations	
22	Record of Arrest and Prosecution (RAP) Sheet	
23	Missing Arrests	
24	Juvenile Records, Treatment as Adult	
25	Court Data	
26	Statute Table	

27	Violation of Probation	
28	Arrest	
29	Re-arrest	
30	Booking Event, Arrest Event	
31	Failure to Appear	
32	Bench Warrants	
33	NCIC - National Crime Information Center	
34	NLETS	
35	The National Instant Criminal Background Check System (NICS)	
36	National Fingerprint File (NFF)	
37	Criminal adds and updates via BIS (in NIST format)	
38	Name Search	

Figure 1: Functionality Inclusion/Cost Table

8. Proposed Implementation/Maintenance – Provide the following details for the proposed solution:
 - a. An overview of the implementation process and its complexity along with a high-level milestone plan
 - b. Estimated duration (in months) for the overall planning and implementation
 - c. The requirements (both financially and staffing related) to maintain the system
9. Business continuity, backup, and disaster recovery plans and services
10. Vendor Background – Provide the following information about your company and proposed partner, if applicable:
 - a. A history of the proposed solution
 - b. Your market presence in the United States
 - c. Any experience working with government agencies

E. RFI Schedule

FDLE plans to operate under the schedule shown below:

DATE	EVENT
5/24/2012	Release RFI through DMS Vendor Bid System
6/8/2012	Vendors Submit Questions to FDLE
6/18/2012	FDLE Issues Responses to Questions
6/22/2012	Vendor Day
7/10/2012	Responses to RFI due to FDLE by 2:00 PM

Figure 2: RFI Schedule

F. Public Records

All responses will be public record. Florida Statute 119 defines what constitutes a public record. If a response contains information that should not be a public record, the respondent

shall separate and clearly mark the confidential information. Include a brief, written description detailing the grounds for claiming exemption from the public records law, including the specific statutory citation for such exemption.

G. Vendor Costs

Vendors are responsible for all costs associated with the preparation, submission, and any potential demonstration or meeting to discuss this Request for Information. The State of Florida and Florida Department of Law Enforcement will not be responsible for any vendor-related costs associated with responding to this request.

H. Submission Instructions

Responses to this RFI must be submitted by the date shown in Section I, Subsection E, above. Responses may be mailed or emailed to:

Mark Scharein

Florida Department of Law Enforcement

Post Office Box 1489

Tallahassee, Florida 32302

(Street Address: 2331 Phillips Road, Tallahassee, Florida 32308)

Phone: 850-410-8515

Email: markscharein@fdle.state.fl.us

The information package must be clearly marked as follows: "CCH Strategic Needs Assessment".

Respondents should submit any questions concerning this Request for Information to the contact named above.

I. Process

Responses to this RFI will be reviewed by the Agency for informational purposes only and will not result in the award of a contract.

Vendors submitting answers to an Agency's Request for Information are not prohibited from responding to any related subsequent solicitation.

J. Vendor Day

The purpose of this day will be to exchange information regarding the RFI and products/approaches that vendors plan to describe in their responses. FDLE and vendors may use this time to ask questions and request clarification as needed. More information will be provided to vendors regarding time and location of the meeting.

No demonstrations will be scheduled prior to the RFI Response date. However, FDLE may, at its sole discretion, seek clarification from vendors (including request product demonstrations) after responses have been received.

II. Description of Products and Services

A. General Description

The information obtained from responses to this RFI will be used to support FDLE's request for funding to complete this effort. The primary purpose of this RFI is to obtain information from qualified vendors regarding:

- Replacement of the existing CCH System from its current Unisys Libra 300 platform to a Linux or Windows Operating System with a relational database
- The general level of effort required
- Estimated costs
- The capabilities or qualifications of the vendors to provide the required services
- Identification of project risks

For the purposes of this RFI, the Computerized Criminal History product will be referred to as CCH.

B. Current System

The current CCH system is based on a mainframe platform running a DMSII database to store the criminal history records. COBOL programs are used to access and update information within the database and perform ETL to extract data to external systems. These external systems are required to work around the limitations of the mainframe architecture and consist of Oracle and SQL databases containing extracts of the CCH data. CCH also contains interfaces to the Florida Crime Information Center (FCIC) system, the Courts, and other criminal justice information systems. A detailed overview describing the current system architecture, specifications, and interfaces can be found in Appendix A: Current System Specifications.

C. System Performance

The CCH System is considered "mission critical" and the Agency requires the system to meet the following specifications:

- FDLE requires 24x7x365 uptime; therefore production system functionality must be robust. No data or transactions shall be lost due to isolated failures of equipment. The solution must be redundant with no single points of failure.
- Vendor should propose the uptime they will be able to meet in terms of 99.xx%
- FDLE mandates the following response times (excluding network transit times):
 - Sub-second response time for 95% of CCH queries
 - Sub-second commit time for 95% of CCH updates
 - Capable of processing a minimum of 15 transactions per second
- Development and testing are to be performed on separate, non-production systems. The development and test environments should be outlined and included in the order of magnitude pricing proposal.
- Business continuity, backup, and disaster recovery plans and services are required

Additional specifications can be found in the Current System Metrics and Performance section of Appendix A: Current System Specifications

D. Dependent Systems

CCH is one of FDLE's primary information systems and is accessed by numerous other Federal, State, and Local systems that provide critical information to the criminal justice community. These internal and external systems include the Civil Workflow Control System (CWCS), FBI's National Crime Information Center (NCIC) and Interstate Identification Index (III) systems, FDLE's Florida Crime Information Center (FCIC), Firearms Purchase Program (FPP), Biometric Information Solution (BIS), and the LOGAN system used by the Florida Courts, among many others. CCH provides up-to-date information required for law enforcement and the Courts system and is an essential component for public and officer safety.

FDLE has a number of systems and processes that will require integration with the replacement for CCH. Provide information on capabilities to integrate the following:

- FCIC
- CWCS and FALCON (both systems access CCH via FCIC)
- BIS
- Name Search Server from Identity Systems
- Document Management Systems
- Identity Management Systems
- Workflow Management Systems

More information on these systems can be found in the Internal and External Interfaces Section of Appendix A: Current System Specifications.

E. CCH Replacement Services

Describe the application program and CCH replacement services you can provide to FDLE to move Florida's CCH System from its current operating environment to the proposed operating environment.

- Describe the overall approach including the proposed conversion of the hierarchical database (and other data files) to the proposed relational database management system.
- Describe the estimated schedule including durations and dependences for major tasks.
- Describe the project management methodology that will be used to manage the CCH replacement project.
- Describe the tools and techniques you expect to utilize to complete the CCH replacement project.
- Describe the tools and methodologies you expect to utilize for testing. Testing is considered a critical component for a successful project, therefore proposers are asked to highlight their testing solution with as much detail as possible.
- Describe the major activities involved in converting application programs (on-line and batch) from the current operating environment to the proposed operating environment.
- Describe the major activities involved in migrating CCH data from the current operating environment to the proposed operating environment.
- Describe the major risks involved in replacing the CCH System and actions that should be taken to mitigate these risks.

F. Hardware and COTS Software

FDLE requires 24x7x365 uptime; therefore hardware and software designs must be robust and offer redundancy with no single points of failure. Since robust designs drive costs up, to assist FDLE in its project development effort, multiple designs could be proposed to illustrate the tradeoff in costs and service levels.

- Describe and list the hardware and commercial-off-the-shelf (COTS) software needed to complete the CCH replacement project.
- Discuss the software needed to replicate Unisys mainframe services as they are ported to the new environment; for example, scheduling jobs and version control.
- Describe and list the hardware and software needed to provide ongoing operations for the replacement CCH System.
- Provide a description of system management tools. List the tools by system function (for example, security, database maintenance, scheduling, system monitoring and reporting).

G. Standards

To comply with statutory requirements, grant guidelines, and to ensure future compatibility and scalability, FDLE requires vendors to meet the Security, Information, Technology Standards, and Usability standards detailed in the Non-Functional Requirements section of Appendix B: Preliminary Requirements. Provide information on vendor's ability to meet or comply with these standards.

H. Implementation Requirements

Provide an installation and implementation plan. This plan shall include, but is not limited to, the topics listed below.

- Roles and Responsibilities
- Environmental requirements (including power and cooling)
- Hardware, software, and tools
- Development methodologies
- Installation activities and schedule
- Deployment procedures, patches, and fixes
- System configuration (ex: web services type, port configuration, security certificates)
- Go-Live Strategy and Tasks
- Maintenance and Monitoring

I. Staffing Requirements

Describe contractor staff and FDLE staff positions needed to complete the CCH replacement project. Include a description of the qualifications required for both contractor and FDLE staff. An onsite project manager will be required and should be factored into the order of magnitude pricing.

J. Training

Provide a detailed overview of the training services for the proposed system including:

- Training requirements & strategy

- System administrator training
- End user training

K. Technical Support

Provide details on how the system will be supported, specifically:

- Onsite support options/personnel requirements
- Helpdesk/call center support
- Support resources
- Proposed service levels & incident response times

L. Version Control

Provide details of what technologies and processes will be used for version control within the proposed system. Describe how new releases, patches, hotfixes, and other updates will be tested and promoted from test to production. Concurrent Versions System (CVS) is used by FDLE and would be the preferred solution.

M. Cost Information

Provide a rough order of magnitude pricing for each of the components listed below. Include the maintenance services for hardware and software required after the CCH replacement is complete. For clarity, if there are multiple designs, breakout the corresponding costs for each design. The cost breakdown required for the RFI Response is located in Appendix D: Cost Sheet.

N. Project Planning

Provide a high-level project plan detailing the following:

- Describe what project management methodology will be used to manage the project
- High-level Work Breakdown Structure (WBS)
- Overall project schedule including time and major activities for:
 - Planning
 - Data analysis & conversion
 - Hardware installation, configuration, and testing
 - Interface setup & configuration
 - Support structure set up
 - Testing and preparation for cutover
 - Quality Assurance/Control (during and post-project)
 - Warranty period activities
- Resource requirements
- Major risks
- Quality assurance and control
- Configuration/change management

O. Other Issues

Include other issues you recommend FDLE should consider regarding this project.

P. Corporate Capabilities

Provide a brief description of corporate capabilities, including:

- Date the firm was incorporated
- Number of full-time employees
- Information about similar conversion projects
- CMMI, ISO, or other certifications
- Customer references (from similar projects)

Appendix A: Current System Specifications

A. Current Technology Environment

1. Current System

Description of Current System

The current Computerized Criminal History system is a forty-year-old system that runs on a UNISYS mainframe. It uses a 4GL – Progeni -- that compiles COBOL programs and stores the criminal records in a DMSII database. Accuracy, efficiency, and timeliness are major factors regarding criminal history updates and dissemination. The major activities on CCH system are as follows:

Criminal Data Inserts/Updates

The CCH data inserts and updates occur in the following manner:

- **COMS Interface (ALGOL):** The interface on mainframe system which communicates with FCIC switch and internal mainframe COBOL programs.
- **Batch Process:** COBOL programs pick up the information from file servers where external and internal agencies transfer the data using File Transfer Protocol (FTP).
- **Manual Process:** The CCH staff receives data on printed forms from which they use to update the CCH database using legacy “green-screen” applications.

Criminal Data Queries

The CCH system receives queries from external and internal agencies and responds to the queries as follows:

- **COMS Interface (ALGOL):** The interface on mainframe system which communicates with FCIC switch and internal mainframe COBOL programs.
- **Green Screen Applications:** The CCH staff runs queries on the database using legacy “green-screen” applications and submits the printed copies for records keeping.
- **Offline Databases:** The systems, which are not compatible with CCH technology, use offline databases that were created for view-only purposes that are used for systems such as the Concealed Weapons Permit and Help America Vote Act.

Reports Generations

The CCH database has limited capabilities for generating reports. An offline, “snapshot” (SNAP) database has been created in Oracle to enable and enhance criminal history reporting capabilities. In order to keep the SNAP database updated with the CCH database, a synchronizing process runs multiple times a day.

Additionally, there are scheduled mainframe jobs that print reports at dedicated printing stations and allow online reporting through the ClearPath A Series Terminal Tool (CATT) system.

Statute Tables (WEB)

In order to provide Florida Statute information to the Criminal Justice Community, a duplicate and separate statute database is maintained on the SQL Server/Windows Operating System platform. The statute database is accessed by applications via Florida’s Criminal Justice Network (CJNet). This database exists because the CCH is not compatible with web technologies. Elaborate manual tasks are required to keep the two databases (Statute DB web & CCH DB) synchronized.

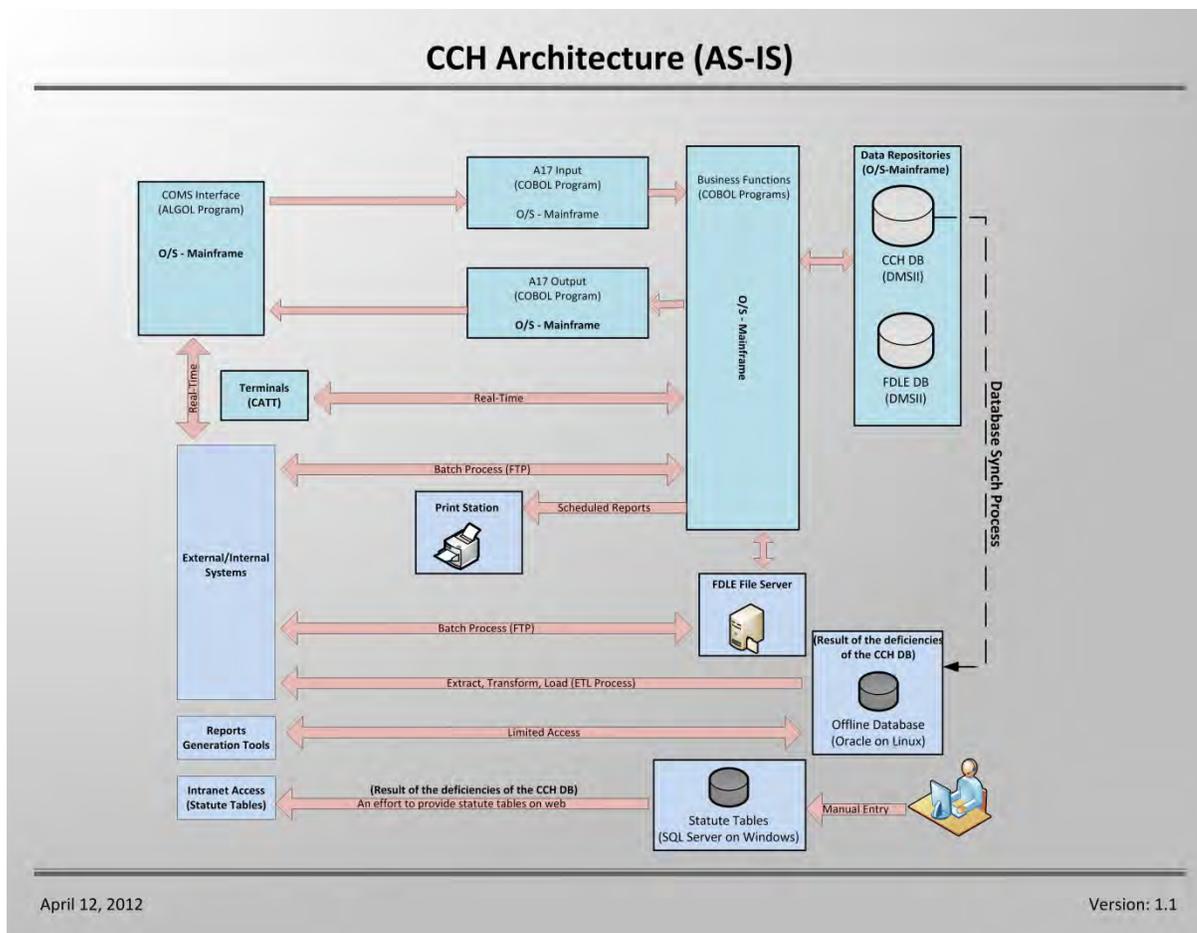


Figure 4: Existing CCH Architecture

Major Factors

Technological limitations of the CCH system have required FDLE to create numerous synchronization processes. The Agency has had to create mainframe-to-distributed-systems components to connect an array of disparate and incompatible technologies. Even the most current mainframe platforms present connectivity and information exchange challenges where distributed, web technologies, and anything beyond basic connectivity are required.

Because the CCH database is deployed on a system that lacks the ability to connect, adapt, and scale to capacity, CCH has spawned multiple external, ancillary, but necessary systems designed to fulfill those user's needs. Each of the systems requires additional maintenance and support that would no longer be necessary if the system were replaced with newer and more compatible technology.

Requirements for Public Access, Security Privacy, and Confidentiality

The CCH system is not open to the public and follows FDLE security standards and State of Florida laws concerning access and usage of criminal records.

Hardware and Software

The CCH system is comprised of the following hardware:

- Unisys Libra 450

- EMC CLARiiON Storage System
- DSI LTO Tape Drives
- Dell PowerEdge R900 (SNAP DB)

The CCH system is comprised of the following software:

Operating System:

- MCP 12.0 SSR 53.1
- Red Hat Enterprise Linux Server 5.8 (SNAP DB)

Database Management System:

- DMSIISR 53.1
- Oracle Enterprise Edition RDBMS 11.2.0.2 (SNAP DB)

Database Utility Tools (DMSII)

- DBATOOLS
- Ergo

Database Utility Tools (SNAP DB)

- TOAD
- DataBridge 6.0 (Attachmate Software)
- Oracle Warehouse Builder
- Crystal Reports

Programming Languages:

- ALGOL
- COBOL 74
- Progeni
- PL/SQL (SNAP DB)
- Linux shell scripts (SNAP DB)

COTS Product

- CATT (Terminal Emulation)
- BL/SOURCE
- CANDE
- PrintView

Existing System Processes

- There are between 95 and 122 programs that run within the mainframe environment and many of the programs execute concurrently. Figure 5: Existing System Processes represents the allocation of programs for criminal history functions in the existing mainframe environment.

- Florida Department of Education (Shared School Results)
- Federal Bureau of Investigation
- Florida Department of Corrections
- Florida Department of Juvenile Justice
- Florida Department of State (Help America Vote Act)
- Florida Department of Agriculture and Consumer Services
- Sixty Seven Florida Clerks of Court (LOGAN - Final Disposition)
- Sixty Seven Sheriff's Offices (BIS)
- FDLE DNA Unit
- FDLE – Office of Financial Management
- dFACTS (from LexisNexis) [Private data extracts from CCH]
- FDLE Criminal Justice Information Services

Systems

- Computerized Criminal History - Internet
- National Instant Check System
- LOGAN - Court Final Dispositions
- Civil Workflow Control System
- Firearm Purchase Program
- eAgent client (message switch)
- Biometric Information System (BIS - Interface to Sixty Seven Sheriff's Offices and Statewide Live Scan devices)
- FALCON (Watch List, Retained Applicant System, Rapid ID interface to Edge Devices at Roadside)

Other Services

- Criminal and Non-Criminal Justice Community (Consumers of Record of Arrest and Prosecution [RAP] Sheets)
- Public Background Check – Internet

Consistency with Agency Software Standards and Hardware Platforms

The CCH system is not consistent with Agency software standards and hardware platforms. The Agency has standardized on Oracle or SQL Server databases on Linux or Windows operating systems. The current CCH database uses a DMSII database running on UNISYS Libra MCP operating system.

Scalability to Meet Long Term and Network Requirements

The system is not scalable because the old technology and architecture lacks proper scalability features. The current system possesses the following major deficiencies:

- **Architecture** - The current system follows client-server architecture, which limits its abilities to achieve functional scalability. It is difficult to incorporate new business components without modern architectures such as Service Oriented Architecture.
- **Programming Language** - Existing system is in COBOL, which is not an object-oriented programming language and limits it from application scalability features.
- **Hierarchical Database** - The current database is hierarchical (DMSII). This poses great difficulty regarding storage efficiencies, maintenance, changes, and creating proper entity relationships. The relational database provides better and much enhanced scalability features over the hierarchical databases.
- **Data Communication Interface** – The current system has switches in ALGOL programming for data communication. It is hard to incorporate any new mode of communication channel via these ALGOL switches. This system lacks a modern service bus concept, which helps in application scalability to communicate with multi-protocol/multi-format data channels.

Current System Configuration

Hardware and Software Configuration (CPU, memory, I/O)

Hardware:

- Unisys Libra 450
- EMC CLARiiON Storage System
- DSI LTO Tape Drives
- Dell PowerEdge R900 (SNAP DB)
 - 4 physical CPUs with 16 total cores (1.6Ghz E7310)
 - 16GB of memory
 - 8x300GB 10k SAS drives all internal no SAN connectivity

Operating System:

- MCP 11.0 SSR 53.1
- SSR 052.1
- Red Hat Enterprise Linux Server 5.8 (SNAP DB)

Database Management System:

- DMSII
- Oracle Server (SNAP DB)

Database Utility Tools:

- TOAD
- Bridge (Attachmate Software)
- Crystal Reports
- DBATOOLS
- Ergo

Programming Languages:

- ALGOL
- COBOL 74
- Progeni
- PL/SQL

COTS Product

- CATT (Terminal Emulation)

B. Current System Metrics and Performance

1. System Availability

Based on a measurement interval of June 2010 through April of 2012, CCH has been up 99.93% of the time with 661 Down minutes (53% Scheduled / 47% Unscheduled) out of a total of 1,009,440 Total minutes.

2. Data Metrics

The current system metrics are detailed in the table below:

Metric	Measurement
Number of Criminal History Subject Records	7 million
Number of Identities (total as of 2011)/projected growth rate	7 million/approx.+2.5% per year
Number of Arrests in (total as of 2011) /projected growth rate	23,000,000/approx.+4% per year
Number of New Arrests in 2011	900,000
Number of New Registrations in 2011	3,600
Number of Dispositions (total as of 2011)/projected growth rate	20,000,000/approx. +5.5% per year
Number of Disseminations (total as of 2011) /projected growth rate	280,000,000/approx. +5% per year
Number of Custody Records (total as of 2011)/projected growth rate	1,500,000/approx. +5% per year
Database Size (as of April 2012)	110 gigabytes
Average Annual Growth (2009-current)	4%

Figure 6: Current System Metrics

3. FCIC to CCH Query Transaction Volume & Response Times

The current volume of FCIC to CCH and CCH to FCIC daily transactions and CCH to FCIC query response times are shown in the table below:

Metric	Measurement
Average Daily FCIC to CCH messages	60,000 messages
Peak FCIC to CCH messages	1.33 messages/per second
Average Daily CCH to FCIC messages	85,000 messages
Peak Hourly CCH to FCIC messages	2.5 messages/per second
FCIC to CCH Query Response Time:	
<1 second	80%
1-2 seconds	10%
2-10 seconds	9.5%
>10 seconds	0.5%

Figure 7: Current FCIC to CCH Query Transaction Volume & Response Times

4. CCH Repository Maintenance Transaction Volumes

The following transaction volumes are examples of the volume generated by the CCH staff but do not represent all types of transactions:

- Agency Corrections: 500-800 per week
- Seal and Expunge Applications: 450-600 per week
- Court Orders : 300-400 per week

Appendix B: Preliminary Requirements

A. Functional Requirements

1. Agency Program(s)/Services(s) Environment

The primary agency program affected is the Criminal Justice Information Services Program (CJIS). The primary services affected by a new criminal history system are the User Services Bureau (USB) and the Crime Information Bureau (CIB) both of which are under CJIS.

Programs

1. Criminal Justice Information Services Program

The CJIS Program serves information needs within the criminal justice community. As authorized by Florida Statute 943.051, CJIS maintains the state's criminal history files, provides criminal history checks, and manages the Florida Crime Information Center. In collaboration with FDLE's Information Resources Management (IRM), CJIS develops and maintains systems that inform one criminal justice agency of the criminal justice information reposed and maintained by other criminal justice agencies.

CJIS maintains Florida's Sexual Offender and Predator registry, houses the Missing Endangered Persons Information Clearinghouse, and publishes statewide crime statistics.

Services

2. User Services Bureau

The User Services Bureau is responsible for accepting correspondence requests, pursuant to Florida State law, for criminal history. It collects fees for the service. When requests are serviced, the bureau determines if criminal records exist for the subject of the request. It returns information to the customer. Requests are received from the public, employers, and various licensing agencies.

The User Services Bureau accepts inquires via telephone regarding firearms purchases. The bureau establishes whether the purchaser is legally qualified to purchase a firearm. It determines whether an individual's criminal background disqualifies them from firearms purchases and notifies dealers.

3. Crime Information Bureau

Pursuant to Florida Statute 943.05, the CIB maintains the State's Computerized Criminal History Repository. Criminal justice agencies access the repository via FCIC network.

The Automated Fingerprint Identification System (AFIS) in conjunction with FDLE's BIS and CCH provide positive identification of persons to agencies throughout the State. When a physical arrest is executed by a local agency, the CCH repository is updated with the identity and arrest incident specifics.

CIB provides positive identification, person information, and criminal history information to criminal and non-criminal justice agencies and to private citizens. Fingerprints maintained by the CIB are also used in criminal forensics for comparisons to crime scene fingerprints.

CIB is made up of six sections: Expunge, Disposition, Quality Control, Arrest, Identification, and the Statistical Analysis Center. These embody the functions and processes that are the key business drivers for new features required for the replacement of CCH. Figure 9: High-Level Use Case Context Diagram for CIB Services in Appendix C: Business Process Models shows the makeup of the CIB Bureau in relation to CCH.

Description of Existing or New Agency Program(s) and Service(s)

4. Agency Corrections

The Agency Correction process is used by all agencies to post corrections to their arrest or identification information in CCH. When errors are introduced upon submission of data into CCH, a request for correction can be made through online form submission or Fax. A CCH staff member at FDLE validates the request for matching and accuracy of data sent by the requesting agency. If the arrest or identity is matched to a record in CCH, a correction will be posted; otherwise the submitting agency will be notified of the non-match discrepancy. The notification to submitting agencies for non-match or regarding information not eligible for change is manual. No acknowledgement is sent to the requesting agency after the correction is completed in the CCH database.

All documents associated with agency corrections are retained according to State and FDLE retention policies.

In the future FDLE would like to automate the processes around the agency corrections. All incoming requests will need to be electronic. Requests will be submitted through services running on the CJNet which is accessible by all criminal justice agencies in Florida. Workflow will be managed such that incoming requests for changes are queued to waiting areas where further processing will begin. When a request has been fulfilled, changes may go directly to CCH or to a supervisor for secondary approval. A future solution will include capabilities to grant privileges to agencies that own information for which corrections are submitted. Agencies will have access to make and submit changes for correcting their CCH data and FDLE's role will be limited to approving the correction.

5. Court Ordered Expunge & Seal

In compliance with Florida Statutes 943.059, 943.0582, and 943.0585, FDLE established and maintains the Expunge and Seal section. It processes juvenile diversion expunctions and is responsible for processing petitions for "Certificate of Eligibility," the result of which determines whether a petitioner meets statutory requirements for criminal record expunction or seal. A pre-certification database holds information about those having petitioned for certificate of eligibility so that when a court order is matched to the pre-certification record, actions directed by the court order are carried out on the criminal record. Court orders directing expunction or seal of criminal records are processed regardless of whether the defendant is identified. Today court orders are received electronically, but most are sent by United States Postal Service (USPS) mail. In the future, the receipt of court orders needs to be automated so that when they are received electronically, they can be used to update CCH directly in the pre-certification database.

All applications for expunge and seal certificates of eligibility are accompanied with payment to FDLE. Payments are entered manually into the FDLE accounting system. When a payment is not honored (a bad check) the payments are reversed and work on the application is halted. In the future, application payments might be approved prior to beginning work on the application.

Applications require research to be performed by analysts. Today many disparate systems are searched for information regarding petitioners. Searching and compiling results are very time consuming, manual operations. In the future, searches and search result compilations need to be automated.

In the future, FDLE wants to automate certificate of eligibility process. Possible solutions include workflow management that includes imaging for incoming applications and methods that enable analysts and supervisors to review, process, suspend, approve, and forward work artifacts. All documents associated with expunge and seal processes are retained according to State and FDLE retention policies.

6. Dispositions

The Disposition Section is responsible for working with the Clerks of Court and others to gather and process disposition status and information. CCH contains the final court disposition regarding court cases that result from Florida criminal justice system events and activities. The Clerk of the Court submits final disposition using the LOGAN web service. After final disposition have been received, the LOGAN software further refines the dispositions and prepares them to be matched with corresponding criminal history records. After LOGAN finishes with the dispositions, it sends them to CCH to match and update any corresponding records found. Today many final dispositions are put in suspense because they are waiting for follow-on information. Some of the issues that create these situations are addressed in other future areas (Notice to Appear). FDLE needs capabilities that enable users to view suspended dispositions alongside CCH records with which they are associated and to make changes to the CCH record, the disposition, or both.

Some of the dispositions in suspense are there because of errors. Today these are manually corrected when resources are available. In the future, when errors are discovered in a disposition a notification will be sent to the responsible Clerk of Court. When correcting errors, the criminal history has to be viewable alongside the disposition. A plan to evolve to new methods of correcting dispositions for FDLE and Clerks of Court will need to be developed. Eventually, Clerks of Court will be prompted to correct their own errors in dispositions using new methods.

Today disposition updates for firearms purchasing are requested using paper forms. In the future disposition requests from FPP need to be automated. A possible solution is to automate the interface for the FPP to request a disposition. The disposition section will need to be enabled to research, determine, and communicate dispositions directly to the FPP without the use of paper forms.

7. Quality Control

The Quality Control Section serves criminal and non-criminal justice agencies and the public. The Section reviews, maintains, and assures the quality of information contained within CCH. The section consolidates CCH records, processes records for unknown and deceased individuals, and provides surety to the Federal Bureau of Investigation for information in Florida's CCH.

The Quality Control Section processes personal reviews, voter appeals, appeals for denial of firearm purchases, and assists with compromised identity (identity theft) and name changes.

8. Personal Reviews

Under Florida law, an individual has a right to request a copy of his or her CCH record for purposes of review, to ensure that it is both accurate and complete. This process is known as a Personal Review and there is no charge for this process (see Section 943.056, F.S). The individual may examine the record obtained through the Personal Review process for accuracy and may challenge any information contained within the CCH record that the individual believes is inaccurate or incomplete. Typically, these requests are received through the USPS mail. All requests are logged, control numbers are assigned, and the work associated with processing the Personal Review is tracked through to completion. Each Personal Review request must include fingerprints. All work artifacts, including the original request, created while processing the Personal Review are retained in digitized format.

9. Notifications

Notifications are either alerts about messages or full messages, sent to specific parties having interest in some information or events affecting CCH information. Notifications are sent to recipients using different media. Some notifications are automatic and some are on an as-

requested basis. CCH maintains a database of notification recipients and a register of alerts or notifications each recipient will receive.

10. Disseminations

When CCH information is disseminated for any reason, a record of that dissemination must be kept. The purpose and recipient of the CCH information must be included in the record. CCH information is disseminated to criminal and non-criminal justice agencies and the public. The portion of a criminal record visible to specific recipients is determined by purpose codes assigned to individual, agency, or communities of recipients.

11. Compromised Identity

Compromised Identity requires tracking new and pre-existing cases, previous applications, petitioners, and fingerprints of the petitioner. It requires tracking corresponding forms be submitted with information about the case. Processing the case requires searching multiple, disparate systems for information about the petitioner and the person alleged to have compromised the identity. Compromised Identity processes must account for activity such as identity theft by those with and without criminal records. All work artifacts, including the original request, created while processing the Compromised Identity are retained in digitized format.

12. Name Changes

Requests for a name change come on a Name Change Report of Final Judgment Form, and may or may not be accompanied by a court order. The name change report of final judgment form must clearly state the person's original name, the Court approved new name, demographic information of the person (Social Security number is optional), the date of the name change order, the Court that is submitting the paperwork to us, and their case number. A representative of the Clerk's office must sign and date the Name Change Report of Final Judgment Form.

The Quality Control Section processes Name Change requests. If the petitioner is found to have a criminal history record, the name will be added as an alias in the existing CCH record. Name change information is provided to the Department of Highway Safety and Motor Vehicles by the Quality Control Section. The master name in the CCH record is not changed. All work artifacts, including the original request, created while processing the Name Change are retained in digitized format.

13. Consolidations

Consolidation requests are received from criminal justice agencies, the FBI, or FDLE staff. Each request includes identification information utilized in classifying the request. Each request is categorized into one of three possible categories based on the findings after an analyst's research. Fingerprints are used to determine identity for consolidations.

After FDLE has completed research, analysis, and consolidation functions, the work artifacts are returned to the appropriate requestor (FDLE staff, criminal justice agencies, or the FBI) to complete their process. All work artifacts, including the original request, created while processing the Consolidations are retained in digitized format.

14. FBI III Audit Report

The purpose of the III audit reconciliation process is to make sure that the Florida Criminal History Information is stored by the Federal Bureau Investigations (FBI) accurately reflects information stored in FDLE's criminal history database. The III audit process occurs approximately every six months, usually in March or April and in September or October,

usually on the first Sunday of the month. The FBI input file, once available, is downloaded through FTP from the NCIC system and then placed on the mainframe.

The FBI schedules its process to create the file of Florida data such that the FBI system goes into restricted service so no Florida records are updated and no new records are added to its database. The Florida file contains all of FDLE's active records and the records that were made inactive since the last audit run.

FDLE schedules its process to coincide with the FBI to create the CCH data file of records that are active, and all records deleted or expunged for the given period. After a manual reconciliation, the process ends having the FBI and the Florida criminal history repositories synchronized.

15. Identification

Today in CCH, limited information is stored about a person's identity. The Biometric Information System contains fingerprints today and has potential to repose other types of biometric information. CCH contains location information about the biometrics stored in BIS for a person.

The Identification Section is responsible for making fingerprint comparisons on all applicant and arrest fingerprints received. In the case of applicant identification to a criminal record, the CWCS process triggers a notification to the requesting agency, and a RAP sheet and hot files are generated. In the case of an arrest submission, the Section determines if an individual has a record to which new arrests may be added or if a new record will be created and added to CCH. The identification process has time constraints associated with it depending on the source of the request for identification.

Future enhancements to CCH are desired to help FDLE identify persons that have criminal records. Some basic data elements have been recognized that will be verified and finalized when a new system is implemented. FDLE wants to be able to capture identity information at the event level (i.e., arrest, booking, incarceration, probation, release, conviction, etc.). FDLE may want to explore alternatives to conventional identification techniques where unique or special circumstances exist when collecting biometric identification data.

16. Statistical Analysis

The Florida Statistical Analysis Center analyzes criminal justice data and prepares statistical reports. Reports are used by policy makers, planners, and program developers. It serves as a criminal justice resource for academia, the media, and others researching crime in Florida. Through data analysis and reporting on issues and anomalies, it contributes significantly to information quality in CCH.

The Florida Statistical Analysis Center (FSAC) uses the Statistical Analysis Software to carry out its mission. All new CCH data must be available to FSAC during migration and in the future systems

17. Clemency, Pardons, and Restoration of Rights

In Florida, Clemency, Restoration of Rights, and Pardons are under the control of the Florida Parole Commission who maintains a website with clemency information.

Clemency in Florida restores the right to vote and to serve on juries. This is not the same thing as restoration of rights. There are multiple types of clemencies in Florida including: Restoration of Civil Rights for Florida conviction, Restoration of Civil Rights in Florida for Federal, Military, or Out-of-State conviction, Restoration of Alien Status Under Florida Law, Remission of Fine or Forfeiture, Specific Authority to Own, Possess or Use Firearms (Eligible 8 years after completion of sentence), Full Pardon (Eligible 10 years after completion of sentence), Pardon Without Firearm Authority (Eligible 10 years after completion of sentence).

Depending on the type of clemency, these restorations may or may not be automatic. Today clemency information is entered into CCH manually and there are no discrete fields in CCH to store pardon and clemency information. The information today is stored in a literal disposition fields and comments are added to the CCH records. Very few Clemency, Restoration of Rights, and Pardons, maybe one hundred or less per year, are updated in CCH. These are received by either an email or a phone call. Sometimes there is no legal reason to make changes to CCH. If firearms rights are removed then there is a specific type of clemency that does need to be documented in CCH.

FDLE may consider creating post-conviction events and appropriate data fields that can be associated with a record in CCH for: 1) restoration of firearms rights, 2) pardons that restore all rights and, 3) clemency that restores voting and jury rights.

18. Cite & Release, Notice to Appear

A Notice to Appear (NTA) means a written order issued by a law enforcement officer in lieu of physical arrest requiring a person accused of violating the law to appear in a designated court or governmental office at a specified date and time.

FDLE wants to be able to establish a record in CCH without a having a booking because capturing the disposition at adjudication for NTA is not the solution. The final disposition filed by the Clerks of Court have arrest and court data and are sent in records count-by-count. Florida statute requires that the subject be fingerprinted at the time of conviction but it does not specify how many fingers are to be printed. Possible solutions to this issue include 1) Fingerprinting the arrestee at the NTA event; 2) using a two fingerprint, Rapid ID (RID) device at the scene, or 3) if there is no fingerprint on file and the two-finger print does not return an identity, to get a ten-print from the arrestee. A ten-print is usually accomplished at the Sheriff's Office or the jails. FDLE would like to have the capability to capture palm prints as well. For the two previous solutions, there will need to be a mechanism to catch the dispositions that do not have a State ID.

The NTA will have to have a unique number as a means for managing workflow and final disposition matching in CCH. It might be more effective for the Courts to send fingerprints with each final disposition that is a conviction.

FDLE would also like to give the police departments the capability to capture ten-prints specifically for NTA events. The capabilities may have to be shared for multiple ORIs (for instance a kiosk in a mall).

19. Direct File, Indictment

When the State Attorney files the charging documents regarding an indictment, information, or a direct file with the Clerk of Court, FDLE wants to be notified when that Clerk of Court creates a case for the filing. Specifically, FDLE wants to know the Uniform Case Number (UCN), the ORI (Originating Agency Identifier), the date of the event (case creation), and the identity of the defendant for which the charges are filed.

One possibility for identifying the defendants of direct file and indictments is to fingerprint the subjects at the pre-trial services phase of the case, after the charging documents are filed. The pre-trial services community should be consulted to determine the best time in the indictment process to fingerprint the subjects. Today fingerprinting during the pre-trial services phase of a case is accomplished on a case-by-case basis, after the charging documents are filed, that the Judge may order or the State Attorney may request the defendant be fingerprinted.

20. Incarceration, Custody, Probation

When a sentence resulting in incarceration or custody events is pronounced, FDLE would like to have access to information about the subsequent commitment. Commitment documents

include a certified indictment or information, a certified judgment of conviction and, a certified sentence. FDLE would like for these documents or the information contained in them to be transmitted electronically. Some courts may transmit these documents electronically to the Sheriff at the time of commitment today.

When the defendant is received into a probation program, a county jail, or a state prison, FDLE would like to have a positive biometric identification at the receipt event (the time at which the defendant enters the custodial program). When a defendant in custody at a county jail or incarcerated at a state prison enters probation, FDLE would like to have a positive biometric identification at release from the custodial entity (jail or prison) and at entry into probation.

When defendant has completed the conditions of probation successfully, FDLE would like to have a positive biometric identification when the defendant is released from the probation program.

21. Registrations

There are two offender tracking systems dedicated to particular types of offenders: Career Offender Application for Statewide Tracking (COAST) and Florida Offender Registration and Tracking System (FORTS).

In Florida, there is a mandated hierarchy of offender registrations that consists of (1) Sexual Predator – registered in FORTS and CCH, (2) Sexual Offender – registered in FORTS, (3) Career Criminal- registered in COAST and CCH and, (4) Registered Criminal (felony or adjudication withheld) – registered in CCH. Today, approximately twenty-percent of the registrants in the offender registration system(s) do not have fingerprints associated with them.

In the future, FDLE wants to create and have sent a Live Scan transaction type designated as notification of a sexual predator, sexual offender, career criminal, or criminal registrant registration. These future capabilities require some changes at the Live Scan devices that are used for registrations.

In the future, CCH will contain biometric locators that point to some location where biometric identifiers (photos, fingerprints, palm prints, etc.) are stored. FORTS and COAST will each have access to the biometric locators and the registration information in CCH. CCH will be enabled to allow COAST and FORTS registration and status updates to registrations. CCH will be enabled to allow changes to the criminal offender registrations from COAST and FORTS. CCH will be enabled to allow suspense of a registration while COAST and FORTS research and determine the status of an alleged offender.

22. Record of Arrest and Prosecution (RAP) Sheet

Today there are three RAP Sheets produced from CCH. Programming and maintenance of these three RAP Sheets present some challenges to the current technology environment. RAP Sheet information that is in the legacy database today will have to be carried forward. FDLE will not change the legacy data but some mechanism to properly interpret and display the legacy data will have to be created.

In the future, the FDLE RAP Sheet will be compliant with the Joint Task Force on RAP Sheet Standardization 4.1 specification. The ability to derive RAP Sheets for specific user communities from a common base will be a future requirement. The information displayed in the RAP Sheet must be purpose-code-driven and all RAP Sheet disseminations must comply with the FLDE dissemination policies. Demographic (personal identification information) displayed on the RAP Sheet will be associated with events such as an arrest, judicial, or custody event. The RAP Sheet will be enabled to allow multiple and varying caveats pertinent to information displayed from individual fields in CCH. FDLE wants to create a “roadside friendly” RAP Sheet. The roadside RAP Sheet will be enabled for delivery on mobile data terminals and on handheld devices.

In the future, FDLE wants to be able to consume RAP Sheet data from various sources and in various formats say from other states or Federal-level agencies. The RAP Sheet consumption and production capabilities will enable the FDLE users to configure input, output, and to customize appearance.

23. Missing Arrests

Today many final dispositions are put in suspense because they are waiting follow-on information. One of the issues that create these situations is missing arrests and today these dispositions go into the "Waiting Arrest" files. Some of the missing arrests may be due to human errors that are data related. . Some of these missing arrests truly have an Offender Based Tracking System (OBTS) number associated with an arrest but do not have a fingerprint card or fingerprints in the BIS. FDLE needs capabilities that enable it to notify the Sheriff and the Clerks when rejections for missing arrests occur and why it occurred. FDLE does not want to create any temporary holding area for items that cannot be accepted by CCH. One possible solution is to send a rejection to the Clerk or Sheriff with a caveat that we need more information prior to creating the record or updating the record in CCH. The required data for the Clerks to create or update a criminal history record (required minimum) will have to be defined in an Information Exchange Process Document (IEPD) or in an Interface Control Document (ICD). It may be possible to aggregate the sub-error types in the "Waiting Arrest" to identify some of the rules for notifications back to the Clerks and Sheriffs or to place items in a queue.

In this scenario, there will have to be some verification that the OBTS being sent with update or corrected information is associated with the original OBTS. This is to prevent any consolidation/update/correction issue. The Sheriff is the owner of the fingerprint and OBTS. The Clerk is the keeper of the UCN and Agency Case number. The Sheriff's Office (booking agency) is the owner of the original booking event.

24. Juvenile Records, Treatment as Adult

Juvenile status is based on the reported date of birth or the date of offense. The date of offense takes precedence over date of arrest. It is difficult to match the dispositions on juvenile cases. If a juvenile is tried in an adult court with an adult adjudication, the juvenile flag gets removed. The prosecutor has the right to modify the status from juvenile to treat as an adult. The current RAP sheet has a place for the juvenile cycle to be recorded. In the future, the agency would like to have a better mechanism to create a clear and concise juvenile cycle and better distinction between juvenile and adult cases. The business rules should be incorporated to allow for proper juvenile and adult criminal records dissemination.

25. Court Data

In 1988, Florida law changed to make FDLE and the CCH the system of record for criminal dispositions. The mandate created, at least on monthly basis, an update from the Courts to CCH. Today the practice is that FDLE receives only final disposition from the Courts. The LOGAN software decides today what goes into CCH from the final disposition reports. Arrests submitted in the final disposition reports are used in matching the arresting agency arrest in CCH. The arresting agency arrest constitutes the master arrest event. Arresting agencies today do not always fingerprint defendants (not creating a master arrest record in CCH) when a citation or warrantless arrest is made. In these cases, a final disposition may be received for an arrest that does not exist in CCH.

FBI Issues: In cases where FDLE has information or dispositions in the CCH "temp judicial" files that do not have fingerprints associated with them, there is no way to communicate to the FBI the person is charged with a crime. If FDLE does not have an arrest event in the CCH or a booking event that associated with the arrest there are no fingerprints. These "print-less"

arrests may be gun purchase and concealed carry license disqualifiers. FDLE would like to create a mechanism to send information to the National Instant Criminal Background Check System (NICS) for gun disqualifiers and be able to clear them when necessary. FDLE has to update the gun qualifiers information for indictments, sworn complaints, and information.

FDLE wants to be able to communicate in a more effective manner with the Clerks of Court. One possible solution is some mechanism that allows assignment of messages or notifications to individuals, Clerks, or groups of recipients.

26. Statute Table

Today the field that contains the statute literal description in CCH is forty-six characters in length. The limitation is the database field. Enhancers such as “elderly,” “victim,” “gun,” “mask” are difficult to use because of the field length. Some of the challenges FDLE faces today with statutes in CCH are limitations with the following:

- The literal in the criminal history – charge descriptions are not clear
- Modifiers – escalate, de-escalate charge degree and severity
- Lack of appropriate validation or business rules for modifiers, enhancers and additional statutes that change the degree or severity of a charge
- Clerks may provide the Arrest Offense Number (AON) instead of the statute
- Twenty-five percent of the arrests do not have statutes
- The incoming statute numbers may not be in the proper format
- Judges and State Attorneys want to see the appropriate level of charges on RAP Sheets they receive for cases

FDLE would like to have a structured, hierarchical statute reference (statute table) that allows arresting agencies, Clerks of Court, and CCH to use the same statute numbers, subsections, literal descriptions, and enhancers. AONs need to be cross-referenced to statute numbers so that when one is used the other is readily available. Automation of matching AONs to the statute numbers is required. The statute table will have sort, search, and filter capabilities. Effective dates, change date, and repeal dates will be a part of the statute table as will capabilities to manage and change them as needed. When statutes affected by effective or repeal dates are received by CCH, the statute table is required to identify them. The statute table will have full maintenance (create, read, update, modify) capabilities with appropriate user interfaces. The statute table in CCH will have capabilities that allow FDLE to identify and accept local ordinances that are based on corresponding state statutes.

27. Violation of Probation

A Violation of Probation (VOP) is considered another stage in an existing case by the Court. Legal opinions have established that a VOP cannot have a disposition. Dispositions for cases involving VOPs come from the Clerks of Court to the CCH in the dispositions file. Today FDLE cannot get information about probation termination without manual intervention. The probation office does not always communicate the end of probation to the Clerks of Court.

FDLE wants to capture probation information including termination for counties. Many calls are received about probation. Many consumers of the information do not know that probation has ended for a particular individual. Today CCH does not generally receive probation termination information. In the future, FDLE wants to store termination, revocation, violation, and start events in the CCH. The database will have to accommodate probation information for these events. Also, see violation of probation under “Re-arrest.”

28. Arrest

In Florida, the arrest affidavit creates the court case. Arresting agencies may add charges by adding new affidavits. They can also amend charges. FDLE wants to split the booking from

arrest but maintain a relationship between them. Each arrest has to be supported by fingerprints. In the case of indictment, direct file, or information, charges may be filed without a fingerprint event and a final disposition may be FDLE's first knowledge of the case. In these situations and at final disposition, no arrest record exists in CCH to associate with the disposition. Similar conditions exist for warrantless arrests such as NTA citations.

Arrest warrants present challenges to FDLE. Today there are no dedicated fields in CCH for warrant information such as the warrant number. Warrant information, when available, is submitted in a limited length text field.

Today about four-percent of fingerprints are received on hard cards. These fingerprint cards include the arrest or registration data to be entered into CCH. The Arrest Section is responsible for entering data from fingerprint cards. The fingerprint card information either updates or creates a new CCH record for the person named on the card.

In the future, FDLE would like to have enhanced capabilities for arrest and booking processes to provide communication to agencies. FDLE would like to provide information from CCH, when it exists, to agencies for validation during arrest and booking processes. The capabilities will allow FDLE to receive more accurate arrest and identity information. Other possible enhancements include additional data elements for a person's identity, the arrest event, warrant information, and added or amended charges.

29. Re-arrest

Today the information in CCH is arranged by arrest. There is not a strong sense of management of events within the criminal justice system. CCH contains a sequence of events within the criminal justice system for individuals. Today, many times at the re-arrest event, original dates of arrest are overwritten. Any future solution will relate time and date information to the arrest event. The arrest is managed as an event in the criminal justice system.

Future solutions will provide assurances that time and date information is not overwritten when a re-arrest occurs. Scenarios such as "arrest for violation of probation" will keep separate and in proper sequence arrests for which probation is being served as opposed to arrests for violation of probation. When an "arrest for violation of probation" occurs, it will be separate from but associated to the original arrest for which probation is being served. When this information is displayed on a RAP Sheet, it will clearly delineate the sequence of events and the arrests to which violation of probation is related.

A possible solution is to provide capabilities that allow analysts, investigators, and users to view arrests, re-arrests, and events associated with arrests as a sequence of events. CCH information management techniques that provide event sequencing need to identify events with which a particular arrests or re-arrests are associated. Other possible solutions to re-arrest management include using warrant numbers to match records that already exist in CCH. In the future, FDLE wants warrant numbers, arrests, and court cases all to have a UCN associated with them.

30. Booking Event, Arrest Event

Currently added arrests must have the same Offender Based Tracking System (OBTS) number. Today, CCH forces multiple arrests into one booking unless the subject is re-fingerprinted. This leads to a situation where there are no separate Dates of Arrest (DOA) for each charge. Multiple charges may appear on the same DOA. When an arrestee leaves the jail, a new booking has to be recorded with a new fingerprint event. The ORI for the arrest event may be different from the ORI for the booking event.

Any future solution will need to provide a capability that associates location, time, and identity information with every arrest or booking event. The arrest and booking events will need to be clearly differentiated. Today, many names are captured. In the future, FDLE would like to

know when a person uses a different name (e.g., at booking versus arrest). The process to determine different names today (SoundEx) does not work well and will be replaced.

FDLE wants to store a timestamp with the Date of Booking information. FDLE wants to receive fingerprint time and any time-related components available from Jail Management Systems (JMS) or other systems associated with booking events. The time zone information is also desirable because Florida has two time zones, Eastern and Central.

31. Failure to Appear

The failure to appear (FTA) process is initiated when a person is given a citation of Notice to Appear and he/she does not show up in the Court. A notice to appear (NTA) does not have a mechanism to capture fingerprints in the current business process; the failure to appear event does not have the fingerprints associated with it, either. As CCH can maintain a record only if the fingerprints are captured, CCH does not keep the up-to-date status of NTA/FTA events. In the future, FDLE would like to have fingerprints captured in the NTA event, so that the FTA and its status can be matched in CCH.

32. Bench Warrants

A Bench warrant is an event that gets initiated after failure to appear event. As CCH can maintain a record only if the fingerprints are captured, CCH does not keep the up-to-date status of Bench Warrant event. In the future, FDLE would like to have fingerprints captured in the NTA event, so that the status on a case can be maintained for the Bench Warrant event. The arrest related to the Bench Warrant needs to be linked to the FTA instead of the original offense (if the offense is something other than the FTA).

33. NCIC - National Crime Information Center

FDLE receives and uses the NCIC \$ messages to maintain and synchronize information with and service requests from the FBI including III.

FDLE uses the FCIC Switch to receive all the NCIC messages. The NCIC messages are reformatted then forwarded to a mainframe program.

TCP-SW-INTERFACE - The TCP/IP software interface is an ALGOL program that receives messages from the FCIC switch. It translates the incoming ASCII format to EBCDIC then forwards the reformatted message to the A17-INPUT program. The A17-INPUT program parses the NCIC message header and forwards the message to the appropriate mainframe program. All NCIC \$A messages are forwarded to NCIC-DOLLAR-A program. The NCIC-DOLLAR-A program parses the \$A messages from NCIC and takes the appropriate action.

The FCIC Switch receives responses from the CCH system through the A17-OUTPUT mainframe program for NCIC requests. The A17-OUTPUT program reformats the message header and forwards them to the TCP-SW-INTERFACE (COMS Interface). The TCP-SW-INTERFACE (COMS Interface) reformats the message from EBCDIC to ASCII and sends it to the FCIC-Switch, which returns the outgoing message to the original requestor.

When the FBI sends an NCIC message to update information in the CCH, a notification that the record has been successfully updated by the FBI/III is sent to the owner of the record.

All incoming and outgoing NCIC messages, including those from Nlets will be managed in accordance with the NCIC Operating Manual III File manual.

34. NLETS

This is a national forward messaging agency that is used to receive and respond to other states' queries. The receipt and response to these queries is managed through the FCIC Switch for CCH.

35. The National Instant Criminal Background Check System (NICS)

NICS is a national system that checks available records on persons who are disqualified from receiving firearms. NICS is a computerized system designed to respond within 30 seconds on background check inquiries. This provides Federal Firearms Licensees (FFLs) an almost immediate answer regarding firearms purchases. Some state governments act as a liaison for NICS. FFLs contact the designated state point of contact (POC) to initiate background checks on individuals purchasing firearms.

In Florida, FDLE has agreed to serve as a POC for NICS. FFLs contact NICS through FDLE for all firearm transfers including handguns and long guns and functions performed by FDLE provide the NICS operations. FFLs call FDLE, FDLE performs the background check, makes the decision whether the individual is disqualified from possessing a firearm, and notifies the FFL of the results. All other aspects of the background check process remain the same--the difference is that FDLE, instead of the FBI processes the background check.

CCH houses a program that selects qualified records from the database based on the NICS Status Flag (NSF). This program is run once per month on the first day of the month. The program creates or deletes entries into corresponding files. It creates an output file as a historical reference and backup for the customer. It writes records requiring review into a new dataset. It sets and resets the NSF and NICS Action Date (NAD) as required. It creates a file of "Unclaimed" NICS records for Quality Control review. It creates a Statistical Summary Report for quality assurance.

36. National Fingerprint File (NFF)

Florida is a National Crime Prevention and Privacy Compact Act (COMPACT) state. All biometric and identification requirements will be in accordance with the most current version of the III/NFF Operational and Technical Manual.

37. Criminal adds and updates via BIS (in NIST format)

Today the CCH accepts requests from the FDLE Printrak BIS AFIS system for adding identity from Live Scan, adding arrests from Live Scan, adding custody from Live Scan, new arrests notification to NCIC, and new append notification to NCIC.

CCH Message Formats

Message traffic between the FDLE Printrak BIS AFIS and CCH takes place via the FDLE FCIC-II computer interface. Today all requests to the CCH and all responses from the CCH are encapsulated within an Inter-Program Communication (IPC) System Message, whose format is controlled by the FDLE FCIC-II Network Client TCP/IP Interface Specification (12/05/95 Rev. 21).

AFIS to CCH Interface

The AFIS to CCH interface enables the CCH database to operate concurrently with the AFIS database. This permits name searches against the CCH in order to receive microfilm addresses for files not in the AFIS database. The AFIS/CCH interface also enables the user to retrieve criminal history, wants, warrants, and rap sheets for existing CCH files. Today each AFIS to CCH request is encapsulated within a FCIC-II IPC system message and the AFIS to CCH interface messages are 1) identification request, 2) name search request, 3) get DLE number request, and 4) update request.

CCH to AFIS Response Messages

CCH responds to AFIS messages to supply criminal history data for either a name search or an identification request. Today each CCH to AFIS response is encapsulated within a FCIC-II IPC system message. The data portion of each response message consists of a single NIST Type 1 record and 0, 1, or 2 NIST Type 2 records. The NIST Type 1 records used in the

response messages specify the contents of the message and the type of transaction. The only NIST Type 1 fields used are logical record length (1.01), contents (1.03), and type of transaction (1.04). The NIST Type 2 records used in the response messages return CCH descriptor data as well as CCH exception messages. Today CCH to AFIS response messages are 1) identification response (normal, accessible consolidated, inaccessible consolidated), 2) name search response (zero respondents, one respondent, two respondents), 3) get DLE response, 4) CCH update response (send FIS update, FBI forward update, error update, no FBI submission update).

All FDLE Printrak BIS AFIS to CCH messages and their content and format are controlled by the Interface Control Document for Florida Department of Law Enforcement Biometric Workflow - May 28, 2009 0006-1552; Revision 2.6.1.

38. Name Search

Today CCH uses a name search that was developed in-house at FDLE and is similar in its performance to the SoundEx product but performs additional functions. FDLE uses the Identity Systems product in some of its other systems and in the future FDLE will require the Identity Systems name search product to be integrated with CCH.

2. **Organizational Processes/Systems**

- Name Search Server - The current name search server is from Identity Systems (Vendor) and is in place for other FDLE projects. The Agency would prefer to utilize the same name search server with CCH system to implement name search process.
- FCIC Connectivity – The current system uses TCP/IP protocol and ASCII format (text file) for data communication with CCH. The Agency is open to suggestions to improve the efficiency and performance of this data channel.
- Document Management System – The Agency would be interested in information about document management solutions for the CCH system
- Identity Management System – The Agency has an in-house access control system written in Java technology, which uses active directory as user data repository. The Agency would prefer open standard solutions for identity management, which can integrate easily with the current system.
- Service Oriented Architecture (SOA) – FDLE is moving towards service oriented architecture. The agency would prefer that the CCH solution is in line with SOA
- Workflow Management System – The agency would be interested in information about workflow management solutions for the CCH system

B. Non-Functional Requirements

1. **Security Requirements**

The security of criminal history record data and related data is of vital importance to FDLE and the proposed solution must meet the following system security requirements.

- Code of Federal Regulations 28 Part 20 (Criminal Justice Information Systems) and Public Law 92-544 prohibits sharing criminal justice information with non-governmental agencies
- The system shall meet the US Department of Justice CJIS Security Policy and State of Florida security policy (CJIS will supersede State of Florida requirements)
- FBI's Criminal Justice Information System (CJIS) Security Policy provides detailed requirements for reporting, handling, and auditing security incidents.

- Requirements of Florida Statutes Chapters 943.05, 943.051 and 943.0543, F.S, which describe FDLE's duties as the State's central repository for criminal record information and gateway to the Federal repository.
- FDLE information security requirements are specified in FDLE Policy 2.5 - Information Security and the FDLE Information Security Handbook. A copy of FDLE Policy 2.5 and the FDLE Information Security Handbook can be obtained by submitting a request to the Agency contact.

Compliance with the following standards is preferred:

- SAML2.0 Assertions

Additionally, Vendor shall describe their information security program. The information security program should address topics included in Rule 71A-1, Florida Administrative Code. Some of the key topics are:

- Access Control
- Awareness and Training
- Audit and Accountability
- Contingency Planning and Disaster Recovery
- Identification and Authentication
- Incident Response
- Maintenance
- Methodology used to develop and maintain software used for the service, including secure coding guidelines and standards to protect the site from unauthorized access and use
- Physical and Environmental Protection
- System and Communications Protection
- System and Information Integrity

2. Availability Requirements

- The system shall follow FDLE's standards on availability for the CCH system: Minimum of 99.5% uptime 24 hours a day, 7 days a week, 365 days a year.

3. Information and Technology Standards

The system shall comply with the following standards:

- National Information Exchange Model (NIEM) 2.0
- DOJ Global Reference Architecture
- Joint Task Force on RAP Sheet Standardization 4.1
- NCIC 2000
- ANSI/NIST-ITL 1-2011, NIST Special Publication 500-290 Data Format for the Interchange of Fingerprint, Facial & Other Biometric Information
- FBI EBTS 9.3
- Conformance to the National Crime Prevention and Privacy Compact Council's National Fingerprint File (NFF) Program

Compliance with the following standards is preferred:

- Lightweight Directory Access Protocol (LDAP)/Active Directory
- Security Assertion Markup Language (SAML) 2.0
- Global Federated Identity and Privilege Management (GFIPM) 1.0

4. Usability Requirements

The system shall conform with the following:

- Americans with Disabilities Act (ADA)
- Section 508 of the US Rehabilitation Act

5. Understandability

- The user interface shall be easy to understand to perform the CCH operations.
- The menus and navigation of the user interface shall be simple and easy to follow.

6. Learnability

- The user guide documentation and help shall be accurate and complete.
- The help shall be clear and concise in how to achieve common tasks.
- The system shall be easy to learn for the experienced CCH staff and the new hires both.

7. Operability

- The GUI layout shall be consistent across processes. It shall not change drastically from one process to another process.
- The system shall have a good exception handling mechanism to display proper error messages to the end user.
- The system shall ask for confirmation before executing critical actions.

8. Performance Requirements

The CCH system is a collection of many operations with different performance requirements. The goal is to exceed the performance measures of the current CCH system for all the operations it performs as of today. They will be tested against the current CCH system on a process based scenario. Currently the system contains records on approximately 7 million subjects, and has the following minimum performance metrics:

1. 75,000 Transactions per Day
2. 15 Transactions per Second (Peak)
3. 3 Transactions per Second (Average)

9. Scalability Requirements

The CCH system shall provide the software and hardware scalability to accommodate the growing needs such as:

- Number of users
- Number of transactions
- New business processes
- Integration with external systems
- New data communication standards (XML based)

User Scalability

User scalability is the term used to define the process of scaling up the system in terms of load (number of users) capacity to satisfy the growing need. This is done by horizontal scaling and vertical scaling methodologies. The user scalability requirements are as follows:

- The system shall support the increase in the user load in the future.

Application Scalability

Application scalability is the term used to define the process of scaling up the system in terms of business functions to be added in the future to satisfy the customer need. The application scalability requirements are as follows:

- The system shall support and incorporate new business functions in the future without re-writing the entire system.
- The system shall be designed to incorporate the new business processes in the future with ease.

Appendix C: Business Process Models

The Crime Information Bureau (CIB) is tasked with the maintenance of the State's Computerized Criminal History Repository as required by Florida Statute 943. The following diagrams show the high level business processes the CIB uses to interact with CCH. Additional business process model diagrams are available upon request.

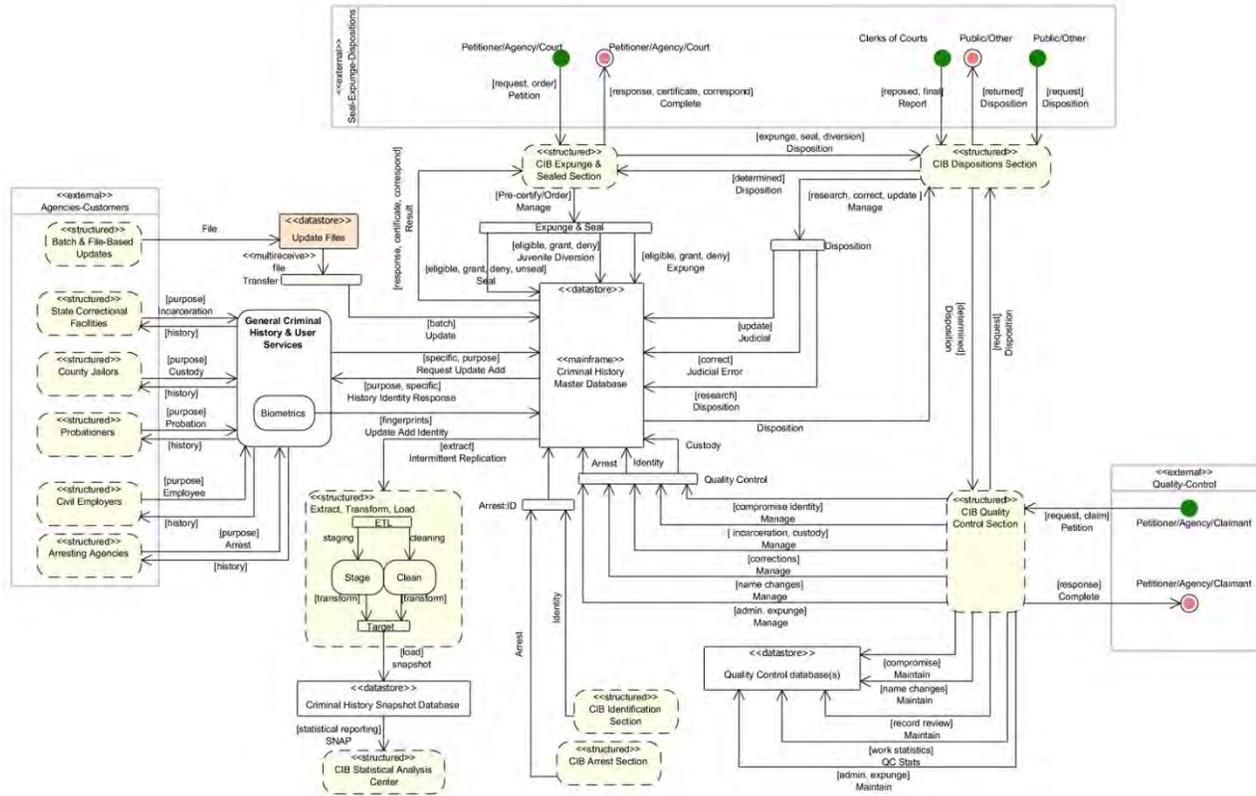


Figure 8: High-Level Diagram of CIB Activities and Major Areas of Work

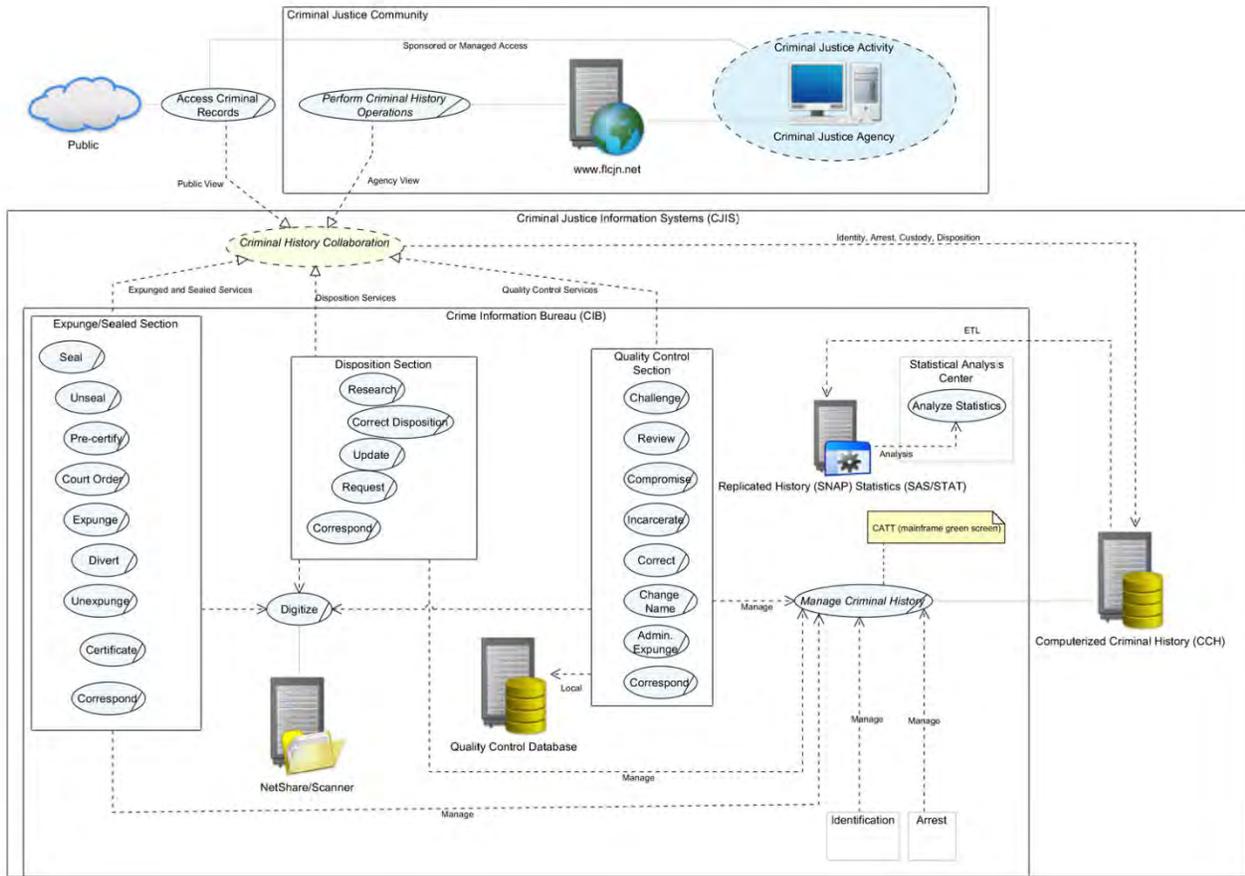


Figure 9: High-Level Use Case Context Diagram for CIB Services

Appendix D: Cost Sheet

The following pricing table must be completed and delivered as part of the Vendor's RFI Response:

Item	Estimated Cost
Hardware (primary site)	\$
Software (primary site)	\$
Hardware (disaster recovery site)	\$
Software (disaster recovery site)	\$
Services (including Project Management, Testing, Implementation, Warranty, etc.)	\$
Data Conversion/Migration	\$
Programming / Customization	\$
Annual Maintenance Cost	\$
Annual Disaster Recovery Services Cost	\$
Other costs (please specify below)	\$
Total	\$

If other costs are involved, please specify here: