

California Department of Corrections and Rehabilitation

Enterprise Information Services



Strategic Offender Management System Project

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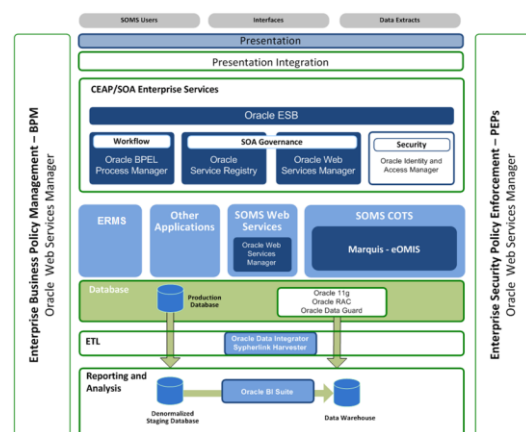
Executive Summary

The Strategic Offender Management System (SOMS) supports the California Department of Corrections and Rehabilitations' (CDCR) operations of the largest correctional system in the United States and one of the largest in the world. SOMS is an integrated electronic offender management information system that allows CDCR to realize improved safety of correctional staff, inmates, and the general public. The SOMS solution is a combination of a web-based Electronic Offender Management Information System (eOMIS) and the Electronic Records Management System (ERMS). SOMS provides benefits to CDCR by improving staff and inmate safety with secure access to accurate and complete offender information. The project also increases staff efficiency, effectiveness and data accuracy by providing access to real time information in a single centralized database. The SOMS project supports state public policy goals, represents an innovative use of new technology in California and assists government officials in executing their duties by enabling data sharing with other law enforcement and judicial agencies such as Department of Justice (DOJ) and Department of State Hospitals (DSH).

The CDCR has an annual budget of 8.5 billion dollars and is responsible for the safety and security of 137,000 inmates and 60,000 parolees with 57,000 employees in 35 institutions throughout California, ranging from Crescent City to San Diego, along with numerous administrative locations. CDCR is recognizing an annual savings of approximately 15 million dollars as a result of the reduction of paper generated in manual processes, staffing reductions and improved business process efficiencies. As a result of the implementation of SOMS, inmate data is available in real-time, and all inmate files are available in SOMS electronically for CDCR access statewide.

CDCR's SOMS solution was an implementation of Marquis and EMC² software solutions beginning in 2009. The one-time software and integration costs along with project staffing were approximately \$250 million. SOMS identified and worked to streamline the core offender management processes. Marquis and EMC² provided CDCR with more efficient, proven business processes as well as real-time reporting which allow for improved management of offender data.

The SOMS solution includes a Service Oriented Architecture (SOA) framework with web services, and browser based user accessibility, surrounded by a robust security layer. An electronic identity management function authorizes and authenticates users across the state and across business units. SOMS runs on a centralized database maintained on a platform of both UNIX and Windows HP servers.



Business Problem and Solution

Problem: In June 2004, the Corrections Independent Review Panel (CIRP) outlined the importance of information technology noting that CDCR needed the following to fulfill its mission: (1) An offender data system to consolidate all intake, history, and tracking of all inmates, or parolees. (2) data systems that would support 'evidence-based' decision making to measure the effectiveness of programs and parole policies to reduce the rate of recidivism.

At the time, CDCR was facing critical budgetary, business, and workload issues that affected not only the Department, but the entire State of California. Workload continued to increase due to the statewide budget shortfall, hiring freeze, and the need to provide accurate data for a variety of internal and external purposes. Many of the Department's offender management processes at the time were manual and paper intensive. These labor intensive processes offered no efficient means to identify deficiency drivers or control expenditures, and did not allow for easy collection and retrieval of historical data.

In addition, with the Department geographically spread across the entire state, each of the 35 institutions relied on paper inmate central files (C-Files) along with multiple stand-alone duplicative and antiquated systems to track inmate data. A major threat to CDCR's operations stability was the age of the primary legacy systems, over 38 years old. In even the best of the Department's systems, data between the institutions was always 24 hours out of date, making it very difficult to access real-time inmate data and to compile accurate data for department-wide reporting purposes.

The accuracy, timeliness, and integrity of the information CDCR executives needed for decision making was at risk. It was clear that a statewide integrated Offender Management System and database that had the ability to provide a variety of real time information was imperative to the Department's ability to make sound and accurate security, safety and rehabilitative decisions. The challenges and risks in achieving the successful procurement and implementation of an Offender Management system were great. However, the negative impact of not moving forward in this effort was far greater.

Solution: A SOMS Project Team was established to complete an analysis of the Department's business processes with the expectation that an integrated approach to the institution and parole functions be identified and implemented. Executives and Subject Matter Experts from all business areas collaborated over the course of two years to capture and blueprint the requirements governing the Department of Corrections. The overall goal was to realize increased efficiencies and functionality in processes that were mainly paper-based, reducing expenditures to the department and accurately reporting departmental information to the various agencies and legislative bodies requesting updates. Formal approval was secured from the Department of Finance in FY 2007 and the formal contract process occurred over the course of the next two years. A contract was awarded in April 2009 to HP (formerly EDS) as the System Integrator with Marquis Software and EMC² as the chosen solution partners. CDCR implemented an integrated electronic offender management information system that allows CDCR to realize improved safety of correctional staff, inmates, and the general public. SOMS was developed to reduce manual process, provide CDCR staff real-time data access by both digitizing the inmate C-Files with ERMS and creating a

centralized repository of inmate data with eOMIS. The project was kicked off with the deployment of ERMS in January 2010 followed by the first eOMIS functionality deployed which included Intake, Movement and Counts in March 2010. SOMS transitioned from Project to Program status in December 2013.

Significance of the Project

As the largest Offender Management System implemented in the nation, the state is now able to provide CDCR staff real-time offender data improving the safety of staff and inmates along with better care of inmates. Since going live, institution and administrative location staff have been able to benefit from the use of SOMS components. ERMS currently supports over 32,000 end users that are accessing inmate's C-Files on a real-time basis. eOMIS currently supports over 53,000 users and is processing an average of 84,800 visitors, 116,500 external movements, 27,500 reception center intakes, 99,400 bed assignments, 1,255 master count transactions, and 325,000 scheduling appointments on a monthly basis. SOMS replaces over 40 legacy CDCR systems. The two primary systems being replaced are the Distributed Data Processing System (DDPS) and the Offender Based Information System (OBIS). These two legacy systems were deployed as long as 38 years ago (OBIS 1976 and DDPS 1985). As part of the decommissioning process, data was converted from both OBIS and DDPS and migrated to eOMIS. This included over 1.1 million offender and 2.4 million visitor records. CDCR is now more aligned with the State's goal of standardizing business practices through the use of Information Technology with its implementation of SOMS.

SOMS provides benefits for both CDCR and the State that are both vital and widespread. The SOMS project exemplifies best practices in the State of California, supports the public policy goals of state leaders, represents an innovative use of new technology, and assists government officials to efficiently execute their duties. In support of AB109 Public Safety Realignment, SOMS provides a cost-effective solution that enables cross jurisdictional data sharing with other law enforcement and judicial agencies (i.e. Department of Justice (DOJ), Courts, Counties, etc.).

This project aligns with the NASCIO State CIO Priorities by consolidating and optimizing CDCR's internal administrative services to increase operational efficiencies. The implementation of SOMS also furthered collaboration efforts between divisions and their respective program areas as well as other state agencies.

Benefit of the Project

In addition to improving the safety of staff, inmates, and the general public, many significant process improvements, efficiencies and cost savings are already being realized. Some of the benefits include:

- With the standardization of business processes with eOMIS, the processing time of performing institutional counts has decreased by over 500 percent. The efficiency of counts has been vastly improved due to real-time identification of an inmate's location in SOMS. CDCR was also able to consolidate central control rooms at four institutions reducing duplication of effort and staffing.

- Due to process efficiencies gained with the deployment of ERMS, many institutions were able to consolidate case records offices resulting in an annual 8.2 million dollar cost savings with staffing reductions.
- Backlog of paper filing has been eliminated through scanning, providing a more up to date offender file allowing for critical decisions to be made with the most complete and up to date information at a touch of a button.
- Program areas now have the ability to data mine for information via standard reports and perform data analysis on inmate data, allowing the department to report on more accurate and current data.

Major stand alone systems that have been retired

- Offender Based Information System (OBIS) – OBIS was a mainframe application used statewide to track inmate external movements, commitment and sentence calculation data, warrants registry and general offender demographic data. The decommissioning of OBIS will save CDCR 3.2 million dollars annually.
- Distributed Data Processing System (DDPS) – Each institution had their own instance of the DDPS system. DDPS was used to track internal bed movements of inmates in addition to job assignments, classifications and general demographic data. The decommissioning of DDPS will save CDCR 1.1 million dollars annually.
- Access Databases and Excel Spreadsheets – There are hundreds of “rouge” Access Databases and Excel Spreadsheets used by all areas of the institutions and administrative locations for internal tracking of inmate data and activities. Many of these “rouge” databases/spreadsheets have been eliminated with the access to the real-time transactional data in eOMIS.

Interfaces that have reduced the amount of manual processes

- CCHCS Scheduling – In collaboration with California Health Care Systems (CHCS)/Receivership, CDCR deployed the SOMS Shared Calendar solution to establish a single, centralized, shared inmate calendar that is fully integrated with client legacy systems and addresses both custody and healthcare business needs. SOMS now contains an inmate’s master schedule which eliminates conflicting appointments and produces any passes an inmate may need for appointments within and outside the institution. This process has helped to provide timely inmate access to health care.
- Multiple External Partner Applications – There are multiple external partners that now receive automated nightly data feeds from eOMIS (i.e. DOJ, DSH, Social Security Administration). Prior to SOMS, manual processes needed to be performed to consolidate data from various systems, and send the data to these partners.

Increased Efficiencies

With the implementation of SOMS, many business processes and functions performed in the institutions have been re-engineered and greatly improved and have made staff, inmates, and the public safer. The benefits of eOMIS and the ERMS are being realized daily in the 35 institutions and various administrative locations.

The Department continues to identify areas to improve by adding functionality to the implemented system. One area includes inmate classification. With the planned

expansion of SOMS, the risk of housing inmates inappropriately in an institution will be eliminated because SOMS updates inmate housing information real-time and provides notice to staff of possible conflicts.

Following are a few of the many examples of improved efficiency, safety and service as a result of the SOMS implementation:

Electronic Offender Management Information System (eOMIS)

- **Intake:** The process for receiving an inmate into an institution has greatly improved with the implementation of eOMIS. Receiving staff no longer need to take turns processing an inmate through intake. With eOMIS the processing is completed online and there is no longer a need for paper documents to travel with the inmate from station to station to be processed. Due to parallel processing the intake process has been reduced to 3 hours. Before eOMIS the intake process for new offenders could take over 8 hours. With ERMS, returning offenders can be evaluated and moved through the reception process up to 2 weeks faster due to not having to wait for their C-Files to arrive from storage.
- **Movements:** Prior to eOMIS, movement processes (arrival, internal movements, gate passes and departures) were monitored and tracked via a manual paper process in which forms were created and passed from one group to another, and then manually entered into two separate systems. The legacy systems data would sometimes be up to 3 days old in OBIS which imposed a risk to both staff and inmate safety. Not only has eOMIS streamlined these processes, but eOMIS also enables the real time tracking of inmate movements (both internal and external, such as court appointments) so staff knows an inmate's location in real time.
- **Counts:** Before eOMIS, preparing a count could take as long as two hours. It is now completed in eOMIS in minutes allowing staff to focus on other duties providing a safer environment and improved staff safety. CDCR conducts inmate counts multiple times a day. Prior to eOMIS all counts needed to be phoned into Central Control which was very time intensive. Each area of the institution, including housing units and work sites can now log into eOMIS from any eOMIS authorized workstation and enter a count.
- **Scheduling (SOMS Shared Calendar):** Prior to eOMIS, custody and each healthcare domain maintained its own scheduling calendar, resulting in scheduling conflicts, inefficiencies, costs incurred for missed appointments, and potential inmate security and access to care concerns. With eOMIS, inmate appointments are automatically prioritized based on the type of appointment requested. To date, over 4 million inmate appointments have been tracked in the eOMIS application.
- **Holds/Warrants and Detainers (HWD):** Prior to eOMIS staff entered and maintained the same HWD data in multiple systems. HWD functionality now helps provide safer prisons and communities because the centralized real-time database of active Holds, Warrants and Detainers. This information is critical in accurate housing and release of inmates. eOMIS also provides alerts if there is an active hold or detainer on an inmate. This information mitigates the risk of inmates being erroneously released from prison when wanted by another law enforcement agency or housed inappropriately in a less restrictive security area.

- **Visitation:** Prior to eOMIS the visitation process was very manual, paper based and time intensive. With the automation of the eOMIS Visitation process, visitors who are approved or not approved to visit the inmate are identified. The streamlined process is now more efficient as it is reducing backlogs and waiting times for both inmates and visitors allowing inmates more time with their visitors and allows staff to focus on other duties providing a safer environment.
- **Sentence Calculation:** Prior to eOMIS the Sentence Calculation process was also very manual, paper based and time intensive. With the automation of the eOMIS Sentence Calculation module, Case Records staff no longer have to manually calculate inmate release dates. Release dates are automatically calculated by eOMIS during the initial intake process and throughout an inmate's incarceration. Each time an inmate receives a credit adjustment; eOMIS recalculates the release date and notifies the inmate, any applicable staff, and external agencies. eOMIS calculates approximately 20,000 release date changes per month.
- **Classification:** As eOMIS contains all the inmates past incarceration history and present case status, when classification is deployed, staff can review an inmate's past behavior, current case factors, medical and mental health issues, employment history, drug and alcohol history, etc. in a more efficient manner. Having all this information in real-time will prevent inappropriate placement of inmates based on security level, rehabilitative needs, etc.

Electronic Records Management System (ERMS)

SOMS has expedited the records retrieval processes with ERMS. Prior to ERMS, staff had to either travel to a case records office where the inmate is housed to obtain an offender's C-File or have the files transported to their location which could take up to two weeks. ERMS now allows all authorized staff to view C-File documents for all inmates in real time across the state. There is also no longer the issue of another staff member having the inmate's C-File checked out as multiple people can simultaneously access the same inmate's C-File via the ERMS Viewer application. Cost savings identified with the deployment of ERMS include:



- 164 case records positions are no longer required, saving \$8.2 million annually due to not needing staff to physically pull C-Files, prepare copies, transfer files, etc.
 - A warehouse to store paper C-Files is no longer required, saving \$1 million annually.
 - Major reduction in the need for paper copies reducing the amount of paper purchased, saving approximately \$500,000 annually.
 - CDCR staff are no longer required to travel from headquarters to the 35 institutions to endorse/review inmate cases, saving \$500,000 annually in travel expenses.
- At the completion of the ERMS scanning project over 170,000 inmate C-Files comprised of over 250 million document/images were scanned and loaded into the ERMS system.