



REPORT TO THE SUPERINTENDENT

Improvement and Reorganization of the BCA's Criminal Justice Integration and Information Functions: FINDINGS AND RECOMMENDATIONS

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* These appendices contain nonpublic data and have been removed from the public version of this report pursuant to M.S. § 13.43.

I. EXECUTIVE SUMMARY

The criminal justice information component of the Bureau of Criminal Apprehension (BCA) provides the foundation for Minnesota's criminal justice information services. These BCA services are currently split into two core functions:

1. Development and maintenance of centralized criminal justice information systems; and,
2. Statewide integration of information systems used by the various stakeholders in the criminal justice system (e.g. law enforcement, corrections, public defense, prosecution, courts etc.).

The first function is performed by the BCA's Criminal Justice Information Systems (CJIS) division; the second function is performed by the CrimNet Program Office (Program Office). However, it became clear that often these functions overlap which has caused some organizational conflict. **The purpose of this report is to explore ways these functions can be improved and reorganized so that the organization is able to increase the accuracy, completeness, and timeliness of criminal justice information and improve service delivery to BCA customers.**

Toward this end, BCA Superintendent Tim O'Malley solicited internal and external feedback about the BCA's core information services and led the effort to begin a transformational change process. In January 2008, Superintendent O'Malley convened a "Change Team" and directed it to study ways that CJIS and the Program Office can be aligned more closely and work together more collaboratively. The team spent hundreds of hours over three months to evaluate current circumstances and make recommendations for change and reorganization. Following are the high-level recommendations from the Change Team:

- Reorganize CJIS and the Program Office as a single entity called Minnesota Justice Information Services (MNJIS) under the leadership of a single executive director.
- Base the MNJIS organizational structure around customer needs rather than internal functions; such a model is commonly referred to as a "Centers of Excellence" approach¹.
- Create a governance structure which provides a documented and replicable way to make decisions about its priorities and resource allocation.
- Implement a strong strategic direction for the new organization (set by the Superintendent).

¹ A "Center of Excellence" is defined as a team of people that is established to promote collaboration and the application of best practices. Centers of Excellence exist to bring about an enterprise focus to complex business issues and the need to collaboratively determine solutions to those complex business issues.

- Align stakeholder expectations and state statutes with the reality of integration across many units of government with varying funding, inconsistent business practices and sometimes-conflicting regulation. Systems integration is a long-term way of doing business, not a product that will some day be complete.
- Set a transition period during which MNJIS does not accept any new projects and prioritizes existing projects.

This report includes some history and background information about CJIS and the Program Office. It also outlines the evaluation process and methods and the high-level findings of the Change Team. The reorganization plan is detailed along with the benefits and value of the new organizational model. The report provides a detailed summary of the findings and recommendations. Finally, a number of draft organizational charts are included in the appendices.

The Change Team appreciates the opportunity to participate in the organizational change process and Superintendent O'Malley's support of transformational change in order to increase the accuracy, completeness, and timeliness of criminal justice information and improve service delivery to BCA customers.

II. BACKGROUND

Currently at the Bureau of Criminal Apprehension (BCA), there are two core functions related to criminal justice information integration. The first core function is the development and maintenance of centralized criminal justice information systems. This function is treated as an entirely separate function from the effort to integrate information systems used by the various criminal justice stakeholders in the criminal justice system.

The first function – centralized systems development – has been well-established since the late 1960s. It is performed by the BCA’s Criminal Justice Information Systems (CJIS) division. CJIS has built and maintained information-related systems and services such as law enforcement communication, fingerprint tracking and criminal history. CJIS today operates with a staff component of approximately 100 employees.

The second function – statewide systems integration – is a different way of doing business made possible by technologies that have emerged during the past decade. Such advances create potential for the entire criminal justice system to share information between agencies in real time rather than relying on copies of intra-agency records that can become outdated and inconsistent. Recognizing these possible benefits and wanting to fund their development, the 2001 Minnesota Legislature began to use the term “CriMNet” as shorthand for statewide criminal justice information system integration². A small CriMNet Program Office (Program Office) was funded beginning in July 2001 to spearhead the effort. The Program Office became part of the BCA in 2004 and today operates with a staff of approximately 26 employees and staff augmentation consultants.

The Program Office and CJIS have operated in parallel at the BCA. The original intent was that the Program Office would focus on the statewide strategic planning and analysis of integration and that CJIS would focus on development, implementation, and maintenance of the technical systems and services related to integration. In practice, however, many of the activities and projects are shared between the two divisions. This overlap creates inefficiencies including duplication of effort, conflict over limited resources and a lack of coordination. The two entities have separate administration and support structures, and pursue different priorities and long-term strategic goals.

It is clear that the BCA’s goal is to improve the accuracy, completeness, and timeliness of criminal justice information. The challenge now is to create a more streamlined and effective organization that can achieve this goal.

² M.S. §299C.65, Subd. 1(b)

III. EVALUATION PROCESS AND HIGH-LEVEL FINDINGS

Consultants from the Management Analysis and Development Division within the Department of Administration (MADD) began evaluating existing circumstances in CJIS in 2005. In the fall of 2007, BCA Superintendent, Tim O'Malley, and BCA leadership began evaluating the functions and priorities of CJIS and the Program Office. Superintendent O'Malley asked staff for ideas on what can be done better or differently to improve service delivery to BCA customers. MADD was brought in for a second time to assist with this effort through staff input sessions. In addition, an independent consultant from another state agency was brought on board through an inter-agency agreement to participate on the Change Team and gather feedback through focus groups and individual interviews with employees and managers. The following steps were part of the evaluation process:

- Over several months in 2005, MADD consultants Georgie Peterson and Charlie Petersen worked on-site at the BCA to gather employee ideas about improvement and reorganization of the BCA's CJIS division. Individual sessions were held with most CJIS employees. CJIS management also met several times with MADD in an attempt to develop a new organizational structure. The structure was never implemented.
- In the fall of 2007, Ms. Peterson facilitated five group sessions with employees to determine what can be done better or differently to improve service delivery to BCA customers.
- Since 1997, Robert Sykora has worked with the Program Office and CJIS as a customer and liaison from another Minnesota state agency. He also served on the Criminal and Juvenile Justice Information Policy Group and Task Force. Mr. Sykora began work for the Superintendent's Office at the BCA in a temporary consultant capacity beginning in January 2008. He began with Ms. Peterson's work and used it to further assess CJIS and Program Office needs. He gathered ideas from over fifty employees during individual interviews and has worked full-time on-site since coming to the BCA.
- The Change Team began meeting in January 2008 and made a presentation to all Program Office and CJIS staff in February to outline the evaluation and reorganization process within the parameters set by Superintendent O'Malley. Change team members include: Oded Galili (Program Office Deputy Director), Dana Gotz (Program Office Administrator), David Johnson (CrimNet Executive Director), Robert Johnson (CJIS Director), Jerry Olson (CJIS Project Manager), Kris Rush (CJIS Trainer and Auditor), and Robert Sykora (Superintendent's Office Consultant).

This evaluation process resulted in the following high-level findings:

- The strategic direction of the Program Office and CJIS is unclear and seems to change very rapidly for reasons not understood by staff.
- Some stakeholders have inflated or unrealistic expectations about what information integration can accomplish; as a result, interagency collaboration can be difficult.
- There is no clear decision-making process and there is a lack of ownership in the decision-making process from staff.
- The work environment between CJIS and the Program Office can be competitive and isolated instead of cooperative and collaborative.
- There is a deficiency in how support services (fiscal, human resources, legal etc.) are coordinated in both the Program Office and CJIS.
- There is a perception that the management team has not been managing staff effectively and that some managers need further training to enhance managerial and supervisory skills.
- Staff people want to invest in their BCA careers and desire more training and advancement opportunities.
- There is no defined prioritization process for projects and staff sometimes experience frustration over the number of multiple priorities.
- Project management needs to be reevaluated within the organization to maximize project managers' skills and not have project managers managing products and services.
- The training and auditing functions should be separated to maximize the skill sets of staff in that section.
- Ineffective internal and external communication impedes collaborative work and customer service.

IV. REORGANIZATION PLAN

A number of organizational models were considered, evaluated and tested as part of the Change Team's process. In the end, the recommended model consists of unification of the CJIS and Program Office divisions under the new name of Minnesota Justice Information Services (MNJIS) and under the leadership of a single executive director. The model has a defined governance structure and process, which includes a prioritization, architectural, and portfolio and resource management process.

In addition to the governance structure, the model is designed around the following five Centers of Excellence (COEs) (see **Appendix E: Centers of Excellence Organization Chart**). Each COE has a defined goal and focus of expertise which will better serve the needs of the BCA's customers.

- 1. Technical and Infrastructure Shared Services** – Provide internal and external technical services.
- 2. Business Shared Services** – Provide internal and external business services.
- 3. Data Services** – Provide accurate and timely information services.
- 4. Biometrics** – Provide reliable identification services.
- 5. Criminal History Record Information** – Provide complete and accurate criminal history.

The Change Team recommends a phased approach to this transformational change. Step One (see Organizational Chart Step 1) could be implemented in a reasonably short timeframe (with minimal human resource and fiscal considerations) and offers the following value and benefits:

- Creates a stronger governance structure with a defined and repeatable decision-making and prioritization process.
- Unifies two separate organizations and removes the related logistical and cultural barriers of two organizations.
- Reduces the amount of inefficiency and redundancy and promotes greater productivity and customer service.
- Promotes greater sharing and more effective scheduling of resources (staff, consultants, financial, and technical).
- Focuses on specific business needs of customers which promotes expertise in areas and more directly meets the needs of the clients and interests served.
- Provides greater decision-making authority to staff along with a higher level of responsibility and accountability for staff.

- Provides an enhanced ability to respond to a changing and dynamic service-provider environment.
- Provides a more “global” view of Enterprise Architecture (the big picture of integration) and enhances how the BCA responds to and participates in criminal justice information integration efforts.

While the Change Team agrees that the benefits of this model far outweigh any negative effects, there are some potential consequences which could result from implementation of a new organization model. Implementing significant change requires a shift in the organization’s current culture. It may be difficult for some staff to adjust and could result in an identity crisis for some. Staff may be assigned to positions that they do not have the immediate skills for and need additional training. At a broader level, appropriate implementation of the governance structure will be critical to cast the vision and priorities across the COEs to reduce any “silo” effect and to ensure that the COEs are working collaboratively to achieve the same higher-level goals.

The following are other possible considerations related to Step One:

- What entities need to approve the reorganization or at least be consulted (i.e. Commissioner of Department of Public Safety, Criminal and Juvenile Justice Information Policy Group or Task Force, Legislators, Governor’s Office, other stakeholder groups etc.)?
- What is the best way to communicate the organizational change with the entities identified above as well as internally?
- Are there legislative or statutory requirements that need to be considered?
- Would unintended consequences result from unifying the two organizations and eliminating the branding of “CJIS” and “CriMNet Program Office”?
- Does Step One go far enough quickly enough?
- What is the process for transitioning internally to Step One and executing the new organizational model?

As stated above, the Change Team recommends that Superintendent O’Malley approve Step One as the first step in implementing transformational change. The Change Team recommends that a “transition team” be appointed to begin the process of executing the logistics of the reorganization (internal and external stakeholder communication, office space, legal identity/contracts etc.) as soon as it is determined that the plan will proceed. Attached to this report is an organizational model for Step Two (see Organizational Chart Step 2) which the Change Team is recommending as the next logical phase to move toward in a timeframe to be determined. The Change Team has also considered future needs of the organization and will continue to work within the new governance structure to plan and prioritize if approved.

V. DETAILED FINDINGS AND RECOMMENDATIONS

After debating and discussing the ideas gathered during the evaluation process, the Change Team produced the following detailed findings and recommendations.

1. Strategic Direction.

- a. **Finding: Uncertainty exists about organization's purpose.** Employees have a widely varying understanding about what their purpose is within the BCA. Some believe that the agency's purpose is neatly summarized by its name; that is, "We're here basically to make sure more bad guys get locked up". One manager said "Our basic goal is reduction of crime". Others suggest that by creating products used by courts, probation officers, and public defenders, the organization's purpose is to serve the entire criminal justice system. Still others, noting the great numbers of non-criminal justice purposes for which BCA data are used, believe that the purpose of the organization is to serve anyone who has a legal right to see the data entrusted to the BCA. Such divergent understandings about the organization's purpose make it more difficult to make progress toward common goals.
- b. **Finding: Uncertainty exists about products and services delivered.** There is disagreement about what products and services should be developed centrally at the BCA and what is the BCA's appropriate function as it strives to satisfy the needs of each end user. In CJIS, some employees believe the best future course of action would be to develop only the "back-end" database components, not the user interfaces seen by the customer. This approach would allow people at the BCA to concentrate on more fundamental issues affecting integrity and reliability of data rather than on the ever-changing "look and feel" requirements articulated by users. User interfaces could then be designed by the local agencies using the data, and could therefore more closely meet local needs.
- c. **Finding: Changes in policymakers and resources can cause a shift in priorities.** The CJIS strategic direction in particular appears to have been set primarily by legislators, commissioners, and superintendents (whose focus and involvement can change in cycles as frequently as every two years). Building and implementing complex systems can take longer than the duration of these policymakers' influence. These resulting mid-project changes of strategic direction make it less likely that long-term projects will be completed successfully.

Strategic uncertainties result in less-than-desirable outcomes. Consider, for example, the "suspense problem". Many individuals both inside and outside the BCA believe the core product of the BCA's "information side"

is to produce clear and accurate criminal history data. Yet this product's value is directly proportional to its comprehensiveness: for example, searching a potential day care provider's criminal record is most meaningful if the search is done in a database containing 100% of convictions; it is much less meaningful if the search is done with less than all convictions available. This incompleteness is caused by the "suspense problem". It exists because defective records (those with bad data or that cannot be matched with fingerprints) are held in suspense until the problem can be cleared up. Such an integrity problem with what widely is perceived to be CJIS's core product deeply concerns many who work on this issue. Though the causes of the problem are multiple and complex – some originating outside the agency and some within – the final product is delivered by CJIS staff and they feel a strong responsibility for it. Legislators may not understand the history and importance of this issue and decide to allocate funding resources to other competing interests. The question is raised as to whether it is incumbent upon BCA leadership to maintain long-term focus on the potentially severe risk to public safety caused by convictions held in suspense.

RECOMMENDATIONS

- **Unify CJIS and the CriMNet Program Office into one organization that will more easily be able to pursue an articulated strategic plan.**
- **Create a clear strategic plan for the new organization (supported by the Superintendent).**
- **Structure the new organization so that it is based on the needs of criminal justice stakeholders through a "Centers of Excellence" model.**
- **Implement a new governance structure which determines the strategic direction of the organization as a whole. This new governance structure will implement a clearer and replicable process to determine priorities.**
- **Define priorities to allow the organization to focus on core projects through a portfolio management process.**
- **Impose a temporary moratorium on accepting new projects to allow time for transition to the new organization structure and to prioritize existing projects.**

2. Unrealistic Expectations.

- a. **Finding: Expectations differ about what *information integration* means.** There is a common misperception about what “CrimNet” really is. It has been difficult to communicate the message that information integration is not a “thing”; rather, it is a process that includes components such as business processes, budgets, and data practices. Agencies accustomed to being data “islands” or “silos” are now asked to work collaboratively with the state and other criminal justice agencies in a way that has not occurred before. Impediments arise when such coordination demands extra fiscal contribution, when conflicts are found in controlling law and regulation between agencies, and when integration requires a change to local ways of doing business. Change comes slowly in an environment that requires this much cooperation.
- b. **Finding: Information integration has no end date.** Statutory language directs “successful completion” of statewide criminal justice information system integration³. Integration, however, is less like installing a new computer system and more like road repair in Minnesota - it is an ongoing effort. Every new development by one of the 1,100 criminal justice agencies in the state requires adjustment of the integration plan. Attempts to coordinate and collaborate with local agencies and governments can be perceived as the state dictating local policy.

RECOMMENDATIONS

- **Work with legislators and stakeholders to align expectations and communicate progress more effectively.**
- **Revise M.S. 299C.65 to reflect the existing goals and priorities of information integration more accurately.**

3. Decision Making.

- a. **Finding: Decision-making process is unclear and disjointed.** Employees expressed that it can be frustrating to not understand the “big picture” and desire that the prioritization decisions about any project be made with a shared understanding of the overall purpose and of the resources available considering other impending projects.
- b. **Finding: Decision-making requires more analysis and staff participation.** An effort is being made to provide better analysis of the feasibility of new projects and how they will relate to other projects. The

³ M.S. §299C.65, Subd. 1(b)

quality of decisions would be enhanced by participation of those involved in the “enterprise architecture” project as well as participation by the business architecture and technical architecture working groups.

- c. **Finding: Views differ regarding decision-making by consensus versus command.** As with many organizations, there is a tension between those who desire decision-making by consensus and those who prefer decisions handed down from management. For example, when making decisions about which product to purchase, many employees note that people are hesitant to “buy-in” to a project if they were not involved in the decision-making process.

RECOMMENDATIONS

- **Implement a new governance structure (as related to the strategic direction recommendation) with a defined and repeatable decision-making and prioritization process.**
- **Communicate the big picture to BCA staff so they have a broader understanding of how their work and/or projects fit into the overall scope of the organization.**
- **Push decision-making and accountability as far down in the organization as practical.**

4. Prioritization Process.

- a. **Finding: Organization is burdened by large number of high-priority projects.** Staff people throughout the organization are at times overwhelmed by the large number of high-priority projects and are frustrated by their inability to complete project goals in a planned and timely manner. Staff have commented that they have not been able to move toward completion of an outstanding project because key staff necessary for its completion have been pulled away to work on other priority projects. An overview of pending projects is found as an appendix to this report.
- b. **Finding: Ability to complete work is hampered by *ad hoc* assignments.** Many staff in CJIS offered the view that not only can progress be delayed due to competing priorities, but that progress can also be delayed due to staff being pulled into activities or projects that are not even in the realm of their position description or job function. There is not currently a defined and replicable process to make decisions about which projects to pursue and how to allocate resources.

- c. **Finding: New projects eclipse existing projects.** When policymakers create new, high-priority projects, the resulting impact is to pull resources away from existing projects and core functions.

RECOMMENDATIONS

- **Establish a process to prioritize projects based upon a number of factors including: statutory mandates, legislative mandates, Governor's Office mandates, Criminal and Juvenile Justice Information Policy Group and Task Force priorities, and BCA strategic plans (this process is typically referred to as project portfolio management).**
- **Assign a senior management position to oversee resource allocation (Project Manager Master Scheduler).**
- **Impose a moratorium on new projects to effectuate this prioritization and transition to the new way of doing business.**

5. Work Environment.

- a. **Finding: CJIS and Program Office operate as separate entities.** In addition to the physical separation in different areas and on two different floors in the BCA, staff people consider the two groups to have separate cultures, goals, and ways of doing business. Some resentment is felt by various people toward those in the other group. It is entirely possible to work in one group and have little or no contact with those who work in the other group, or to work on one floor and never see those who work on the other.
- b. **Finding: Available work space is full.** Despite the fact that the BCA building is relatively new, work space is limited with little room for expansion.
- c. **Finding: Telecommuting not regularly utilized.** Though greater use of this option could help relieve space concerns and assist with disaster preparedness, it is not routinely available. Complications include increased dependence on teleconferencing and other staff coordination issues, as well as the need to have a state ergonomics evaluator approve the off-site work station.

RECOMMENDATIONS

- **Unify the CJIS and Program Office sections as one new division under a single executive director. Part of this process will include integrating CJIS and Program Office staff together in the Centers of Excellence.**
- **Conduct space analysis (currently under way) to determine if work space can be utilized more efficiently and effectively to enhance employee productivity and customer service.**
- **Review current telecommuting policy (by management team) in the future and determine if telecommuting could be utilized in certain situations for specific job functions.**

6. Staffing.

- Finding: Support activities are not centralized or coordinated.**
Multiple staff people at all levels within CJIS and the Program Office spend time on various support functions such as budget and human resources. Technology managers spend time adjusting and controlling their various budgets utilizing the state's accounting system. They also spend time wading through the complex human resources processes. No one fiscal or human resources director is available to guide the organizations through these processes, subjecting the agency to the possibility that inconsistent standards and practices will be utilized.
- Finding: Nonattorney staff people routinely make legal decisions.**
There is no staff position dedicated to help make statutory and practical legal determinations. Legal decisions are made by analyst-level employees, such as whether or not an expungement petition should be opposed, or whether a local ordinance meets the statutory requirements to authorize background checks for non-criminal justice purposes.
- Finding: Contract approval process decreases efficiency.** The ability to approve contracts quickly can be critically important to the lifecycle of a project. Staff report that there are serious bottlenecks and inconsistencies in the current contracting process.
- Finding: Reliance on consultants increases risk and expense.** Both CJIS and the Program Office utilize contractors to do fundamental, ongoing development and maintenance. It is widely believed that both organizations rely too heavily on contractors, and that inadequate documentation and knowledge transfer is the result. It is recognized,

however, that hiring needed expertise is difficult, particularly when competing with the private sector.

RECOMMENDATIONS

- **Create Business Shared Services Center of Excellence to centralize and coordinate the fiscal, legal, human resources, grant and contract management, and administrative services for the organization.**
- **Review these business services to determine where services can be streamlined and improved or where there are gaps that cannot be overcome without new positions.**
- **Promote collaboration with other Department of Public Safety support divisions (Fiscal and Administrative Services, Human Resources etc.).**

7. Management.

- a. **Finding: There is some dissatisfaction with the leadership of senior management.** The comments from staff regarding senior management varied between CJIS and the Program Office. Program Office managers are perceived as being too hands-off, theoretical and philosophical. CJIS managers are perceived as being too hands-on and unwilling to delegate decision-making authority.
- b. **Findings: There is some perception that mid-level managers are not effective in their managerial role.** There is some concern among staff regarding the skills of their immediate supervisor. Several employees offered the opinion that some mid-level managers are in their positions primarily because of their longevity in the organization, not because of expertise or management ability. However, some consideration of how well middle managers are doing must include evaluating the level of training that has been made available to help them learn how to manage effectively.

RECOMMENDATIONS

- **Appoint a single executive director with authority to lead the new organization.**
- **Evaluate management team and supervisory philosophy as part of the new organization.**

- **Provide current managers and supervisors an opportunity to demonstrate managerial/supervisory skills and provide training if needed.**
- **Give managers/supervisors the authority to implement projects and decisions made as part of the governance process and hold them accountable for the products and services they are responsible for.**

8. Career Development.

- a. **Finding: Staff seek guidance regarding training and advancement.** Staff want a clearer picture of their futures as BCA employees, such as what training they might be able to benefit from and what opportunities for advancement might be available to them.
- b. **Finding: Staff desire to understand customers' business.** Staff seek a greater understanding about the business practices of customers, as well as an understanding of how those customers use technology and rely on BCA data.

RECOMMENDATIONS

- **Create a career development plan for each staff member (to be reviewed and approved annually by supervisor).**
- **Provide opportunities for staff to visit stakeholders in the field and observe how they do their business.**

9. Project Managers.

- a. **Finding: Project managers are disabled by a “snowball effect”.** Project managers have found that they retain perpetual responsibility for the outcome of their projects. For example, it is common practice to look to project managers as subject matter experts; further, customers continue to look to the project manager as a liaison who will help with problems that crop up and respond to requests for enhancements. The longer a project manager has been at the BCA, the more projects a manager has worked on and the greater the snowball effect. This makes it increasingly difficult for project managers to succeed with new projects when they are tied to previous projects long-term.

RECOMMENDATIONS

- **Create product manager positions to transfer projects to as projects transition from development to deployment to ongoing maintenance.**
- **Utilize Centers of Excellence to cross-train staff in certain areas of expertise.**
- **Assign business analysts to assume some of the role subject matter expert and customer liaison on projects.**

10. Training and Auditing.

- a. **Finding: Staff question whether training and auditing should be separate entities.** A large number of our training and auditing staff members offered their thoughts about whether these functions should be combined, as they have been, or split into separate functions. Most believe the functions should be split because each requires a distinct set of skills. A good trainer must be comfortable in front of a group; a good auditor does not need to be. A minority of trainer/auditors believe that the cross-training benefit is sufficiently strong to keep the job description a blended one. Even if the function is split, each function does benefit from understanding the function of the other and could have regular, scheduled “ride-along” opportunities with the other.
- b. **Finding: Auditing staff required to make legal evaluations.** Employees performing audits voiced concern about being asked to pass legal judgment on the adequacy of local ordinances designed to authorize non-criminal justice background checks.

RECOMMENDATIONS

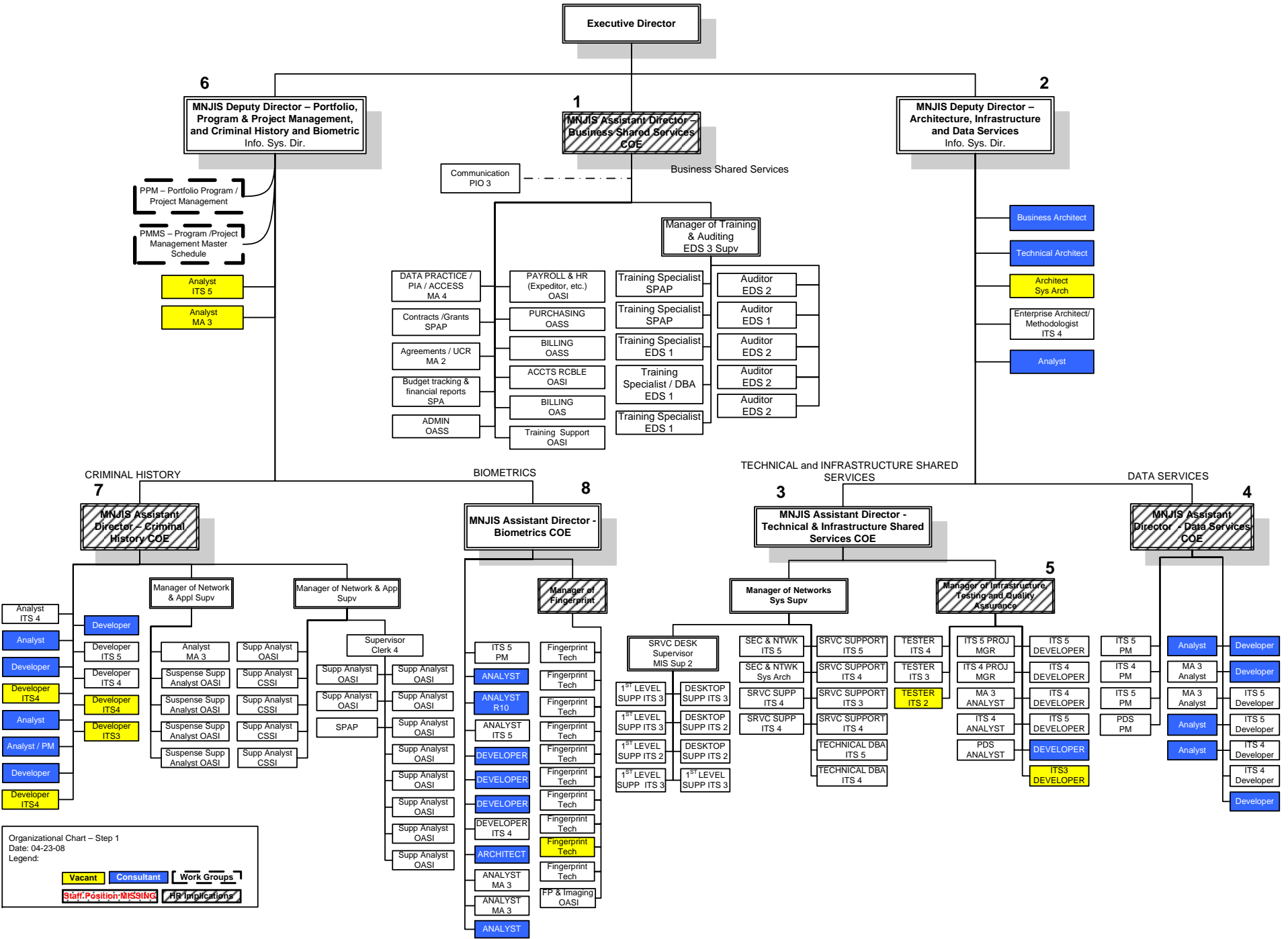
- **Separate the training and auditing functions into two distinct responsibilities. This approach reflects the general work process of the group currently and acknowledges the different skills needed to be successful in each job function.**
- **Provide opportunities for each function to regularly observe the work of the other function.**
- **Assign an on-site legal counsel position to assist staff with performing legal evaluations.**

11. Communication.

- a. **Finding: It is difficult to keep everyone “in the loop”.** With dozens of complex projects in process at any given time, it is an organization-wide struggle to find ways to keep staff up-to-date. A newsletter is compiled and distributed electronically but that effort does not seem to be serving its purpose. Organizational “disconnects” develop from this lack of effective communication. One example is the “Enterprise Architecture” project - some staff see this project as a practical way of doing business and others describe this project as “pie in the sky”.
- b. **Finding: Meetings are overused to communicate project status.** The predominant method used to keep people up-to-date is frequent, lengthy meetings with a large number of attendees. “It’s how we communicate project details”, one person explained. Staff describe that they may attend a long meeting in which only a small portion of the meeting affects them. This method is costly way to utilize staff resources.
- c. **Finding: Customers seek improvement of external communication.** Though the Policy Group and Task Force provide a regular forum in which external stakeholders can receive updates about Program Office activities. Customers who use CJIS products and services have no such source of information; they seek greater input and responsiveness to their needs.

RECOMMENDATIONS

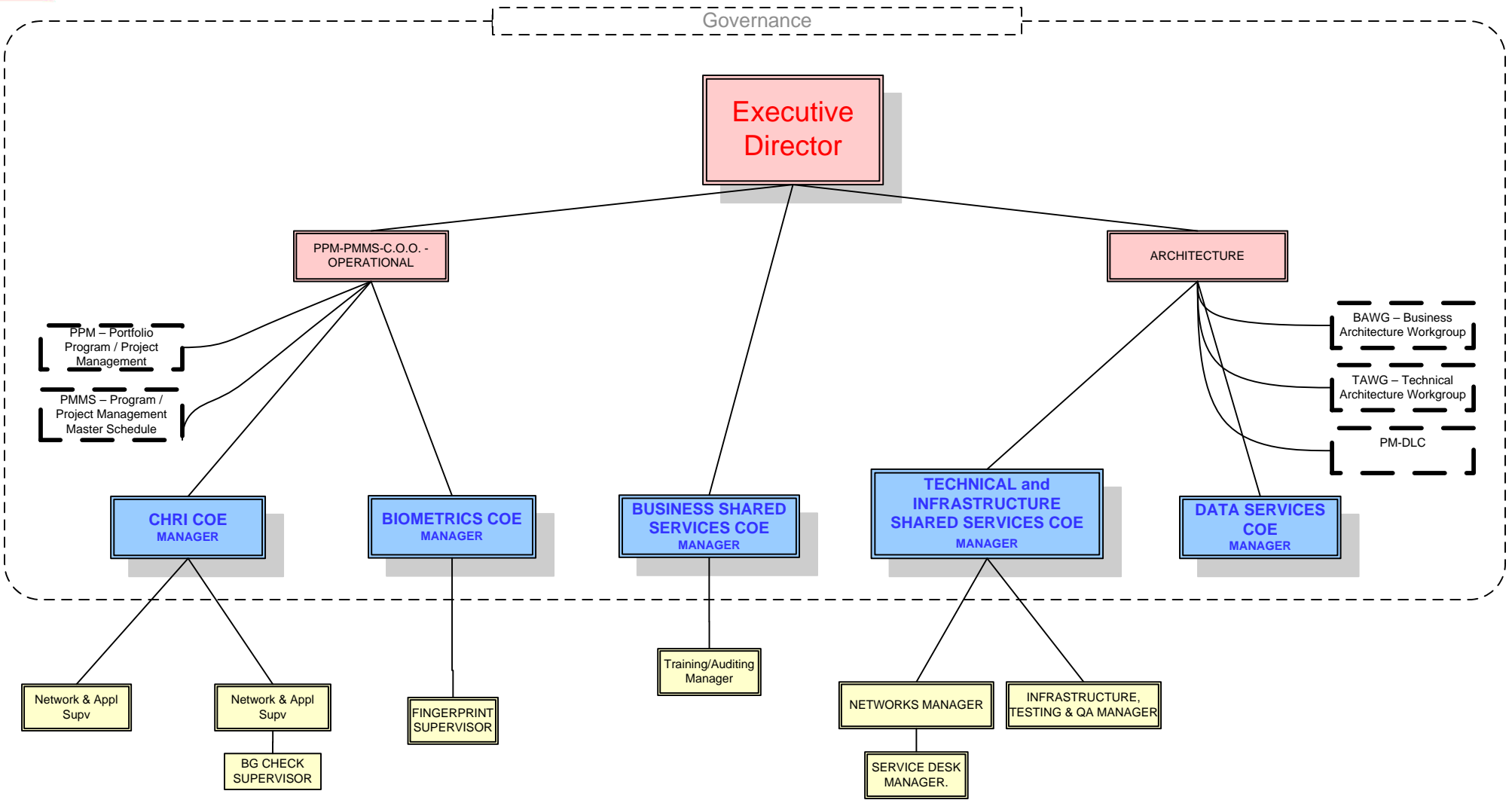
- **Implement new governance structure with a documented process for decision-making and project tracking.**
- **Utilize an information-based management process using web-based tools to communicate information.**
- **Track and document relevant performance metrics for projects and services.**
- **Create external communication plan to more effectively communicate with stakeholders and customers.**



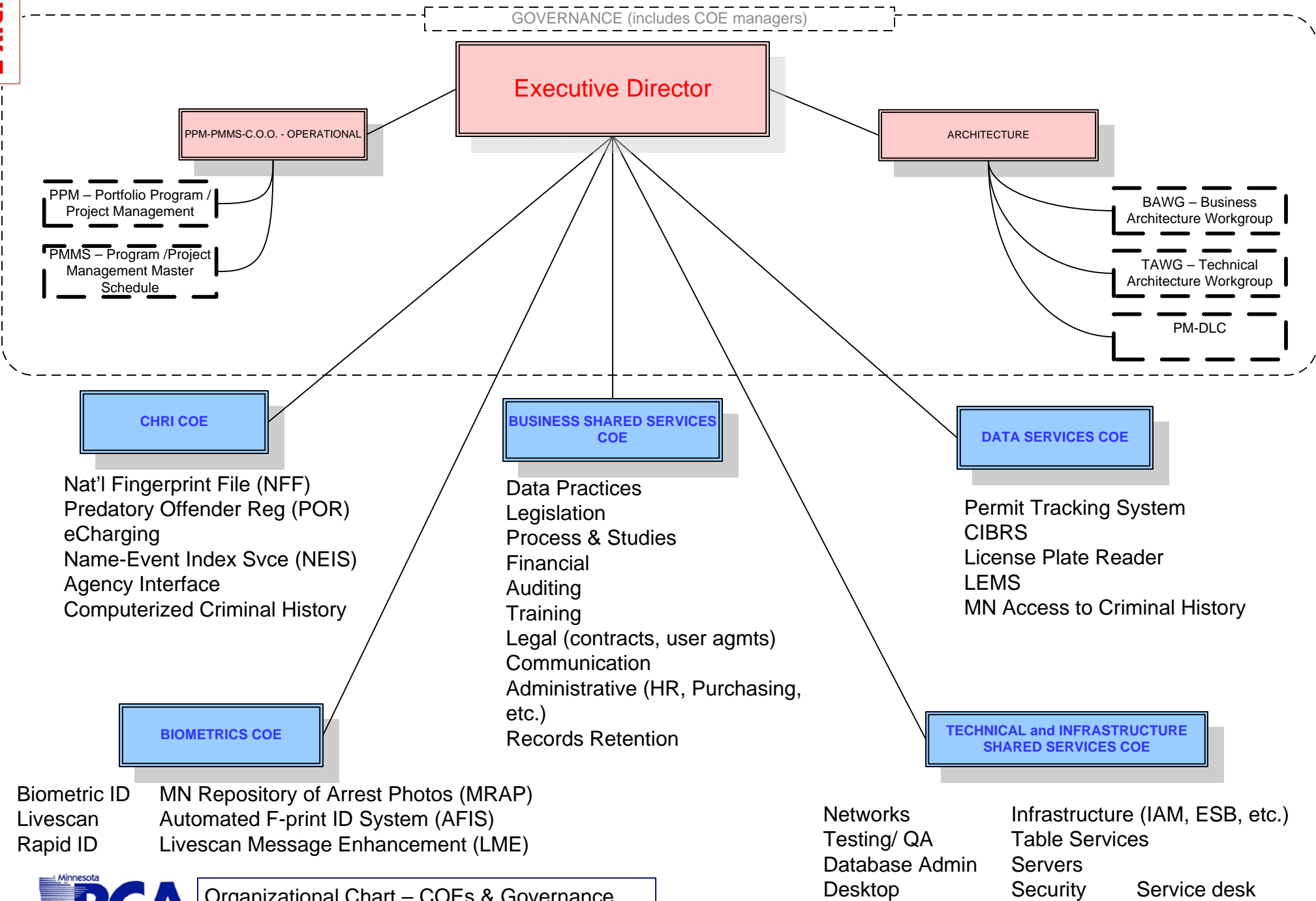
Organizational Chart – Step 1
 Date: 04-23-08
 Legend:

- Vacant
- Consultant
- Work Groups
- Staff Position MISSING
- HR Implications

Minnesota Justice Information Services (MNJIS) Management Structure



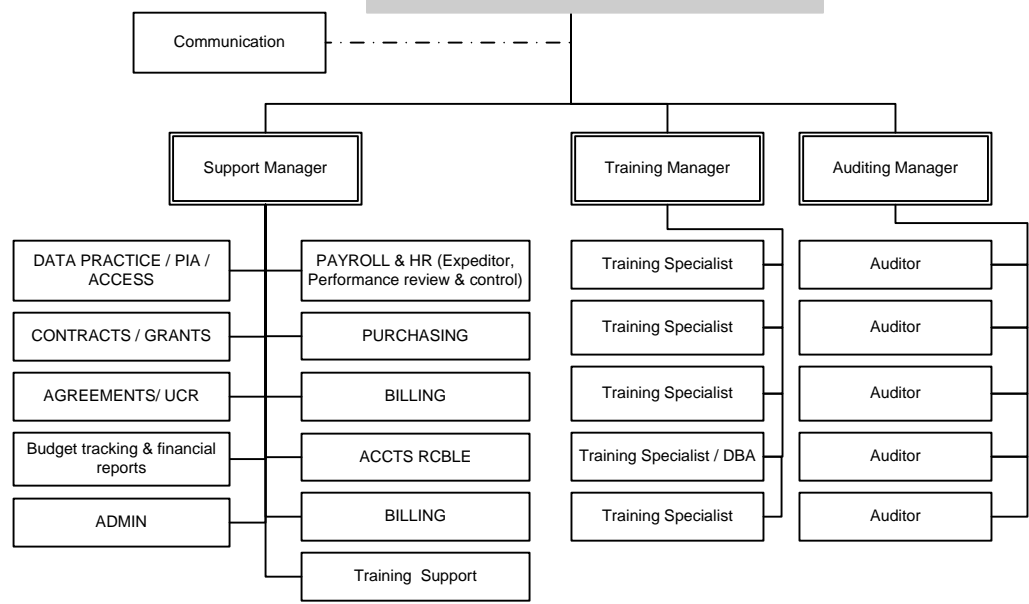
Minnesota Justice Information Services (MNJIS)



Minnesota Justice Information Services (MNJIS)

BUSINESS SHARED SERVICES COE

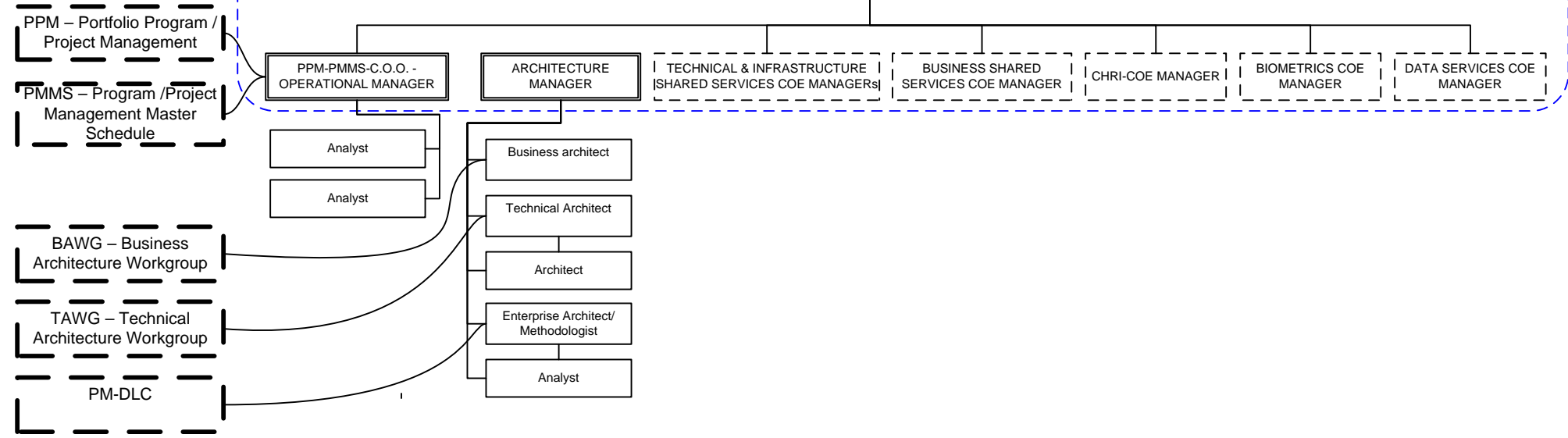
Business Shared Services COE Manager
(Legis, DP & Legal, Fin Admin, Train, Audit, Comm, Proc & Study, Contracts/Grants)



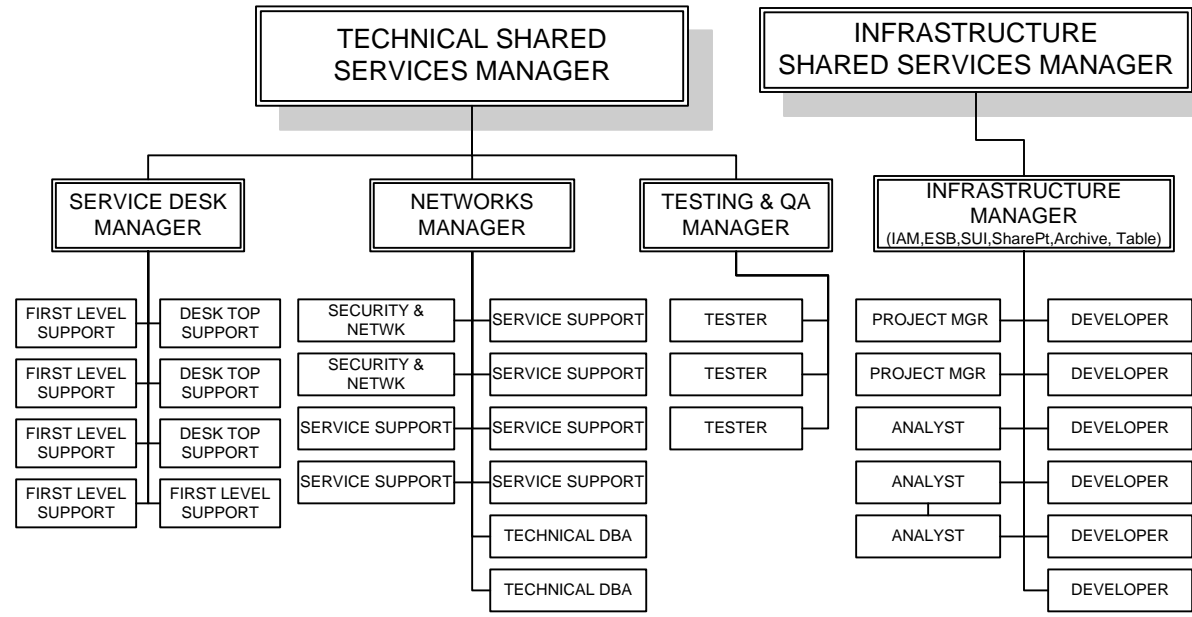
GOVERNANCE

Management Team

Executive Director

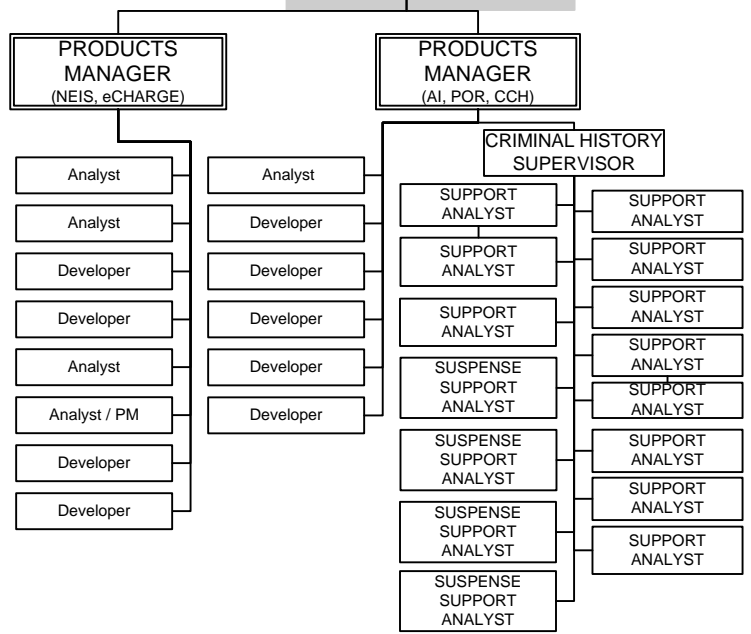


TECHNICAL & SHARED SERVICES COE (TEMPORARILY SPLIT)



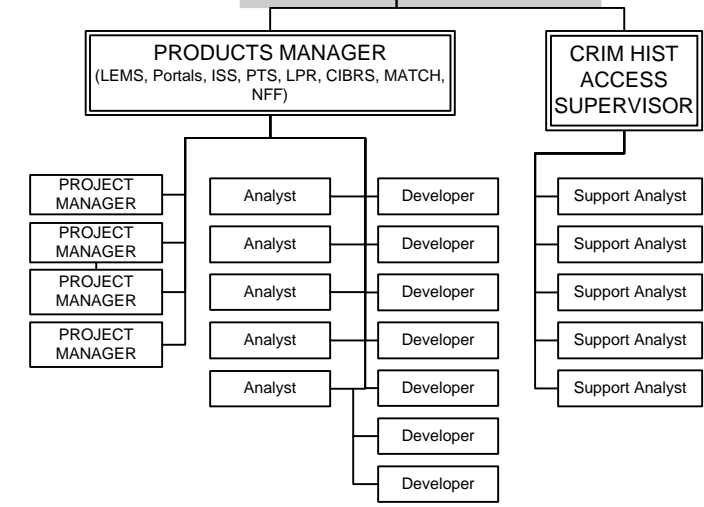
CRIMINAL HISTORY COE

CRIM HISTORY RECORDS INFO (CHRI) MANAGER



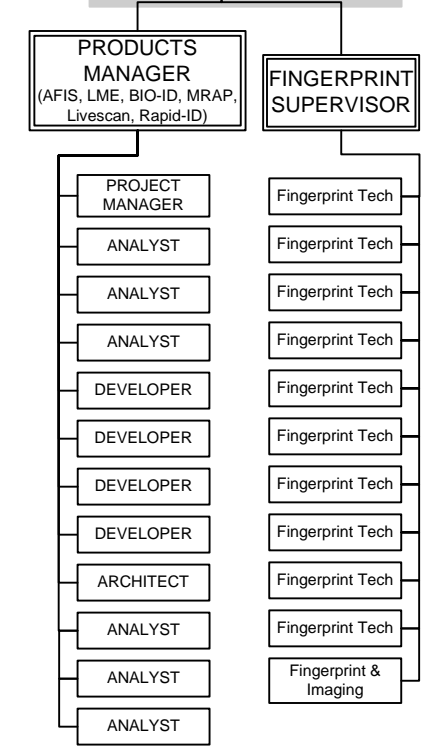
DATA SERVICES COE

DATA SERVICES MANAGER



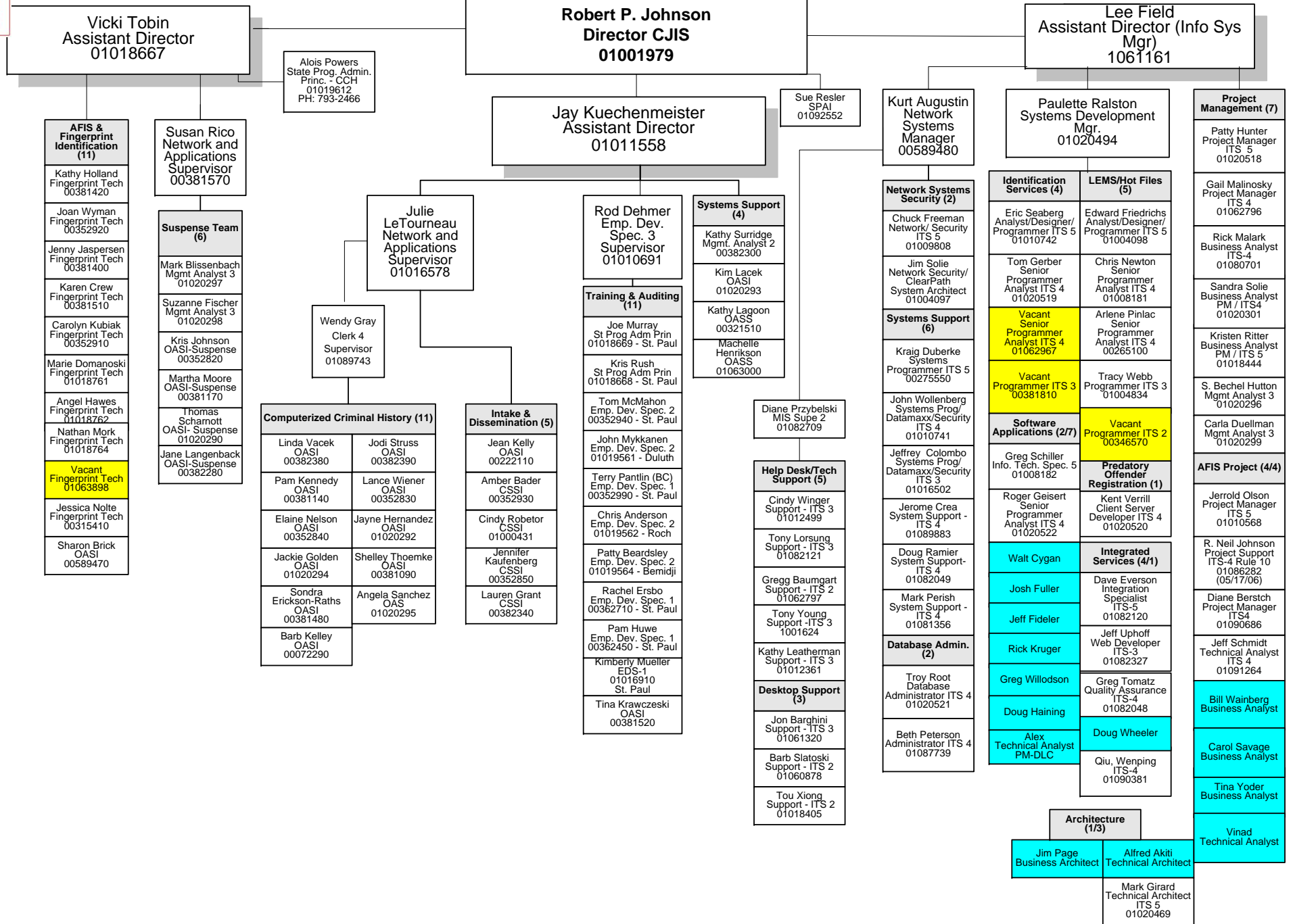
BIOMETRICS COE

BIOMETRICS MANAGER

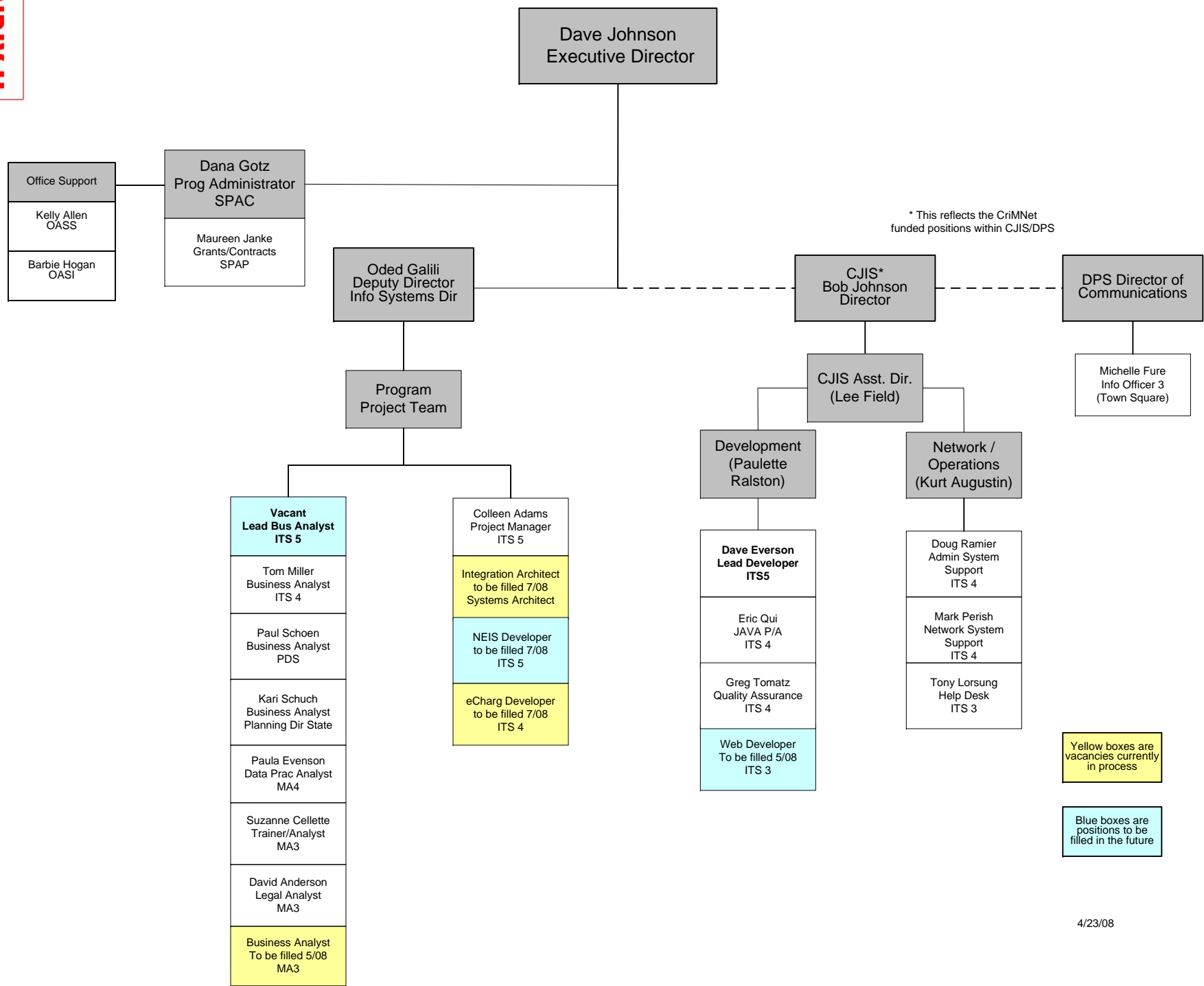


Organizational Chart – Step 2
Date: 04-23-08
Legend: [Work Groups]

Criminal Justice Information System



CriMNet Program Office

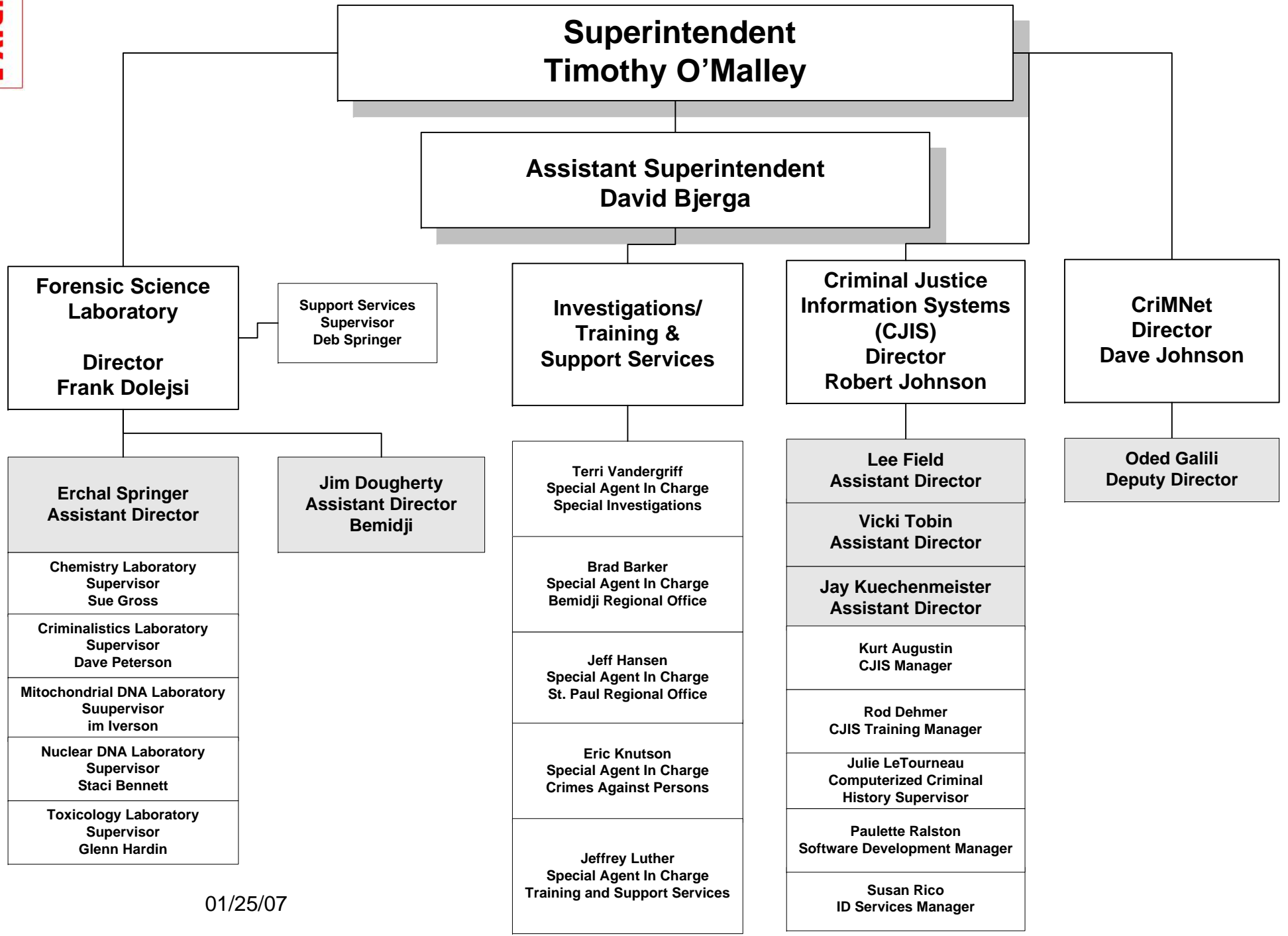


* This reflects the CriMNet funded positions within CJIS/DPS

Yellow boxes are vacancies currently in process

Blue boxes are positions to be filled in the future

Bureau of Criminal Apprehension



CJIS AND PROGRAM OFFICE ACTIVITIES AS OF MARCH 2008

Name	Description	Funded?	Project? Ongoing?	Mandate?	Active? Planned?
Adam Walsh Act			Project		Planned
Archive Services		Existing Staff	Project	No	Active
Asset Management	Create BCA-wide asset management procedure. Implement using the Service Desk Express tool.	Existing staff	Project	No-Could be done manually	Active
Audit Security	NexTest		Project	Yes	Active
BC & E	Background Checks & Expungements --				
BCA systems: Cisco 6509 Core Switch Redundancy	Modify BCA's Cisco 6509 core switch configuration for redundancy.	Existing staff	Project	No	Active
BCA systems: Data Center IDS/IPS	Implement Intrusion Detection/Prevention for the systems and User networks at the BCA.	Existing staff	Project	No	Active
BCA systems: nexTEST Certification Server	Implement nexTEST Certification server.		Project	No-can be done on paper for CIBRS & AI	Active
BCA systems: Pointsec Hard Disk Encryption	Continue to support Pointsec Hard Disk encryption on all BCA laptops	Existing staff	Project	Yes	Active
BCA systems: SharePoint Content - Intranet and external	Coordinate and monitor control of content		Project	No	Active
BCA systems: Sharepoint technical site management	Define policies and implement processes for Incident, Problem, Change, Release and Configuration Management. Implement Catlog of Services and move CJIR to new SharePoint 3.0 Public site.		Project	No	Active
BCA systems: USB flash drive encryption	Evaluate solutions alternative to Pointsec for Media Encryption for protecting BCA removable storage media.	Existing staff	Project	Yes	Active
BCA systems: Virtual Tape Library and Disk-Disk Backup	Implement NetApp VTL for increased backup efficiency and Disk-Disk backup.	Existing staff	Project	No	Active
BCA systems: Web meeting and collaboration tools	Research methods and support requirements for remote meeting and collaboration solutions.	Existing staff	Project	No	Active
BCA systems:: Service Desk Express	Implement Service Desk Express, Change Management and Configuration Management Support Modules.	Existing staff	Project	No	Active
BCA systems:Network and Server Management Monitoring	Implement Single Pane of Visibility system to monitor and alert on network, server and application status.	Existing staff	Project	No	Active
BIO-ID Publishing Service	Transmits biometric data between systems	Limited	Project	No	Beginning
C2C - CIBRS	Deploying the CIBRS application through the ESB. Working with the vendors to deploy the CIBRS application to their clients	Partially	Project	Priority, Commissioner of Public Safety	Active
Catalog of Services		Existing Staff	Project	No	Active
CCH Statute Table			Project		Planned
CCH Work Orders		With existing Staff	Projects		Planned
CDCL	Cascading Data Control Language - redacting data for data practices purposes				Planned
Cisco MARS Implementation	Implement centralized security Monitoring, Analysis and Response system.	Existing staff	Project	No	Active
CISRS	Court Information Summary Report System; research ability to link CISRs data to biometric identifiers as NEIS is implemented; research possibility of making CISRS available to other criminal justice agencies.			Task Force priority, Dec 07	
COB Switch Upgrade	Replace Cisco 3560's with Cisco 3750's	Existing staff	Project	No	Active
Computer use and computer security policy creation	Create policies surrounding Outlook Web Access, Removable Storage Media, and File Server File Retention.		Project	Yes	
DANCO / OFP Photo link	Domestic Abuse No Contact Orders and OFPs - design and implement feature allowing them to have photo of subject (From DL? Booking?)	Used Existing dollars Received no funding	Project	Yes	Active
Data Classification					
Data Mining Study	Support Task Force delivery team researching effects of Data Mining and possible remedies			Policy Group priority, June 07	Active
Data Practices / Data Quality	Work with agencies to update their service and data quality agreements and to assure that agencies are assessing data policy implications when developing or installing new systems			6th Task Force priority June 06	Active
Development Standards	Review current development activities to streamline processes for new architecture and easier deployment. This will include stored procedure structure, documentation, query structure, etc.				
DHS	Mental health - Gun permits ??		Project	No	Planned
Duty Officer Application	Application enhancements				
EA	Enterprise Architecture		Ongoing	No	Active

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APPENDIX J

eCharging	Research, design, implement and support electronic method of communication and collaboration between law enforcement and prosecution as they build criminal complaints and submit them to judicial officer			High priority because of link to NEIS	Active
ESB			Project	No	Active
Five-Char ORI		Existing staff	Project		Planned
IAM Applications			Project	No	Planned
IAM Federated			Project	No	Planned
IAM -SSO	Identity Access Management - Single Sign On; the foundation for a "single sign-on" will be created for future statewide systems and the BCA will be able to begin the conversion of current BCA systems/repositories to single sign-on		Project	4th Task Force priority-NO	Active
IAM Strong auth			Project	No	Planned
Integrated Search Services	Data availability will increase, and data sources will increase by at least one repository and connect to NEIS by the end of FY09. Users will be able to customize their user interface for results received through ISS by the end of FY09.			2nd Task Force priority (partial)	Active
Integration Cookbook	Implement ITIL-compliant processes and procedures for Incident, Problem, Change, and Configuration Management, as well as Asset Management and Purchase tracking. Align the ITIL processes with the PM-DLC.				Active
ITIL Process Implementation	Implement Service Desk Express, Change Management and Configuration Management Support Modules. Use for incident, problem, change and configuration management, as well as purchase request tracking and asset management for the entire BCA.	Existing staff	Project	No	Active
Juvenile Susp - CCH		With existing staff	Project (non IT)		Active
LEMS 3.2 cleanup			Project/Ongoing	No	Active
Liaison Program	Staff meet with agencies and professional organizations representing criminal justice agencies around the state to communicate about CrimNet projects and receive agency feedback on user priorities				Active
License Plate Reader	License Plate Reader technology --		Project/Ongoing	No	Active
MN Criminal Justice Information Integration Services (MNCJIS)	create the technology to enable electronic workflow and user defined delivery of information, which will allow for an e-charging application and enhanced electronic warrant processing			2nd Task Force priority (partial)	
MNCIS-CCH	Reengineer CCH to handle the new format of data from MNCIS, redesign business rules to resolve the suspense churns with MNCIS dispositions, rewrite the current user interface to CCH, reprocess all MNCIS dispositions from the beginning of MNCIS	Needs more funding	Project	No	Active
MNJAC Policy	assist with data practices compliance and help with formation and implementation of privacy committee				
MNJAC Tech	Minnesota Joint Analysis Center - ; provide telephone and data network communications and desktop computing support.	No	Ongoing now	Yes?	Active
MOC	work with key stakeholders to determine long-term use of Minnesota Offense Codes and any associated changes that should be made, and if use is discontinued, what should replace them.				Active
MRAP	Minnesota Repository of Arrest Photos --		Ongoing	Yes	Active
nAFIS BioID	New automated fingerprint identification system Bio-ID project -- BioID is short for Biometric Identification Service. BioID receives incoming transactions (criminal bookings, applicant fingerprints, 2-Finger ID, etc.) from Livescans, Rapid ID devices, etc. BioID contains the business rules and workflows for interfacing to AFIS, CCH, FBI IAFIS, and other systems.	Yes	Project	Yes	Active
nAFIS Flat Prints	New automated fingerprint identification system flat prints project -- The Flat Print ID project will define the specifications for flat print devices and the Use Cases for them. Flat print identification includes 2-finger Rapid ID.		Project	No	Planned
nAFIS G3 Livescans	New automated fingerprint identification system; implementation of newest (3rd generation) Livescan electronic fingerprint capture technology --	Yes	Project	No	Active
nAFIS Match	New automated fingerprint identification system; Minnesota Access To Criminal History -- MATCH project will provide a name and date of birth and fingerprint background check process that is much more automated than current processes.	Limited	Project	No	Active
nAFIS NFF	New automated fingerprint identification system National Fingerprint File (NFF) -- NFF is a set of FBI business rules governing submission of criminal and civil (applicant) fingerprint and IIR data. The NFF project incorporates those business rules into BioID. MATCH will be incorporating NFF as part of the base project.	Yes	Project	No	Active

nAFIS RDT4	New automated fingerprint identification system Remote Data Terminal Generation 4 (RDT4) -- The RDT4 is a 2-Finger Rapid ID capture product made by Identix. The RDT4s are wireless fingerprint capture devices used by law enforcement for field identification. The BCA is upgrading 104 existing RDT3s to resolve operational issues.	Yes	Project	No	Active
nAFIS RISC (FBI)	New automated fingerprint identification system Repository of Individuals of Special Concern (RISC)-- RISC is an FBI fingerprint database that contains fingerprint supported Wants & Warrants, registered sex offenders, and known & suspected terrorists. The BCA is currently a pilot agency for the FBI (the only agency currently participating in the pilot). BioID is submitting Rapid ID fingerprints to RISC. As part of the pilot the BCA is designing an interim process for handling responses from the FBI.	Pilot Funding	Project	No	Active
NCIC TOU	Technical and operational updates		Project(s)	Yes if we honor our commitment to the FBI	
NEIS	Name Event Index Service will link criminal justice records electronically, with most linked to a biometric identifier (such as a fingerprint). It will create a sort of 'card catalog' of criminal justice records and implements the identification roadmap.			Highest Task Force priority	Active
.Net 1.0 Application Upgrades	Upgrade .Net 1.0 apps to the .Net 2.0 Framework				
NLETS - DL Photo		Some possible grant dollars	Project	No	Planned
Permit Tracking System	Design, implement and support firearm permit tracking system with 5 year re-enrollment	None	Ongoing	Yes	Planned
PM-DLC	Project Management-Development Life Cycle software; customize, implement and adjust business practices		Project	No	Active
POR	Predatory Offender Registry --	Yes	Ongoing at this point. There may be new mandates coming from the 2008 session or from the Adam Walsh Act.	Yes	Active
QA Suspense study	Implement off-the-shelf help desk tracking software to serve entire BCA for incident, problem, change and configuration management, as well as purchase request tracking and asset management.				Active
RNC	Republican National Convention in St Paul Labor Day 2008 will require XXX	None	Project	No-not yet	Planned
Service Desk Express	Implement off-the-shelf help desk tracking software to serve entire BCA	Existing staff	Project	No	Active
SOA - Dakota	Service-oriented architecture project will work with Dakota County to deliver a number of services, including the Integrated Search application and Law Enforcement Message Switch (LEMS) queries via a service-oriented architecture. This project will serve as a proof of concept for this kind of service delivery.		Project	No	Active
Statute Services	Ongoing administration of service's content to reflect new legislation. Also upgrades to service.		Ongoing	No	
SUI	Standard User Interface will create a single screen where users can access a number of different systems not to merely query the information but to experience the full functionality of the system.			2nd Task Force priority (partial)	
Suspense prevention	involves a number of strategies to reduce the number of records going into suspense, including business process re-engineering, development of technical solutions and other activities.		Project non-IT	6th Task Force priority (partial)	Active
T&C	Testing & certification		Project	No	Active
Tech Refresh	Replacing underlying technology of I.S.S.				Active
Technical Standards - CJIR	Content of the technical standards and integration tool website (CJIR) is continuously maintained and updated by the Program Office in collaboration with criminal justice partners and vendors; goal is to assure standards and architecture are developed for new systems and standardized for similar applications.			3rd Task Force priority	Active
Validations	Online validation of NCIC Hotfile records		Project	No	Planned
Visual Source Safe Versioning	Review all code in VSS and assign an application or code version number.				
Warrant Search Filters	New methods of searching for warrants	No	Project	Yes, to honor our commitment to the FBI	Planned
Warrants Study	Support Task Force delivery team researching effects of Data Mining and possible ways for agencies to streamline warrant processes				Active

2007 Minnesota Statutes

299C.65 CRIMINAL AND JUVENILE JUSTICE INFORMATION POLICY GROUP.

Subdivision 1. **Membership, duties.** (a) The Criminal and Juvenile Justice Information Policy Group consists of the commissioner of corrections, the commissioner of public safety, the state chief information officer, the commissioner of finance, four members of the judicial branch appointed by the chief justice of the Supreme Court, and the chair and first vice-chair of the Criminal and Juvenile Justice Information Task Force. The policy group may appoint additional, nonvoting members as necessary from time to time.

(b) The commissioner of public safety is designated as the chair of the policy group. The commissioner and the policy group have overall responsibility for the successful completion of statewide criminal justice information system integration (CrimNet). The policy group may hire an executive director to manage the CrimNet projects and to be responsible for the day-to-day operations of CrimNet. The executive director shall serve at the pleasure of the policy group in unclassified service. The policy group must ensure that generally accepted project management techniques are utilized for each CrimNet project, including:

- (1) clear sponsorship;
- (2) scope management;
- (3) project planning, control, and execution;
- (4) continuous risk assessment and mitigation;
- (5) cost management;
- (6) quality management reviews;
- (7) communications management;
- (8) proven methodology; and
- (9) education and training.

(c) Products and services for CrimNet project management, system design, implementation, and application hosting must be acquired using an appropriate procurement process, which includes:

- (1) a determination of required products and services;
- (2) a request for proposal development and identification of potential sources;
- (3) competitive bid solicitation, evaluation, and selection; and
- (4) contract administration and close-out.

(d) The policy group shall study and make recommendations to the governor, the Supreme Court, and the legislature on:

- (1) a framework for integrated criminal justice information systems, including the development and maintenance of a community data model for state, county, and local criminal justice information;
- (2) the responsibilities of each entity within the criminal and juvenile justice systems concerning the collection, maintenance, dissemination, and sharing of criminal justice information with one another;
- (3) actions necessary to ensure that information maintained in the criminal justice information systems is accurate and up-to-date;
- (4) the development of an information system containing criminal justice information on gross misdemeanor-level and felony-level juvenile offenders that is part of the integrated criminal justice information system framework;
- (5) the development of an information system containing criminal justice information on misdemeanor arrests, prosecutions, and convictions that is part of the integrated criminal justice information system framework;
- (6) comprehensive training programs and requirements for all individuals in criminal justice agencies to ensure the quality and accuracy of information in those systems;
- (7) continuing education requirements for individuals in criminal justice agencies who are

- responsible for the collection, maintenance, dissemination, and sharing of criminal justice data;
- (8) a periodic audit process to ensure the quality and accuracy of information contained in the criminal justice information systems;
 - (9) the equipment, training, and funding needs of the state and local agencies that participate in the criminal justice information systems;
 - (10) the impact of integrated criminal justice information systems on individual privacy rights;
 - (11) the impact of proposed legislation on the criminal justice system, including any fiscal impact, need for training, changes in information systems, and changes in processes;
 - (12) the collection of data on race and ethnicity in criminal justice information systems;
 - (13) the development of a tracking system for domestic abuse orders for protection;
 - (14) processes for expungement, correction of inaccurate records, destruction of records, and other matters relating to the privacy interests of individuals; and
 - (15) the development of a database for extended jurisdiction juvenile records and whether the records should be public or private and how long they should be retained.

Subd. 2. **Task force.** A task force shall assist the policy group in its duties. The task force shall monitor, review, and report to the policy group on CriMNet-related projects and provide oversight to ongoing operations as directed by the policy group. The task force shall consist of the following members:

- (1) two members appointed by the Minnesota Sheriffs Association, at least one of whom must be a sheriff;
- (2) two members appointed by the Minnesota Chiefs of Police Association, at least one of whom must be a chief of police;
- (3) two members appointed by the Minnesota County Attorneys Association, at least one of whom must be a county attorney;
- (4) two members appointed by the Minnesota League of Cities representing the interests of city attorneys, at least one of whom must be a city attorney;
- (5) two members appointed by the Board of Public Defense, at least one of whom must be a public defender;
- (6) two district judges appointed by the Judicial Council, at least one of whom has experience dealing with juvenile court matters;
- (7) two corrections administrators appointed by the Minnesota Association of Counties representing the interests of local corrections, at least one of whom represents a community corrections act county;
- (8) two probation officers appointed by the commissioner of corrections in consultation with the president of the Minnesota Association of Community Corrections Act Counties and the president of the Minnesota Association of County Probation Officers;
- (9) four public members appointed by the governor for a term of six years, one of whom represents the interests of victims, and two of whom are representatives of the private business community who have expertise in integrated information systems and who for the purpose of meetings of the full task force may be compensated pursuant to section 15.059;
- (10) two members appointed by the Minnesota Association for Court Management, at least one of whom must be a court administrator;
- (11) one member of the house of representatives appointed by the speaker of the house, or an alternate who is also a member of the house, appointed by the speaker of the house;
- (12) one member of the senate appointed by the majority leader, or an alternate who is also a member of the senate, appointed by the majority leader of the senate;
- (13) one member appointed by the attorney general;
- (14) two elected officials appointed by the Minnesota League of Cities, one of whom works or resides in greater Minnesota and one of whom works or resides in the seven-county metropolitan area;

(15) two elected officials appointed by the Minnesota Association of Counties, one of whom works or resides in greater Minnesota and one of whom works or resides in the seven-county metropolitan area;

(16) the director of the Sentencing Guidelines Commission or a designee;

(17) one member appointed by the state chief information officer;

(18) one member appointed by the commissioner of public safety;

(19) one member appointed by the commissioner of corrections;

(20) one member appointed by the commissioner of administration; and

(21) one member appointed by the chief justice of the Supreme Court.

Subd. 3.[Repealed, 2005 c 136 art 11 s 18]

Subd. 3a. **Report.** The policy group, with the assistance of the task force, shall file an annual report with the governor, Supreme Court, and chairs and ranking minority members of the senate and house committees and divisions with jurisdiction over criminal justice funding and policy by January 15 of each year. The report must provide the following:

(1) status and review of current integration efforts and projects;

(2) recommendations concerning any legislative changes or appropriations that are needed to ensure that the criminal justice information systems operate accurately and efficiently; and

(3) summary of the activities of the policy group and task force.

Subd. 4.[Repealed, 2005 c 136 art 11 s 18]

Subd. 5. **Review of funding and grant requests.** (a) The Criminal and Juvenile Justice Information Policy Group shall review the funding requests for criminal justice information systems from state, county, and municipal government agencies. The policy group shall review the requests for compatibility to statewide criminal justice information system standards. The review shall be forwarded to the chairs and ranking minority members of the house and senate committees and divisions with jurisdiction over criminal justice funding and policy.

(b) The CriMNet program office, in consultation with the Criminal and Juvenile Justice Information Task Force and with the approval of the policy group, shall create the requirements for any grant request and determine the integration priorities for the grant period. The CriMNet program office shall also review the requests submitted for compatibility to statewide criminal justice information systems standards.

(c) The task force shall review funding requests for criminal justice information systems grants and make recommendations to the policy group. The policy group shall review the recommendations of the task force and shall make a final recommendation for criminal justice information systems grants to be made by the commissioner of public safety. Within the limits of available state appropriations and federal grants, the commissioner of public safety shall make grants for projects that have been recommended by the policy group.

(d) The policy group may approve grants only if the applicant provides an appropriate share of matching funds as determined by the policy group to help pay up to one-half of the costs of the grant request. The matching requirement must be constant for all applicants within each grant offering. The policy group shall adopt policies concerning the use of in-kind resources to satisfy the match requirement and the sources from which matching funds may be obtained. Local operational or technology staffing costs may be considered as meeting this match requirement. Each grant recipient shall certify to the policy group that it has not reduced funds from local, county, federal, or other sources which, in the absence of the grant, would have been made available to the grant recipient to improve or integrate criminal justice technology.

(e) All grant recipients shall submit to the CriMNet program office all requested documentation including grant status, financial reports, and a final report evaluating how the grant funds improved the agency's criminal justice integration priorities. The CriMNet program office shall establish the recipient's reporting dates at the time funds are awarded.

Subd. 6.[Repealed, 2005 c 136 art 11 s 18]

Subd. 7.[Repealed, 2005 c 136 art 11 s 18]