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April 29, 1999

Mr. James W. McMahon
Superintendent
Division of State Police
Building 22, State Campus
Albany, NY 12226-2252

Re: Report 99-Y-13

Dear Mr. McMahon:

To assist in your oversight of the Division of the State Police (Division) Year 2000 compliance progress, we reviewed selected steps being taken by the Division as of March 24, 1999, to make the New York Statewide Police Information Network (NYSPIN) and the Management Information Network (MIN) Applications Year 2000 compliant. These systems have been designated "mission critical" and "high priority" systems, respectively, by New York State's Office for Technology (OFT), which is responsible for overseeing the State's Year 2000 readiness. The NYSPIN is a sophisticated communications network which supplies State and National Criminal Justice Agencies with the information they need to enforce the laws and protect citizens nationwide. The MIN Applications are as follows:

- Homicide and Lead Tracking (HALT) is designed to capture data on solved and unsolved murders, missing persons, unidentified dead bodies and violent sexual assaults. This system will be decommissioned during the summer of 1999. Its functionality will be included in a new system being purchased from the FBI.
- Parole File System (Parole) maintains historical files for parolees statewide.
- Statewide Narcotics Indexing System (SNIP) is a computerized index of the names of persons suspected of dealing in narcotics, which participating agencies use to share information when it appears that they may be investigating the same person.

The steps we selected for review pertained to Year 2000 project planning and management, Year 2000 system testing, identification and correction of system data exchanges, and the establishment of contingency plans for continuing important business and service functions in the event of a Year 2000-related failure.

The objective of our review was to assess whether the Division appears to be taking the necessary steps to address Year 2000 problems related to NYSPIN and the MIN Applications. To complete our review we interviewed Division personnel and we reviewed Division documents. In addition, we obtained and analyzed the Division's response to a Year 2000 assessment questionnaire that we designed (See the attached Table). Unlike an audit, a review does not include testing or verification of information and records provided by the Division and does not include a review of internal controls. Therefore, we cannot conclude whether NYSPIN and MIN Applications will be Year 2000 compliant in a timely manner.

The results of our review show that the Division is taking many of the steps necessary to address Year 2000 problems related to NYSPIN and MIN Applications. For example:

- Efforts to correct the Systems were covered by a written Year 2000 project plan and schedule and Division management monitored the efforts.
- There were plans for testing the Systems and guidance was available for completing testing.
- All data exchanges with the Systems have been identified and appropriate correction of data exchanges have been made.

However, the Division has taken only the initial steps to prepare contingency plans to ensure the continuance of business and service functions that are dependent on the Systems. We encourage the Division to continue its contingency planning process.

Major contributors to this review were Brian Reilly, Jim Brunt, Deb Spaulding, Jerry Steigman and Jorge R. Vázquez.

Your comments to this review are welcomed. We wish to express our appreciation to the management and staff of the Division of State Police for the courtesies and cooperation extended to our auditors during this review, and hope that it is helpful to your Year 2000 monitoring and oversight responsibilities.

Very truly yours,

William P. Challice
Audit Director

cc: Hanford C. Thomas, State Police
Gary Davis, Office for Technology

**DIVISION OF STATE POLICE
 NEW YORK STATEWIDE POLICE INFORMATION NETWORK (NYSPIN)
 MANAGEMENT INFORMATION NETWORK APPLICATIONS (MIN Applications)
 YEAR 2000 ASSESSMENT QUESTIONNAIRE
 TABLE I**

A colored "traffic light" Legend is included in the table below to assist management in focusing an appropriate level of attention on the issues identified in the Status and Comments sections of the Review Findings.

Legend:

	Status/Comments contain matters which may be of immediate concern to management.		Status/Comments contain matters which management may wish to consider.		Status/Comments do not contain issues which require immediate management consideration.
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Review Findings:

	YEAR 2000 STEPS	STATUS	COMMENTS
	A. PROJECT PLANNING & MANAGEMENT		
	A1. Is there a written Year 2000 Project Plan and does it include/identify steps needed to correct the Systems in question?	Yes	A Year 2000 Management Plan was developed in October 1997. The plan outlines steps for all phases of the project.
	A2. Does the Plan (or any other available record) define what is meant by "compliance" when describing systems at the agency which are Year 2000 ready?	Yes	The Division's plan does not define compliance. However, officials stated that they use OFT's definition.
	A3. Is there a written schedule covering the time frame for achieving compliance for the Systems in question?	Yes	A detailed schedule for remediation is in place. The NYSPIN was returned to production in early March 1999. Two of the MIN Applications (Parole and SNIP) were returned to production in April 1998. Another Application, (HALT) will be decommissioned during the summer of 1999. Its functionality will be included in a new system being purchased from the FBI.
	A4. Is progress toward completion of the schedule for the Systems in question being monitored?	Yes	All mission critical and high priority applications were monitored daily in terms of progress toward completion. Progress was noted at the weekly Year 2000 team meetings. Progress was reported monthly to executive staff and quarterly to OFT.

	YEAR 2000 STEPS	STATUS	COMMENTS
	A5. Are the Systems in question meeting the schedule (no significant slippage being reported)?	Yes	Officials stated that no significant slippage occurred in meeting the schedules for the Systems.
	B. TEST PLANS		
	B1. Is there a documented test plan and does it include/identify steps needed to ensure that the Systems in question will process as expected after they have been corrected to comply with Year 2000?	Yes	<p>The Division has an overall testing methodology and process in place for all systems and a specific test plan was developed. A separate Year 2000 platform was used to test the Systems.</p> <p>OFT's Risk Assessment Report found testing efforts were left to the discretion of individual programmers and that sufficient management controls were not in place. In the absence of sufficient evidence to demonstrate testing efforts, it was concerned that Year 2000 problems may have been overlooked and/or testing efforts may not have been sufficient. We noted that the Division's corrective action plan addresses this deficiency and that test results will be documented and reviewed by Division management.</p>
	C. DATA EXCHANGES		
	C1. Have all data exchange partners/interfaces for the Systems in question been identified and included on a written inventory record?	Yes	Division staff have identified all data exchange partners and have documented its Year 2000 solution strategies.
	C2. Have data exchange interfaces been considered in the overall Year 2000 Project Plan and the test plan covering the Systems in question?	Yes	The Year 2000 plan as well as the test plan for the Systems consider data exchange interfaces.
	D. CONTINGENCY PLANS		
	D1. Is there a written business contingency plan in place for the Systems in question and do the plans specify steps for completing vital business functions if the Systems in question are noncompliant or inoperable for Year 2000 purposes?	Pending	The Division is in the process of drafting contingency plans for its critical systems to conform with OFT guidelines.