



Criminal Justice Information System
Governing Board
State of Connecticut
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CJIS Governing Board Meeting
January 28, 2016, 1:30 pm
Division of Criminal Justice, 300 Corporate Place, Rocky Hill, CT 06067

CJIS Governing Board Members and Designees in attendance:

Judge Elliot N. Solomon, *Designee, Co-Chair, Judicial*; Dora Schriro, *Commissioner, Department of Emergency Services and Public Protection*; Mark Raymond, *CIO, Department of Administrative Services, Bureau of Enterprise Systems and Technology*; Kevin Kane, *Chief State's Attorney, Division of Criminal Justice*; Karl Lewis, *Designee, Department of Correction*; George White, *Designee, Department of Motor Vehicles*; Richard Sparaco, *Designee, Board of Pardons and Paroles*; James Cetran, *Chief, Connecticut Police Chiefs Association* and Brian Carlow, *Division of Public Defender Services*

Other attendees:

Brian Clonan (DESPP), Frank DiMatteo (DPDS), Chris Duryea (JUD), Evelyn Godbout (DCJ), Darryl Hayes (DESPP), Chief Mark Montminy (Manchester PD), John Russotto (DCJ), Terry Schnure, Celia Siefert (JUD), Terry Walker (JUD) and Antoinette Webster (DESPP)

CJIS staff and contractors:

Phil Conen (Xerox), Theresa Czepiel (CJIS), Craig Holt (Qualis), Christopher Lovell (CJIS), Mark Morin (CJIS), Mark Tezaris (CJIS), Steven Wallick (CJIS) and David Wright (Xerox)

I. Welcome

- In the absence of the Co-Chairs, Judge Patrick Carroll and Mr. Mike Lawlor, Commissioner Dora Schriro brought the meeting to order at 1:35 PM, and announced that she and Judge Solomon would chair today's meeting.

II. Minutes of Previous Meeting

- Commissioner Schriro asked for a review of the minutes from the October 15, 2015, Governing Board Meeting, after which a motion was presented to approve. Mr. Mark Raymond moved to approve the minutes, and Attorney Kevin Kane seconded the motion. The vote to approve was unanimous.

III. CT: CHIEF

- Commissioner Schriro called on Mr. Raymond to discuss the CT: CHIEF Hosting Pilot. Mr. Raymond explained that CJIS had successfully entered into an agreement between the State, the Wethersfield Police Department and Capital Region of Council of Governments (CRCOG) for hosting a regional Records Management System (RMS) application within the CJIS environment.

A legal review was done, and the pilot is being executed. He then introduced Mr. Mark Morin for further detail on the project.

- Mr. Morin stated that the CT: CHIEF pilot project is going well. Prior incidents have been entered into the CT: CHIEF application to test its functionality, and testing is expected to be completed next week. Seven to ten officers are entering data at a four-hour clip. One hundred sixty-one incident reports have been entered, 11 motor vehicle accidents, 63 traffic stops, 5 arrest warrants and 3 field interviews. Normal RMS connections have all been tested. Racial Profiling data, along with sending and receiving of PDF files, are working well. The only issue detected was with the GIS interface application that should be fixed within a few days. No communication or initial configuration issues have been observed during set up of the infrastructure.
- Mr. Morin noted the benefit of having officers brought in from other towns to enter data in the system, because they will be acting as trainers for other police departments. Another notable benefit of the pilot hosting is that CJIS will offer level III support only, meaning that should an issue arise, it would first be addressed by KTI, then Bureau of Enterprise and System Technology (BEST), and lastly CJIS. At this time, however, no issues are apparent.

IV. Operational MOU Update

- Commissioner Schriro gave a brief update on the status of the Operational Memorandum of Understanding (MOU) which had been approved, and is currently collecting signatures. She noted that copies of the document will be available once the signatures have been secured. She again turned the floor over to Mr. Morin.

V. CISS Update

- Mr. Morin opened the CISS project presentation with a discussion of the agenda, including the announcement that a demonstration would take place at the close of today's meeting. Because of the nature of the criminal justice information included in the demonstration, it will be necessary to keep the meeting closed to the public.
- He continued with an explanation of Slide #3, which denoted the need for an eight-week delay of Release 1. The first search release will be production ready February 26, 2016, meaning a two month delay for Release 2. The reason for this delay stems from the reallocation of resources for Release 1. Release 3 will also be delayed since the codes in Release 3 and Release 1 cannot be entered into the Systems Test environment at the same time. Workflow Release 2 has also had some separate challenges, which will be discussed later in the presentation. Mr. Morin explained that the Release 1 delay is a combination of common development issues, defects and network issues, along with the complexity of building each individual work environment one step at a time. The project delay was attributed to the following specific conditions:
 - Interpretation issues occurred between two diverse teams (CJIS and Xerox), reading codes or requirements differently. These challenges have been captured as lessons learned and will be incorporated into future releases. Mediation and mitigation plans have been put into place to create a better line of communication that will produce a valued product going forward.
 - Infrastructure changes that were built to improve the speed and reliability of the system caused periodic crashes of the application. These issues were trapped, and redundancy is being built into the infrastructure to prevent future failures. The outcome of this challenge is the knowledge that every small change in the environment has to be collaborated with every group involved. The CJIS Change Control Board, which includes BEST and Xerox, has been established to address this, while testing policies have been put into place to

bridge communication gaps. This process is now providing congruency among the project's various teams.

- Challenges with MFA (Multi-Factor Authentication) also ensued with FBI security mandating that unsecured environments need MFA in place containing two login areas. The second layer of security needed to be built, but Microsoft would not allow use of the Cloud, as CJIS had hoped. Access Health, however, was found to have a software product called Symantec that could be in place at the time of production. As a back-up, using RSA Token as a secondary authentication is possible. The second level of authentication would involve receiving a phone call to validate security clearance.
- Mr. Raymond questioned the projected completion dates, asking whether the dates are inclusive of all UAT testing activities. Mr. Phil Conen clarified that Xerox's date for going live is February 26th.
- Mr. Morin explained that the recent challenges provided a learning opportunity for the successful navigation of further releases. The quality of the project will improve going forward because of these lessons learned.
- Mr. Morin then continued with the list of the completed areas of the CISS project. Throughout October November and December, all releases have actively moved forward, with OBIS and PRAWN being the first to be implemented. Release 2 is in Systems Test. With this release police departments (PDs) will release early arrest notification. The Department of Motor Vehicles (DMV), Board of Pardons and Paroles (BOPP), Division of Criminal Justice (DCJ), and the Department of Correction (DOC) will know instantly when someone has been arrested. Endorsements for school bus drivers will be available immediately by the DMV instead of the usual few day process. Court Supported Services Division's (CSSD) bails commissioners will know when someone is in jail so that a person can be held. Right now phone calls are being made to secure this information for people of interest. The issue of conditional discharge, which is important to the DOC, will be affected because this release will be keeping track of information from a safety perspective.
- Mr. Morin continued the CISS update noting that the 3rd, 5th and 6th search release applications are currently active. Release 6 will have substantial value to all stakeholders because it will create the inclusion of DMV data and DOC case management files.
- Going forward, Mr. Morin explained that CJIS is completing Systems Testing, and going into the UAT phase next week with Release 1. Release 2 will stay in Systems Testing, while Releases 4, 6 and 9, are in either requirements or design phases. All the releases are active, and the project is moving well.
- In so far as **Certification**, Mr. Morin stated that two RMS vendors, CT: CHIEF and Accucom (previously Hunt) are actively working with CJIS, along with a new vendor, New World, with whom CJIS is in active contract communications. With the two vendors currently active today CJIS is covering approximately 13 PDs. Nine departments plan to use CT: CHIEF. The Public Safety Data Network (PSDN) network was noted as having movement towards 100 percent connectivity, with 75 of 92 police departments being fully connected, 5 police departments in the process of hooking up routers, and 7 with routers on order. The 22 police departments going live with Release 1 have full connectivity and are currently in testing.
- **Training and Development** - February 19, 2016, is the date for training of the Administrators from Judicial, DOC, BOPP, and the Office of the Victim Advocate (OVA), along with six or seven police departments. Administrators will be responsible for setting up identifications and setting security

levels at their Agencies. During the week of February 22nd, Users will be trained. The CJIS team will work with PDs individually that have difficulty meeting those preset training dates.

- **Risks** include the already discussed Release 1 delay. Release 2's delay with the technical communications layer has been resolved. Communication has been bridged for full integration of RMS data into CISS. Information from KTI is already coming in with Accucom's information expected in a few weeks. As discussed, Release 3's code cannot be moved yet since Release 1 is still in Systems Test. Work on Release 8 is being mitigated to bridge the workflow gaps that have been identified so far. Individual investigation of each Agency's workflow process is necessary to make sure that data paths are accurate. CJIS will introduce a Change Control for Release 9 since DCJ does not yet have a case management system and is currently working through their Statement of Work (SOW). Client/attorney data from the Public Defender's office is restricted, but will be captured through the Criminal Motor Vehicle System (CRMVS). A Change Control presented to the Governance Committee will ask to remove those two search engines from Release 9. The issue of this data sharing with these Agencies will be revisited.

VI. Issues and Actions

- Mr. Mark Tezaris communicated the significance of the Governance Committee in its leadership and follow-up abilities to solve impasses on the CISS project. CJIS has been able to handle problems on the technology or project management side but lacks the ability to resolve some other key issues. Through the guidance of the Governance Committee, however, these issues were able to reach resolution, and the project was able to advance to this point. Stakeholders recognize the value of the Governance Committee, which is also reflected in the Health Check Report as a positive influence.
- Mr. Tezaris introduced the only issue on the Issues and Action Log, which are the 18 unfilled state positions. These specific positions in their respective disciplines were determined by MTG Management Consultants to be necessary to run CISS over the long term. The effort to fill the needed positions resulted in two positions filled, but the hiring of the remaining 18 positions is on hold until the CJIS Executive Director position is filled. This person will move forward with this effort. There are complications involved with this issue.
 - The first associated risk with this issue is of the FCC lowering the cap on revenue that has been supporting the State staff for CJIS. There have been ongoing efforts by OPM, the Governor's office and other Agencies to seek alternative funding.
 - The second risk is, as Release 1 is being implemented, Xerox will go forward in their effort and requirement to train CJIS staff to maintain Release 1, along with its infrastructure and application. Currently, the operational staff is not in place for this training to occur. The risk in training consultants is the loss of knowledge when they leave. CJIS is looking to mitigate this issue to retain the integrity of the project.
- Mr. Tezaris continued with the first Action Item, which is the Attorney General's recommendation to put a durational project manager in place. This position is on hold until an Executive Director is hired at which point a reassessment will occur.
- The process of 3M developing an interface to CISS, the next Action Item, has no impact on the schedule for CISS, but is important as it is an effort to bring information from CISS to DESPP, which will save time in accurately transferring information. Currently, DESPP legal (or State legal) is interacting with 3M to solve some of the issues.

- The next Action Item pertains to the Executive Director position. A discussion at the last Governance Committee meeting indicated that interviews or discussions of finalists were taking place. Attorney Antoinette Webster and Commissioner Schriro verified this.
- The Probable Cause Affidavit, the fourth Action Item, concerns the process of making the Incident Report available to the Division of Public Defender Services (DPDS) at the same time that Court Support Services gets it. An agreement is in place in which Xerox is developing a design document showing how this will take place. Mr. Conen said that the design document will be done in mid-February, but design options, which will show DCJ and DPDS their choices, will be available earlier than that.
- The CT: CHIEF Hosting Pilot Status document is a recent addition to the Action Item list. This document has been drafted by Mr. Morin and is a collaborative effort between Governance Committee members to track the progress of the pilot on varied levels. Mr. Raymond added that the draft document will be submitted to the Governance Committee for final review before being presented to the Governing Board.

VII. Bond Fund Overview

- Mr. Tezaris continued the CISS Project Update with the Bond Fund Review, and noted that work on the project began with the kick-off at the end of 2011 and beginning of 2012. The total cost of expenditures up to 12/31/15, is \$28,969,781. The significance of the financial update is the approach of CJIS management to use the funds in an efficient manner, to make sure the Scope in Public Act 08-01 is developed, and to meet the goals of Phase 1. The economic perspective in the decision-making is the anticipated \$15 million in cost savings once Phase 1 is implemented effectively. The goal is to execute Phase 1 completely to have that short, break-even point.

VIII. CJIS Consultant Statistics

- The chart on Slide #19, *CJIS Consultant Statistics*, reflects consultant turnover, and was requested at the October Governing Board meeting by Mr. Raymond. Mr. Tezaris stressed the significance of the turnover issue because of the impact it has to the project. Specifically, when 1, 2, or 3, project managers or .Net developers leave concurrently, the scenario creates serious delays in the development of the application. The chart represents the 59 consultants hired to date from 2011, 39% of which, are still employed on the project. The significant number and the biggest reason for turnover is the 37% of the consultants who left for economic reasons. The average consultant duration time since 2012, is 13 months. When the economy is doing well the demand is higher than the supply. Currently rates in the market are higher for consultants who can do the type of technology development that CJIS needs, than the cap rate that CJIS can offer according to the State's contracts with consultant vendors. The experience has been that consultants are interviewed, hired and trained, and then when they get an offer of a better pay rate they leave, or they give CJIS the option to meet that rate. Mitigation is going on to lessen the loss of consultants who leave for higher pay by increasing the quality of the professional environment. This includes offering the latest technology, providing a pleasant work environment, offering flexible hours where possible on an as-need basis, and the ability to make up time for personal appointments. In this way the quality of the environment helps the economics.
- Mr. Raymond commented on how this issue relates to the hiring of the 18 positions. For every new consultant that comes in there is a learning curve, and when he/she leaves they take the knowledge with them. So, the importance of having State employees in place is the ability to retain that knowledge. In that way CJIS will not have to re-educate so many new people to the standards of the project and what needs to be achieved. The State employee workforce has nowhere near this

level of turnover. More productivity can be actually achieved if there can be a higher percentage of State employees doing the work versus consultants.

IX. Bond Fund Overview Clarification

- Mr. John Russotto requested clarification of two line items on the previous expenditure chart. These are the *Staff* line item and the *Development* item. Mr. Tezaris explained that the *Staff* line item generally reflects the cost of consultants for CJIS; whereas, *Development* generally represents the funds paid to Xerox to do the development. The word, “*generally*”, means that this is more than 90% true with some exceptions due to ambiguity based on procurement processes.
- Attorney Antoinette Webster asked if the *Staff* figure includes CJIS State employee costs also. Mr. Tezaris explained that Bond Fund reflects consultant costs only, and that State employees are paid from the inmate phone revenue dollars. Attorney Webster asked whether *IT Hardware* and *IT Software* are costs incurred for CJIS hardware outside of the CISS project. Mr. Tezaris responded that the figures are for CISS only. Concerning the hardware, the purchase for the main servers, switches, routers, storage devices has already taken place. Purchases now include laptops, and wires, cables and switches for the Springfield offsite disaster recovery site.

X. Qualis Health Check Report

- Mr. Craig Holt introduced the discussion of the Project Health Check in noting the 100% return on surveys, which also included the follow-up interviews. According to the report, the project continues to improve and has come a long way since the previous year. Mr. Holt interjected a reminder that the Project Health Check is a harbinger of what may, or may not, happen. The quality of feedback that is coming to Qualis from Agencies is getting better and more focused, which allows this information to go to the PMO. The PMO uses the information to take action, and this is being noticed. Slide #22 reflects the *Last Year Values, Last Quarter Values and Current Quarter Values*. There is an improvement in all twelve categories: *A. Scope, B. Development, C. User Involvement, D. Organization, E. Oversight, F. Project Management, G. Project Controls, H. Implementation, I. Contractor Performance, J. Technology, K. Alignment to Vision and L. Measurement*.
- The Project Health Check continued with Slide #23:
 - This report reflects that the folks that are being interviewed are noticing that the Governance Committee has been more involved in solving key issues over the past quarter, and that the increased engagement is having a positive impact on the project. The increased engagement is seen and welcomed. It’s understood that the closer to going live the project gets the more issues will arise that exceed the capability of Agency folks. There is encouragement in the fact that issues are being solved and people are noticing.
 - Agencies continue to focus on specific issues and have spent a lot of time identifying potential pitfalls and risks. This is important because it’s necessary to discuss and address specific issues; otherwise, attention to broader issues will never allow small issues to be resolved.
 - Agencies are more focused on issues and risks that they see on the horizon and less concerned with how the project is being managed. The interpretation of this by Qualis is that Agencies can see that the project is being managed, and that there is a process for problem resolution through the Governance Committee. This is an accomplishment in that Agencies can now spend more energy in bringing value to the project through their communication with the PMO regarding their individual circumstances and perspectives.

- Overall scores increased, even though there were large changes both positive and negative. In a large multi-year project plan such as this, survey questions are re-ordered and survey-takers are notified beforehand of the change-up. Methodology dictates that the same questions are used for trending, but changing the survey in some way keeps the information that is retrieved fresh. People saw that questions were changed, and responded that some questions were not relevant any longer, while some questions had just recently become relevant to some Agencies.
- Commissioner Schriro asked for clarification between the Agencies' view of project management on Slide #23 and *D. Organization* on Slide #22. Mr. Holt explained that *Organization* is a category which pertains to the following three statements: 1. *We have the resources and expertise to complete the task required;* 2. *The project is expected to deliver cost savings to my Agency after implementation;* and 3. *Our Agency has or will have, sufficient funds to complete all planned tasks for the project.* Therefore, this category is looking at how well Agencies feel they are prepared to take on the project; whereas, the third point on Slide #23 refers to how well the Agencies feel the project is being managed.
- Mr. Raymond said that this is also reflective of other categories that are on Slide #22 (*F. Project Management, G. Project Controls and L. Measurement*).
- Slide #24 indicates that questions are now aggregated towards Agency, Xerox and PMO concerns; the results of which are progressing at the same relative pace. This is an indication of the health of the project. Additional risks were identified as expected since the project is progressing forward. The PMO has already addressed some of the Key Risks on Slide #25. Change Control Management is already in place. Large project implementations are difficult, though. Mr. Holt indicated that the intention should not only be, to be on time and on budget, but to work through the challenges of delivering the intended design requirements as to not compromise the integrity of the project. The Governance Committee or Governing Board might need to take action since Agencies are concerned that their resources are not in place for project implementation, and vacancies still exist in the CJIS workforce. Mitigation is in process to minimize testing and defect resolution time. The information contained in *Key Risks* is a reflection of the perception of folks working on the project. Reviews are not done on the project itself.
- In March surveys will be circulated, and interviews will be done. The expectation is to see a “dip”, however, this should have occurred by now. It is an accomplishment that folks are still engaged in a positive way to this juncture. Mr. Holt said that it will be interesting to see if any shift in numbers occurs due to the production of Release 1, which will precede the next Health Check Report.
- Mr. Holt encouraged a review of the most recent Health Check Report, in which a list of issues that had already arisen, were addressed and were retired.
- Mr. Russotto, acknowledged his support of the work of the Governance Committee, and then addressed pages 8 and 9 of the Qualis Report, which discusses *Agency Top Concerns*. His feeling was that issues and concerns presented here would do well being presented to the Governance Committee for their review and resolution, or guidance.
- Mr. Holt agreed that there is a proven ability by the PMO to present issues for resolution, and that concerns should not be allowed to linger in a “long spin cycle”. There is a precedent set to resolve issues, and this should be continued.

- Mr. Morin proceeded in clarifying the risks that Qualis brought forward in the report. Risk #8, Change Control, includes addressing unique issues that Agencies might have that need to be addressed individually. Specifically, DOC and BOPP are in the process of putting out RFPs for a new system. CJIS has been working with these Agencies to retrieve data in a way that will not make it necessary to replicate the process once their new system is implemented. Techniques are being developed to minimize effort for those Agencies going forward with new systems. A Change Control Board has been established made up of every Agency that feeds data into CISS. This allows CJIS to project out what might be needed as Agencies make changes to their systems months or years into the future. This process will minimize risks and allow CJIS to make changes to the CISS application itself to compensate for Agency changes.
- Attorney Kevin Kane asked what the process is to get issues and risks in front of the Governance Committee to: a.) make them aware of the issues in advance, and b.) to make decisions, or bring about decisions in a timely manner.
- Mr. Tezaris explained the process of reviewing issues to the Board Members. More often than not issues can be handled at the project level. If a wider review is needed, the issue is presented at weekly meetings that are held with Mr. Raymond and Mr. Brian Clonan. The issue is discussed and decisions implemented, or a decision is made to escalate to the Governance Committee. At this point the issue is added to the Issues and Action Log.
- Attorney Kane suggested that the Governance Committee be made aware of issues quicker even if no action is needed because of their importance.
- Mr. Tezaris offered to compile a list of issues that are being addressed outside of the Governance Committee that might escalate.
- Commissioner Schriro interjected that at a Governance Committee Meeting there was a proposal to reduce the frequency of those meetings to once a month, which might be premature based on what is being discussed today.
- Mr. Raymond offered that there is a huge value in the CJIS team working through issues with stakeholders who deal with these issues on a day to day basis without escalation, because through that process CJIS gains ownership and commitment to the resolution of those issues. It's important to make sure that an issue needs escalation since it takes on a life of its own, good, bad or indifferent, at that point. A better effort will be made going forward, however, in taking the feedback from the quality process and bring it into Issues and Actions with the Governance Committee. Preparation for those meetings will include this.
- Attorney Kane said that it was better to be kept advised early on of any issues that might arise for the sake of understanding should they turn into action items.
- Mr. Brian Carlow said that he agreed, that organizationally the Governing Board and Governance Committee should have confidence in that group that are working on the issues, and confidence in that group's judgement as to when issues should get escalated. Inevitably, when other groups (Governing Board, Governance Committee, Board of Trustees, Board of Directors, etc.) become involved the whole nature of problem solving will change. He supports the need to trust the judgement of those people handling the issues to bring them forward when necessary.
- Commissioner Schriro said that the CISS project is very early stage of folding in what may be a very large number of participants. When Board Members have the benefit of what the CJIS team is learning as it goes along, the Board can become that much savvier about trouble shooting as the project roles out. Also, the size of the project makes it worthy of replication in other states.

Sharing the process and tracking its development in this way makes it similar to an anthropological study for those jurisdictions that want to replicate the project. The process can be accurately described. And likewise, if there are other players that come in later, there is more familiarity with the costs and benefits.

- Mr. Holt said that during his recent trip to Alaska, the Alaska's Public Safety Commissioner voiced his interest in reaching out to the State of Connecticut for information to implement a project similar to that of CISS. Mr. Holt said the infrastructure that CJIS has for decision making is appreciated by Agencies, and that the system that's in place for issues and escalation seems to be working out well. Time is at a premium, though, now, and some issues with Agency folks might need to be escalated. He said that there is information to be shared and information that needs to be acted upon. Being clear about the intent will help information be channeled in the most productive way.
- Mr. Morin said that time is reduced to 18 months for the CJIS team to complete the project, and there is a need to communicate effectively with the Governance Committee. He went on to discuss Risk #9 (Slide #25). After gaps were found while working on Workflow Releases 4 and 8, CJIS is now working with every Agency, whether publishing or consuming, to make sure that the functionality is correct.
- Attorney Webster asked whether the eight-week delay has impacted the timeline. Mr. Morin responded said that, no, it has not. The project timeline had a built-in 18-week buffer allocated to *Development*. Using some of this time for the foundation will help the rest of the releases flow easier. A *Lessons Learned* session in March with Xerox is planned to recap the benefits of challenges experienced so far and to further guide the project through the 29.5 month schedule.
- Mr. Morin reiterated that a demo will take place afterwards for certified State employees.

XI. Adjournment

- Commissioner Schriro asked for any new or other business to be discussed. With no further business she noted the upcoming meeting dates and asked for a motion to adjourn. Attorney Kane made the motion, and Mr. Raymond seconded it. The meeting was adjourned at 2:50 PM. Commissioner Schriro then invited those with law enforcement involvement to stay for the demonstration.