



Criminal Justice Information System  
Governing Board  
State of Connecticut  
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### **CJIS Governing Board Meeting**

October 17, 2013, 1:30 pm

Division of Criminal Justice, 300 Corporate Place, Rocky Hill, CT 06067

#### **CJIS Governing Board Members and Designees in attendance**

Michael P. Lawlor, *Co-Chair, Under Secretary, Office of Policy and Management*; Judge Patrick L. Carroll, III, *Co-Chair, Chief Court Administrator, Judicial*; Garvin Ambrose, *Victim Advocate, Office of the Victim Advocate*; Reuben Bradford, *Commissioner, Department of Emergency Services and Public Protection*; Cheryl Cepelak, *Designee, Department of Corrections*; Brian Carlow, *Designee, Division of Public Defender Services*; Melody Currey, *Commissioner, Department of Motor Vehicles*; Kevin Kane, *Chief State's Attorney, Division of Criminal Justice*; Richard C. Mulhall, *Chief, Connecticut Police Chiefs Association*; Michael Pollard, *Designee for Sen. Eric Coleman, Co-Chair of the Joint Standing Committee of the General Assembly on Judiciary*; Mark Raymond, *Designee, CIO, Department of Administrative Services, Bureau of Enterprise Systems and Technology*; Erika Tindill, *Chairperson, Board of Pardons & Paroles*; and Joe Verrengia, *Representative, Designee for State Representative Gerald Fox III, Co-Chair of the Joint Standing Committee of the General Assembly on Judiciary*.

#### **Other attendees**

Susan Brown (DPDS), Bob Cosgrove (DOC), Joe D'Alesio (JUD), Frank DiMatteo (DPDS), Chris Duryea (JUD), Evelyn Godbout (DCJ), Darryl Hayes (DESPP), Joan Hilliard (DESPP), Tom Martin (OAG), Major Mark Panaccione (DESPP), Jason Rea (DESPP), John Russotto (DCJ), Terry Schnure, Celia Siefert (JUD), Richard Sparaco (BOPP), Steven Spellman (DESPP), Thomas Sutkowski (JUD), Terry Walker (JUD), and Antoinette Webster (DESPP).

#### **CJIS staff and contractors**

Jeanine Allin, Phil Conen (Xerox), Rick Hegwood, Bob Kaelin (MTG), Patty Meglio, Peter Smith (RSL), Tanya Stauffer (AIC), Sean Thakkar, Elizabeth Ugolik, and David Wright (Xerox).

### **I. Welcome and Introduction**

- Judge Patrick Carroll, III, Governing Board Co-Chair, brought the meeting to order at 1:35 and welcomed everyone. In his opening remarks, Judge Carroll announced that it would be the last Governing Board Meeting for Mr. Michael Pollard. He will be stepping down from the CJIS Governing Board after participating for close to four years, bringing his technical insight, and wished him well.

### **II. Minutes of previous meeting**

- Judge Carroll asked for any additions or corrections to the minutes of the previous meetings held on August 15, 2013 and September 20, 2013. There being no changes to the minutes, a motion was made by Mr. Pollard and seconded by Ms. Erika Tindill. The minutes were approved unanimously.
- Mr. Michael Lawlor, Governing Board Co-Chair, mentioned that during the September Governing Board Special Session, it was agreed to meet biweekly on Friday mornings. These CISS

Governance Committee meetings have been very useful and the next meeting is scheduled for tomorrow morning. Anyone interested in attending should contact Mr. Sean Thakkar's office in advance so appropriate arrangements can be made. If members cannot attend in person, they are welcome to dial in.

- Mr. Lawlor introduced Mr. Sean Thakkar, CJIS Executive Director.

### III. PowerPoint Presentation

- Mr. Thakkar reviewed the details of the agenda. [Slide 2] He then introduced Mr. Rick Hegwood, CJIS Durational Project Manager, for an update on CISS.
- Mr. Hegwood stated that he has been focusing on three things from the last Governing Board Meeting: Stakeholder Management, CJIS Security Policy, and the Project Plan, release strategy, and organization.
- Mr. Hegwood provided a status on the Project Plan. [Slide 3] He said that we need to obtain agreement and finalize Xerox's contract amendment to get them fully engaged again. There is a risk that the first Releases will not be met if the contract amendment is not finalized.
- Mr. Hegwood is also considering the support needs for the project when it goes into production, including stakeholder and CJIS resources. He is also planning the support requirements for the Information Exchanges.
- Mr. Hegwood reviewed the Implementation schedules. [Slides 4-6] Currently, Xerox is reviewing the Wave 1-Uniform Arrest Report (UAR) requirements. He thanked everyone who provided feedback.
- Mr. Hegwood provided an update on the CJIS Security Policy. [Slide 7] He plans to have a draft response to the FBI ready by the end of October. Since there is FBI data coming in from UAR, and the FBI is objecting to the lack of control the CSO has over CISS, he is working with Ms. Joan Hilliard on a management control resolution. Three options were discussed on slide 7.
- Mr. Hegwood and Ms. Hilliard agree that they should not respond to the FBI letter until there is agreement within the Board and the state on what the management and operations will look like within CISS, otherwise the FBI will continue to object.
- Mr. Hegwood said that the Management Control Document (MCD) works in unison with the Records Management System (RMS) Certification. Without an agreed upon MCD, the RMS Certification is meaningless. Regardless, the CISS team will be meeting with stakeholders in the next month to work on the RMS Certification document.
- Mr. Kane stated that it didn't seem like the end of month goal to reach an agreement with the FBI would be met, and Mr. Hegwood agreed.
- Mr. Hegwood went on to discuss stakeholder management. [Slide 8] He received a lot of feedback on how to better connect with stakeholders and get them more involved in the decision making process. In addition, he found that the terminology was often incorrectly used by CISS team members, which caused some confusion. Information sessions were held with the CISS team to address this. Mr. Hegwood is also planning a series of workshops to educate the community on CISS, including business and technical information sessions.
- Mr. Hegwood provided an overview of the outcomes of the first Governance Meeting. [Slides 9-10] Mr. Hegwood completed a draft version of the Project Plan, which is in agreement with Xerox. The amended Attachment 3 should not have been slated for completion on October 15, 2013, rather a draft agreement is being prepared and will need to be reviewed with stakeholders.
- Mr. Joe Verrengia asked about the options presented in slide seven regarding the CJIS Security Policy. He wanted to know if these were the only options being considered and is there a document that is being used to weigh the pros and cons of each option to make the best decision. Mr.

Hegwood stated that these were only a few of the options provided and that he currently did not have a document in place but thought that it could be created.

- Mr. Hegwood disclosed that the FBI is uncomfortable with CJIS not being a criminal justice agency and with the control of the dissemination of data in CISS. This needs to be addressed through the MCD. Mr. Hegwood said that there are gaps within the document the FBI received about what we are actually doing and there was also no clear security structure described. He is going through the document. Ms. Hilliard reiterated that management control is embedded in the security policy.
- Mr. Raymond wanted to know if all three items are being considered and how much of the Governing Board's involvement is necessary. Mr. Hegwood said that CJIS is looking to the Governing Board for a lot of their involvement and their guidance.
- Chief Richard Mulhall said that it seems like there is no progress being made on this issue. He stated that option 3 didn't seem viable as COLLECT is an old system and may need to be rebuilt to encompass the environment that CISS runs on. He also suggested moving forward with law enforcement approved agencies, which make up about seventy percent, with an agreement between DESPP and CJIS giving the CSO the control to oversee the security and management control aspects. Similar to the agreement between DAS-BEST and the AFIS system by adopting the same rules and same processes. The last thirty percent, the non law enforcement agencies, can be dealt with in a smaller scale with the FBI later on. Chief Mulhall also enforced that the both FBI and state rules and statutes can't be violated.
- Ms. Hilliard clarified discussions surrounding DAS-BEST housing COLLECT and AFIS. The FBI oversees these systems through their WAN, and she has access and control of these systems' transactions through her network. In the MCD, the CSO has the ability to look over selections, terminate people who misuse the system, as well as have the ability to determine new devices that can be added on. Mr. Raymond explained that DAS-BEST acts as a service provider and doesn't grant authorization to anyone for anything. Ms. Hilliard has control over what occurs within the environment. He agreed it would be good to have DESPP take on this responsibility for that function within CISS.
- Chief Mulhall added that they don't want to change the existing rules. Any requests to grant privileges to an agency would go through the FBI for their approved on an as needed basis.
- Mr. Raymond agreed that limiting the access to just LEAs allows the Governing Board more time to work with the FBI. Chief Mulhall and Mr. Lawlor agreed that this would help to move the project along.
- Commissioner Reuben Bradford mentioned that if we moved forward with this direction, there would need to be resources allocated to assist Ms. Hilliard and Mr. Darryl Hayes. Chief Mulhall and Mr. Kane agreed that more resources are needed. Mr. Kane added that those agencies moving from paper-base would most likely need additional resources as well. Mr. Lawlor reminded the Board that that the reason for creating CISS is to provide information in a timely fashion and to also save money, and that they may need to expand resources in one area to save money in another.
- Mr. Robert Kaelin asked for clarification on what was meant by Law Enforcement Agencies, to which Chief Mulhall replied that it is any agency certified by DESPP.
- Mr. Brian Carlow said that a lot of the information brought forth today does not concern Courthouse operations. He is most concerned with time sensitive information, specifically Probable Cause documents. Mr. Carlow mentioned that DPDS is in the process of creating its own case management system. He thinks that the best place to get information electronically is going to be through CISS. If not timely, he is concerned that this process will take an already inefficient system and make it worse. With Probable Cause documents, the judicial system does not allowed access until the offender is deemed to be a client of the court. If the transfer of documents can be done quickly, it would be beneficial.

- Ms. Evelyn Godbout pointed out that all of the devices that would tie into CISS would need to be certified in order to comply with the MCD.
- Ms. Hilliard asked Chief Mulhall if he thinks the control of CISS in the beginning should be moved under COLLECT. Chief Mulhall said that management and control of the users accepted into the system need to be managed by Ms. Hilliard as she does with COLLECT.
- Mr. Lawlor restated that only people who currently have access to COLLECT would be able to use the system.
- Ms. Hilliard said CISS is just another system that would be managed by COLLECT and would tie into it, like PRAWN or DMV. Ms. Hilliard said that she views COLLECT like a network, and said that it is not impossible to have other agencies added that are not criminal justice agencies because of federal guidelines, for example, DCF. She also stated that they are in the process of rewriting COLLECT and the information will become more extensive and more intuitive.
- Chief Mulhall replied that COLLECT looks at information from the NCIC databases and what's on the COLLECT system whereas CISS would obtain information from the local RMS and will contain only Connecticut arrest information. Since COLLECT access is limited to only authorized users, there would be separate pipelines for CISS and COLLECT. Users would still need to log into COLLECT separately and there will continue to be no Internet service on the devices used to access COLLECT. Ms. Evelyn Godbout commented that all devices accessing COLLECT would need to be certified.
- Mr. Carlow asked if there needs to be approval for each piece of information obtained from the CISS pipeline through the CSO as there is with COLLECT. Mr. Lawlor said that there are business rules to decide who gets to see what. Ms. Hilliard said that she would give them access to the system to see what documents they need to see.
- Mr. Verrengia agreed it would be a good start to move the project forward with the seventy percent of the stakeholders and asked if the Board has reached consensus and put it to a vote. Mr. Lawlor explained the vote should be tabled until the option was fully vetted and any technical issues and contractual issues with the vendor were resolved. Mr. Raymond, in an effort to move the project ahead, made a motion to adjust the current policy to give management control to DESPP's COLLECT unit assuming it fits within the scope of the CISS team.
- Ms. Tindill asked if we have a clear assessment about what has to happen, and if there is a guarantee, to put certain steps in place so we don't keep revisiting this issue. Mr. Lawlor said it is up to the vendors, Mr. Hegwood, Mr. Thakkar and his team to figure out if this is going to work technically and if there are serious issues. He didn't think that it would take that long to vet it out.
- Mr. Kane said that it sounded as if the October 30<sup>th</sup> deadline would not be met. Mr. Hegwood agreed. Mr. Raymond made a motion to assign management of security for CISS to DESPP and COLLECT. Ms. Hilliard said that the CSO has to have full management control as outlined in the FBI Security Policy. Judge Carroll remarked that it brings some ambiguity to the decision. He wanted to know what "full management control" means - hiring and firing, disciplining personnel. Ms. Hilliard said that it's all outlined in the policy and that she would bring the MCD document to tomorrow's Governance Committee meeting to discuss it in detail.
- There was some confusion as to which option was being discussed. Option 2 is what they are trying to obtain agreement on in terms of security.
- Ms. Tindill asked if there were to be a disagreement between the CISS team and Ms. Hilliard, if DESPP would have the overriding decision. Ms. Hilliard wanted everyone to look at the document tomorrow. Ms. Tindill wanted to read the document and asked to have it emailed to the Board before the meeting on Friday.

- Mr. Raymond stated that since the motion dies since it wasn't seconded. Mr. Lawlor stated that the motion on the table is to vet out the idea, to allow them to explore the pro and cons of the policy over the next few weeks. Mr. Kane agreed.
- Mr. Thakkar then reviewed the details of the Success Metrics. [Slides 11-14]
- Mr. Thakkar then introduced Mr. Kaelin of MTG to provide an update on the IV&V results. [Slides 15-18] Mr. Kaelin remarked that two areas of risks increased (Contractor Performance and Technology) and two areas improved (User Involvement and Project Management) thereby the overall risk went up slightly from 68% to 69%. There is a lot of activity on the project over the last month and a half and this report is reflective of July, August and September. He said that the risks will fluctuate throughout the lifetime of the project.
- A key issue that Mr. Kaelin presented was that Xerox suspended their resources until the state approved the plans. Mr. David Wright of Xerox clarified that contractually they cannot suspend its operations, but rather significantly reduced their resource level to work through the contract issues.
- Mr. Kaelin suggested that the CISS team needs to increase their depth of technical knowledge as well as to figure out the support needs of the project once it goes into production. The technical complexity that exists now this makes the Technology segment a medium risk and will need to be watched. Matched skill sets and transitioning will need to be considered when we move from a development roll to a support roll.
- Mr. Kaelin also commented that the leadership is not yet established, but that Mr. Hegwood is working on that in terms of community involvement and committee structure changes.
- Mr. Hegwood added that interaction with the IV&V needs to improve and will be working with Mr. Kaelin on a monthly basis.
- Judge Carroll asked if there is any other business to discuss.
- Ms. Currey suggested meeting sooner than January 16<sup>th</sup>.
- Mr. Lawlor and Judge Carroll agreed to hold another Special Session targeting the first week in December. An announcement will be sent once the date has been firm.

#### **IV. Conclusion**

There being no further business, the meeting adjourned at 3:11 with a motion from Mr. Kane and seconded by Ms. Tindill.