Criminal Justice Information System
Governing Board
State of Connecticut
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CJIS Governing Board Meeting — April 18, 2013, 1:30 p.m.
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, Deputy Chief Court Administrator, Judicial*; Garvin Ambrose, *Victim Advocate, Office of Victim Advocate*; Reuben Bradford, *Commissioner, Department of Emergency Services and Public Protection*; Brian Carlow, *Designee, Division of Public Defender Services*; Cheryl Cepelak, *Designee, Department of Corrections*; 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*; and Mark Raymond, *CIO, Bureau of Enterprise Systems and Technology, and Designee, Department of Administrative Services*; George White, *Designee, Department of Motor Vehicles.*

Other attendees
Matthew Abraham (DPDS), Brian Bradway (DOC), Bob Cosgrove (DOC), Frank DiMatteo (DPDS), Chris Duryea (JUD), Evelyn Godbout (DCJ), Darryl Hayes (DESPP), Joan Hilliard (DESPP), James Lobb (CSSD), Lt. Michael Morgan (Newington PD), Captain Mark Panaccione (DESPP), Cesar Portillo (DPDS), Nancy Roberts (DPDS), Jason Rosa (DESPP), John Russotto, Deputy Chief State's Attorney; Terry Schnure, Steven Spellman (DESPP), Thomas Sutkowski (JUD), and Terry Walker (JUD).

CJIS staff and contractors
Jeanine Allin, Phil Conen (Xerox), John Cook, Bob Kaelin (MTG), Rob Kribs (Xerox), Richard Ladendecker, Lucy Landry, Nance McCauley, Margaret Painter, Eduardo Sobrino, Eric Stinson, Mark Tezaris, Sean Thakkar, Elizabeth Ugolik, and Steven Wallick.

I. Welcome and Introduction

Judge Patrick Carroll, Governing Board Co-Chair, brought the meeting to order at 1:35 and welcomed everyone. In his opening remarks, Judge Carroll introduced two new members of the Governing Board, recently-appointed Victim Advocate Garvin Ambrose, and Interim Commissioner, Department of Correction, James Dzurenda (who was not present).

II. Minutes of previous meeting

Judge Carroll asked for any additions or corrections to the minutes of the previous meeting, January 17, 2013. There being no changes to the minutes, a motion was made and seconded for approval. The minutes were approved unanimously.

III. PowerPoint Presentation

- Mr. Lawlor introduced Sean Thakkar, CJIS Executive Director. Mr. Thakkar gave an overview of the agenda, and introduced the first speaker, Bob Kaelin of MTG Consulting to explain the Independent Verification and Validation results for the past quarter. (Slides 3-8)

Independent Verification and Validation (IV&V)

- Mr. Kaelin referred to Slide 4 — a chart showing an overview of risk to the CISS project as measured by 12 indices — and noted that risk for several different areas had decreased due to improved processes (scope, project management, project planning).
- Mr. Kaelin noted that he no longer had "visibility" to review the budget and was not able to analyze it in time for this meeting, but have just received authorization to review it.
- Despite "great improvement" in various areas, overall CISS is still a medium- to high-risk project. Mr. Kaelin noted that the CISS project is still at a "critical juncture" and that implementation should speed up if CISS is to meet ROI expectations.
- Mark Raymond asked what the red flag on the chart was attributed to and Mr. Kaelin explained it was due to the fact that they had not been able to review the budget figures.
- Mr. Thakkar then explained 1) that the bond (for CISS operational funding) had not been authorized until just recently; 2) Core-CT (the state's integrated payroll and financial system) recently went through some changes and updates.
- In reply to Mr. Lawlor, Mr. Kaelin said he will be "satisfied" when he has access to the budget within the week. Mark Tezaris said he would have the information the week of April 22.
- Judge Carroll requested that he and Mr. Lawlor be informed by email when Mark Tezaris forwards the budget information to Mr. Kaelin. He also requested that Mr. Kaelin inform them if he is not satisfied with the information he receives.
- Michael Pollard asked about tools to measure those savings. Mr. Kaelin reviewed the benefits of CISS to criminal justice agencies from a high -level perspective. CISS is expected to save agencies approximately $59 million over five years.
- Mr. Kaelin noted that the original RFP took a year longer than planned and an extra six months to get staff hired; that's why the graph on slide 7 is off by about 18 months.
- The savings calculations are derived from two major areas: 1) access; time spent to *find* information (that you need to do your job) and 2) the time it takes to *move* that information. In other words, savings are derived from performing tasks electronically instead of manually (e.g., delivering reports from law enforcement to courts in person).
- Mr. Pollard asked about tools used for cost/benefit methodology.
- Mr. Raymond asked about "soft" benefits versus tangible benefits — there is no way to measure or quantify the qualitative results. Mr. Kaelin agreed that there is no way to measure intangible value, such as the benefit of better information, so that the overall impact of CISS is going to be far greater than what can be measured in dollars.
- Kevin Kane commented on the process of officers transporting reports to DCJ (the courts); that often there are many documents, not just one report. Attorney Kane wanted to know if that was factored into the calculations. Answer: Yes.
- Mr. Raymond asked if we are accounting for the cost of agencies to consume that information; to build the interface. Mr. Kaelin said that there were funds allocated to help agencies interface with CISS. But if an agency does not have a system to interface to, it will be up to that agency to acquire it. The CISS budget did not account for anything beyond the interface. CISS did not, for instance, account for DCJ to acquire a case management system.

- The Division of Public Defender Services (DPDS) does not have a case management system. But CISS is in the process of creating a SharePoint site through which DPDS will access CISS, and that will act as a temporary work-around.
- Brian Carlow (DPDS) said they are working with CJIS to figure out how to manage information until they acquire an automated case management system.
- Mr. Pollard asked Mr. Kaelin for his suggestion regarding what the board should do about a refresh for this analysis (given that this was created in 2010). Mr. Kaelin noted that there are some metrics on the CISS dashboard that would be helpful, but inferred that it would be costly to perform a completely new analysis.
- Mr. Pollard stated that the Board should not be assessing the project on a dated baseline. Clearly it's going to be dated at some point, so the question is, At what point do you look at those metrics again?
- Mr. Kaelin said that the exchanges are pretty standard — figures are based on 25 of 500 exchanges — these won't change dramatically, meaning that the baseline indices should remain fairly stable.
- Chief Mulhall added that the Newington Police Department statistics are relatively stable. He said they calculated an average of about 200 hours per year for transport of reports from their department to DCJ. They also calculated clerical time; time to prepare transmittals. Chief said that the number of arrests are about the same; that the hard numbers are very consistent. Chief Mulhall and Mr. Pollard agreed that it needs to be looked at, but maybe not until after 2015.
- Mr. Kaelin summed up by saying that the most important thing is doing the work to move the project through the next few waves. He stressed the importance of interagency collaboration. For instance, How do we depict LE information so it's easily consumable and valuable to DCJ?
- Judge Carroll expressed concern about the repeated mention of CISS being at a "critical juncture" and asked Mr. Kaelin if it was within his charge to identify impediments and suggest solutions. Mr. Kaelin said that he can share ideas on how to mitigate; MTG has put together a report and every issue has a suggested mitigation strategy.

CISS Project Overview

- Mr. Kaelin introduced Mark Tezaris, CJIS Program Manager.
- Mr. Tezaris began with an overview of the CISS project plan. (Slides 9-13) He pointed out that the project work is "frontloaded." Staffing up, building infrastructure, setup and training for software was all built into the first waves of the project and produced relatively little "product." From this point forward, CISS production will begin to pick up speed.
- Mr. Tezaris reviewed the project plan, which includes: running three waves concurrently, finishing the infrastructure, getting the first Information Exchange (Uniform Arrest Report, UAR) configured for CISS, getting RMS vendors certified, and collaborating with DESPP and Judicial to iron out search source system issues.
- The tactical plans for getting all this work accomplished will involve setting up staff teams each specializing in discrete parts of the process: requirements gathering, "advance" work, source systems, Information Exchanges, and technical infrastructure.
- Mr. Tezaris identified what he called a "key risk" — the reluctance of some stakeholders to share information, which is causing delays, changes in scope, etc.
- When the RFP was drawn up, everyone agreed in writing to share certain information, but now that the project is coming to fruition, there is fear of the unknown and a concern about impact. We are working with each agency to resolve those valid concerns. We are working with each agency to establish that trust relationship and find a win-win solution.

- In reply to Judge Carroll's question about progress, Mr. Tezaris said that they have been working with DESPP for several weeks and expects that issues will be resolved within the next two weeks.
- Judge Carroll asked how long this was taking, how often do you expect that you'll run into this problem, and do you have a current projection on how much of a delay this will cause?
- Mr. Tezaris said these kinds of issues vary from agency to agency. But insofar as DESPP, there are valid concerns that need to be addressed and they are collaborating with us on the "how" part of the process.
- Mr. Lawlor asked Mr. Kaelin as the outside overseer if he concurred with the picture Mr. Tezaris described.
- Mr. Kaelin said he concurred. Though all agencies agreed on the basic RFP design, now after two years, when we came back to the stakeholders, I think things look different as we get deep into details. For instance, with the UAR information exchange, we are finding numerous issues that require negotiation.
- Attorney Kane posed a couple of related questions about 1) the overlapping and/or conflicting concerns of various issues — could they be dealt with together, rather than individually, and 2) how is information communicated at various levels within agencies?
- Mr. Tezaris said the team communicates both through established channels — the monthly CISS status meetings and newsletters — as well as through meetings, for technical and/or business representatives and meetings that are agency-focused and subject-focused (e.g., RMS).
- Mr. Pollard referred to the risk of some agency's reluctance to share data — is it a problem of design or what exactly?
    - Mr. Tezaris said there are several factors, but the primary factor is the fact that those who designed the original requirements and those who are now making decisions to implement those requirements are usually different people. The current decision makers seem to need additional time to understand the impact of sharing their system data with CISS. They also seem to be concerned with the net impact that sharing information with CISS will have on the current and future resources of their agency.
- Mr. Tezaris reviewed two slides of success metrics, which reflect use of funds and meeting targets and requirements. All indicators are green. The information can be accessed at any time via http://doit-wscjisy3vx/cissmetrics/DashBoard/Rollup.aspx
- Mr. Tezaris introduced Senior Project Manager Lucy Landry who reviewed the target milestones for the next three waves, through October 2013.
    - Wave 0, Version 1.5 involves finishing infrastructure
    - Search Release 1, adding additional source systems for search, is targeted to go into production in October
    - Wave 1 — UAR Information Exchanges — involves the initial workflow in the sequence of criminal justice events, the arrest. The project schedule will be complete in May and RMS certification packages will be ready in July.
- Ms. Landry introduced Nance McCauley, CJIS Business Manager. Ms. McCauley reviewed the business team's activities for the last quarter. (Slides 15-17).
- A large share of the team's time was spent reviewing and understanding DESPP's business processes and its databases that will feed into CISS. Ms. McCauley thanked the Commissioner, Captain Mark Panaccione, and other staff members for their assistance.

- The business team also observed the Board of Pardons and Paroles at work, and looked at its Case Management System, and Ms. McCauley acknowledged Chair Erika Tindill and her staff members for their support.
- Ms. McCauley explained the CISS workflows and ranked Agency Source Systems for CISS Search (slides 16-17).
- Ms. McCauley introduced Rick Ladendecker, CJIS Technology Architect, who gave an overview of technology management. (Slides18-22)
- Mr. Ladendecker said that the project has been focused on building the environments for development, testing, and storage. Mr. Ladendecker thanked BEST for its assistance and support.
- CJIS is adding to the technical staff to support system infrastructure and other needs.
- The first agency SharePoint site, and portal for CISS, is close to being finished for DPDS. The team will then work with other agencies to create their sites through which to access CISS.
- Mr. Ladendecker recognized Rob Kribs and Phil Conen of Xerox for their excellent work.
- Mr. Ladendecker then gave an overview of the Records Management System (RMS) certification process, explaining the need to certify each of the RMS vendors that work with the many LEAs, before CISS can interface with them. He recognized CISS Applications Development Manager Eduardo Sobrino for his help.
- Mr. Ladendecker then introduced Senior Project Manager Eric Stinson, who discussed the team evaluation process after Wave 0, Version 1. (Slide 23)
- The "lessons learned" sessions yielded feedback and results that were compiled in a 20-page document. All of the findings fall into four broad areas — timing, end-user input, environments, and process.
- Mr. Stinson described how the team is addressing areas where we need improvement. Of particular interest to stakeholders is the detailed project schedule that was completed and will be updated on a regular basis. He sent the schedule — highlighting those points at which we need to involve stakeholders — to stakeholders last week (the week of April 8).
- Mr. Stinson then introduced Phil Conen, Xerox Program Manager for CISS.

IV. Xerox Demonstration

- Phil Conen began by discussing "basics." He described the two sets of CISS stakeholders— owners and stewards of information and the people who need to use that information — and their symbiotic relationship.
- "You are all encouraged to consider the greater community good when you are asked to share information."
- He reviewed each of what he called 10 "guiding principles" emphasizing the agreements made in the original RFP, ending with "we are all on one team, with one set of goals." (Slides 25-26)
- Speaking to the stakeholders present, Mr. Conen said that the CISS team will work with you to find the best approach. It is critical that CISS partners see the search process and the index process we're using.
- Everyone that owns data needs to be interviewed and involved in understanding the security rules and claims for the data, and business rules that are not necessarily related with security. To do that, when we get close to releasing information, you need to be involved in that process of testing, so that you know that the rules you gave are being implemented correctly.
- John Russotto, Deputy Chief State's Attorney said stakeholders don't necessarily know when to get involved. Mr. Conen said that respective agencies will be notified, but also encouraged

them to remain active, attend meetings, read the newsletter, etc. There are also flags for stakeholder involvement in the CISS Project Schedule.

- Mr. Conen began the CISS demonstration. This was a side-by-side security demonstration, showing the different results returned depending upon the security level of the particular individual requesting information. Mr. Conen had the lowest-level, "Public" claim, while Jeanine Allin, CJIS Public Safety Liaison and retired police sergeant (and still a Sworn Law Enforcement Officer) has a "SLEO" claim.
- The results being returned clearly illustrated the effect of different security claims — he could see fewer results and less detail. She, as a SLEO, could see much more.
- Several different examples were illustrated, each illustrating the varying levels of information delivered depending upon the security level of the user. In one search, 3.3 million results were returned on Phil's side, and 3.4 were returned for Jeanine.
- It is a "Google-like" search where users will be able to refine their search as they go along. On the advanced search screen, users can put in any piece of information they know, independent of any others, to search. Currently the system is using only OBTS data, roughly 140 million records
- Mr. Lawlor raised the issue of restrictions on CJIS staff for using CISS. CJIS staff will not be able to view any information they want. Staff will be subject to the same types of claims as any other CISS user. There will be a very few people, such as database administrators, who will have full access. CISS will have auditing capabilities built in, but special auditing is envisioned for those with complete full-time access to safeguard against inappropriate use of the system.

Comments from Jeanine Allin, CJIS Public Safety Liaison

- Ms. Allin began her comments by discussing the importance of CISS to the local law enforcement community. She recently retired from the Newington force and, since joining CJIS, has spent a lot of time going to local departments to facilitate the RMS interface with CISS. She has received great encouragement from police.
- She has a personal reason for her support of CISS —her friend and fellow police officer, Peter J. Lavery was killed in the line of duty on December 30, 2004. (Slides 27-31)
- Master Police Officer Lavery of the Newington Police Department responded to a domestic incident at 10:20 p.m. It was a third-party call, without a lot of information. Officer Lavery — going on the sparse information that he had, along with the victim's word that there were no weapons in the house — entered the house and was shot with a modified assault rifle.
- The assailant was a convicted felon with a history of domestic incidents and weapons possession and was on probation. If Officer Lavery had this information available to him, he would have made different decisions, and he would likely be alive.
- Officer Lavery was a 22-year veteran of the Berlin and Newington Police Departments. He was married with two college-age children.
- Pointing to a photograph of Peter Lavery on his police motorcycle, she said, "This is why CISS is important.... We have the opportunity to make a huge difference. We have the ability to bring comprehensive information to officers when they need it, fast."
- It was mentioned that in 2004, officers did not have access to probation information. They do have that access now, but it exists in a separate database.
- Chief Mulhall (Chief of the Newington PD in 2004 into the present) emphasized the importance of this kind of tool (CISS) to dispatchers, who are answering multiple calls. Obtaining information quickly and efficiently is crucial. With CISS, they will be able to get

more information to the cars quickly. Once officers are on scene, they can continue to collect information. The story Ms. Allin told is just one example of the kind that happens daily in law enforcement, Chief Mulhall said.

- "Sean and Mark can do a hundred hours of technical presentation, but this five minutes says more than any of it," Judge Carroll remarked.
- Kevin Kane concurred saying, "We have to make this work."
- Governing Board members expressed their appreciation to Ms. Allin for sharing this story.

V. Other Business

- Mr. Lawlor said that as the CJIS organization grows, there will be a need to make more personnel/HR decisions that require input from the Governing Board.
- Co-Chairs Carroll and Lawlor noted that because the CJIS Governing Board is housed in OPM for "APO" (administrative purposes only), HR matters may be investigated by OPM HR officials. It was further noted however that any decisions regarding HR disciplinary matters must be made by the Governing Board. Historically, the CJIS Governing Board has delegated such authority to the Co-Chairs of the Governing Board. It was requested that the Governing Board continue the practice of delegating such authority over personnel/HR matters to Co-Chairs so that such matters, when they arise, may be handled in a more efficient manner.
- There was a brief discussion. Mr. Pollard said he did not see any flaws or problems with the way it worked (in the past).
- Attorney Kane said he thought that this was the only way the process can work as long as the Governing Board is advised of any action to be taken by the Co-Chairs.
- Motion was made by Mr. Pollard; seconded by Attorney Kane to delegate the authority of the full Governing Board to make decisions concerning CJIS personnel/HR to the Board Co-Chairs.
- There being no further business, Judge Carroll adjourned the meeting at 3:35.
- The next meeting will be July 18, 2013 at 1:30 p.m.

Respectfully submitted,
Margaret M. Painter