



Criminal Justice Information System
Governing Board
State of Connecticut
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CJIS Governing Board Meeting
October 27, 2016, 1:30 pm

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

CJIS Governing Board Members and Designees in attendance:

Mike Lawlor, *Co-Chair, Under Secretary, Office of Policy and Management*; Mark Raymond, *CIO, Department of Administrative Services/Bureau of Enterprise Systems and Technology (Designee)*; Kevin Kane, *Esq., Chief State's Attorney, Office of the Chief State's Attorney*; Rich Sparaco, *Executive Director, Board of Pardons and Paroles (Designee)*; Cheryl Cepelak, *Deputy Commissioner, Department of Correction (Designee)*; Cindy Zuerblis, *Division Manager, Department of Motor Vehicles (Designee)*; Dora Schriro, *Commissioner, Department of Emergency Services and Public Protection*; Marc Montminy, *Chief, Connecticut Police Chiefs Association (Designee)*; and Brian Carlow, *Esq., Deputy Chief Public Defender, Division of Public Defender Services (Designee)*

Other attendees:

Brian Clonan (DESPP), Chris Duryea (JUD), Evelyn Godbout (DCJ), Darryl Hayes (DESPP), and Terry Walker (JUD)

CJIS staff and contractors:

Phil Conen (Xerox), Jim Harris (CJIS), Craig Holt (Qualis), Christopher Lovell (CJIS), Mark Morin (CJIS), Tanya Stauffer (Xerox) and Mark Tezaris (CJIS)

I. Welcome and Introduction

- Mr. Mike Lawlor brought the meeting to order at 1:38 PM and relayed Judge Carroll's apology for not being able to attend today's meeting. Since no announcements were necessary the meeting was turned over to Mr. Mark Raymond.

II. Minutes Approval

- Mr. Raymond called for a review of the minutes from the August 4, 2016, Governing Board meeting, after which a motion was presented to adopt. Chief Richard Mulhall moved to approve the minutes, and Mr. Richard Sparaco seconded the motion. The vote to approve was unanimous. Mr. Raymond then turned the floor over to Mr. Mark Morin for the CISS presentation.

III. CISS Update

- Mr. Morin opened the presentation with a discussion of the project schedule explaining that the 29.5 month timeline included only the building of the application and not the work effort needed for the Records Management System (RMS) vendors and Stakeholders to interface with CISS. The

successful interfacing, testing and delivering of the first two releases cost project time in order to ensure a quality product. Release 1 has had no issues, while Workflow - Release 2, Early Release Notification, has had one issue with the system rejecting an out-of-state arrest. This was fixed promptly.

- Mr. Morin continued to report that the deployment of the base of CISS search, Release 1, was off by 10 weeks from the original schedule. Electronic workflows were anticipated to be more difficult because of the paper system in the State courts. Release 2, the first workflow, was off by 30 weeks due to the combination of complex work efforts by the RMS vendors, Xerox and the CISS technology team. The quality of the work effort, though, is evident in that the release has been in production for approximately three months with only one issue.

IV. Project Deliverables

- Mr. Morin said that the project was entering its most demanding time for involved Stakeholders. Release 3 pertains to the Criminal Motor Vehicle System (CRMVS, the most complex search) and Protection Order Registry (POR). To meet the 29.5 month deadline, five weeks was allocated for User Acceptance Testing (UAT), which didn't take into consideration the timeline for Agency testing. Judicial has invested approximately eight people, some who've put in well over 100 hours on the project showing that the original allocation of time for project completion was off. Time now is being invested in the reevaluation of the presentation of Judicial's data so that Users clearly understand the information they've accessed according to their assigned claims. A deployment date has not yet been set for this release.
- The Department of Motor Vehicles (DMV), which is in the midst of the release of its own application, plays a major role in Release 6. Although the Agency is supporting the demand for CISS data, it will take additional time to receive some of this Agency's files.

V. Searchable Documents

- Attorney Kevin Kane interjected that it's critical for Stakeholders that documents coming in from the RMS systems to CISS be searchable and defined by name; therefore, this process needs to be built into the requirements.
 - Mr. Morin responded that 50 documents necessary for arraignment have been approved by Court Operations and have been predefined by CISS. Forms retain their same State names when they come into CISS. Some Police Departments (PDs) have created forms similar to State forms but are referred to by different names. These forms have been grouped together so that when they come in to the CISS system they fall into the same category as State forms and are stored within CISS. Regarding search ability, requirements have been put onto the RMS vendors so that documents are created in PDF format for those Agencies that consume this data. The scope of the project doesn't call for CISS to go into the document repository to search by fields. It can be searched, however, by the metadata as to what the document is and what case it's assigned to by docket number. Mr. Phil Conen added that from the Xerox perspective this process is all set.
 - Atty. Kane added that the issue of document search ability is coming into view for the Division of Criminal Justice (DCJ) Johnson cold case site. Mr. Raymond explained that since some documents aren't digital they can't be searched unless a technology is applied for character recognition. Currently, this is not in the CISS scope, and it would become an added accountability and cost to the RMS vendors

which hasn't been planned for. Currently, CISS does not have the software to translate image documents into searchable documents.

- Atty. Kane suggested escalating this issue to the Governance Committee since this will most likely affect police reports, Corrections, prosecutors and defense attorneys. Mr. Morin said that CISS technicians will look into this further. In Phase 1, 80% of the documents will be searchable. A deeper dive will be done on this for Phase 2. Chief Montminy added that the RMS systems produce the documents as scanned and are not searchable. Mr. Lawlor clarified that the task of making documents searchable isn't easily accomplished.
- Mr. Morin continued with the slide presentation stating that three PDs are sending in RMS data for Release 2. The DMV gets notifications for certain people (those with endorsements arrested for Driving Under the Influence (DUI) and Operating Under the Influence (OUI)) while the Board of Pardons and Paroles (BOPP) and Department of Correction (DOC) get notices for conditional discharge. The Department of Criminal Justice (DCJ) and Court Support Services Division (CSSD) get all notifications. Release 2 went live on August 22, 2016. Currently, CJIS Project Management is working on increasing the number of Accucom PDs that are reporting arrest data.
- During a meeting with Judicial next week the evaluation of changes for Release 3 will be discussed, and hopefully a deployment date will be determined at that time.
- Release 4 will provide an advantage to the court clerks in entering data.
- In Release 5, RMS data becomes searchable along with the ability to attach documents to a case within the search engine. This is running parallel to, and is dependent on Release 4.
- Release 6 is another search release.
- A set-back was experienced with Release 7, which started as a workflow release. Stakeholders wanted to access and search Centralized Infraction Bureau (CIB) documents but didn't want to store them in their systems. Therefore, the design has shifted to the ability to search and view CIB infractions within CISS.
- Release 8 provides for Post Arrest Information to be sent back to Stakeholders. Included will be dates, case set-up and documents that Agencies have submitted. The DOC will be able to receive an electronic Mittimus imported into their system, which will be a good start to resolving business issues within the Agency.
- Although Release 9 has some resource issues and challenges, most of the requirements have been done. Design for Weapons is complete. Recognition of both the FBI and the CT Wanted files has been established. The request to the FBI is going through its last review and will be sent out by the Department of Emergency Services and Public Protection (DESPP).

VI. Projections

- Looking at the plan going forward, Release 3 will be deployed soon. Seven releases are being worked on concurrently, and the demand for Stakeholder resources is high for Release 6. Design will begin for Release 7 in December, and the response from the FBI will be forthcoming after it's submission by DESPP.

VII. Schedule Mitigation

- Mr. Morin stated that in recognizing that schedule mitigation is necessary, communication with Stakeholders is ongoing to understand individual timelines. Demand for Stakeholder and CISS resources is high resulting in the need for a closer working partnership. A meeting with DOC and BOPP took place to understand their new Offender Management Information System (OMIS) system schedule and how this can be intertwined with the CISS schedule.
- Review of the work schedule includes working with blackout periods when Judicial has many statute changes taking place and also, the holidays from December 15th to the first week in January when people are most likely unavailable.
- CJIS is also looking at how to be creative with releases to ensure the delivery of fully developed and designed processes, i.e., combining the two Workflow Releases, 4 and 8.
- A new strategy is being developed to minimize testing time by combining test teams and also test cases. Simulators are being built to fully test submissions as a shortcut when RMS vendors aren't ready but while still retaining a high level of accuracy. In User Acceptance Testing (UAT) when Judicial testers came in they found that certain data presentations could be confusing to users from other Agencies. Therefore, Stakeholders will be brought in much earlier during Systems Testing.

VIII. RMS

- CT: Chief is completed. Accucom is on board, and TriTech talks are underway. New World, which has three State of Connecticut PDs, will do data exchanges but not document management. Conversations with SunGard will be held this coming week, and Mr. Brian Clonan is working with NexGen, the largest and, therefore, the most valuable vendor.

IX. Project Risks

- Mr. Morin reported that CJIS is monitoring how budget cuts are affecting resources. The response to the FBI request will determine when work begins on that particular part of Release 9. Gaps in the schedule will continue to allow for appropriate Stakeholder testing time. Demand on Stakeholders is very high. The DMV has opted to provide their new Vehicles file that's still being implemented at their Agency for Release 6, which will make it difficult to meet the schedule. The vendor for the Sex Offender Registry for Release 9 is unresponsive.
- Resource constraints involve DESPP and CJIS working together in order to bring someone on board. Also, Microsoft is no longer offering mainstream tech support for SharePoint, Version 2010. Costly support is offered until 2020. Upgrade to the current version is being researched by CJIS with Xerox and Microsoft. Conversion time from the 2010 version to the 2016 version is an unknown at this point.

X. CT: Chief Update

- Mr. Morin recounted that three PDs are live with no production calls coming into CJIS. Enfield PD is ready to be moved into the centralized environment once the MOU (for the lead PD) and the contract (to onboard additional PDs) are complete. CJIS is starting to work with New Britain PD with network connectivity testing followed by a plan to migrate their data. Four PDs will be onboarded this year with six or seven PDs onboarding for the following year. State resources and set-up costs are being tracked as Enfield and New Britain are brought on board.

XI. CISS Project Schedule

- Mr. Raymond remarked that in a project with a long duration such as CISS it is common for organizations to feel project fatigue. He asked for the continued support of Governing Board Members who have staff that are working on the CISS project. He asked Members to emphasize to their staff the importance of the project to retain its business priority and the need for continued progress.
- Mr. Tezaris thanked the Board for their support and opened his presentation with insight into the project schedule. In the Xerox contract, which runs for 29.5 months, Xerox coding needs to be completed. CJIS efforts have been running parallel during this time. With a 3-month extension (at no cost) Xerox coding will be completed. However, the expectation for Stakeholders to meet this schedule has been unrealistic since their work on the CISS project is in addition to their full time positions. Therefore, the project managers will be reaching out to the Stakeholders, along with the RMS vendors, for feedback on a granular level for what is needed for their individual Agencies to continue advancement on the project. From these meetings, CJIS project managers will be coming back with a more realistic view of the timelines that are representative of the status within each Agency and with each vendor. This new information will be implemented in the scope for Phase 2, while the completion of the Xerox contract will constitute the end of Phase 1. Any gaps will be addressed in scheduled releases or by the Change Control Board.

XII. CISS Deployment Guiding Principles

- The art form of this project is to work very closely with the Stakeholders to understand their individual needs and circumstances. From Stakeholders CJIS has learned that the turnkey solution to the project is to be able to supply a complete workflow from end-to-end so that Agencies don't have to do double work by maintaining their existing systems along with the new incoming CISS workflows. A continual connection and flow of information must come from the Agencies to keep the plan realistic. The Stakeholders drive the effort for success in CISS.
- The original scope was developed in 2009 and 2010. Since conditions within Agencies have changed, parts of the original scope are becoming obsolete and must continually be reevaluated to produce a quality product. For example, in Release 7 - CIB Search, it's been found that the document along with DMV Infractions is valuable. Therefore, the team is combining and moving facets of the release to bring in this additional value.
- A key lesson learned from Connecticut Impaired Driver Records Information System (CIDRIS) is that if all the arrest information is not available CISS cannot replace any workflows designed for that product. Some RMS vendors agreed to provide arrest information while some with only a few PDs in CT are not interested. Some PDs have no RMS systems and are using Excel or some other type of "homegrown" system. The effort by the project managers is to reach out to all of the vendors and PDs to map out exactly what the population is that will need individual attention due to unique circumstances to bring all the arrest information into CISS.
- The original MTG Management Consultants, LLC documents contained tangible and intangible benefits of the proposed CISS project. The tangible benefits provide for reduced data entry with less opportunity for errors and less processing time. This will also entail reduced costs in the manual exchange of documents and reduced time in manually seeking

information resulting in a \$15.5 million savings annually from information exchanges. The CJIS team is committed to this goal.

- Mr. Tezaris noted that the intangible benefits of the CISS project includes bringing all the Connecticut criminal justice information together in a Google-like search to improve officer and public safety. Another benefit is that the data that comes through the system will produce the metrics tracking of what works and doesn't work. This has the potential to influence decision making for criminal justice policies.
- The Governance Committee Update slide refers to an item that was escalated from CJIS project management through the Acting Director to the Governance Committee. This item is clarification on intended use of the Wanted file from the FBI. The request for clarification document has been approved by CJIS and DESPP, with DESPP being asked to send it to the FBI.

XIII. Budget Summary

- Mr. Tezaris opened the budget summary report stating that CJIS as a whole (CISS, CIDRIS, OBTS and Racial Profiling) has spent \$7,870,943.43 in FY 2016. For CISS specifically the cost has been approximately \$6.5 million.
- When Commissioner Dora Schriro asked for operating expenses for FY16, Mr. Tezaris explained that the format from State Fiscal is not broken out by Operations or Development but by fund. Mr. Tezaris offered to bring out the requested information in a subsequent report and make it available to the Board after review by Mr. Raymond. Commissioner Schriro said that operational costs are critical and will show what the reoccurring costs of the project are.

XIV. Phase 1

- Mr. Tezaris continued with an explanation of slide #18, which is a record of what's been spent for Phase 1 and the available funds for Phase 2. Bond Fund dollars provided from FY 2011 to, and including 2016, equal approximately \$51 million. The expenses against that total from FY 2012 to September 2016, equal approximately \$33 million. Phase 1 is estimated to go to December 31, 2017. The estimated cost including software, hardware, licenses and labor, etc., is approximately \$13 million. The Xerox contract calls for approximately \$9 million. Added to that is a 10 percent contingency for a high risk project such as this. Total future expected costs equal approximately \$23 million, and when added to existing expenditures equals approximately \$56 million. This produces an anticipated deficit of approximately \$5 million. An approved request for an additional \$10 million for FY 2018, when triggered through the Bond Fund Commission, DESPP and OPM, will enable the completion of Phase 1 and the beginning of Phase 2.
- There are two key circumstances when looking for an explanation for the aforementioned shortage. In the original budget put together by MTG before the Request for Proposal (RFP) went out it was assumed that the State would hire 18 positions, and the funding for those positions would come from Inmate Phone Revenue. When funding did not come from this source, consultants were hired. That cost, approximately \$10 million, went against the Bond Fund. The contract amendment with Xerox for incremental costs was approximately \$4 million. Two of the \$4 million was used to transfer the accountability of requirements gathering from CJIS to Xerox. These two situations, resulting in a cost of \$14 million, went against the Bond Fund. Mr. Raymond interjected that the money allocated for State staff is no longer available, went back to the General Fund and has been used for purposes other than CJIS.

- Mr. Tezaris continued that \$30 million of the \$55 million is an uncontrollable amount because of the cost of the Xerox contract of \$25 million. The original MTG budget called for \$35 million with State employees. Since \$25 million of that went towards the Xerox contract not much was left for other items. Any questions regarding the financial portion of the presentation can be addressed directly to Mr. Tezaris. Mr. Raymond will submit his questions offline.

XV. Qualis Health Check Report

- Mr. Craig Holt introduced the Health Check Report as a discussion on how everyone feels regarding the numbers presented. The project is still pulling 100 percent of surveys, which is remarkable. There is a growing candor among the respondents, and this information is being used by the PMO to make changes going forward.
- Referring to slide #20 - Progress and Frustration - Mr. Holt reported that there continues to be engagement by all parties, and staying engaged is the key to success. A key comment from Stakeholders, however, is that the workflows with all the data cannot be completed within the current timeline. Since this is a very complex Agency-interdependent project, ideas like Attorney Kane's need to be raised to the Governance Committee level because they are beyond the capability of the CJIS Agency to resolve alone. Stakeholder line people need the encouragement of superiors to maintain the project's priority status and prevent project fatigue.
- Mr. Raymond questioned the aggregate scores that were expected to go down. Mr. Holt said that was the expectation, but there is still very good engagement. There is a theme, though, that Agencies want to see decisions being made for ongoing operational support. UAT should not be sacrificed for the sake of financials. If the burn rate is too high scope or something else should be adjusted. Board issues include the length of time taken to address the decision on FBI data. Mr. Raymond has done a good job but has other responsibilities not tied to this project. A need for an Executive Director to seize complex issues like that brought out by Attorney Kane is necessary because these issues will become more prevalent as the project progresses. Improvements in the testing process and listening to Stakeholders are good things at this point so that value is not jeopardized.
- The Average Category Rating for All Agencies on slide #21 mirrors key points. There are 55 questions derived from the surveys in 12 categories and interviews as well. The perception of Agencies is that the amount of work left is greater than time allows. This is reflected in the Contractor Performance category score going down.
- Project Management and User Involvement scores decreased this quarter. Since there hasn't been a benchmark for the length of time for CJIS and Agency testing, the PMO is looking to adopt a new approach that is not only schedule driven but addresses continued information coming from Stakeholders.
- Project Management scores decreased but remains one of the higher rated categories and is perceived as an asset by Agencies. This is an important aspect of the project in the continuation of strong working partnerships. Operational support remains an issue, but apathy isn't taking place. The biggest Agency concern is around testing.
- Mr. Holt presented Risk #4 as the repetitive issue of the absence of an Executive Director. Risk #5 is the lack of a plan to operationally support CISS. Risk #10 deals with the speed of CJIS and Xerox defect resolution affecting the project timeline. The issue of State budget cuts was discussed

in Risk #11, with reductions of Agency resources to work on the CISS project. There's going to be tension in relation to State budget cuts versus demands of the project.

- Commissioner Schriro interjected that budget cuts may not be finished, and Attorney Kane posed discussing options now, as in possibly reducing scope. Mr. Raymond added that considerations of options are already part of discussions regarding the schedule and will continue as there is more visibility into the time and costs associated with the remaining activities and what people think is doable.
- Mr. Holt added that Release 4 will have a large impact on the project in that it is a heavy lift for the team because of the workflows. The Governance Committee should be involved in the discussions regarding options now and as the project goes forward. Since data shows that there is still a strong belief in the project, strong leadership should continue. Stakeholder interviews will be held in December, and the Health Check presentation to the Governing Board will take place in January. Thanks to the Agency folks for the surveys and interviews that feed the project report.

XVI. Adjournment

- With no other business Mr. Raymond noted that the correct date of the next Governing Board Meeting is Thursday, January 26th, 2017. He asked for a motion to adjourn. Chief Marc Montminy moved to adjourn and Mr. Richard Sparaco seconded the motion. The meeting was adjourned at 3:03 PM.