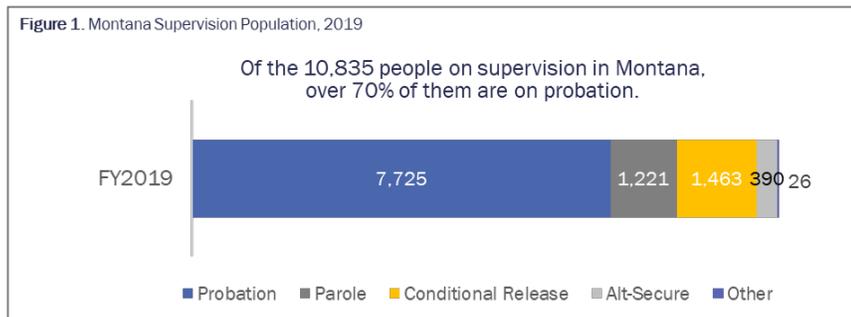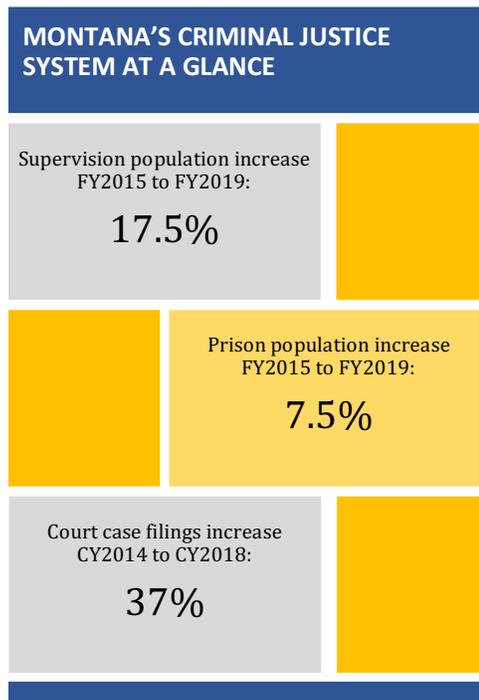# MONTANA CASELOAD STUDY REPORT

Introduction

In 2019, the Montana legislature asked the Montana Department of Corrections (MDOC) to conduct an organizational assessment of the supervision structure and allocation of offender caseloads across probation and parole staff that is based on offender risk levels determined through a risk assessment. To carry out this project, MDOC requested assistance from The Council of State Governments (CSG) Justice Center. Through quantitative and qualitative analysis, CSG Justice Center staff acquired a deep knowledge of the policies and practices, current reforms, and data capacity of the MDOC, which are reflected in this report. The caseload report assesses the following:

1) Current pressures on Montana's supervision system
2) MDOC's use of risk, need, responsivity (RNR)-based supervision and caseloads
3) The structure of the probation and parole division within MDOC
4) Opportunities to increase the efficiency and efficacy of MDOC's probation and parole division and the supervision of almost 11,000 people in Montana (see Figure 1.)

MONTANA'S CRIMINAL JUSTICE SYSTEM AT A GLANCE

Supervision population increase FY2015 to FY2019:
17.5%

Prison population increase FY2015 to FY2019:
7.5%

Court case filings increase CY2014 to CY2018:
37%

Figure 1. Montana Supervision Population, 2019

Of the 10,835 people on supervision in Montana, over 70% of them are on probation.

FY2019 — Probation 7,725 | Parole 1,221 | Conditional Release 1,463 | Alt-Secure 390 | Other 26

Legend: ■ Probation ■ Parole ■ Conditional Release ■ Alt-Secure ■ Other

Justice Reinvestment in Montana

Justice Reinvestment is a data-driven process to reduce corrections spending and reinvest savings in strategies that can decrease recidivism and increase public safety. In June 2015, Montana state leaders requested and received support to employ a Justice Reinvestment approach to study the state's criminal justice system, which resulted in nine pieces of enacted legislation: Senate Bills 59, 60, 62, 63, 64, 65, 67, Senate Resolution 3, and House Bill 133.

The Montana Department of Corrections (MDOC) has worked in partnership with the CSG Justice Center to analyze data, assess community supervision systems, and improve evidence-based policies and practices. Specific implementation efforts were focused on parole board practices, supervision practices, program evaluation processes, and data collection that will address both prison and jail population growth, reduce recidivism, and avert supervision population growth. It can take three to five years for full impacts from a Justice Reinvestment process to be realized.

Context and Methodology

MDOC and the CSG Justice Center established a work group in October 2019 for the specific purpose of gathering and analyzing data and reviewing policies, procedures, processes, and documents to guide this analysis. MDOC's eight-member work group consisted of a project manager, Justice Reinvestment coordinator, statistics and data staff, along with probation and parole division leadership. From October to November 2019, the work group met regularly with CSG Justice Center policy and research staff to provide information, add context, and review findings.

Quantitative Analysis

CSG Justice Center staff conducted quantitative data analysis based on more than 1.2 million data records provided by MDOC. Every attempt was made to identify trends and examine data over a five-year time span from State Fiscal Year (SFY) 2015 to SFY2019. There was special focus on SFY19 to understand recent supervision practices. In addition, case filing data was obtained through the Administrative Office of the Court's published annual reports. Data reviewed included the following:

- MDOC 2019 Biennial Report
- Probation and parole division staffing levels, SFY15–SFY19
- Probation and parole division organizational chart, November 2019
- District court case filings, calendar year (CY)15–CY18

- Supervision caseload volume, SFY15–SFY19
- Probation and parole officer supervision contacts with people on supervision, SFY15–SFY19
- Early release and Conditional Discharge from Supervision (CDFS) considerations for people on supervision, July 2018–November 2019
- Average length of stay metrics for the supervised population, SFY19
- Revocation rates by region, SFY19

Qualitative Analysis

CSG Justice Center staff reviewed MDOC policy, procedure, and processes. The MDOC work group provided additional context and insight into the findings that resulted from this analysis. CSG Justice Center staff facilitated phone discussions with multiple levels of MDOC staff to understand tasks and duties of probation and parole officers (POs), institutional probation and parole officers (IPPOs), and institutional case managers (CMs). Members of the MDOC workgroup and MDOC leadership reviewed the findings in this report for accuracy.

## Research, Findings, and Recommendations

A staffing analysis, such as this workload study, of probation and parole officers that includes and organizational assessment of the supervision structure, caseloads, and use of risk assessments also requires an in depth analysis of how staff function relative to supervision practices more generally and an understanding of the system pressures which contribute to and impact staffing and practices. Using both qualitative and quantitative data, the CSG Justice Center organized findings and recommendations into three categories: (1) criminal justice system pressures, (2) supervision practices, and (3) organizational structure and staffing. Criminal justice system pressures explore the current challenges in Montana's criminal justice system, focusing on issues affecting the supervision population and strategies that can impact the supervision population, staffing, and caseloads. The supervision practices section of this report examines the workload (e.g., reporting requirements, data entry, contact requirements) of probation and parole officers, while the organizational structure and staffing section explores the caseloads (e.g., number and risk levels of people an officer is assigned) of POs and staffing. Findings and recommendations are grounded in research to provide policymakers and MDOC leadership with a foundation for decision-making within the state.

Criminal Justice System Pressures

Approximately 4.5 million Americans, or 1 out of every 55 adults, are on probation or parole, an increase of more than 300 percent since 1980.[1] Increases in supervision populations can create high officer caseloads, strain resources, and create barriers to recidivism reduction. Research shows that approximately 70 percent of people who fail on supervision do so within the first two years of supervision (see Figure 2.).[2] Because most people fail early in their supervision term, long supervision term lengths are often ineffective and drain resources. Approximately 30 states have tackled this issue by placing a cap on felony probation terms of 5 years or less, and 35 states have mechanisms for early release from supervision.[3]

Figure 2. Five-year rearrest rates for people released from prison in 30 states, 2005

| Year 1	Year 2	Year 3	Year 4	Year 5
175,603	65,356	33,551	20,942	14,522
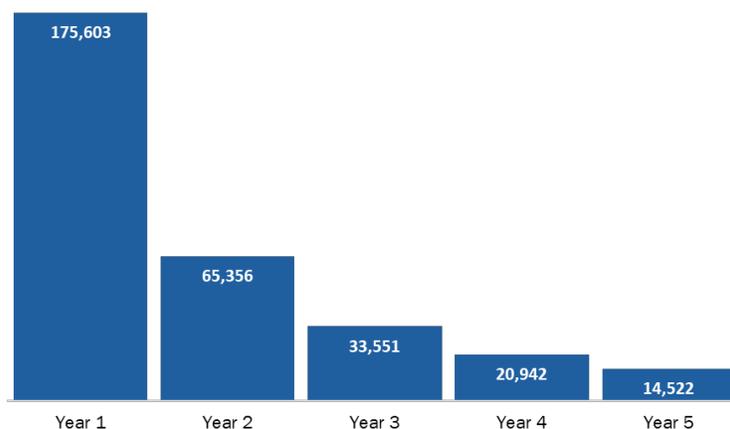
Findings

1. **Over the past five years, Montana has seen increases in felony-level case filings, the prison population, and the supervision population.**
   a. **Felony court case filings.** Felony court case filings have increased 37 percent from Calendar Year (CY) 2014 to CY2018 but have begun to decline in CY2019.[4] Increased case filings place additional pressure on probation and parole staff required by law to conduct pre-sentence investigations (PSIs) within 30 days of a guilty plea or verdict. Since 2014, 3 additional district court judges have been added in the state, for a total of 49 district court judges, which increases the volume of PSIs requested per court every month.[5]
   b. **Montana's prison population**. The prison population increased 7.5 percent from SFY2015 to SFY2019, averaging approximately 2 percent per year for the lasts three fiscal years.[6] The prison population growth is being driven by an annual increase in prison admissions, which were particularly high for

both new court commitments (41-percent increase) and revocations (85-percent increase) between SFY2018 and SFY2019 (see Figure 3).[7] It should be noted that in FY2018, MDOC increased bed capacity by 205 to reduce the county jail backlog, which accounts for a portion of the increase MDOC has experienced.

Figure 3. Admission to Montana Prisons, 2015-2019

	FY2015	FY2016	FY2017	FY2018	FY2019
Total	1,212	1,127	1,267	1,306	2,134
Other Admission Types	185	147	187	144	129
Revocations from Supervision	744	725	797	829	1,536
New Commitments	283	255	283	333	469

■ New Commitments ■ Revocations from Supervision ■ Other Admission Types
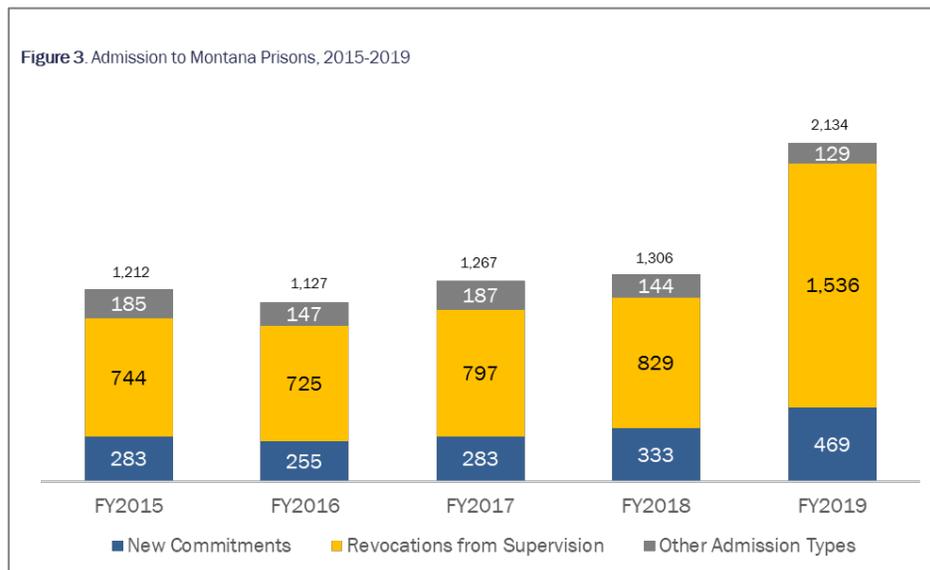
c. **The supervision population** (probation, parole, conditional release, and alternative placements). Montana's supervision population increased 17.5 percent from SFY2015 to SFY2019 (see Figure 4).[8] This growth impacted all six regions of the state and all supervision types; however, the female supervision population saw the most significant increase—27.3 percent—versus an increase of 14.1 percent for men on supervision.

Figure 4. Montana Supervision Population, 2015-2019
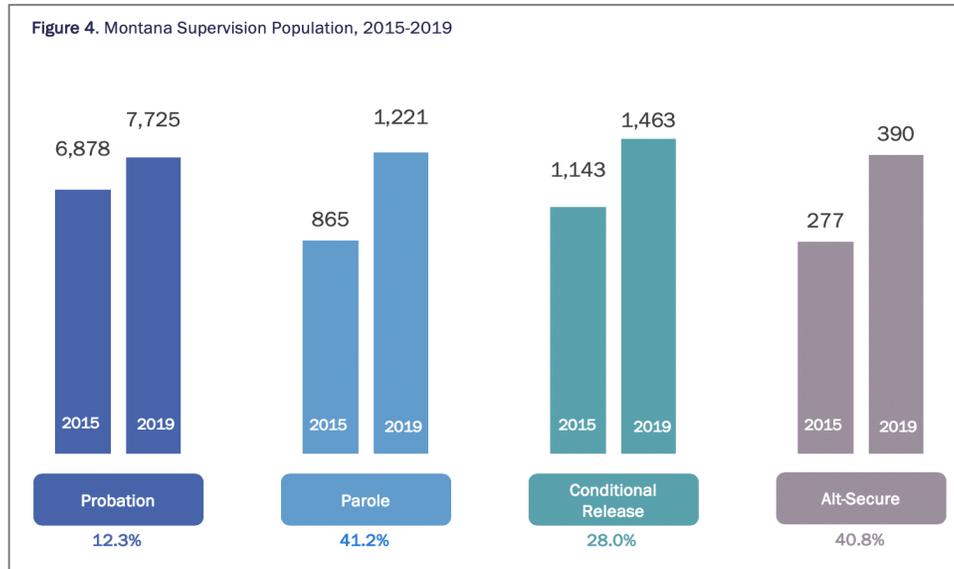
2. **Over half of supervision failures after release from prison occur within the first year**. In Montana, 57 percent of men and 53 percent of women who returned to a correctional facility after release from prison (both direct discharge from prison with no supervision and parole supervision) did so within the first year after release.[10] The first year of supervision is critical, and resources for behavior change should be prioritized when people are at the highest risk of failure. Additionally, the importance of reentry planning prior to released should also be stressed. Longer supervision terms can mean that critical resources are disbursed toward the end of people's sentences when their risk of returning to prison is much lower.[11]

3. **People are successfully completing parole or conditional release and are then transferred to probation to serve a suspended sentence.** At sentencing, a judge has the option to utilize a suspended sentence for a person convicted of a felony. The term of the suspended sentence is for a period up to the maximum sentence allowed, and the suspended sentence is served under the jurisdiction of the court and probation supervision. Additionally, the sentencing judge has the ability to utilize a suspended sentence in conjunction with a DOC Commit or prison placement where the suspended portion of the sentence is served after the DOC Commit or prison placement. In SFY2019, 193 people successfully completed parole or conditional release and were subsequently transferred to probation supervision to serve a suspended sentence.[12] The supervision of 193 people for one year costs the state approximately $442,935.[13]

4. **Since Justice Reinvestment was enacted, Conditional Discharge from Supervision (CDFS) and early release from supervision have increased 9.4 percent.** Detailed criteria for CDFS eligibility was enacted in 2017 to allow people on

supervision to be released early based on compliance with supervision rules and financial obligations. CDFS was structured so that people assessed as low risk are eligible at an earlier time in their supervision term than people assessed as high risk based on research demonstrating that unnecessarily keeping low-risk individuals under correctional control can increase their likelihood of committing a new offense. Since Justice Reinvestment was enacted, CDFS for people on probation has increased, while early releases from supervision have decreased. The net result has been an overall increase of more than 9 percent (see Figure 5).[14] The impact of the CDFS was projected to be greater than what has occurred in Montana. Based on the limited data available on eligibility of people for CDFS and approval rate of CDFS requests, it is difficult to determine if everyone who is eligible is receiving conditional discharge from supervision. MDOC has implemented tracking measures to collect this information; however, it has not been in place long enough for sufficient evaluation.

Figure 5. Conditional Discharges and Early Releases in Montana, 2015-2019
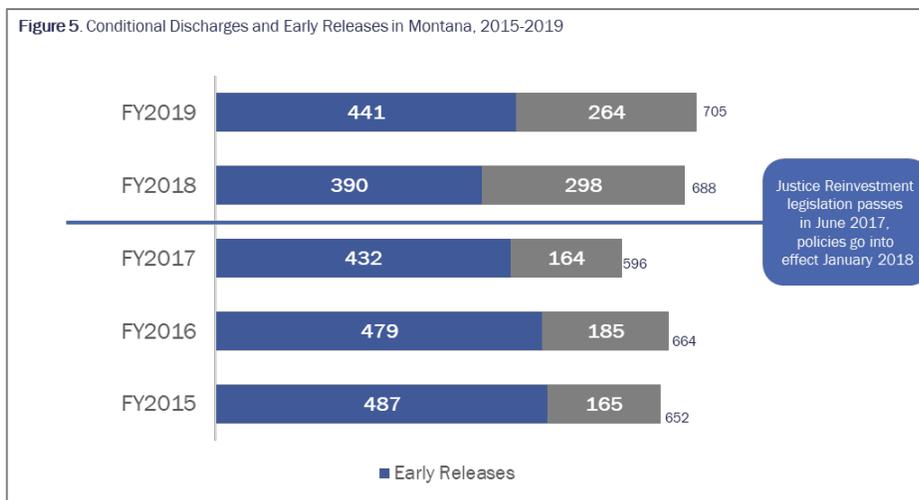
Recommendations

Montana Department of Corrections

- **Examine what is driving growth in the prison and supervision populations, as well as the increases in felony case filings.** The significant increase in prison admissions for both new commitments and revocations requires additional analysis. Understanding what is driving the high rate of revocations can help the state develop appropriate strategies to address the increases while maintaining public safety. Specific attention should be paid to technical violations and whether additional training of officers and programming for people on supervision can lower the technical violation rate. The assessment of drivers should be completed for each

judicial and probation district to determine if certain geographic areas of the state are driving the increases.

- **Evaluate and report supervision lengths for both successful and unsuccessful supervision terms.** CSG Justice Center staff were unable to examine supervision lengths for this report due to how information is collected in the Offender Information Management System (OMIS). Understanding how long people are on supervision and at what point during their supervision term they fail can help identify points in time when effective strategies to improve supervision successes and reduce recidivism should be implemented. Data on supervision term lengths should be examined for people on probation, parole, conditional release, and probation for a suspended sentence. The supervision lengths should be cross-referenced with the risk assessment level that people on supervision were assigned.

Potential Legislative Options

- **Evaluate the effectiveness of suspended sentences on recidivism reduction in Montana.** Reduce supervision lengths by capping suspended sentences terms. This may benefit the supervision population in Montana without compromising public safety. Long supervision terms increase caseloads, consumer resources, and may be unnecessary depending on when people fail during their supervision term.
- **Consider allowing people on conditional release (e.g., DOC Commit) to be eligible for CDFS utilizing current criteria.** In Montana, only people on probation and parole supervision are currently eligible for CDFS. People sentenced as a DOC Commit—where the judge grants MDOC the authority to determine placement in an institution, treatment facility, or community supervision (e.g., conditional release)—are ineligible for CDFS. In SFY2019, 1,041 people were placed on conditional release.[16]

Supervision Practices

Community supervision (i.e., probation, parole, and conditional release) provides an alternative to incarceration, connects people to relevant programming, and ultimately holds individuals accountable. Risk and need assessments, such as the Montana Offender Reentry and Risk Assessment (MORRA) and Women's Risk and Need Assessment (WRNA) used in Montana, provide direction to probation and parole officers on the intensity of supervision needed, programming and services that would be most effective to promote behavior change, and the ability to see change over time. Officers should also use assessment results to identify responsivity factors, such as a lack of motivation or language barriers, and tailor

interventions to address challenges that may limit a person's success on supervision. Ultimately, officers should hold people accountable by confronting inappropriate behavior and sanctioning misconduct, but also support people's rehabilitation by proactively engaging them in appropriate treatment and services prior to any violations of their supervision conditions and providing incentives and positive reinforcement for progress made toward the goals identified in their case plan. The examination of supervision practices provides context and understanding of PO workload which provides insight into staffing needs and organizational structure.

Findings

1. **MDOC supervises people based on their assessed risk level**.
   a. **Policy and procedure.** In accordance with nationally recognized best practices, MDOC policy requires POs to supervise people assessed as high risk at a higher level than people assessed as low risk. However, an examination of contact requirements reveals that there is minimal differentiation between the amount of contacts for people assessed as moderate and low risk. Contacts should decrease as a person's risk level correspondingly decreases.

Montana[17]				
Supervision Level	**Offender Contacts** (Per Year)	**Collateral Contacts** (Per Year)	**Monthly Report** (Mail/Email Update)	**Total**
High	24	12	0	36
Medium	12	12	0	24
Moderate	4	4	8	16
Low	4	2	8	14
Administrative	1	0	11	12
Idaho[18]				
Supervision Level	**Offender Contacts** (Per Year)	**Collateral Contacts** (Per Year)	**Monthly Report** (Mail/Email Update)	**Total**
Level 4	24	12 (up to 12 additional if in programming)	0	36–48
Level 3	18	6 (up to 12 additional if in programming)	0	24–36
Level 2	2	2 (up to 4 additional if in programming	0	4–8
Level 1	No Standard – Respond to critical incidents and evaluate placement every 180 days			
Limited Supervision Unit (LSU)	0	0	12	12

b. **Data**

i. **Contacts by risk level**. A review of data on the frequency of contacts based on assigned supervision levels indicates that MDOC probation and parole staff have an increased amount of contacts as the supervision level increases; however, the analysis was unable to ensure that the type of contacts (i.e., offender contact, collateral contact, and monthly report) were completed according to policy. According to policy, contacts should range from an average of 18 per year for low supervision levels to an average of 39 per year for high supervision levels.[19] For men, low-risk cases have 18.6 contacts per year, moderate-risk cases have 29.1 contacts per year, high-risk cases have 35.9 contacts per year, and very high-risk cases have 43.5 contacts per year.[20] Women have 2 to 3 fewer contacts per year across each of the four categories.[21]

ii. **Type of contact**. OMIS has eight different contact types, which were collapsed into three contact types for analysis: offender contacts, collateral contacts, and monthly reports. The distribution of each type of contact remained relatively constant between SFY2015 and SFY2017, but in SFY2018 and SFY2019, offender contacts increased 13 percent, while collateral contacts and monthly reports decreased 7 percent.[22] Changes to the risk profile of people on supervision during the same timeframe do not account for these changes in the distribution of contact type. Therefore, this change is likely due to a shift in supervision practices beginning in 2018. Increased in-person contacts with someone on supervision, with a decrease in monthly reporting creates an increased workload for POs.

Contacts occur via face-to-face meetings in the office, at the person's home, or in the community. These contacts take time in order to assess the safety and stability of the home, dynamics of relationships with others in the home, and indications of noncompliant behavior, such as drug/alcohol use, association with known felons, or the presence of weapons. Monthly reports require POs to verify that the person on supervision submitted paperwork providing a written update on supervision progress. Follow-up may be needed if a person on supervision does not submit the required monthly report; however, it generally takes less time to verify monthly reports than it does to meet face-to-face with a person on supervision.

2. **The MORRA and WRNA have not been validated on the Montana population.**
Revocation rates range from 27 to 40 percent depending on the region in Montana,
yet 84 percent of the supervision population is assessed as low or moderate risk (see
Figure 6).[23] This shows there is potentially a discrepancy between the assessed risk
level and high rates of reincarceration. To understand these discrepancies, the
MORRA and WRNA should be validated on the population in Montana.

Figure 6. Caseload Supervision Risk Levels by Region in Montana, FY2019
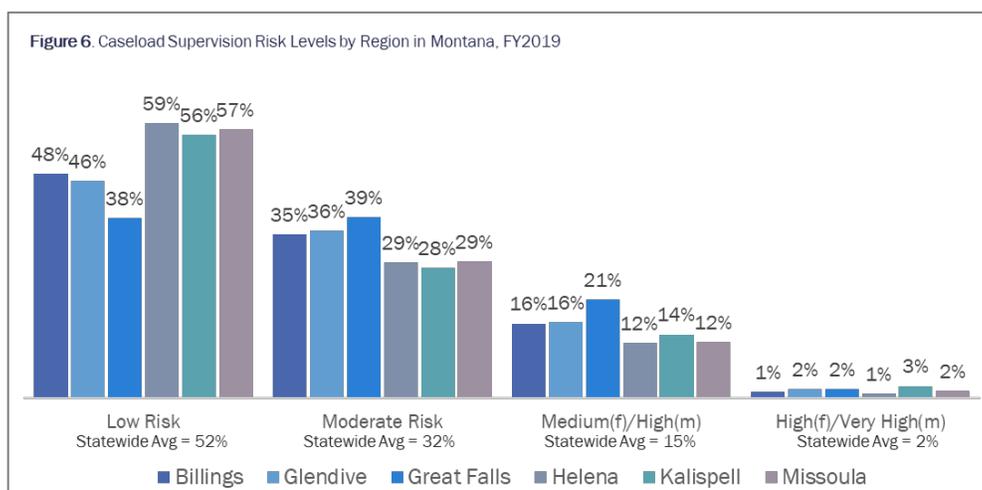
3. **There are inequitable workloads among probation and parole officers**.
Nationally recognized best practices indicate that supervision agencies should
establish caseload maximums by risk level or develop a rubric that weights higher
supervision levels more than lower supervision levels to ensure an equal workload
among officers. MDOC encourages supervisors to account for risk level when
assigning cases; however, standards to ensure workload equity do not exist. Data on
the distribution of risk levels among POs in Montana demonstrates inequitable
workloads among supervision officers.
4. **Information is not fully shared across divisions and criminal justice agencies.** As
a result, risk assessments, case plans, and programming to address criminogenic
needs are often duplicated as a person moves from incarceration to supervision.
5. **While MDOC plans to implement an updated version of the OMIS in 2020, the
current version creates inefficiencies and data reporting challenges.**
   a. **Data system**
      i. **Some data fields don't autofill and may have several unnecessary
      steps to complete.** The autofill function varies by field, which causes
      inefficiencies and promotes inconsistencies in data entry. Additionally,
      unnecessary and/or similarly worded data fields can cause
      inaccuracies in reporting by staff.

ii. **Reports for supervisors are lengthy and do not display data in a user-friendly way.** Reviewing reports, identifying errors, and ensuring timeliness of work consumes a significant amount of supervisor time, which takes away from the supervisor's ability to effectively coach staff, ensure that interactions with people on supervision are effective, and monitor accuracy of assessments. MDOC began creating a few dashboards but has delayed these reports until the new version of OMIS is complete and implemented.

iii. **Reports from OMIS are most frequently used to identify errors instead of drive decision-making.** This limits MDOC's ability to use data to inform regular decision-making and policies.

Recommendations

Montana Department of Corrections

- **Ensure the accuracy of the MORRA and WRNA by validating each tool by race and gender.** MDOC should implement quality assurance (QA) and continuous quality improvement (CQI) protocols to ensure the accuracy of MORRA and WRNA assessments. QA is an audit process that retrospectively examines completed assessments to ensure they are fully filled out and scored according to designated protocols. CQI requires direct observations of staff conducting assessments to ensure interviews are completed appropriately and the assessment is scored properly. Both QA and CQI protocols are necessary to ensure the accuracy of assessments. The validation of the MORRA and WRNA should not happen until the accuracy of assessments is confirmed through QA and CQI protocols; otherwise MDOC risks validating assessments on incorrect data. Once the accuracy of assessments is confirmed, through QA and CQI protocols, MDOC should validate the MORRA and WRNA assessments on the supervision population in Montana with racial and gender breakdowns. To the extent possible, validation should adhere to best practices and standards that have been developed through current research.[24] Ensuring accuracy and validating assessment tools will guarantee that people on supervision are supervised at the appropriate level and receiving necessary services to reduce recidivism.

- **Ensure that probation and parole officers have equitable workloads.** A structured system of factoring in assessed risk level when assigning cases to staff will ensure a more reasonable workload distribution amongst staff. MDOC should develop caseload maximums by risk level or develop a rubric that weights higher supervision levels more than lower supervision levels. For instance, in Texas, parole caseload goals range from a low of 14 people per officer for the most intensive GPS supervision, to a high of 75 people per officer for average typical caseloads.[25] Alabama

allows officers to have higher caseloads but limits the number of high-risk people on an officer's caseload to 20.[26] As a result, the caseload sizes among probation and parole officers vary but the workload is more equitable.

- **Ensure there is adequate differentiation of contacts and supervision based on assessed risk level.** Research indicates that people assessed as high risk do best with more frequent contacts, programming, and services. As risk levels decrease the contacts, programming, and services should correspondingly decrease.[27] Ensure that OMIS can track contacts, programming, and services based on assessed risk level. Additionally, implement QA and CQI protocols to confirm POs are using appropriate supervision techniques to promote behavior change.

- **Develop a unified comprehensive case plan that follows a person as they transition from incarceration to supervision or move from one facility to another and ensures that information is shared across agencies and providers.** Wisconsin Department of Corrections is an example of an agency that instituted unified case plans that are updated as a person moves through the system instead of re-creating them at each stage. This will create efficiencies and reduce staff workload.

- **Continue the OMIS Governance Committee and identify resources necessary to become a data-driven organization.** In June 2018, MDOC established the OMIS Governance Committee, which is charged with oversight of all aspects of the correctional system. Standing data governance, security and access management, records and document management, and training committees were created. The governance committee meets monthly to review reports from the standing committees, assigns tasks to the committees, and reviews all system change requests. MDOC should continue to work toward the vision of a user-friendly data system to reduce data entry errors and provide real-time data outputs to all levels of staff in a visual way that is easy to consume and understand in order to make data-driven decisions. Findings identified with OMIS are not a direct reflection of the skill set of staff employed by MDOC, but a function of resources and staffing levels being inadequate to make improvements in an expedited way to become a data-driven organization. The OMIS Governance Committee should expand past evaluating OMIS improvements to additionally identify resources and staffing necessary to meet the needs and vision of MDOC becoming a data-driven organization.

- **Adopt policy to expand the use of monthly reporting, or administrative caseloads.** A 2019 Idaho report indicated that the creation of Limited Supervision Units (LSUs) has saved the state $10 million since 2015.[28] The cost of the LSU in Idaho is approximately $.45 per day compared to the average cost of supervision in Montana of $6.29 per day.[29] Additionally, the LSU has allowed Idaho to reduce caseload sizes so that POs who supervise people assessed as higher risk have a caseload average of 51 people. Since enactment, Idaho has also experienced a crime rate reduction of 9.9 percent.[30]

Organizational Structure and Staffing

Far too often, officers have high caseloads that limit their ability to focus their attention on people who are most likely to reoffend and help them change their behavior. While there is no universally accepted standard for caseload size, officers must have caseload sizes that allow them to effectively hold people on supervision accountable for their actions and facilitate behavior change. Without manageable caseload sizes that allow officers to provide tailored supervision, efforts to improve supervision practices will fall short of recidivism-reduction goals. Some states fund supervision at levels that keep caseloads low enough to enable officers to work intensively with people at a high risk of reoffending. An evaluation of caseload sizes found that when supervision officers are using best practices, a caseload of 50 or fewer was more effective than higher caseloads.[31]

Montana System

The CSG Justice Center staff compared Montana probation and parole division staffing to the states of North Dakota, Vermont, and Wyoming. Each state consists of a Department of Corrections which oversees probation and parole services throughout the state. In addition, to probation and parole division statistics, state size, population, and number of counties in the state were included as a frame of reference. Figure 7 provides a comparative analysis of the states. Montana is the largest state in terms of geographical size and total state population. The numbers below are not adjusted for comparison but reflect raw data on staffing and supervision size.

Figure 7. Comparative Analysis of States

	Montana[32]	North Dakota[33]	Vermont[34]	Wyoming[35]
Total State Population	1,062,000	760,077	626,299	555,737
State Size	147,040 mi²	70,761 mi²	9,623 mi²	97,818 mi²
Number of Counties	56	53	14	23
Supervision Population	10,825 (FY19)	6,866 (FY19)	8,335 (FY15)	6,950 (FY19)
Supervision Offices	23	17	11	25
Total Field Staff	244.5	122	253	178
Indirect Staff (supervisors, admin, counselors, etc.)	92.5	94 Sworn Officers	56	67
Direct Supervision Staff	152	Unknown	197	111
Client to Direct Staff Ratio	71.2 to 1	Unknown	42.3 to 1	62.6 to 1

A simplified organizational chart for the Montana probation and parole division was created to provide details on organizational structure and staffing levels (see Figure 8.).[36] The probation and parole division is structured in two geographic areas (east and west), six regions and 23 field offices. The probation and parole division administrator position oversees the function of the entire division while the bureau chief is responsible for half of the state. One deputy chief is assigned to each region of the state. POII positions are locally based first line supervisors responsible for the direct supervision of POs. In Montana, POIIs also conduct sanction hearings which require due process procedures for people on supervision who commit certain level of violations. Some states only require due process hearings for people on parole supervision, but Montana requires due process for all supervision populations which creates additional workload and accounts for why POIIs only supervise approximately 6-8 POs per person. The organizational structure in Montana appears appropriate based on other states and the more rural nature Montana.

Figure 8. Simplified Montana Probation and Parole Division Organization Chart

Probation and Parole Division Administrator

4 – Interstate Compact Staff	Bureau Chief	Bureau Chief
13 - IPPO	3 – Deputy Chief	3 – Deputy Chief
3 – Hearing Officers	14 – PO II	11 – PO II
11 – PSI Writers	79 – PO	70 – PO
	16.5 – Support Staff	14 – Support Staff

Please note that the organizational chart does not represent lines of supervision but serves as a visual representation of staffing

Findings

1. **Caseload sizes among probation and parole officers vary significantly across the state. Regions with local specialty courts, in particular, have inconsistent distribution of caseloads among probation and parole officers.**
   a. **Caseload sizes**. Caseload sizes range from 37 to 182 with an average of 78 people on supervision per caseload (see Figure 8).[37] This does not include POIIs who typically carry smaller caseloads.

Figure 9. P&P Officers to People on Supervison
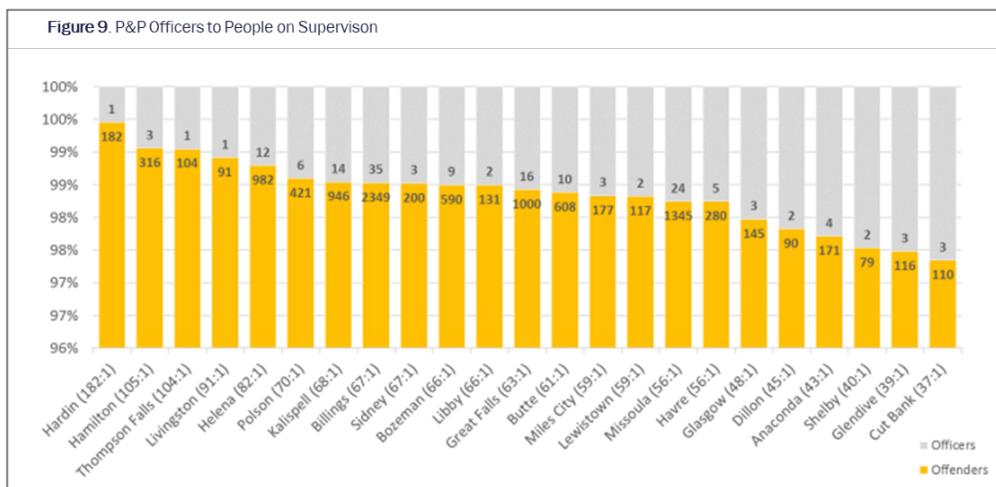
   b. **Specialty courts** (e.g., drug court, mental health court, veterans court). MDOC reports that specialty courts have been increasing across the state. The intensive nature of specialty courts requires probation and parole officers to have lower caseload sizes for effectiveness and to meet specialty court requirements. Specific data about the impact of specialty courts on the caseloads within MDOC is unavailable.

2. **A high attrition rate among probation and parole officers leads to an inexperienced workforce.** MDOC reports a 25-percent attrition rate for POs, which leads to additional workload demands on existing staff while new POs are hired.[38] Additionally, the high attrition rate places training demands on supervisors and leads to a more inexperienced workforce. Over the past several years, MDOC has been changing the role of POs from a surveillance-type officer to a behavior change agent with a focus on rehabilitation. This shift requires a different skill set than the one MDOC previously sought and can produce turnover from staff who are uncomfortable or unwilling to adopt new skills. Level of education is a factor in providing MDOC with skilled staff. While Montana statute allows MDOC to require a bachelor's degree as a

minimum qualification for supervision positions, this has not been historically enforced.[39] Typical entry level requirements for probation and parole officers in other states require a bachelor's degree, and the skills needed for the current supervision workforce could benefit from an enforced education requirement.[40]

3. **Pre-sentence investigation reports (PSIs) create a significant amount of work for probation and parole officers.** In FY2019, MDOC completed 3,277 PSIs for the courts.[41] On average, one full-time staff member dedicated only to PSIs can complete approximately 16 PSIs per month. MDOC completes enough PSIs per year to dedicate 18 staff members to the task on a full-time basis.[42] Currently, MDOC has 11 staff dedicated to completing PSIs on a full-time basis. The remaining 1,165 PSIs are pushed to other probation and parole officers who carry an active caseload.[43] During the Justice Reinvestment process, CSG Justice Center staff estimated that MDOC would need 20 staff in the dedicated PSI unit.[44] MDOC was allocated six PSI positions during the 2017 legislative session and was converting 14 existing staff into PSI writers based on Commission on Sentencing recommendations.[45] However, due to the rising supervision population, MDOC was only able to move five staff into PSI positions for a total of 11.[46]

4. **IPPOs at treatment centers conduct work that case managers at facilities are funded to complete.** There are 13 IPPOs located at MDOC institutions and contract facilities across the state.[47] IPPOs at MDOC institutions conduct essential tasks, such as reentry planning, to ensure a smooth transition into the community upon release. Contract facilities employ case managers who conduct assessments, complete case plans, maintain contact with people's support systems, and ensure people's needs within the facility are met.[48] MDOC employs full-time or part-time IPPOs at these facilities who additionally conduct assessments, complete reentry plans, and ensure that people's needs within the facility are met.[49]

Recommendations

Montana Department of Corrections

- **Collect and track specific information on the impact of specialty courts** on the caseload distribution of the supervision officers in regions with specialty courts. This would be done to understand if workloads in each area of the state are equitable, regardless of the presence of a specialty court.
- **Examine reasons for attrition and develop retention strategies.** Attrition is a normal part of any agency but can limit effectiveness when a large portion of staff have been employed for under two years. MDOC should evaluate reasons for attrition to guide a strategic plan targeting retention strategies.
- **Evaluate whether IPPOs are needed at each contract facility.** MDOC should consider transitioning IPPOs located at contract facilities into facility liaisons who

carry a reduced caseload in the community. Assessments, case plans, and reentry planning should be transitioned to facility case managers.

Potential Legislative Options

- **Fund additional PSI writers.** Funding an additional seven PSI writers will reduce workloads for POs who carry a caseload. For financial impact, the average cost of a PSI writer with personnel benefits included is $56,815 per year.[50] Funding seven PSI writers would cost $397,705 per year.
- **Establish statewide standards for supervision officers in specialty courts.** Statewide specialty court standards and certification will ensure that specialty courts are utilizing best practices to reduce recidivism, create consistency in practices, ensure work demands on probation and parole officers are consistent across the state, and create caseload limits for specialty courts. This will allow MDOC to request resources appropriately.
  - As an example, Michigan has an established specialty court standard and certification process. https://courts.michigan.gov/Administration/admin/op/problem-solving-courts/Pages/Training-and-Resources.aspx

End Notes

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[2] Matthew Durose, Alexia Cooper, and Howard Snyder, *Recidivism of Prisoners Released in 30 States in 2005: Patterns from 2005 to 2010*; The Pew Charitable Trusts, "Max Out: The Rise in Prison Inmates Released Without Supervision" (Washington, DC: The Pew Charitable Trusts, 2014).

[3] National Conference of State Legislatures, *Probation Term Maximums,* (Denver, CO: National Conference of State Legislatures, 2017).

[4] Office of the Clerk of the Supreme Court of Montana, *Supreme Court Caseload Statistics 1972-2018,* https://courts.mt.gov/Portals/189/clerk/stats/18/historic18.pdf.

[5] Office of the Clerk of the Supreme Court of Montana, *Statewide Case Processing Measures,* https://courts.mt.gov/courts/statistics/dcstat.

[6] MDOC Data shared with the CSG Justice Center during Phase 2 of Justice Reinvestment, updated December 20, 2019.

[7] Note: CSG Justice Center staff were unable to determine the types of revocations and court commitments driving these prison admission increases due to the timeline of this caseload report.

[8] Ibid.

[9] MDOC supervision data shared with the CSG Justice Center for the workload study, December 2019

[10] Governor Steve Bullock and Director Reginald D. Michael, *Montana Department of Corrections 2019 Biennial Report.* (Helena, MT: Montana Department of Corrections, 2019), A-8, A-9.

[11] Matthew Durose, Alexia Cooper, and Howard Snyder, *Recidivism of Prisoners Released in 30 States in 2005: Patterns from 2005 to 2010*; The Pew Charitable Trusts, Max Out: The Rise in Prison Inmates Released Without Supervision (Washington, DC: The Pew Charitable Trusts, 2014).

[12] MDOC Data shared with the CSG Justice Center during Phase 2 of Justice Reinvestment, updated December 20, 2019.

[13] Email correspondence between CSG Justice Center and MDOC, December 5, 2019. The calculations were determined with the following formula: supervision cost per year of $2,295 per person multiplied by 193 people.

[14] MDOC Data shared with CSG Justice Center during Phase 2 of Justice Reinvestment, updated December 20, 2019.

[14] James Bonta and Donald A. Andrews, *The Psychology of Criminal Conduct,* 5th ed. (London, NY: Routledge, Taylor & Francis Group, 2017).

[15] Crime and Justice Institute, *Implementing Evidence-Based Policy and Practice in Community Corrections*, second edition (Washington, DC: National Institute of Corrections, 2009), http://www.cjinstitute.org/files/Community_Corrections_BoxSet_Oct09.pdf.

[16] MDOC supervision data shared with CSG Justice Center for the workload study, December 2019.

[17] Ibid.

[18] Idaho Department of Correction, *Standard Operating Procedure: Probation and Parole Supervision Strategies,* Version 8.0, (Adopted October 21, 2004).

[19] Montana Department of Corrections, *Probation and Parole Division Operational Procedure,* Procedure No. PPD 6.1.203, (Revised: July 2, 2018).

[20] MDOC supervision data shared with CSG Justice Center for the workload study, December 2019.

[21] Ibid.

[22] Ibid.

[23] Ibid.

[24] Jay P. Singh et al. "Reporting Guidance for Violence Risk Assessment Predictive Validity Studies: The RAGEE Statement," *Law and Human Behavior*. 39, no. 1 (2015) 15-22; Kevin Douglas, Jennifer Skeem, and Elizabeth Nicholson. "Research Methods in Violence Risk Assessment," in *Research Methods in Forensic Psychology* ed. Barry Rosenfeld and Steven D. Penrod (Hoboken: John Wiley & Sons Inc., 2011) 325–346.

[25] *50-State Report on Public Safety* (CSG Justice Center, NY) 2017.

[26] Ibid.

[27] Donald A. Andrews and James Bonta. *The Psychology of Criminal Conduct*. (Cincinnati, OH: Anderson Publishing Company, 2017).

[28] Idaho Department of Correction, *Justice Reinvestment in Idaho: Report to the Legislature,* (February 1, 2019), https://www.idoc.idaho.gov/content/document/2019_jri_impact_report_final.

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[30] CSG Justice Center, "JR state monitoring deck" updated August 15, 2019.

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[33] Vermont Department of Corrections, *Annual Report FY2015*, (2016), 17.

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[35] Meeting between The Council of State Governments Justice Center and Wyoming Department of Corrections, December 19, 2019.

[36] Email correspondence between CSG Justice Center and MDOC, December 11, 2019.

[37] Governor Steve Bullock and Director Reginald D. Michael, *Montana Department of Corrections 2019 Biennial Report.*

[38] Meeting between The Council of State Governments Justice Center and MDOC, December 1, 2019.

[39] Meeting between The Council of State Governments Justice Center, December 17, 2019.

[40] US Bureau of Labor Statistics, "Probation Officers and Correctional Treatment Specialists", *Occupational Outlook Handbook,* Accessed December 20, 2019, https://www.bls.gov/ooh/community-and-social-service/probation-officers-and-correctional-treatment-specialists.htm.

[41] Note: This number was determined by using the following calculation: 16 PSIs per month x 18 staff x 12 months.

[42] MDOC supervision data shared with the CSG Justice Center for the workload study, December 2019.

[43] Ibid.

[44] Montana Commission on Sentencing, "Detailed Explanation of Reinvestments", October, 2016, https://leg.mt.gov/content/Committees/Interim/2015-2016/Sentencing/Meetings/Oct-2016/Exhibits/cos-csg-jri-impacts-reinvestments-october-2016.pdf.

[45] Ibid.

[46] Email correspondence between CSG Justice Center staff and MDOC, December 11, 2019.

[47] Ibid.

[48] Meeting between The Council of State Governments Justice Center, November 2019 and December 2019.

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[50] Email correspondence between CSG Justice Center staff and MDOC, December 20, 2019.

MEMO

TO: Legislative Finance Committee

FROM: Cynthia L. Wolken

RE: Report on OMIS System Training Plan

DATE: 12/24/2019

The Offender Management Information System is the official record of adult offenders under the supervision of the Department of Corrections. OMIS supports functionality required in all states of supervision from initial sentencing through discharge. Through justice reinvestment, the Probation & Parole Division has transitioned from a system of surveillance and compliance to one of case management based on an offender's individual risks and needs, and targeted incentives and interventions. This transition has required new architecture in OMIS, as well as new training within the Probation & Parole Division to ensure data quality.

In August of 2019, the DOC hired 2 dedicated FTE OMIS trainers. These new OMIS training staff have been developing Quick Reference Guides (QRGs) in the usage of each module in OMIS. The large majority of QRGs have completed, a sample of which is included as a supplement to this report.

The Department has procured 12 laptops, a projector and a wireless access point for the laptops to connect to in order to provide in-person instructor led training at various PPD field offices in a classroom format. This will give staff, while using OMIS in a test environment, an opportunity to ask questions in an interactive setting. This will also the give the opportunity for trainers to gather feedback regarding OMIS and its subsequent reports for the development team and report writers to further improve user-interface if required for usability.

Classroom-based training is scheduled to start toward the end of January, 2020.

General Information

- ❖ OMIS is an acronym that stand for **O**ffender **M**anagement **I**nformation **S**ystem.
- ❖ **OMIS is the Official Record of Offender Data with the Montana Department of Corrections**
- ❖ During the initial launch of OMIS 3.0, general use of OMIS 3.0 will be accessed via the links on the OMIS 2.0 Offender Profile Screen.
  - ➢ When selecting a link, such as Substance Test, that link will port you directly over OMIS 3.0.
  - ➢ OMIS 3.0 can be accessed directly, as shown below in the Logging Into OMIS 3.0 section.
- ❖ If a module has been moved over to OMIS 3.0, the user will see an OMIS 3.0 icon in the record count area.
  - ➢ When that module is accessed, the user will be sent to OMIS 3.0.
- ❖ OMIS 3.0 is designed to be a work flow enhancer. All offender, victim, visitor, etc. forms that are currently created with Microsoft Word and have data within OMIS 3 will eventually be created directly from within OMIS.
- ❖ Each OMIS 3 Module will be covered with
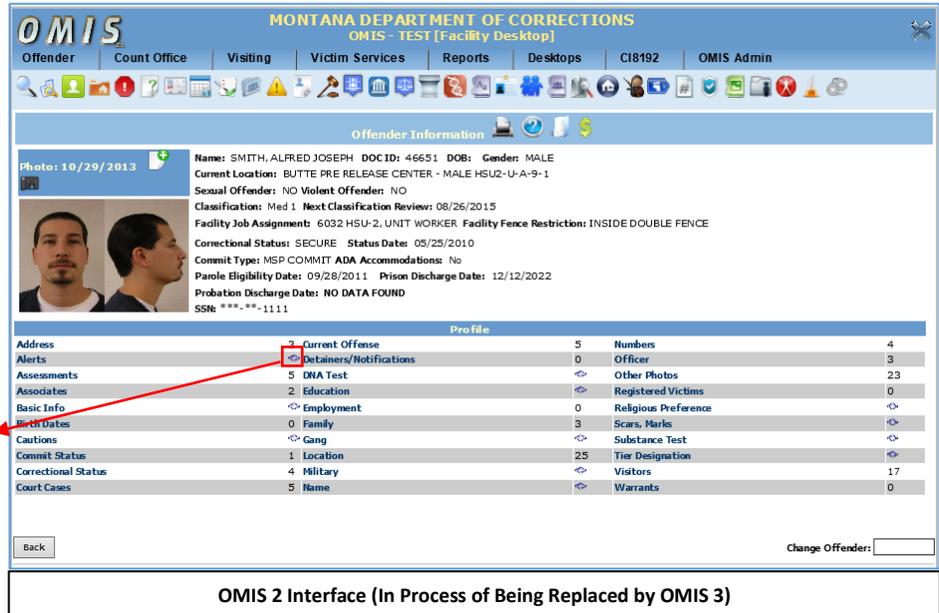
OMIS 2 Interface (In Process of Being Replaced by OMIS 3)
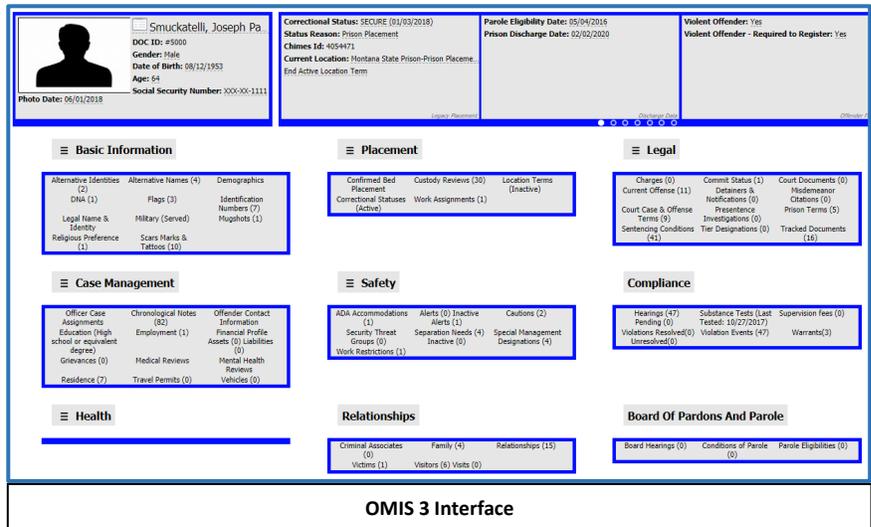
OMIS 3 Interface

Each User is a Data Steward

- ❖ Data Stewards are responsible for the timely, accurate entry of data in OMIS.
- ❖ Data Stewards must understand not only HOW to properly enter data in OMIS, but they should understand WHY they are entering data in OMIS, which POLICY/PROCEDURE governs data entry in each module and understand the BENEFITS of entering data in OMIS. Each Quick Reference Guide should provide the HOW, WHY, POLICY/PROCEDURE reference, and the BENEFITS (reports, forms, sharing offender information in order to avoid data silos, etc.)
- ❖ With OMIS as the Official MT Department of Corrections Offender Record, data quality is of utmost importance so that each user (internal to the MT DOC or external to the MT DOC) can be confident in the quality of OMIS data.

User (Data Steward) Responsibilities

- ❖ Enter information in a timely manner.
- ❖ Verify the accuracy of the information entered.
- ❖ Check for spelling and transposition errors.
- ❖ Check data for reasonableness (e.g., offenders are unlikely to be 377 years old).
- ❖ Review data that was entered by others for obvious errors.
- ❖ Report errors that they find but are unable to correct to the Corrections IT Service Desk.
- ❖ Verify that they are not creating a duplicate record.

- ❖ Not violate the intent of data fields (i.e. putting data in the wrong data fields such as weight in a height field).
- ❖ Enter data correctly into data fields (i.e. applying the rules such as using dashes in a social security number, if instructed).
- ❖ Correct errors of which they are made aware, if able.
- ❖ Restrict data entry to records pertinent to their area of responsibility.
- ❖ Keep their knowledge of the systems up-to-date by attending training.
- ❖ Ask **"how to," "what to,"** or **"where to"** if in doubt about any data entry issues.

OMIS 3.0 Test and OMIS 3.0 Production

- ❖ It is important to note that there are two different OMIS 3 environments: OMIS 3.0 Test and OMIS 3.0 Production
  - ➢ **OMIS 3.0 Test** is used for testing, training, and practice purposes.
    - ▪ Data in this environment is not to be considered legitimate OMIS 3 Production data. This data is a combination of backflushed data from production data and data entered for testing, training or practice. Backflushed data is data that is downloaded from OMIS production data in order to provide realistic data for established modules in order to support modules that are in test or being practiced.
  - ➢ **OMIS 3.0 Production** is where all legitimate offender records are created and viewed.
- ❖ Be aware that data in **OMIS 3.0 Test** does not integrate with **OMIS 3.0 Production** data, so ensure that if you are entering live, factual data that you are doing that in **OMIS 3.0 Production**.

Logging Into OMIS 3.0

- ❖ The most desirable and reliable method of accessing OMIS 3.0 is via the MyCOR (Corrections Intranet) page on your Browser.
  - ➢ The links that are located here will always be the most up to date versions of the links. If you create a link to OMIS 3.0 as a shortcut on your desktop, it is possible that you might occasionally have issues due to server address changes, etc.
    - ▪ You are not discouraged from having a shortcut on your desktop, just realize that occasionally that might be an issue.
    - ▪ *If you experience the inability to open the OMIS 3.0 login screen as indicated by a location not found-type error, remember to go to the MyCOR page and attempt to access OMIS 3.0 via the OMIS icon as described below prior to contacting the service desk!*
  - ➢ Authorized users <u>not connected to the State of Montana network</u> may access OMIS via https://omis.mt.gov. (NOTE: you must include https:// in front of omis.mt.gov)
    - ▪ NOTE: This link will not work from a State of Montana computer connected to the state network or from a computer connected to a MontanaSecure WiFi connection. Most users on laptop computers or home computers should use Cisco AnyConnect Secure Mobility Client (the "VPN" or Virtual Private Network) to connect.
- ❖ Click on the OMIS Icon on the MyCOR Page.
- ❖ Click on the desired OMIS 3 Application link (OMIS 3.0 Production or OMIS 3.0 Test).
- ❖ Enter your "C" Number in the **Username** field.
- ❖ Enter your OMIS 3.0 Password into the **Password** field.
  - ➢ *Note: Upon release of OMIS 3.0, your OMIS 3.0 Password is identical to the network password that you use to log onto the computer with (Active Directory password). It will always be synchronized with that Active Directory password.*
  - ➢ *Additionally, since your OMIS 3 password and the Active Directory passwords are synchronized, if you lock yourself out of OMIS 3 (or your windows account) both your OMIS 3 and Active Directory account will be disabled (you will be locked out of any attempts to log onto your computer or OMIS 3) and you will need to either contact the Corrections Service Desk to unlock and/or change your password or wait for 15 minutes for your account to become enabled. However, if you have forgotten your password you will still need to contact the Corrections Service desk at 444-4234.*
- ❖ Select your Screen Mode.
  - ➢ If you desire to use multiple tabs in the application, select **Multiple** (Default). (Recommended mode)
  - ➢ If you desire to only have a single tab in the application, select **Single**. (This is not a normal nor recommended mode and may have some undesirable side effects such as the ability to perform some searches.)
- ❖ Click the **OK** button.
  - ➢ If you would like to clear all fields and start fresh, click the **Clear** button.

Accessing the User Home

General

❖ The User Home screen is the main OMIS 3.0 screen

❖ The Home button (House) will bring you to the User Home.

❖ The User Home screen is customized per the role of the User that is logged in.

❖ The screen show to the right is displayed for a user with full administrative rights and shows the intended design of OMIS 3.0.

User Home is Divided into 3 Areas

Search

❖ Perform various searches for Offenders, Relations, Staff, Employers, Contractors, Visitors, Victims, Service Providers, Address & Phone Number, Etc.

Caseload

❖ Caseload tools allow the user to work more easily with their caseload.

Supervisory Caseload

❖ View your entire caseload via hyperlinks (Last Name, First Name – DOC ID #)

My Caseloads

❖ Contains Caseloads that can be inherited via specific conditions, such as Supervision Levels, Sex Offenders, Violent Offenders, etc. or the user can create individualized caseloads such as mentoring, enrollment in groups, etc.

Caseload Analytics and Health

❖ Alerts users to offenders that have items that require attention. Offender names/DOC ID #'s will be displayed as hyperlinks which will open summary sheets describing what issues require attention.

Administrative Caseloads

❖ These caseloads are caseloads of other staff that you supervise. This enables the supervisor to view individual caseloads and offenders that are supervised by the individual staff members.

Caseload Administration

❖ Allows for temporary or permanent transfer or return of transferred caseloads from one officer/case manager to another.

Work Centers

❖ Work Centers are created for staff members that have specifically defined duties that require access to certain tools/modules constantly during their day.

❖ Any process that can be defined to require a work center will be considered.

❖ Current Work Center considerations are:

➢ Facility Health Referral Center, Board of Pardons and Parole, PreSentence Investigation, Facility Visitation Center, Corrections Incident Management System, Offender Legal Records Center, Offender Placement Center.

❖ Other future considerations are: Disciplinary, Grievance, Program Services, Victims, etc.

Accessing the Offender Profile Screen

❖ When the Offender Search is performed, and an offender is selected, the Offender Profile screen opens. All modules that are active in OMIS 3.0 will be listed in the **Offender Profile** section.

❖ If at any time while utilizing the various groups/modules in OMIS a user desires to return to the Offender Profile screen, click on the offender's name in the banner (shown in red square above to right of photo).

❖ The Profile screen is made up of logical groupings of modules.

❖ Note: This screen will constantly be changing as new modules and features of
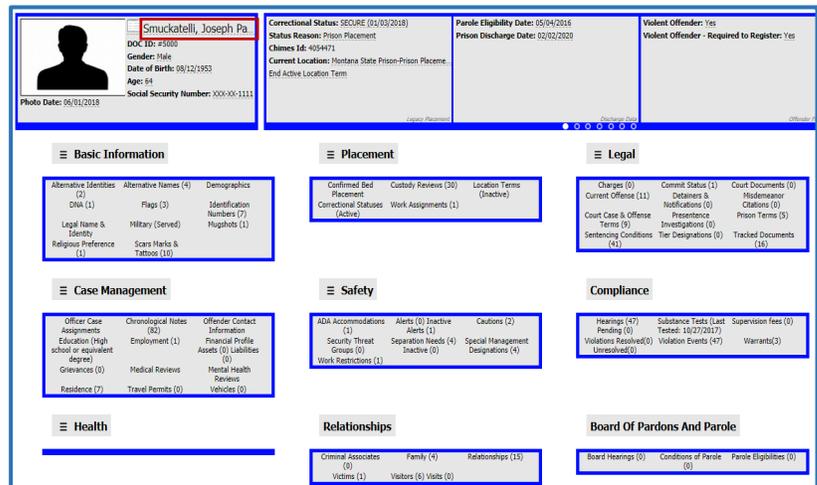
OMIS 3.0 are brought into production.

➢ The Offender Profile section will expand to include each module that is added to the OMIS 3.0 application.

Offender Banner

❖ The Offender Banner is a multi-panel area at the top of the Offender screen.

❖ Panels include:
  ➢ Placement
  ➢ Discharge Data
  ➢ Offender Flags
  ➢ Facility
  ➢ Community Supervision
  ➢ Contact
  ➢ Identification Numbers

❖ When the user hovers over the banner area, navigation arrows will appear to allow the user to access additional panels.

❖ At the bottom of the banner panels, a panel navigation area is available to indicate which panel is being viewed and also allow the user to click on the radio buttons (circles) to access the various panels. The panels will typically be segregated into the Offender Profile Groups.

Accessing Offender Profile Groups and Modules

❖ Access to the various groups and modules can be obtained in one of two methods:

Offender Profile Screen

❖ Each module within a Profile Group can be accessed by clicking on the Module Name.
  ➢ The Offender Profile Screen is the only Offender-Centric location that provides module count information. Depending on the module information such as a count of active records, last data entry date, etc. can be viewed in parenthesis after the module name.

❖ The Offender Profile Screen is the only Offender-Centric location that Group Reports can be accessed.
  ➢ Click on the Group Action Menu to access those reports.
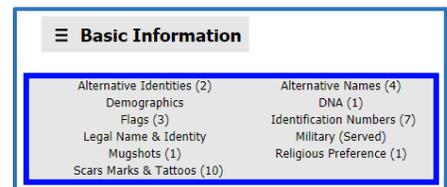
Offender Module Listing and Detail Screens

❖ When the user is utilizing a module listing or detail screen, the Offender Profile Groups are displayed below the Offender Banner.

❖ Clicking on the Group Name displays the Modules, which can be accessed by clicking on the desired Module name.

❖ The user can also click on the Offender Name to the right of the offender mugshot to access the entire Offender Profile Screen.
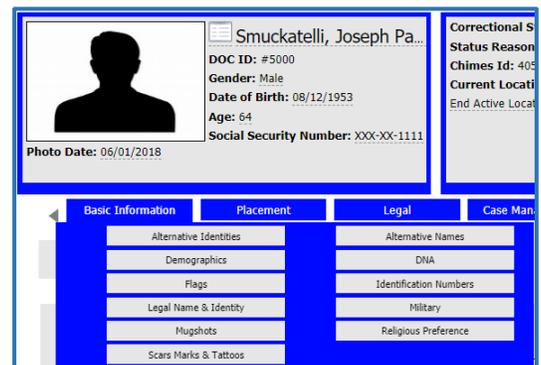
OMIS 3.0 Terminology Familiarization

Records

❖ A record refers to one specific entry within a module. For example, to the right, in the Alerts module, this offender has two records, one for Locked up for Drug Use/Distribution and one for Temporary Lockup for Drug Use.

Action Menus

❖ Action menus define what can be done related to the represented item. In the examples below we will use the Alerts module:
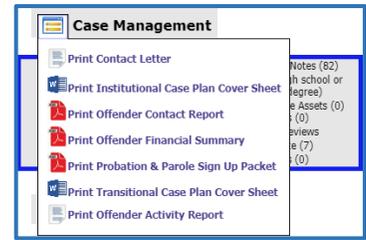
Group Action Menus

❖ Module Groups will often have an Action Menu available to the left of each Group.
❖ Typically, these Group Action menus provide access to reports covering two or more modules within the Group or other groups or frequently used forms/reports for that Group.

Module Action Menus

❖ Each Module will have an Action Menu available to the left of each screen's name in that module.
❖ **Alert Listing Screen Actions** include: **Create Alert** {open **Create Alert** screen}; **Quick Reference Guide** {open module Quick Reference Guide}; **Print Alert Listing** {Opens Alert Listing screen report in Print Preview}.
❖ **Create Alert Screen Actions** include: **List Alerts** {returns to **Alert Listing** screen}
❖ **Edit Alert Screen Actions** include: **List Alerts** {returns to **Alert Listing** screen}

Record Action Menus

❖ Each record will have a Record Action Menu available to the left of the record data.
❖ Alert Record Actions include: **View / Edit Alert** {Opens the **Edit Alert** screen}; **Remove Alert** {Deletes the Alert record for Users with Removal Permissions}; **Print Alert Details** {Opens Alert Details screen report for this record in Print Preview}.

Screen Types

Listing Screen

❖ Listing Screens show a listing of all of the records for that module.
❖ Listing screens contain the most-used information for a record.
  ➤ Sometimes it is exactly the same information found in a detail screen, but if there is too much information in a detail screen to be shown on the listing screen, only the most-used fields are displayed on the listing screen to prevent overcrowding of the displayed information.
❖ As shown to the right, occasionally listing screens allow additional information to be viewed for individual records.

Details Screen

❖ Details Screens show the specific details of all of the fields in a record.
❖ When Creating a record, the user is directed to the "Create <Module Name> Details" screen.
❖ When Viewing or Editing a record, the user is directed to the "Edit <Module Name> Details" screen. This screen is usually identical to the create screen but may have slight changes once the data was saved.
❖ Most Details screens contain a Notes section to provide additional information on the detail record.
❖ Some Detail screens also contain the ability to upload supporting documents or photos.
❖ To return to the Listing Screen from a Details screen, the top entry on the Detail Screen Action Menu will be available to return the user to the listing screen.
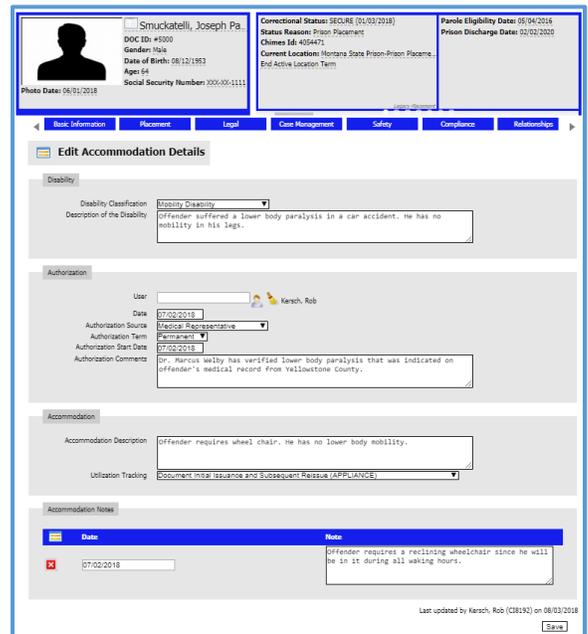
Saving Records in Detail Screens

- ❖ It is important to carefully look at the Details screens when entering data, occasionally instructions will appear on these screens near the data entry fields providing special instructions.
- ❖ Clicking the **Save** button on a detail screen saves the data and stamps the record with the signed-on user's name and the date/time that the record was updated.
- ❖ When records are saved, a validation process occurs to verify that all of the required fields have been filled in AND that the information in those fields is entered in the correct format.
  - ➢ If the Save is successful, the user is directed to the Listing screen related to the Details screen, which is a positive indication that the record was saved.
  - ➢ If the Save is unsuccessful due to required fields left blank or data that was not entered in the correct format, the user will find that they remain on the Details screen and if they look closely, they will see red text near fields describing what must be done to be able to save the record.

Persons in OMIS

General

- ❖ It is important to remember that in OMIS, persons can change roles or have multiple roles. For Instance:
  - ➢ A Staff member can become an offender.
  - ➢ A Staff member can also become a visitor, victim, contractor, or volunteer
  - ➢ An Offender can become a visitor, victim, contractor, or volunteer. Possibly even a staff member.
- ❖ It is also very important to realize that a person can change their name.
  - ➢ Offenders are referred to in the system by the name used on their Court Docket. This gets confusing when offenders are sentenced under multiple dockets, possibly with different names on some or all.
  - ➢ Additionally, sometimes Offenders change their names after they are released.
    - ▪ This often causes a problem when it is necessary to identify them as victims, visitors, offenders, contractors or possibly staff in the future.
      - We don't want to create a new person record, but rather record the new name.

NOTE: DOC Legal and MSP Records is expected to make a definitive ruling on what name should be used in OMIS in the near future.

Creating a Person

- ❖ All persons in OMIS, whether they are Offenders, Staff, Family, Victims, Visitors, Volunteers, or Contractors start out in the OMIS 3 Person table where they are issued a Person ID Number.
- ❖ Persons are created via the person's role.
  - ➢ Roles are created in the various areas shown below:
    - ▪ **Offenders**:   Home > Offender Search Screen > Offender Search Results > Add New Offender
    - ▪ **Family**:   Family Module Listing Screen > Family Members Action Menu > Create Family Association
    - ▪ **Visitor**:   Visitor Module Listing Screen > Visitors Action Menu > Create Visitor
    - ▪ **Victim**:   Victims Module Listing Screen > Victims Action Menu > Associate Victim
    - ▪ **Contractor**:   A Service Desk Call is required to enter a contractor
    - ▪ **Volunteer**:   A Service Desk Call is required to enter a volunteer.
    - ▪ **Staff**:   Staff members are created by IT Staff as part of the on-boarding process, so until HR has performed all of their appropriate actions, staff members cannot be entered into OMIS, nor given an OMIS account.

Entering and Deleting Records

Entering Records

Data Field Controls

❖ Records in OMIS 3 are fairly intuitive to enter. The following information will assist the user in understanding the various input controls:

Text Box

Description of the Disability	Left leg has been amputated.
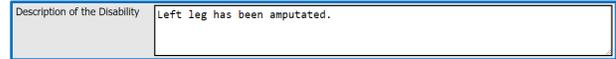
❖ Text boxes are free form. The user can type whatever they need to.
   ➢ Users should consider not using acronyms, since not everyone reading an entry will understand what an acronym stands for. Additionally, an acronym could represent several different items with the same abbreviations.
❖ Text boxes are used as little as possible because they allow for variations in data entry that make it difficult to create statistical data or reports from the contents.
   ➢ For example: A city name could have various proper and improper spellings or abbreviations such as Great Falls, Grate Falls, Gt. Falls, Gt Falls, G Falls, GF, G-town, etc.
   ➢ In the example above, it would be very difficult to create a report that documents all records that contain Great Falls in the text box due to all the possible variants of spelling/abbreviations.

List Box

❖ List Boxes contain predetermined list items.
❖ List Boxes are often used when a user needs to select multiple items from the list.
❖ In OMIS 3, List Boxes are not normally found in the application, but rather are found in the JasperServer Reports interface.

Anomalies

❖ If an entry is not included in the list box, the user will need to contact the Corrections Service Desk to request an additional entry.
   ➢ NOTE: Just because a user requests an entry, does not necessarily mean that the entry will be added. Please refer to the Change Control section towards the end of this guide.

Drop-Down List Box

Authorization Source	... ▼
Authorization Term	Temporary ▼
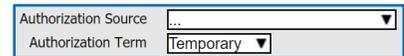
❖ Drop-Down List boxes contain predetermined list items.
   ➢ In some cases, a user is allowed to create their own entry into a drop-down list box. That will be explained under Anomalies and must be done with extreme caution.
❖ Drop-Down List boxes are single item select.
❖ Drop-Down List Boxes are often used to filter subsequent Drop-Down List Boxes.
   ➢ For instance in the Identity section shown to the right, Birth Country filters the entries in the Birth State/Province, which filters the entries in the Birth Place (city) Drop-Down List Box.
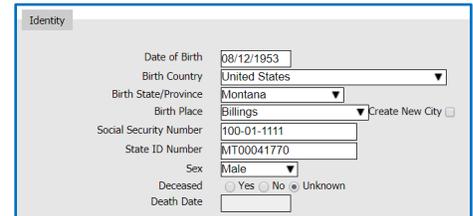
Anomalies

❖ Drop-Down List Boxes sometimes show an ellipsis (three periods) or an entry from the list contents.
   ➢ If the list shows an entry from the list, that is the default entry.
   ➢ If the list shows an ellipsis (…) that indicates that the business case indicated that it is better for the user to select an item from the list instead of predicting what the most likely choice is.
❖ If an entry is not included in the Drop-Down list box, most of the time the user will need to contact the Corrections Service Desk to request an additional entry.
   ➢ NOTE: Just because a user requests an entry, does not necessarily mean that the entry will be added. Please refer to the Change Control section towards the end of this guide.
❖ Some text boxes allow the user to create their own entries, such as the Drop-Down List Box to the right which allows the creation of a new city.
   ➢ Normally drop-down lists that allow users to add additional entries will look similar to the Birth Place drop-down list above.
     ▪ Prior to creating a new entry, look very carefully at the current entries in the list to ensure that you are not duplicating an entry or creating another entry for an item in the list by spelling it differently.
       • It is highly unlikely that the item that you are adding is not already in the list, so look carefully at the existing entries.
   ➢ To create a new entry, click on the Create New <Field Name> check box (in this case <Field Name> is "City"). The

drop-down list changes to a text box.

- The user then carefully types in the new entry.
    - It is extremely important that these guidelines be followed:
        - ♦ Ensure that any affiliated Drop-Down List Boxes (like Birth Country, Birth State/Province) have been selected prior to creating a new entry so that the entry will be associated with the proper associated list.
            - ➢ For instance, if a person is adding a Pennsylvania city called "New Wilmington", the user needs to ensure that "Pennsylvania" is selected in the State drop-down list to ensure the New Wilmington is correctly associated with Pennsylvania.
        - ♦ Be consistent with the entry that you are creating:
            - ➢ Look at other items in the list and create your new item based on how those entries were made.
            - ➢ Spell out items without abbreviating them.
            - ➢ Use Title Case (Capitalize the First Letter of Each Word)
            - ➢ Double check your spelling to ensure you are spelling the item correctly.

Person Selector

- ❖ Person Selectors are used to ensure that the name of the person is correctly spelled and identified.
- ❖ Person Selectors can be used for staff, offenders, family, victims, visitors, volunteers, contractors, etc.
- ❖ Depending on what type of person is being documented with a person selector, the user should be aware of the purpose of the person selector. For instance, an offender will never appear in a person selector designed to document a staff member, except in the case that the offender was previously a staff member.
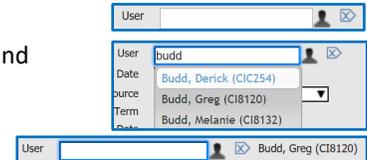
Selecting a Person

- ❖ To select the user that is logged into OMIS, click on the Person Icon
- ❖ To select another person, start typing int the Person Selector Text Box
    - ➢ Names: Type the last name of the person. If the resulting entries are too many, add a comma and start typing the first name until you see the desired target, then click on it.
    - ➢ DOC ID Numbers: Type the DOC ID Number until you see the desired number

NOTE: When selecting a person, it is generally a poor choice to hit the Enter key to select a person, rather use the mouse to click on the person's name. The reason for this is that unless the person is the very first entry on the list it is too easy to select the wrong offender.

Anomolies

- ❖ If a person does not appear in the drop-down list:
    - ➢ **Offenders**: It is possible that an offender has changed his/her name. This is more common for female offenders than male offenders, however it does happen with both sexes.
        - If the offender for certain is not in OMIS, it is possible that the offender needs to be added to OMIS. This is normally done through the Add Offender process.
    - ➢ **Non-Offenders**:
        - **Staff**: Created by IT Staff
        - **Family Member**: Added through the Family module after diligently ensuring that the family member isn't already in OMIS as a Victim, Offender, Staff, Volunteer, or Contractor.
        - **Victims**: Added through the Victim's module after diligently ensuring that the victim isn't already in OMIS as a Visitor, Offender, Staff, Volunteer, or Contractor.
        - **Visitors**: Added through the Visitor's module after diligently ensuring that the visitor isn't already in OMIS as a Victim, Offender, Staff, Volunteer, or Contractor.
        - **Volunteers**: These currently have to be created by IT Staff
        - **Contractors**: These currently have to be created by IT Staff

Date Control

- ❖ Date Controls assist user in entering dates and validating (ensuring) dates to ensure that the dates exist. For example: February 30 is not a valid date, since the most days in February are 29. Also, if February 29 is entered, the system looks at the year and determines if the 29th is a valid day due to leap years.

Entering the Date

Manually (Keyboard)

- ❖ The user could choose to enter the date using the keyboard. If so, the date must be in a MM/DD/YYYY format,
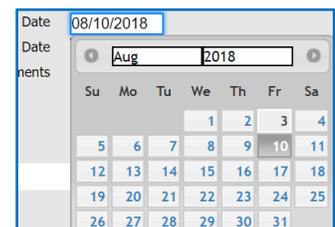
indicating a two-digit month, two digit day (1-9 must have a 0 in front of the number), and a four digit year.

> Many users enter a two-digit year. ALWAYS USE A FOUR-DIGIT YEAR TO AVOID ERRORS.

Date Control
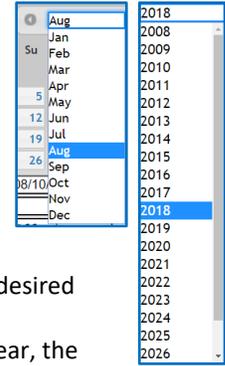
❖ **Month**: The month can be changed in two manners.
> Click the arrow on the left or right side of the Month and Year row.
> Click on the Month field and a drop-down list will appear allowing the user to click on the desired month.

❖ **Year**: Click on the Year field and scrolled to the desired year in the drop-down list and click on the desired year.
> NOTE: If the desired year is before or the lowest available year or after the highest available year, the user will need to select the lowest or highest (depending on whether they want an earlier date or a later date) and then click on the Year field again to reacquire the drop-down list. Repeat as necessary until the required year is found.

❖ Day: Click on the desired day of the month.

Anomalies

❖ Some date controls do not allow users to select a date in the future or a date in the past.

Time Control

❖ Time Controls assist user in entering times and validating (ensuring) times to ensure that the times actually exist.

Entering the Time

❖ Time Controls accept data in a H:MM AM/PM format.
> The hour can be a 1 digit hour (1-9) or 2 digit hour (10, 11, 12) and must include an AM/PM indicator.
> Minutes are set up in 5-minute increments, but if it is important to enter the exact minutes, the time can be entered manually in the Time Control text box.
> Time Controls are not set up to accept military time.
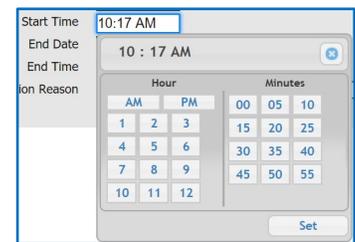
Manually (Keyboard)
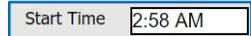
❖ The user could choose to enter the time using the keyboard. If so, the time must be in a standard format as described above and include an AM or PM indicator

Time Control

❖ Hour: Click on the AM or PM button, then click on the desired hour.
❖ Minute: Click on the Minutes that are closest to the 5-minute increment that you are documenting.

Check Box
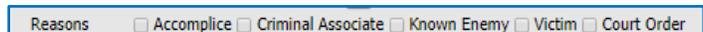
❖ Check Boxes indicate that the user can select more than one of the check boxes if more than one are present.
❖ Each click on a check box either selects it (shown with an X) or deselects it (shown with an empty box)

Radio Button
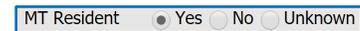
❖ Radio Buttons (circles) indicate that the user can only select one item from a group. They are similar to check boxes, but when you see them, realize that only one selection is possible from the group of radio button items.

File Uploading

❖ Several modules in OMIS allow files to be uploaded. The process is basically the same for each.
❖ If a Category Drop-Down List is available, select the proper Category.
❖ Enter a Descriptive Title for the Document **that will easily allow that user to differentiate it from any other document.**
❖ Enter the Document Date (not the date that you are uploading the file)
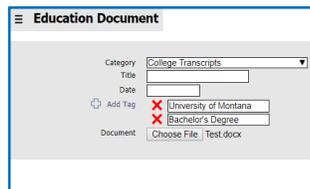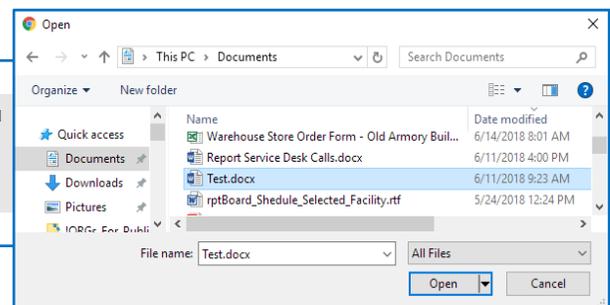
- ❖ Add Tags. Tags are descriptive phrases that will help user's search for the file
- ❖ Click the Choose File button and select the file from where it is stored.
- ❖ The file will be uploaded when the **Save** button is clicked, providing all required fields have been entered.

Data Entry Errors

- ❖ When a detail record successfully saves, the user is returned back to the Listing Screen for that module. When a detail record fails to save, the Detail screen remains open and any fields that contain errors will have the reason why the record could not be saved in red text.
- ❖ In order to save the record, all fields that are identified with the red text must be correctly populated.

Deleting Records

- ❖ Records in OMIS 3 often can only be deleted by persons with elevated authority. The reason behind this is that OMIS is the official record for an offender, therefore strict controls must be in place via security roles to ensure that the records within OMIS are as accurate as possible. One of these controls is to only allow super users to perform deletions.
- ❖ Deletions can be a little tricky because there are two different ways in OMIS 3 that records are deleted, depending on which type of screen a user is on.

Deleting Records from a Listing Screen

- ❖ Click on the Record Action Menu and select the "**Delete…**" option.
  - ➢ **Note:** Sometimes the "**Delete…**" option might state "**Remove…**".
- ❖ A Delete/Remove confirmation dialog box opens.
  - ➢ Click on the OK button to delete the record.
  - ➢ Click on the Cancel button to cancel the deletion process.
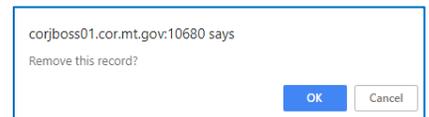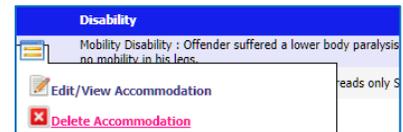
Deleting Records from a Details Screen

- ❖ A record within a detail screen is not as intuitive as to how it is deleted.
- ❖ The user first clicks on the delete icon (Red X) to the left of the record that they desire to delete.
  - ➢ The record's background turns red.
- ❖ The final step to delete this record is to click the **Save** button.
  - ➢ Once the **Save** button is clicked, if the delete is successful the user is returned to the module's listing screen. If the delete is not successful, the details screen remains. The user should then look over all of the fields for red text indicating a mandatory field that was not filled in.
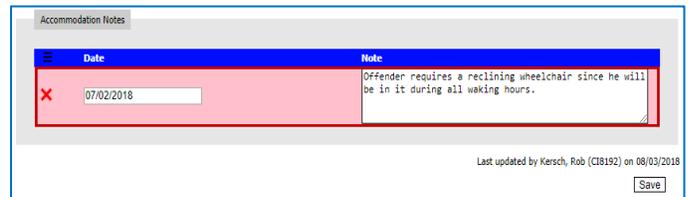
Clearing a Record Field

- ❖ Occasionally a user will need to clear a record selector field that provides search and display capabilities (such as a person selector).
- ❖ To do this, the user clicks on the Clear icon (appears as a broom) and the data in the field is erased/cleared.
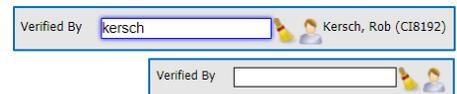
Offender Searches

- ❖ Three methods are available for Offender Searches

Easy Offender Search

- ❖ Click on the OMIS 3.0 Menu icon.
- ❖ Utilize the **Enter offender name or number:** field and type in either the DOC ID number or the offender name.
- ❖ When searching, you may use either the DOC Number or a Name Search.
- ❖ **NOTE: Users should refrain from hitting their Enter key when typing to enter either an offender name or DOC ID #. The reason for this is because when you hit enter, you are selecting the first name at the top of the list. If you enter only part of the number or name (or even enter the whole name if there are duplicate names) and hit enter, it is very possible that the incorrect offender is selected.**
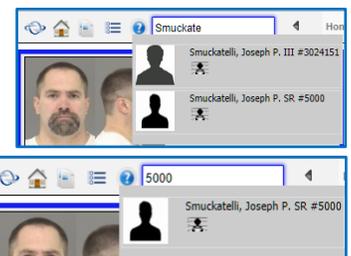
- ❖ For a Name Search, enter as much of the last name as you know.
  - ➢ **Name searches must have at least 4 characters of a last name to produce results.**
  - ➢ **If using a first name, include a comma after the last name and use at least 3 characters of the first name to produce results.**
  - ➢ **As you enter the name, you will see the results list indexing to what you have typed. Continue typing until you find the correct offender.**
  - ➢ **If the last name is fairly common and producing a lot of results, after typing in the** complete last name, enter a comma and start typing the first name or as much as you are fairly certain that you can spell correctly.
- ❖ Click on the Offender Icon of the offender that you would like to view.

- ❖ The Offender Profile screen will open in a tab to the desired offender.
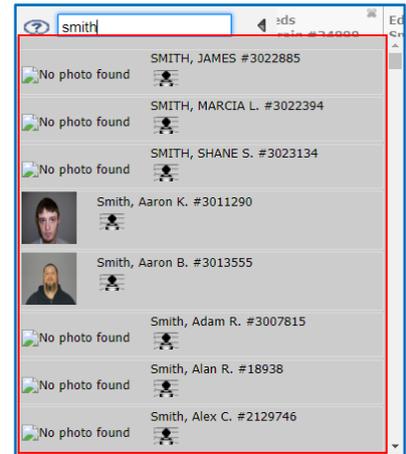
User Home – Offender Search

- ❖ This is designed to be an advanced search screen and is of limited use and not the most efficient search method during the initial launch of OMIS 3.0.
- ❖ Click on the Home icon.
- ❖ Utilize any of the available fields and type in your search criteria.
- ❖ When searching, you may use either the DOC Number or a Social Security Number (SSN) as a single criteria Search.
- ❖ If using the offender Name:
  - ➢ Enter the complete last name or as much as you are fairly certain that you can spell correctly.
  - ➢ Enter the first name or as much as you are fairly certain that you can spell correctly.
  - ➢ If necessary, add any additional search criteria such as middle name, gender, or birth date to minimize the results quantity.
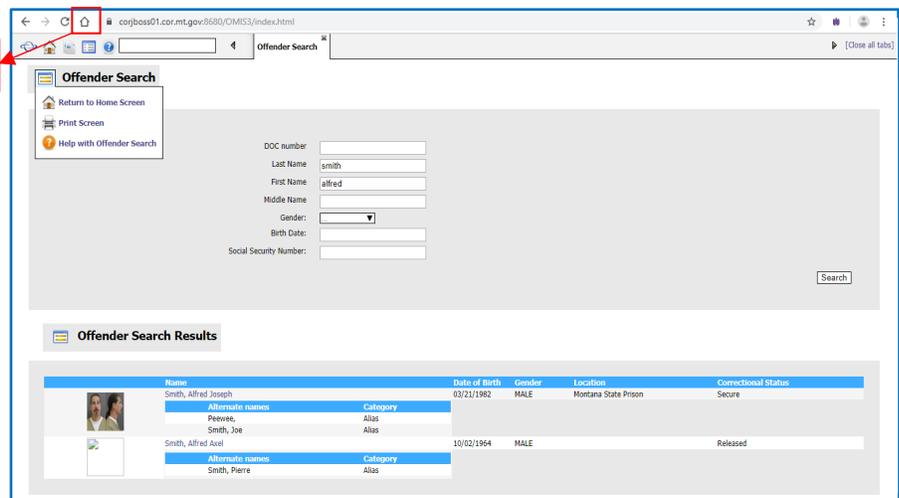
Search Action Menu – Offender Search

- ❖ Selecting "**Offender Search**" from the Search Action Menu will bring you to the same search functionality as described in the previous section.
- ❖ NOTE: At the time of launching OMIS 3.0, the only function on the Search Action Menu that is usable is the Offender Search function. Other features (Employer Search, Service Provider Search, and Address & Phone Number Search) will be deployed in subsequent releases.

Person Searches

- ❖ All entities in OMIS are entered initially into a Person table. Once they are entered into the Person table, they are assigned roles of Offender, Staff, Visitor, Victim, Criminal Associate, Family Member, etc.
- ❖ For this reason, a Relationship Search tool has been created and should be used whenever creating a new offender, staff member, visitor, victim, family member, etc.
- ❖ A Relationship Search must always be performed when creating a new offender so that two separate persons are created in the database representing the same person.

Search Relations

Non-Offender Person Result

- ❖ Relationship Search are accessed via the Home Screen, clicking on the **Search Relations link.**
- ❖ Search by
  - ➢ Name
  - ➢ Number
  - ➢ Social Security Number
  - ➢ Birth Date
  - ➢ Telephone Number (Planned implementation)
  - ➢ Online Account (Planned implementation)
- ❖ If your search results end up with having more than 30 persons, you will get a message below the search criteria to please narrow your search.
  - ➢ When this occurs, add additional information, such as first name, birth date, etc. to narrow down the search.
  - ➢ If you can't or don't want to narrow it down, click on the **Show all Results** button.
- ❖ Reviewing and Working with Results:
  - ➢ Fields:
    - ▪ Relations: Name of Person in Relation Results.
      - Note: If "#<Number>" appears behind the name, the person is an offender.
    - ▪ Address: Address of Person
    - ▪ Telephone Number: Telephone Number of Person
    - ▪ Related Offenders: # of Offenders this person is in a relationship with
    - ▪ Criminal Associates: # of Criminal Associates this person is in a relationship with
    - ▪ Family Members: # of Family Members this person is in a relationship with
    - ▪ Victims: # of Victims this person is in a relationship with
    - ▪ Visitors: # of Visitors this person is in a relationship with
  - ➢ Offender Menu Options
    - ▪ List Relations: Opens the Relationships Listing Screen to allow viewing and work with that offender's relationships. See "Viewing/Working with the Relationships Listing Screen" below for details on usage.
    - ▪ Victim Profile: Opens the Victim Profile screen
  - ➢ Non-Offender Menu Options
    - ▪ List Related Offenders: Opens the Relationships Listing Screen to allow viewing and work with that person's offenders. See "Viewing/Working with the Relationships Listing Screen" below for details on usage.
    - ▪ Victim Profile: Opens the Victim Profile screen
    - ▪ Create as an Offender: Opens the Add Offender screen and commences the process of converting this person from a Criminal Associate, Victim, Visitor, etc. to an offender with a DOC ID#.
- ❖ Viewing/Working with the Relationships Listing Screen
  - ➢ Users will be able to view:
    - ▪ Relation: Name of Person who offender has a relationship with.
      - Persons with DOC ID #'s are offenders.
    - ▪ Family Member: If a family member, this should show relationship of family member to the offender.
    - ▪ Victim: Yes/No – is this person a victim of the offender.
    - ▪ Visitor: If a visitor, this should show relationship of the visitor to the offender.
  - ➢ Working with the Results:
    - ▪ View Offender Profile: If person is an offender, this option will be available and opens the Offender Profile Screen
    - ▪ View/Edit Relationship: If person is not an offender, this option will be available and opens the Relationship Details screen
    - ▪ Remove Relationship: Users with appropriate Delete rights will be able to view/use this option in order to

remove the relationship to the offender.
- Note: This option removes the relationship, but the person and offender remain in the system. The relationship tie is just broken.
  - ▪ Print Person Details: Prints full version of Person Detail Record, showing full SSN.
    - Available if user has Full SSN viewing rights.
  - ▪ Print Person details (Redacted):   Prints redacted version of Person Detail Record, not showing full SSN

Working with Multiple Offenders

Opening an Additional Offender

- ❖ Simply click on the Home button to open the User Home screen and perform an Offender Search OR Click on the OMIS 3.0 Search field at the top of the screen on the left side and utilize the Enter Offender name or number field to conduct an Offender Search.
- ❖ When the offender is selected, he/she will appear in an additional tab within OMIS 3.0
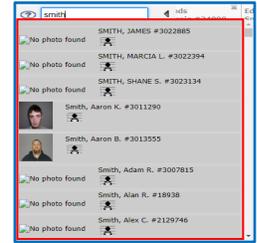
Viewing Single Offenders, Multiple Offenders or Simultaneous Side by Side Offenders

Tabs

- ❖ Tabs are only available in Multiple-Screen mode (See **Logging Into OMIS 3.0** section)
- ❖ Multiple offenders can be viewed as separate tabs in OMIS 3.0.
  - ➢ This is the default view and you can see how that looks in the screenshot to the right.
- ❖ If the persons are appearing in side by side format, if you double click on the tab of the second offender (the right-most) the side by side view will collapse into a tabs view.
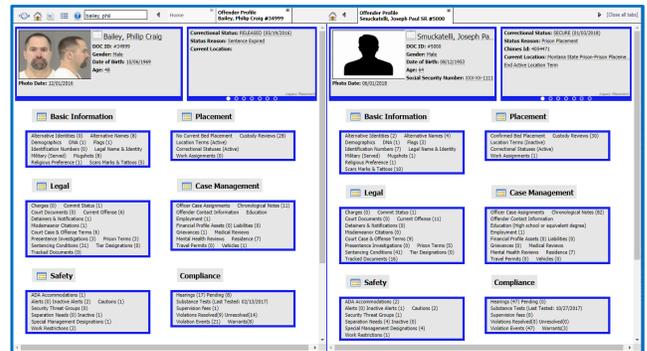
Side by Side

- ❖ Multiple offenders can be viewed side by side in OMIS 3.0.
- ❖ If the persons are appearing in tab format, if you double click on the tab of the second offender (the right-most) the tab view will collapse into a side by side view.

OMIS 3 Reporting

General

- ❖ Two general types of reports will be available from within OMIS 3.0: Offender-Centric Reporting and Non Offender-Centric Reporting.
- ❖ Reports are accessed from the action menus of listing screens, detail screens, profile group names, or from the OMIS 3.0 Non Offender-Centric Report Menu
- ❖ All modules have one or more subreports created for them.
  - ➢ Subreports are used to compile information from various modules into other reports.
  - ➢ Subreports make it easy to create reports with data from various modules in one report.
- ❖ In OMIS 3.0, screenshots should not be used to provide reports. Each module will have all the reports necessary to be able to provide a professional looking, standardized report for every need.
- ❖ It is always advisable to print the report as a pdf file when viewing reports. The Jasper Server Reports native report viewer sometimes doesn't render the reports correctly if it is a complex report.
- ❖ Many reports are designed to open in MS Word so that additional information can be typed into a report
- ❖ Please refer to the **Printing Reports and Forms from OMIS 3** Quick Reference Guide for more detailed information on OMIS 3 Reporting.

Offender-Centric Reporting

- ❖ Offender-Centric Reports relate to a single offender, such as a Basic Information Sheet, Listing Screen Report, Detail Screen Report, Travel Permit, Safety Report, etc.
  - ➢ These reports will be accessible as either group reports from the profile screen of the offender or from the Action Menu of the listing screen's main menu or the individual record Action Menu for the specific record.

Listing Screen Reports

❖ Each module's listing screen has the ability to be printed, much like a print screen, except all records pertinent to that module that appear on the listing screen.

❖ A listing screen can be printed from the **module's main action menu**, which is located to the left of the module's name on the listing screen.

❖ Click on the **module's main action menu** and select **Print <Module Name> Listing**.

❖ If a report is specific to an offender **and** is pertinent to all records on a listing screen for that offender, those type of reports are also printed from the **module's main action menu**.
  ➢ An example of these types of reports are: Wage Garnishment Authorization (the form that the offender signs acknowledging that any employer may garnish wages per MCA),

Detail Screen Reports

❖ Each record on the module's listing screen has the ability to be printed, much like a print screen, except all records pertinent to that module that appear on the listing screen.

❖ A detail screen can be printed from the **desired record's action menu**, which is located to the left of the module's name on the listing screen.

❖ Click on the **desired record's main action menu** and select **Print <Module Name> Details**.

Module Group Reports

❖ Profile Group Reports are designed to display information that is normally in more than one module within a group or is placed there for quick access to a report or form that is frequently used for a single module or multiple modules within a group.

Non Offender-Centric Reporting

- ❖ Non Offender-Centric Reports relate to multiple offenders or possibly not an offender at all, such as victims or visitors.
- ❖ Non Offender-Centric Reports are accessed from the Non Offender-Centric Reporting (NOCR) Screen via Jasper Server Reports.
- ❖

Change Control Practices

- ❖ Any change requests must go through a change control process before the Application Development Bureau will work on the change request.
- ❖ The Change Control Process follows these basic steps:
  - ➢ A System Change Request Form (shown to the right) is initiated through the Corrections Service Desk.
  - ➢ The Business Analyst would then review that request for completeness and supporting procedures/policies.
  - ➢ The DOC change management team then determines if there needs to be an IT review.
    - ▪ If an IT review is necessary, then the IT Review Committee convenes, and they review the project request and pass on their recommendation to the change management team.
  - ➢ The change management team then either approves, denies or kicks back the request.
  - ➢ If approved, the change management team then prioritize the request
  - ➢ The Application Development team then works on the project in order of its priority.

User Preferences

- ❖ Various items related to how OMIS 3.0 is viewed is available using the OMIS 3.0 Menu icon and selecting the **Preferences** link to the right of your name.
- ❖ The User Preferences screen will open, allowing the user to modify the screen colors.
- ❖ Adjust Background Options, Foreground Options, and Accent Options by selecting the desired Hue (color) from the top bar and the Saturation (depth of color) using the bottom bar.
- ❖ In the Background Options section, clicking the **Change Background Photo** check box will allow you to select a photo for your background.
- ❖ As you adjust colors, the preview window will show your results.
- ❖ Click the **Save** button when completed.
- ❖ Close all tabs and open a tab to see your changes.

Appendix A – Most Common Data Quality Issues in OMIS 3

Dates

Future Dates

❖ Avoid using future dates, especially on any Correctional Status, Supervisory Authority, Location, or Bed Assignment
  ➢ VINE transmits a victim notification anytime one of these records are created, NOT on the date that it is entered if in the future or past.
  ➢ This also affects statistics and reporting.

Improper Dates

❖ Double check any date that it is entered, especially the YEAR to ensure that it is accurate.

❖ The most common examples of an improper dates include years in the past or future (i.e. 1908, 1019, 2109, etc.)

❖ The most common users that we find entering improper dates are those that are keying in their dates instead of using the date picker tools.
  ➢ If you key a date in, always use TWO-digit month/ TWO-digit day/FOUR-Digit year.

End-Dating "Released" Correctional Status (Usually You Don't!)

❖ When an offender is released from the DOC Supervision for any reason, their last "Released" Correctional Status must never have an end date.
  ➢ This sets the Correctional Status records up

End-Dating Released Offender's Officer Case Assignments

❖ When an offender is released from the DOC the Officer Case Assignment must be End-Dated.

❖ This also affects statistics and reporting, since these reports look for the last record that doesn't have an end date.

End-Dating Released Offender's Location Records

❖ When an offender is released from the DOC the Location Record must be End-Dated.

❖ This also affects statistics and reporting, since these reports look for the last record that doesn't have an end date.

End-Dating Bed Placement Records

❖ When an offender is released from a Secure Facility the Bed Placement Record must be End-Dated.

❖ This also affects statistics and reporting, since these reports look for the last record that doesn't have an end date.

Creating Duplicate Offenders

❖ Users not properly checking to see if an offender already exists in the system often create duplicate offender profiles for the same offender.

❖ Users frequently create duplicate offenders due to not doing a Relationships Search for Name, Offender Number (DOC ID), DOB, or Social Security Number.

❖ If a duplicate offender is created, users are asked to merge data from the offender with newest offender number to the offender with the oldest offender number.

Creating Duplicate Persons

❖ Users not properly checking to see if an offender, victim, visitor, criminal associate, etc. already exists in the system often create duplicate person profiles for the same person.

❖ This happens a lot when creating new offenders. The user checks to see if the offender was in the system, but fails to check to see if the offender previously was a visitor, victim, criminal associate, etc.

❖ Users frequently create duplicate person due to not doing a Relationships Search for Name, Offender Number (DOC ID), DOB, or Social Security Number.

❖ If a duplicate person is created in the database, contact the Corrections Service Desk for resolution.

Cities

- When a City is selected for any module, the same City table is used, so a bad entry in one module's City drop-down list will show in all module's that use a City drop-down list.
- Selecting Cities:
  - When selecting a City, users must first select a State.
  - Once a State is selected the City list on the far right is loaded with known cities for that State.
    - Probably the most common mistake when looking for a City is not filtering the City list by first selecting the State for that City.
  - The user should then go to the drop-down list and look for the desired City in that State.
    - If the City doesn't appear (CHANCES ARE EXTREMELY GOOD THAT EVERY CITY THAT YOU WILL EVER NEED ARE ALREADY LOADED):
      - Go to google maps and type in the City, State and attempt to locate the city
      - Verify the spelling of the City
        - Go to google and type in the city, state. If it doesn't appear, chances are very good that you are misspelling the city name.
      - If you are 100% certain that you have spelled the City Name correctly **AND** can find it in Google Maps or on Google, you can add the City to that State's City list by:
        - Ensuring that the proper State has been selected in the State drop-down list.
        - Clicking on "New City" and typing in the correct spelling of the name of the undocumented City.

Duplicate Cities in a State

- Cities are often listed twice in a State or several name variations are entered. Sometimes even City, State are entered as the City.
  - We even see Counties entered in the City table, unfortunately.
- Users are not checking to see if a City is already listed in the State because they are either (1) not looking carefully at the list of Cities (2) misspelling the name or (3) are not using the State filter.
- If you happen to enter an incorrect or duplicate City entry, utilize the correct city to create your record and inform the Corrections Service Desk so that they can remove that entry from the City table.

Cities from a Different State Shown as a Montana City

- Users are not using the State filter.
- Montana is the default state and is already displayed. Users not paying attention to this and not selecting the State before the City end up creating a new City in Montana's City List.
- If you happen to enter an incorrect or duplicate City entry, utilize the correct city to create your record and inform the Corrections Service Desk so that they can remove that entry from the City table.

Addresses Appear as Cities for the Selected State

- We really are not sure how this happens, but it happens a lot!
- If you happen to enter an incorrect or duplicate City entry, utilize the correct city to create your record and inform the Corrections Service Desk so that they can remove that entry from the City table.

Citizenship and Immigration

Country of Citizenship

- This should NEVER be unknown. Please do some research.
- We receive State Criminal Assistance Program grants for supervising alien offenders. We must notify ICE within 4 days of incarceration in order to receive funding. If we don't know the citizenship, we can't submit the request.
- Statistics and Reporting are also affected.

Immigration Status

❖ This should NEVER be unknown. Please do some research. Contact ICE for confirmation.

## Docket Number

❖ Always enter the Docket Number precisely as entered in the Court Docket when creating the Court Docket record. It is important to use dashes where appropriate, as well as dates exactly as entered on the docket.

Cisco AnyConnect Secure Mobility Client (v.3.1)

General

❖ The Cisco AnyConnect Secure Mobility Client allows State of Montana authorized users to login to the Enterprise Virtual Private Network for the State Government Employees of Montana.

❖ A Virtual Private Network also known as a VPN is a private network that extends across a public network or internet. It enables users to send and receive data across shared or public networks as if their computing devices were directly connected to the private network. VPNs can provide functionality, security and/or network management benefits to the user. (https://en.wikipedia.org/wiki/Virtual_private_network)
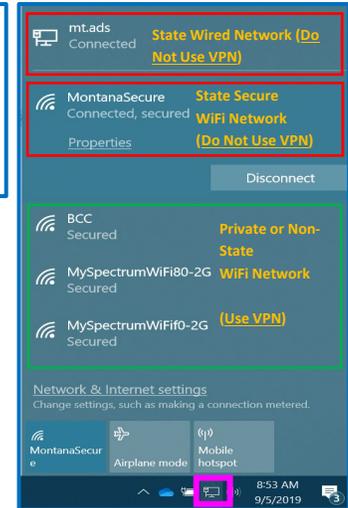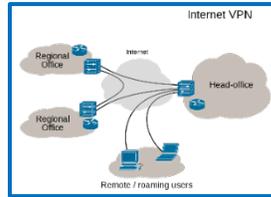
When to Use VPN over Wireless or Cellular

❖ Check your Network Connectivity Status to determine if you need to use VPN.
  ➢ Left Click on the Network icon to the left of the Date/Time on the right side of the Task Bar (highlighted in pink square). NOTE: on some computers it might be a dot with waves radiating out.
    ▪ If on MontanaSecure, then DO NOT use VPN (Has to be a State laptop)
    ▪ If on any guest or personal WiFi network (not on MontanaSecure), use VPN
   ▪ If on Cellular, use VPN

Prerequisites:

❖ The **Cisco AnyConnect Secure Mobility Client** has been installed on your computer system.

❖ You have completed a **VPN Access Form.**

❖ You have been authorized through the MT Department of Corrections IT Security Officer to have a Virtual Private Network (VPN) account

❖ A VPN account has been created for you.

❖ To connect to the VPN, you must be currently connected to either a wired or wireless network.

Connecting to the State of Montana VPN

❖ Find the Cisco AnyConnect Secure Mobility Client in the System Tray in the lower right hand corner of the screen and click on it.

❖ The **Cisco AnyConnect Secure Mobility Client** window opens.

❖ Type (or select if you have entered it one time already) **ENTVPN.MT.GOV** in the drop-down list and click the **Connect** button.

❖ The **Cisco AnyConnect | ENTVPN.MT.GOV** login window opens.

❖ Enter the following:
  ➢ Group: Select **Multi-Factor** if not already selected. 966
  ➢ Username: Your **C#** (Once you have entered this it is remembered by the client.)
  ➢ Passcode: Current **RSA Token Code**
  ➢ Second Password: Your **Windows (Active Directory) password**
     Note: Ensure you enter your credentials and passwords fairly quickly. If you leave the login screen on for a period of time your RSA Token Code could change and prevent you from logging in. If that occurs, close the **Cisco AnyConnect Secure Mobility Client** dialog box using the **X** in the top right corner of that dialog box and reopen the client. Repeated failures will result in you having to correctly enter the RSA Token Code and Windows Password, then wait for the next RSA Token Code and enter that new code.

❖ Click the OK button

❖ You will receive a Connected to **ENTVPN.MT.GOV** confirmation in the **Cisco AnyConnect Secure Mobility Client** dialog box.

❖ You are now fully connected to the Enterprise VPN for the State of Montana.
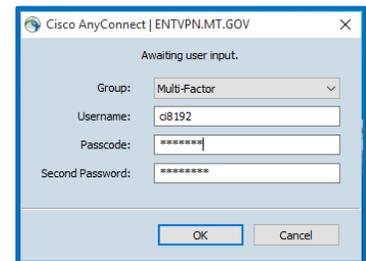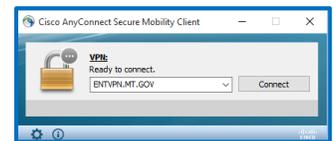
Disconnecting from the State of Montana VPN

❖ To disconnect from the State of Montana VPN, click the **Disconnect** button in the **Cisco AnyConnect Secure Mobility Client** dialog box.