



Criminal Justice Information System

Governing Board

State of Connecticut

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CJIS Governing Board Meeting – Special Session

April 17, 2014, 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*; Hakima Bey-Coon, *Designee, Office of the Victim Advocate*; Brian Carlow, *Designee, Division of Public Defender Services*; Cheryl Cepelak, *Designee, Department of Corrections*; 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*; Mark Raymond, *Designee, CIO, Department of Administrative Services, Bureau of Enterprise Systems and Technology*; Dora Schriro, *Commissioner, Department of Emergency Services and Public Protection* and Richard Sparaco, *Designee, Board of Pardons and Paroles*.

Other attendees

Brenda Bergeron (DESPP), Bob Cosgrove (DOC), Frank DiMatteo (DPDS), Chris Duryea (JUD), Evelyn Godbout (DCJ), Darryl Hayes (DESPP), Karl Lewis (DOC), Tom Martin (OAG), Eduardo Palmieri (JUD), Ken Rigney (DEMHS), Jason Rosa (DESPP), John Russotto (DCJ), Terry Schnure, Celia Siefert (JUD), Thomas Sutkowski (JUD), Terry Walker (JUD) and Antoinette Webster (DESPP).

CJIS staff and contractors

Jeanine Allin, Phil Conen (Xerox), Dennis Gaige (MTG), Patty Meglio, Jason Mull (Unisys), Peter Smith (Rome, Smith & Lutz), Tanya Stauffer (Xerox), Sean Thakkar, and Elizabeth Ugolik.

I. Welcome and Introduction

- Mike Lawlor, Governing Board Co-Chair, brought the meeting to order at 1:45 pm and welcomed everyone. He said that Judge Carroll will be joining the meeting shortly and that Karen Buffkin and Bob Kaelin were unable to attend the meeting.
- Mr. Lawlor announced that an Executive Session is on the agenda and that if it goes into session, it is for Board members only. Other individuals in attendance of this afternoon's meeting will be asked to leave until the Board Meeting reconvenes.
- Mr. Lawlor mentioned that Richard Sparaco, BOPP's Director of Planning, Research, and Development, will be standing in for Erika Tindill until a replacement has been appointed.

II. Minutes of Previous Meeting

- Mr. Lawlor asked for any additions or corrections to the minutes of the previous meetings held on January 16, 2014 and the Special Session of March 19, 2014. A motion was made to approve the minutes (with no modification) by Mark Raymond and seconded by Kevin Kane. The minutes were approved unanimously.

III. PowerPoint Presentation

- Mr. Thakkar reviewed the details of the agenda.

- Mr. Thakkar reviewed the status of each recommendation as described in the Office of the Attorney General's Report. He said that as soon as Xerox's Contract Amendment is signed, the remaining two open items will be completed. The Office of the Attorney General asked the Board to report back on the issues as addressed. The report that Mr. Thakkar presented would be sent to the Office of the Attorney General after all items are completed.
- Mr. Thakkar proposed a vote on accepting the mitigation plan on the nine recommendations. Mr. Raymond stated that the document only detailed the description and status of the recommendation, not the mitigation strategy. Mr. Thakkar mentioned that the Quarterly Governing Board Report has both the recommendations and the mitigation strategy in it. Mr. Lawlor thought that it might be good to allow people to read it and get back to Mr. Thakkar with their comments by the end of next week. The vote will be delayed until the next Governing Board Meeting.
- Mr. Thakkar asked John Russotto to update the Board on the Management Control Agreement (MCA). Mr. Russotto said that he is working on a draft of the MCA with Darryl Hayes, the new CSO who replaced Joan Hilliard. He said that he passed out a draft of the MCA at the Governing Board Special Session in March with some areas highlighted that might need changes. He said that he is working with Mr. Hayes on the terminology and will have more information at the next Governance Committee meeting in May.
- Dora Schriro acknowledged Antoinette Webster, Brenda Bergeron and Darryl Hayes. She said that she believes that things will be resolved quickly on the FBI issue. Mr. Kane and Mr. Lawlor both agreed that it was a good idea to reach out to the FBI and work on strategy.
- Mr. Thakkar asked Mr. Hayes to provide an update on the CJIS Security Policy. Mr. Hayes said that they met three times to formulate a security policy for all of the agencies in the Governing Board. They decided to take the approach to separate the data so that agencies that need and want FBI data will follow the Federal CJIS Security Policy 5.2. Agencies that can work without that data or cannot comply with Federal CJIS Security Policy 5.2 will follow the CT CJIS Security Policy. They have completed three chapters of the Security Policy and will present their findings at the next Governance Committee meeting.
- Mr. Thakkar mentioned that they are still actively searching for a Durational Project Manager. They have received some resumes and will continue to search.
- Mr. Thakkar stated that every Board member has a copy of the draft version of the CJIS Project Release Plan in their packet. Mr. Russotto mentioned that it is a complex plan. Terry Walker and John Russotto are opening up a dialog with Sean and his team to incorporate larger successes into the project plan so that agencies can see what works and what doesn't. Terry Walker and Mr. Russotto both said that they would like to engage a larger group of stakeholders. Discussions would not replace the Draft Release Plan. Mr. Thakkar said that Xerox also worked on the Release Plan.
- Mr. Thakkar reviewed the budget for the past quarter. Mr. Raymond asked what part of the budget is capital funding; Mr. Thakkar replied that it is 90 percent. Mr. Raymond said that operating costs will increase as the project gets longer.
- Mr. Thakkar reviewed the Issues and Action Items Log as discussed in the biweekly Governance Committee meetings. He said that CJIS met with Dr. Schriro about the State ID recently. Until the FBI issue is resolved, progress will be held back on certain things, but we are moving forward on others. Mr. Kane asked which number, the FBI or the State ID, would be used if the FBI issue is resolved. Mr. Thakkar said that we would still use the State ID number. We will help public service agencies who have the claim on the FBI number, so they will have both. Those who don't have FBI clearance will have the State ID, so they will get non-FBI information.
- Mr. Lawlor wanted to clarify that once the system is running it will not become a system of record.

Mr. Thakkar said that CISS was never intended to be an official record holder.

- Mr. Thakkar reviewed the issue of the nineteen open positions. He stated that they are detailed in the Quarterly Governing Board Report and they are currently working through the process.
- The validation by Xerox of the templates for the business and technical requirements has not been completed. Phil stated that they are still waiting on the technical template, but are reviewing the business template now.
- Mr. Kane asked if the stakeholders vetted the vendor project schedule. This has not yet been completed and the status Log will be changed to “Open.”
- Ms. Webster mentioned that the topology map does not have Automated Fingerprint Identification System (AFIS) on it. Mr. Thakkar said that he would update the map and send it to Mr. Conen for concurrence before sending it out.

IV. PowerPoint Presentation

- Mr. Thakkar reviewed the IV&V slides in Mr. Kaelin’s absence. The risk decreased from 72 to 70 and when the Xerox contract amendment is signed, the risks will decrease even more. Ms. Schiro said that the risks still seem a bit high and wanted to know what the industry standard was. Mr. Thakkar said that the industry standard is between 65-80 percent in the design phase, according to Mr. Kaelin. Mr. Raymond said that it is usually higher in the beginning, the design phase. We’ve been at this high risk for a long time to address critical issues and behaviors, and we have seen some positive movement. If we were in a build stage and saw the same risk, it would be a large concern. Mr. Lawlor said that the Xerox contract and the FBI issues have a big impact on this, as well as personnel issues. Mr. Raymond agreed, but as we move downstream, and users get more involved, the risks will go down.
- Mr. Kane read a section in the IV&V report that said there is a high risk that the overall plan is not accurate and will continue to be delayed. Mr. Raymond clarified, reciting the verbiage preceding where Mr. Kane read from which states that without a contract amendment approved and the completion of the first milestones, that there remains a high risk.
- Mr. Thakkar mentioned that Mr. Kaelin believes that we must use the State ID so that data is kept accurate and pure. He also said that Mr. Kaelin would like to see more engagement from stakeholders to the CJIS team, that stakeholders are not aware of the requirements that they need to bring forth.

V. Xerox Contract Discussion and Vote

- Mr. Lawlor next asked that everyone review the Xerox Finance handout, provided by Karen Buffkin. It details an added cost of about \$2 million, which is a small percentage of the \$14.2M contract. He said that there are significant compromises on both sides. Mr. Raymond mentioned that the longer the duration of the project, the more changes will be needed. We haven’t done much construction yet, which makes this project unique. Mr. Lawlor agreed and said that the Board may be doing this again.
- Chief Mulhall asked Mr. Raymond if he felt comfortable that there are controls in place to try to avoid overruns. Mr. Raymond said that this time, there are added controls on requirements, requirements tracking, requirements changes, and the way the approval process works. There is an approval process before money is spent, including an additional resource to inform the Board. Mr. Thakkar explained that they are in the process of hiring a Contract Manager (separate from the DPM) to manage changes to the contract and to report changes to the Board. Mr. Lawlor said that part of the problem was a lack of formality, but that they will be sure to properly manage the contract going forward.
- Mr. Conen added that the figures also assume that they finish in two years.

- Cheryl Cepelak wanted to know if the increase in funding is purely a change in time, or has there already been a change in scope. Mr. Lawlor said they are compensating for work done in the past and for future efforts. Mr. Raymond said that items number one and four cover work that's already been done. Mr. Lawlor mentioned that Xerox has significantly slowed down starting in September of 2013. Mr. Conen added that the slowdown started as early as August. However, Mr. Lawlor stated that work has continued with the CJIS team. Once the contract is finalized, work will speed up considerably and Xerox will probably bring in additional resources.
- Ms. Bergeron said that it will be easier to explain to the FBI when Mr. Russotto and Mr. Hayes have a good idea of how the program is being built. The scope of work would help to clarify the two security documents, especially the terminology. Mr. Conen said that the issue is more between CJIS and the FBI, whether they are compliant.
- Mr. Lawlor asked Mr. Conen that once the contract change is approved, would he be able to explain what is needed to the FBI. When Mr. Conen said that the solution is FBI compliant, Mr. Lawlor asked again if he would be able to articulate this, and Mr. Conen said he would. Ms. Bergeron asked if they would be able to sit with Phil to look at the scope of work to structure the documents so that they are in compliance, and Phil said he would.
- Mr. Lawlor asked if there was any more discussion on the contract changes, of which there was none. He requested a vote be taken on the contract modification for Karen Buffkin and Mark Raymond to move forward. Ms. Currey made a motion to approve the contract changes and Ms. Cepelak seconded the motion. A vote was taken. The contract changes were approved unanimously.

VI. Other Business

- Mr. Lawlor announced that next Governing Board meeting is July 17, but suggested that there may be another interim Board meeting scheduled before then. He also announced the next Governance Committee meeting is scheduled for May 2.

VII. Executive Session

- Mr. Lawlor requested a vote that the Governing Board enter into an Executive Session to discuss a personnel issue. Ms. Currey made a motion and Mr. Raymond seconded the motion. The vote was taken and all agreed. The room was dismissed of all except Governing Board members at 2:48 pm.

VIII. Adjournment

- The Governing Board meeting reconvened at 3:08 pm. It was announced that no votes were taken. There being no further business, the meeting adjourned at 3:10 pm.