WYOMING DEPARTMENT OF CORRECTIONS

Policy and Procedure #1.402

Management of Information Systems

Authority: Wyoming Statute(s): 25-1-104; 25-1-105. ACA Standard(s): 4-4100; 4-4101; 4-4102; 4-4105- Rev; 4-4106; 2-CO-1F-01-R; 2-CO-1F-02; 2-CO-1F-03; 2-CO-1F-04; 2-CO-1F-05; 2-CO-1F-06; 2-CO-1F-07	**Effective Date:** February 10, 2016 **Revision/Review History:** 02/01/15, 03/01/14, 02/01/13 **Summary of Revision/Review:** Updates existing policy pursuant to annual review.
Cross Reference of Policy: P&P #1.009, *Release of Information*; P&P #1.400, *Monthly Reporting for Correctional Facilities*.	**Supersedes Existing Policy :**
Approved: R.O. Lampert — 2-10-16 Robert O. Lampert, Director — Date	

REFERENCE

1. **ATTACHMENTS – None Noted**

2. **OTHER – None Noted**

I. PURPOSE

A. Information Systems. The purpose of this policy and procedure is to establish guidelines for the management information systems that are used throughout the Wyoming Department of Corrections (WDOC) for the storage, retrieval, dissemination and use of regular reports of inmate/offender information, including evaluation and research. This policy shall provide for the uniform collecting, recording, organizing and processing of data developed for management information purposes. (ACA 2-CO-1F-R)

II. POLICY

A. General Policy. It is the policy of WDOC to govern access to and maintain use of an organized system of information collection, storage, retrieval, reporting, and review. The information system is part of an overall research and decision-making capacity relating to both inmate/offender and operational needs. (ACA 4-4100; 2-CO-1F-02)

1. WDOC information system(s) shall be managed in a way that assures WDOC staff and other authorized users have available to them a useful array of well-organized information about institutional operations and inmate/offender data in order to make informed operational and strategic decisions.

2. WDOC staff and other authorized users who have direct access to information in the information system shall be trained in the use and security requirements of the information system consistent with their job responsibilities. (ACA-4-4101)

3. This policy, together with the policies of the Department of Enterprise Technology Services, shall govern the security of information and the data collection system, including verification, access to data, and protection of the privacy of offenders and staff. (ACA 2-CO-1F-06)

B. Collaboration with Outside Agencies. It is the policy of WDOC to collaborate with criminal justice and service agencies in information gathering, exchange, and standardization. (ACA-4-4102; 2-CO-1F-07)

C. Performance Evaluation. It is the policy of WDOC to regularly evaluate the overall performance of the Department using data collected through the information systems. (ACA 4-4105- Revised) The agency's information system shall be sufficient to enable evaluation of the overall performance of the agency's correctional goals. (ACA 2-CO-1F-03)

D. **Information System Evaluation.** It is the policy of WDOC to annually issue a written evaluation of its information system. (ACA-4-4106)

E. **Access to Information Systems by Outside Users.** It is the policy of WDOC to permit controlled access to WDOC information systems by authorized employees of other State agencies (*e.g.*, the Wyoming Attorney General's Office) and approved contract service providers (*e.g.*, Adult Community Corrections Centers under contract with the agency, the medical and mental health provider under contract with the agency, the substance abuse treatment provider under contract with the agency, residential substance abuse treatment centers housing offenders, *etc.*)

III. DEFINITIONS

A. **Inmate:** Any person under the supervision of the Wyoming Department of Corrections who is not on parole or probation status. An inmate is a person who is incarcerated in any Wyoming Department of Corrections' correctional facility, Interstate Compact, county jail, municipal jail or in-state/out-of-state contract facilities, to include adult community corrections centers, who is committed to the custody and supervision of the Wyoming Department of Corrections.

B. **Monitor:** A computerized database used for maintaining records on all offenders under supervision (*i.e.*, probation, parole, or interstate compact) of the Wyoming Department of Corrections and inmates housed in adult community corrections centers.

C. **Offender:** A person who has entered a plea of guilty or has been convicted of a misdemeanor or a felony and is committed to the custody or supervision of Wyoming Department of Corrections; typically, a person under supervision of the Department on probation or parole.

D. **Research Manager:** The individual designated by the Department as the research manager, under the Deputy Director's office.

E. **Staff:** (*For this policy only.*) Staff include employees of the WDOC and authorized contractors involved in inmate or offender supervision and management for the Department.

F. **Wyoming Criminal Justice Information System (WCJIS):** The information system maintained by the Wyoming Division of Criminal Investigation that was established for the automated exchange of messages

and data between Wyoming law enforcement and criminal justice agencies. Via direct computer interface, WCJIS also provides communication capabilities with National Law Enforcement Telecommunication System (NLETS) and National Crime Information Center (NCIC).

G. Wyoming Criminal Information System (WCIS): A computerized database used for maintaining information on all individuals who are committed or assigned to Wyoming Department of Corrections facilities.

IV. PROCEDURE

A. Primary Information Systems. WDOC's information systems shall maintain an information system on all inmates and offenders under WDOC custody and supervision. The information systems shall provide for uniform collection, recording, organization and processing of data developed for information purposes. The two (2) primary WDOC information systems are:

1. Wyoming Criminal Information System (WCIS). Information available through WCIS includes, but is not limited to:

i. Offender demographics;

ii. Inmate classification and housing levels;

iii. Inmate movement history;

iv. Offense and sentencing information;

v. Inmate programming and education;

vi. Inmate needs assessment;

vii. Case notes and observations;

viii. Inmate conflicts and disciplinary action; and

ix. Release information.

2. Monitor. All active cases are required to be entered in Monitor in order to maintain accurate information and documents on offenders in the electronic case management system of WDOC Field Services Division (including inmates housed in adult community corrections centers). Information is available in the following three areas of Monitor:

i. **Investigation Module.** This module is used for tracking previous investigations and maintaining records on current investigations. All of the investigations conducted by the WDOC Field Services Division are required to be entered in Monitor.

ii. **Supervision Module.** This module is used for maintaining records on all offenders under community supervision; i.e. probation, parole, Interstate compact, Adult Community Corrections inmates.

iii. **Electronic Document Storage.** Select documents shall be maintained electronically through Monitor.

B. **Systems Training.** All staff and other authorized users with direct access to WDOC information systems shall be trained in and responsive to the systems security and operational requirements.

1. Authorized staff members shall be trained in the use of inputting and accessing information in the WCIS and Monitor systems. Initial training shall occur prior to required use of the information system. Specialized/advanced training shall be conducted as necessary, including training for other authorized users.

2. Staff and other authorized users utilizing WDOC information systems shall restrict use to that which is necessary for legitimate business purposes and shall maintain appropriate confidentiality of information.

3. Authorized staff and other authorized users shall use the WDOC information systems as directed and required for their respective positions and duties.

C. **Information Sharing**

1. WDOC shall work with state, national criminal justice and service agencies, and authorized contractors in information gathering, exchange and standardization which will allow for effective management and timely decision making, and in addition help prevent or reduce duplicated efforts and costs. Such information is shared through database repositories including but not limited to:

i. Wyoming Criminal Justice Information Network (WCJIS);

ii. National Criminal Information Center (NCIC) / Department of Criminal Investigation (DCI);

iii. Performance Based Management Standards (PBMS); and

iv. Wyoming Health Information Network (WHIN).

2. Outside criminal justice agencies may request information on individuals incarcerated. All requests for such information must be submitted to and approved by the appropriate staff in accordance with the WDOC Policy and Procedure #1.009, *Release of Information*.

D. Performance Evaluation Data. WDOC information systems shall be constructed to allow data to be used in evaluating overall Department performance.

1. The system shall be capable of assisting the agency in statistical analysis of the inmate/offender population.

2. The system shall be capable of delivering demand information that can be generated when special or periodic reports are required, and shall be capable of using different evaluation criteria with respect to different classification/supervision levels of inmates/offenders.

3. Facilities will submit a monthly report in accordance with WDOC Policy and Procedure #1.400, *Monthly Reporting for Correctional Facilities*. The report includes statistical data for analysis purposes of the facilities performance.

i. The Director shall receive summaries of the characteristics, movement, and status of the offender population at least quarterly. (ACA 2-CO-1F-05)

4. WDOC's criteria for evaluating overall institutional performance shall be specific and defined in writing. (ACA 4-4105 Revised)

i. The evaluation criteria shall consider the nature of events to be counted, the categorization of behaviors and degrees of seriousness to be included, and the duration of the follow-up period.

ii. The system for measuring the degree of internal order for correctional facilities shall include, at a minimum, the following: escape rate, frequency and number of assaults on staff, group disturbances by inmates, assaults and homicides by inmates,

weapons and/or illegal drugs found, and major and minor disciplinary actions.

iii. Management data on inmates shall permit categorization by age, sex, race, offense, and prior record.

5. The Field Services Division Administrator shall identify pertinent measures for evaluating the performance of the Division of Field Services.

6. Under the guidance and direction of the WDOC Research Manager, an annual report will be issued to the WDOC Director, using agreed upon performance measures, as to the performance of each WDOC facility and the Division of Field Services. (ACA 2-CO-1F-04)

i. The Deputy Administrator for Support Services, Prison Division, shall provide the WDOC Research Manager information on the WCIS system for the annual report.

ii. The Administrator for the Division of Field Services shall provide the WDOC Research Manager information on the Monitor system for the annual report.

E. Operational Terms. WDOC shall provide uniform and consistent standards for the definition of terms within WDOC information systems and when reporting information from those systems.

1. WDOC shall adopt PBMS count rules for measures defined therein.

2. Other measures shall be defined using the WCIS Data Dictionary.

F. Evaluation of Information Systems. WDOC shall evaluate, at least annually in writing, the effectiveness of its information system as it relates to overall department management, research operations, and progress toward goals and objectives. (ACA 4-4106)

1. The WDOC Research Manager shall annually issue a report to the WDOC Director as to the overall effectiveness, along with recommendations, of the information systems.

i. The Research Manager shall seek input from WDOC administrators and wardens for this annual report.

G. Security of Data and Hardware

1. Security of all data and automated equipment, including fax machines, computers, and modems, shall be the responsibility of the Chief Executive Officer (CEO), in concert with the responsible department head in whose area the data or equipment is located.

i. Under the direction of the Central Services Division Administrator, WDOC shall coordinate with the State of Wyoming, Department of Enterprise Technology to ensure that WDOC Information Systems are maintained with the appropriate level of security and that user permissions are granted in accordance with users' job responsibilities.

2. The goals of all such security precautions shall be the safeguarding of data, and the prevention of theft or unauthorized use by any individual, particularly inmates and offenders.

3. Applicable procedures shall ensure that the privacy rights of all staff and inmates/offenders are observed in the collection, storage and dissemination of all information in the automated information system.

4. The information that this system entails may be shared with, and may contain data provided by, other agencies and organizations in the criminal justice system. To the degree practical and within the provisions of applicable state laws regulations, data systems shall be standardized to facilitate data change.

V. Training Points

A. What are the two primary information systems for WDOC?

B. When are staff to be trained on the use of WDOC Information Systems?

C. Who is responsible for establishing information system security?