Business Case for an Electronic Health Records System

Oregon State Department of Corrections (ODOC),

Operations Division,

Health Services (HS) Administration Section

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Subject:

The ODOC, Operations Division, Health Service section provides constitutionally mandated medical, dental, mental health, and pharmacy services to the entire offender population 24-hours per day, 7 days a week. ODOC provides a varying range of health care services at each of 14 institutions and occasionally patients need to go to the hospital or see specialty providers based on the severity of their conditions.

Health Services is comprised of an administrative unit in Salem, OR, which sets policy and long-term direction and a series of operational units representing the health care program at each facility. The health care program at each of the correctional institutions operated by the department is responsible for delivering health care to inmates consistent with policy centrally established by the division. Health Services employs more than 500 health care personnel and manages a number of agreements with health care organizations in communities throughout Oregon and the surrounding states in order to deliver constitutionally adequate health care.[1]

The mission of ODOC is to promote public safety by holding offenders accountable for their actions and reducing the risk of future criminal behavior.[2]

The mission is supported by their Values and Vision:

Values	Vision
Integrity and Professionalism	Safe and Secure Workplace
Dignity and Respect	Healthy, Engaged and Valued Employees
Safety and Wellness	Offenders Become Productive Crime-free Citizens
Fact Based Decision Making	Innovative, Efficient and Sustainable Business Practices
Positive Change	Proactive Collaborative Partner
Honoring Our History	Safe and Secure Workplace
Stewardship	

[1] https://www.oregon.gov/DOC/OPS/HESVC/pages/health_svcs.aspx
[2] https://www.oregon.gov/doc/Pages/about_us.aspx

Purpose:

Toward its mission in the most efficient and effective ways possible, ODOC is dedicated to program and service delivery evaluations and assessments through audits, research, and key performance measures.[3] During the information gathering and research stage issues were documented that support the inability for Health Services to do their work effectively and within as safe of an environment as possible. These include IT services (ITS), and operational support for transports, facilities, scheduling, and so forth.

With the support of the State of Oregon Senate Bill 843 Workgroup[4], ODOC has proposed to procure and implement an Electronic Health Records (EHR) system to address business problems faced by the organization as a result of the existing hybrid paper-electronic based system.

Scope and Problem Overview

Technology in health care has enabled improvements for many if not most areas of patient's health. State of Oregon, private and public health entities and community health care organizations (CCO) have embraced modern technologies and are working together to improve the health of all Oregonians. In contrast, the ability for Health Services to maintain delivering constitutionally mandated health care services to Oregon inmates is diminishing. The current Health Service information system can be described as an end of life-cycle hybrid, paper-electronic patchwork of applications and processes built upon an outdated technology platform. Primary business needs affected by outdated disparate systems are:

- **Continuity of Care.** ODOC is limited in their ability to provide seamless care during Intake (into ODOC), Incarceration (within ODOC) and Release (out of ODOC). In addition, strategic initiatives from the Governor's Reentry Council dating back to the 2007-09 biennium remain incomplete.
- **Compliance with Regulations.** ODOC is unable to manage compliance with certain regulations, HIPPA for one is a keystone driver and regulation not being met in part due to the current hybrid electronic-paper based system.
- **Measurements.** Due to the difficulty of analyzing and reporting from a hybrid electronic-paper based system, ODOC struggles to measure progress toward measuring achievements toward governing initiatives such as Correctional Outcomes through Research and Engagement (CORE) and legislative key performance measures (KPM). Alignment with analytics in Oregon is also an ongoing effort.[5]

[3] DOC Strategic Plan 2009-11, https://www.oregon.gov/DOC/ADMIN/pages/strategic_plan.aspx

[4] In 2014, the Correctional Health Care Costs Task Force (SB843-2013) included the "Use of Electronic Health Records Systems" as one of the primary recommendations in their report to the Ways & Means Subcommittee on Public Safety. This came after the Task Force reviewed nationwide efforts to increase efficiencies and prioritized recommendations based on projected impact. Health_services_arb_15-17.pdf; p.36

[5] The Collaborative for Health Information Technology in Oregon (CHITO) is a strategic multi-stakeholder alliance created to align and improve the planning, execution, utility, and efficiency of Health Information Technology (HIT) with an emphasis on alignment of efforts around data and analytics in Oregon. The current CHITO entities are Oregon Health Leadership Council (OHLC); Oregon Association of

- **Evidence-Based Decision Making (EBDM).** Commensurate to decisions made in communities, decisions that directly impact the health of inmate(s) are being made without a complete picture due to the fact health information isn't readily accessible (or even available) within the hybrid electronic-paper based system in place.
- **Technical Debt.** The longer ODOC operates with a hybrid electronic-paper based system surrounded by manual processes and supplemental systems ("workarounds") the more expensive it will become to modernize.
- **Data Management.** ODOC loses efficiencies and data quality by tracking and reporting off information inconsistently tracked and stored outside of a centrally managed system of record.

Alternatives Analysis: The EHR project is in the evaluation phase and at this point, there are no alternatives to report.

Assumptions and Methods: The EHR project is in the evaluation phase and at this point, there are no assumptions and methods to report.

Cost and Benefits: The EHR project is in the evaluation phase and at this point, there are no cost and benefits to repot.

Critical Success Factors: The EHR project is in the evaluation phase and at this point, there are no critical success factors to report.

Risk Assessment: The EHR project is in the evaluation phase and at this point, there are no risk assessments to report.

ODOC Procurement Process

The procurement and implementation of an EHR system is ODOC's number one priority project. Moving forward in the process ODOC contracted with a consulting company that had an EHR background and they also had extensive experience working in the correctional arena. ODOC contracted with Fusion Industries to provide an As Is , To Be and risk assessment.

This process began prior to the DAS Stagegate process. Also during this process ODOC hired a new Health Services Administrator and Chief Information Officer who both have experience with implementing and administrating EHR systems. After evaluating the implementation timeline and plan they both thought ODOC's implementation schedule was to aggressive and opened ODOC up to the risk of not being able to implement the EHR system properly.

Hospitals & Health Systems (OAHHS); OCHIN; Oregon Health Care Quality Corporation (Q Corp).
http://www.oahhs.org/sites/default/files/publications/FINAL-Aligning-Health-Measurement-in-Oregon-CHITO.pdf

With that said ODOC's EHR workgroup team shifted to a Crawl, Walk, Run methodology too successfully move through the Stagegate process to ensure a successful system implementation.

Current State:

ODOC is budgeted for $500,000 in the 2015-17 biennium to develop an updated business case to include supporting documents for DAS Stagegate 1. ODOC has contracted with Resource Data Inc. to develop and deliver the business case with supporting documents for Stagegate 1 to the ODOC HR Steering Committee for their approval by the end of September 2016.

ODOC's EHR workgroup is currently working with ODOC and DAC contracting offices to develop the RFP to hire a Project Manager (PM) and Business Analyst (BA).

Future State:

In September 2016 ODOC will release an RFP to acquire a PM and BA for the remainder of the project.

2017-2019 requested budget will allow for the continuation of the EHR project development by funding the PM & BA, Stagegate QA review and finalize the EHR system procurement RFP.

EHR System Solution Procurement Timeline:

May – September 2016 (Crawl)

- Contracted with Resource Data Inc. (RDI) **(Current state**)to:
  - Provide an objective and impartial evaluation of our needs.
  - Develop business case and supporting documents
  - Identify key stakeholders and work groups
  - Submit DAS stage gate 1 documentation for project approval
- Develop EHR Project Management/Analyst RFP Statement of Work
- Designate EHR Steering Committee and Operations workgroup members

October 2016 – June 2018 (Walk)

- Release RFP and hire project manager/analyst
  - Refine stage gate 1 documentation and financials for stage gate 2
  - Develop EHR RFP to procure system solution
- Obtain Quality Assurance services
- Submit system solution RFP for DOJ review and approval
- Identify medical equipment that needs upgrading
- POP approval
- Release RFP for system solution

July 2018 – July 2019 (Run)

- Select EHR System vendor
- Develop implementation plan and processes
- Procure medical equipment that needs to be upgraded to be compatible with EHR system
- Identify super user
- Train staff

Funding/Budget

2015-17	**Funded**	**$500,000**		
			RDI Consulting (Business Case development)	$89,000
			Project Manager & Business Analyst	$316,200
			HIPAA To be Business evaluation/solution	$90,000
			Total	$495,200
2017-19	**Requested**	**$1,700,800**		
			PM & BA Services	$1,166,880
			QA	$500,000
			Other	$33,920
			Total	$1,700,800
2019-21	**Project implementation needs**			
			CPU Hardware upgrade	
			PAC Server	
			Procure EHR compatible medical equipment	
			Document Scanner	
			PA & BA Services	
			Select EHR System Vendor	
			Infrastructure Upgrades	
			Hire EHR Support Staff	

Cost assessment will be developed for 2019-21 once system solution is selected

Supplement to DOC

Policy Option Package (POP) #108 Technology Initiatives

Item 2: Agency Intranet

Prepared by

Oregon Department of Corrections

Information Technology Services (IT Services)

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August 9, 2016

Version 0.3

Table of Contents

1 Opportunity/Need 4
1.1 Description of the Opportunity/Need 4
1.2 Source of the Opportunity/Need 5
1.3 Additional Background 5
2 Project Proposal 6
2.1 Relationship to DOC Mission and Strategies 6
2.2 Business Drivers 12
2.3 Assumptions 12
2.4 Key Performance Metrics 13
3 Proposed Strategy 13
3.1 Project Efforts for the 2017-2019 Biennium 13
3.2 Business Implications 13
3.3 Policy Implications 14
3.4 Information Technology Implications 14
3.5 Feasibility 15
3.6 Assessment of Project Complexity and Risk 15
4 Proposal Recommendation 19
4.1 Next Steps 19
4.2 Estimated Budget 21
4.2 Identified Benefits of the Proposed Project 22
4.3 Milestone Roadmap 22
5 Key Abbreviations 24

Table of Figures

Figure 1 CORE Fundamentals Map – June 2016 8
Figure 2 Destination 2026 – Strategic Goals 10
Figure 3 Destination 2026 – Why Look to the Future? 11
Figure 4 Potential Project Complexity Grid 18
Figure 5 Agency Intranet POP Estimated Summary Budget and Breakdowns ... 21
Figure 6 Agency Intranet Milestones 23

Table of Tables

Table 1 Business Considerations That May Increase Project Complexity 16
Table 2 Technical Considerations That May Increase Project Complexity 17
Table 3 List of Key Abbreviations.....24

1 Opportunity/Need

1.1 Description of the Opportunity/Need

The project proposal is for DOC to develop and deploy an enterprise-wide Agency Intranet (Intranet Communications Porta) that supports a strategy to improve business processes related to communications *within* the agency (Intranet), manage documents, provide document versioning, collaborate on projects and decisions, and improve the quality of business data and information.

The scope of the project will be to improve:

- *Communications* within the agency (Intranet)
    - Providing *central locations* to find common information
    - Providing *search tools to locate common information quickly* and *effectively*
- Managing documents and *document versions*
- Collaboration on projects and decisions with DOC
- *Collaboration with external community partners*
- The *quality* of business data/information
- *Reduce duplicate* business forms
- *Coordination* of critical meetings

Project Request

- In light of the need to improve enterprise efficiencies, we are requesting $1,858,500 in this Policy Option Package for the 2017-2019 Biennium. (0 Positions, 0 FTE).
- This proposed project requires 42 months and would start July 1, 2017 and last through December 31, 2020. The Intranet Communications Portal project requires 3.5 years.

If not funded, DOC's communication and collaboration practices will continue as is using only email and dispersed files that are hard to locate, control, and share.

The quality of informed, collaborative, and data-driven decisions will remain *underdeveloped and stunted*.

What is an Intranet?

- An intranet is an in-house website on the organization's local area network (LAN) serving only employees and not the public.
- An intranet provides a standard way to publish the organization's policies, news, schedules, forms, and training manuals.
- The intranet can also provide a venue for publishing blogs, wikis, activities, events, and schedules. A web browser is the primary way to display information.

1.2 Source of the Opportunity/Need

- In June 2011, DOC led an Intranet pilot project to test the functionality and approaches to meeting business needs using intranet web portals. The six-month pilot was successful and developed a number of lessons learned to use when initiating a full project.
- In November 2014, DOC hired the Marquam Group, an experienced and well-known team of Intranet consultants that have performed contracts for many Oregon agencies, to perform an Intranet business feasibility study; they were tasked to identify how an Intranet could meet critical organizational needs. Six large and separate stakeholder workshops were held with over 50 staff participating. Based on the information gathered, alternative options were reviewed, and a three-year roadmap was defined. Necessary infrastructure changes were targeted and costs were estimated including the Oregon State Data Center (SDC) expenses for hosting/support.

1.3 Additional Background

- By April 2014, Marquam and DOC IT Services collaborated and jointly authored a number of deliverable documents supporting the findings; these documents provide a framework to start project implementation.

  Some of the documents developed were a:

  - ***SharePoint Execution Roadmap*** (display initiatives and timelines – See Appendix D)
  - ***SharePoint Budget Considerations*** (detailed software/hardware and costs in Excel)
  - ***Internal Resource Requirements and Plan*** (FTE and Services Staff estimates in Excel)
  - ***Infrastructure Planning Document*** (Technical overview of possible architecture solutions)
  - ***SharePoint PowerPoint Presentation*** to the DOC Policy Group

- A summary of findings were presented to DOC's Policy Group in April 2014. The findings were positively received and generated a discussion and desire to move forward.

<u>The stakeholder sessions identified many of the following key ***pain points*** at DOC:</u>

1. There are no central locations to find common information.
2. There are issues with duplicate information and misinformation.
3. Staff have a poor experience searching for files and information.
4. There is extensive use of file shares.
5. DOC's main channel of communication is primarily through email.
6. Many business processes are cumbersome, heavily reliant on paper, and require dual data entry.
7. Project and team communications are heavily reliant on email and file shares.
8. DOC does not have a coordinated solution for communicating within the agency and for collaborating with external partners.
9. The current state affects DOC's Administration, along with all staff using Outlook, Word, Excel, and that share files; especially when exchanging critical information with others. External partners such as Oregon Corrections Enterprises and Community Corrections are also unable to collaborate effectively with DOC.

   There is no effective collaboration solution within DOC and for DOC staff to collaborate with external partners.

2 Project Proposal

2.1 Relationship to DOC Mission and Strategies

The Oregon Department of Corrections (ODOC) operates correctional facilities and performs functions related to legislative approved programs for 14,000 Adults in Custody (AIC), within fourteen facilities throughout Oregon.

> "The mission of the Department of Corrections is to promote public safety by holding offenders accountable for their actions and reducing the risk of future criminal behavior."

The current system state touches *DOC's leadership and all 4,500 employees t*hat use Microsoft Outlook, Word, Excel, and share files and critical information with each other.

External partners such as Oregon Corrections Enterprises and Community Corrections are also unable to collaborate effectively with DOC staff.

This proposed project supports many values and elements of DOC's Shared Vision statement:

1. Fact-Based Decision Making
2. Engaging Employees
3. Implementing Innovative Business Practices (data driven, evidence-based practices, and progressive technologies)
4. Partnering with Our Stakeholders

The project supports many of DOC's goals targeted by the Correctional Outcomes through Research and Engagement initiative (***CORE***):

1. ***Engage*** Stakeholders, Partners, and Employees
2. To develop Public Safety partner and customer ***satisfaction***
3. ***To connect*** to community volunteers
4. To ***promote the effective communications*** of news to Stakeholders and Partners
5. To assist data warehouse users to utilize data and research studies

Note: CORE is DOC's performance management and process improvement method to support the agency's mission, vision, values, goals, and objectives by measuring and evaluating targeted outcomes throughout the organization.

FOUNDATIONS

MISSION
The mission of the Oregon Department of Corrections is to promote public safety by holding offenders accountable for their actions and reducing the risk of future criminal behavior.

VISION
Valuing Employee Wellness
Engaging Employees
Operating Safe Prisons
Implementing Innovative Business Practices
Preparing Offenders for Reentry
Partnering with Our Stakeholders

VALUES
Integrity and Professionalism
Dignity and Respect
Safety and Wellness
Fact Based Decision Making
Positive Change
Honoring Our History
Stewardship

CORE
Engage • Innovate • Succeed

Oregon Department of Corrections

The Fundamentals Map

June 21, 2016

KEY GOALS

- Safe and Secure Workplace
- Healthy, Engaged and Valued Employees
- Offenders Become Productive Crime-free Citizens
- Innovative, Efficient and Sustainable Business Practices
- Proactive Collaborative Partner

CORE PROCESSES

OPERATING PROCESSES

OP1: Managing Safe Prisons	OP2: Preparing for Successful Release/Reentry	OP3: Managing Inmate Healthcare	OP4: Providing Inmate Work Opportunities	OP5: Connecting Inmates to Family and Community	OP6: Managing Offenders in the Community
PROCESS OWNER					
M. Gower	H. Steward	J. DaFoe	K. Jeske	H. Steward	J. Stromberg
SUB PROCESSES					
1. Maintaining secure custody/control 2. Maintaining safety of staff, inmates and others 3. Providing basic needs for inmates 4. Transporting inmates 5. Utilizing staff resources 6. Managing PREA policy and awareness 7. Managing emergency preparedness 8. Role modeling, redirecting and reinforcing pro-social behavior 9. Providing adequate training for staff, inmates and others 10. Ensuring adherence to directives for staff, inmates and others	1. Assessing inmate risks and needs 2. Computing sentences 3. Determining appropriate housing for successful case management 4. Developing, managing and adjusting case plans 5. Providing treatment 6. Providing educational and vocational programs 7. Providing spiritual programs and services 8. Providing pro-social programs and opportunities 9. Managing transition and reentry 10. Planning for and releasing from custody	1. Providing intake health care 2. Providing ongoing mental health care 3. Providing ongoing medical care 4. Providing ongoing dental care 5. Managing and coordinating offsite care 6. Supporting health care operations 7. Managing the purchase/distribution of medication and supplies 8. Providing health promotion opportunities	1. Evaluating inmates upon entry for job readiness 2. Providing job readiness skills, resources and supportive services 3. Providing work experiences 4. Developing partnerships with community and business leaders 5. Connecting inmates to available community work resources 6. Working collaboratively with Community Corrections staff for reentry services	1. Recruiting and managing volunteers 2. Providing opportunities for visitation 3. Providing and managing systems for inmate communication 4. Providing opportunities for mentoring contacts 5. Promoting pro-social supports and connecting to community resources throughout incarceration 6. Expanding enhanced family and community visits 7. Expanding access to outside vocational and educational partners 8. Providing information to families to help navigate through an inmate's incarceration	1. Assessing risk, need and responsivity 2. Developing and managing case plans 3. Prioritizing supervision strategies 4. Referring to appropriate programs 5. Maintaining contact in the community 6. Using appropriate interventions to motivate and hold accountable 7. Managing the Interstate Compact for Adult Offender Supervision
PROCESS MEASURES					
a. Group disturbances b. Inmate grievances c. Inmate misconduct d. PREA standards e. Security standards f. Inmate assaults	a. Education b. Treatment participation c. Behavioral change programs d. Housing at release e. Birth certificates and social security cards f. Work assignment history	a. Offsite medical health care b. Continuous Quality Improvement (CQI) c. BHS coordination of care management d. Clinical licensure e. Pharmacy f. Inmate blood pressure g. Inmate cholesterol h. Inmate blood sugar i. Parole/release medications j. Health empowerment	a. Providing DOC work experiences b. Providing OCE work experiences c. Providing work experiences for inmates d. Providing community work experiences e. Providing job readiness skills, resources and supportive services	a. Inmate family and community connections within (1) year of release b. All inmate family and community connections c. Volunteers d. Parenting programs e. Enhanced visiting f. Telmate phone contacts g. Inmates using Telmate	a. Assessments b. Caseplans c. Employment d. Treatment participation e. Restitution f. Community service completion

SUPPORTING PROCESSES

SP1: Managing our Workforce	SP2: Managing and Planning Finances	SP3: Managing Business Services	SP4: Mitigating Risk	SP5: Engaging Stakeholders and Partners	SP 6: Managing Performance
PROCESS OWNER					
D. Borello	S. Robbins	D. Borello	C. Prins	E. Craig	J. DeCamp
SUB PROCESSES					
1. Recruiting and hiring motivated staff 2. Providing training opportunities for professional development 3. Supporting staff wellness 4. Evaluating and responding to employee needs 5. Advancing employee succession and promotion 6. Negotiating and managing collective bargaining agreements 7. Encouraging a culture of inclusion	1. Managing financial transactions 2. Managing resources 3. Managing contracts 4. Acquire and align resources 5. Ensuring financial regulatory compliance 6. Providing financial information	1. Providing IT and communication services 2. Maintaining facilities/managing real property 3. Maintaining security and other building systems 4. Managing warehouse operations and logistics 5. Providing inmate goods 6. Managing environmental impact and sustainability	1. Conducting risk assessments 2. Investigating complaints 3. Managing security threats 4. Protecting due process rights 5. Developing and sharing intelligence 6. Managing rules and policies 7. Preventing and responding to sexual assaults/ harassment 8. Managing litigation and reducing liability 9. Maintaining data integrity 10. Conducting audits and addressing deficiencies	1. Communicating with employees 2. Managing media relations 3. Working with elected officials 4. Communicating with and informing stakeholders 5. Responding to public records requests 6. Participating in councils and committees 7. Partnering with local communities 8. Coordinating events and recognitions	1. Aligning Agency Strategies 2. Engaging Employees 3. Utilizing Data and Research 4. Reviewing Performance 5. Improving Processes 6. Managing Projects 7. Supporting Change
PROCESS MEASURES					
a. Workers compensation b. Wellness activities c. Hiring d. Annual training e. Labor relations	a. Forecast accuracy b. Projections c. LFO fiscal impact statements d. Purchasing e. Electronic inmate deposits f. Number of payroll overpayments g. Amount of payroll overpayments	a. BTU usage b. IT service response time c. Work order efficiency d. Recycling e. Canteen sales f. Canteen net income g. Transportation expense h. Inmate goods (Food) i. Inmate goods (Supplies) j. Inmate goods (Apparel)	a. Tort claims compared to actual lawsuits (Inmate) b. Tort claims (Inmate) c. Litigation Tort claim costs (Inmate) d. PREA audits e. Security audits f. Internal audits g. Audit deficiencies	a. News coverage b. Legislative requests c. DOC general information inquires d. DOC internet e. Employee communication f. Public records requests	a. Breakthrough targets b. Engagement c. Research studies d. Process measures e. Outcome measures f. Recommendations implemented g. Project effectiveness

OUTCOME MEASURES

OM 1: Staff Safety	OM 2: Healthy Staff	OM 3: Employee Engagement	OM 4: Community Supervision Success	OM 5: Recidivism	OM 6: Diversity in the Workplace	OM 7: Population Management	OM 8: Case Plan Adherence	OM 9: Inmate Safety	OM 10:Public Safety	OM 11: Inmate Jobs	OM 12: Inmate Health	OM 13: Financial Management	OM 14: Partner and Customer Satisfaction
MEASURE OWNER													
C. Prins	D. Borello	D. Borello	J. Stromberg	J. Stromberg	G. Sims	H. Steward	H. Steward	M. Gower	M. Gower	K. Jeske	M. Gower	S. Robbins	L. Craig

KEY PERFORMANCE MEASURES

- KPM 1: Measure 17 Compliance
- KPM 2: Completed Corrections Plan
- KPM 3: Recidivism
- KPM 4: Staff Assaults
- KPM 5: Walk-a-Ways
- KPM 6: Natural Gas Usage
- KPM 7: Level 1 Misconducts
- KPM 8: Secure-Custody Escapes
- KPM 9: Unarmed Perimeter Escapes
- KPM 10: Transitional Leave
- KPM 11: Customer Service
- KPM 12: Inmate Offsite Healthcare
- KPM 13: Time Loss Days

Figure 1 CORE Fundamentals Map - June 2016

A larger copy of this map is available on request.

In 2015, DOC began a ten-year strategic initiative called ***Destination 2026*** to define what success would look like in ten years, and what needed to happen within DOC to reach those transformative successes by 2026.

This proposed project supports and relates to many of DOC's targets by **Destination 2026 over the next ten years**:

1. Modern tools and technology in place.
2. Securing technology funding
3. Increasing focus on best practices
4. Leadership to build a vision to help focus and prioritize
5. Using Scorecards, Fundamental Maps, and Quarterly Target Reviews

DESTINATION 2026

PUBLIC SAFETY EMPLOYER OF CHOICE • INNOVATIVE EMPLOYEES TRANSFORMING LIVES

PRIDE PEOPLE & SKILLS	STRENGTH EMPLOYEE WELLNESS	RESPECT CULTURE	PROTECT CORRECTIONS OUTCOMES	SERVE RE-ENTRY & SUPERVISION

10 YEARS

WHAT WILL SUCCESS LOOK LIKE?

PRIDE
- Staff are proud to work for the agency.
- The public values the work of corrections professionals.
- We attract and retain a diverse workforce of the best and the brightest with a passion for corrections.
- World class training from hire to retire.
- Employees actively engage in the work of the agency.

STRENGTH
- Employees are able to utilize accrued leave.
- Staff are healthy in all eight dimensions of wellness.
- Life expectancy mirrors the rest of the country.
- Wellness resources are consistently available agency-wide.
- Employees effectively manage stressors.
- Mandatory OT is reduced by 50%.

RESPECT
- We value employees and families.
- Asking for help is seen as a sign of strength.
- We treat each other with respect.
- We role model, reinforce, and re-direct with those in custody and on supervision.
- We use every interaction as an opportunity for positive change.

PROTECT
- Safe and secure workplaces.
- AICs in right bed at right time.
- No new victims are created.
- Funding meets agency needs.
- Modern tools and technology in place.

SERVE
- Individuals meet goals of their case plan; gain the skills to transition out of the corrections system.
- Evidence-based programs meet criminogenic needs.
- Individuals pay toward court-ordered victim restitution.

4 YEARS

4-YEAR GOALS — WHAT HAS TO HAPPEN TO REACH THE DESTINATION?

PRIDE
- Attract and retain a diverse workforce of the best and brightest

STRENGTH
- Employees model wellness in all eight dimensions
- Mandatory OT is reduced

RESPECT
- Managers model and support a respectful environment

PROTECT
- AIC housing matches needs
- Technology is enhanced
- Agency is prepared for emergencies and natural disasters

SERVE
- Programs and work opportunities are effective
- AICs pay toward court-ordered restitution

4-YEAR OBJECTIVES — HOW WILL WE MEASURE ACHIEVEMENT OF THE 4-YEAR GOALS?

PRIDE
- 100% of current managers have completed management training
- 100% of identified managers have completed leadership training

STRENGTH
- Baseline wellness data collected
- Employees educated on eight dimensions of wellness
- Wellness resources expanded towards all eight dimensions
- Mandatory OT reduced by 20%
- Wellness funding secured

RESPECT
- 50% of employees respond favorably to survey questions regarding culture
- Manager effectiveness assessments implemented

PROTECT
- 50% of inmates are in the right bed at the right time
- Technology funding secured
- All staff are trained on EP protocols and planning for the home

SERVE
- Programs and work opportunities offered meet effectiveness criteria
- Restitution policy in place

4-YEAR STRATEGIES — WHAT STRATEGIC INITIATIVES WILL WE CONDUCT TO ACHIEVE THE 4-YEAR GOALS?

PRIDE
- Brand Creation
- Marketing the Brand
- Management Development Roadmap
- Developing Managers
- Developing Leaders Breakthrough
- Workforce Planning Breakthrough
- Talent Strategy

STRENGTH
- Wellness Breakthrough #1 – Physical and Emotional Wellness
- Employee Attendance Policy
- Wellness Breakthrough #2 – Additional Dimensions of Wellness
- Statewide Overtime Reduction Strategy

RESPECT
- Gather Data About Culture
- Performance Evaluation

PROTECT
- Inmate Needs Compiled
- Institution Master Plan
- Identify Goals for Right Bed at Right Time
- CCM Enhancement
- Optimizing Special Housing Beds
- Central Data Management
- Electronic Health Records and Thin Client
- Business Case and RFP for CIS
- EP Protocols and Training

SERVE
- Inmate Financial Accountability Workgroup
- Program Evaluation Automation
- Service Matching
- Work Opportunity Evaluation
- Technology For Restitution

Version 6/2/2016

Figure 2 Destination 2026 - Strategic Goals

BUILDING OUR FUTURE
TO SERVE THE PUBLIC

WHY LOOK TO THE FUTURE?

TRENDS IN WORKFORCE
- Public safety applicant crisis
- Increase in retirees
- Declining employee health

EXTERNAL DRIVERS
- Advocacy groups pushing for change
- Increased focus on outcomes
- Changing demographics of AICs (geriatric, medically fragile, mentally ill, etc.)

INTERNAL LEADERSHIP
- Need vision to help focus and prioritize
- Increased focus on best practices

FINANCE
- Need to prioritize available resources
- Budget pressure

WHAT IS OUR DESTINATION ? PUBLIC SAFETY EMPLOYER OF CHOICE • INNOVATIVE EMPLOYEES TRANSFORMING LIVES

PRIDE
PEOPLE & SKILLS

STRENGTH
EMPLOYEE WELLNESS

RESPECT
CULTURE

PROTECT
CORRECTIONS OUTCOMES

SERVE
RE-ENTRY & SUPERVISION

WHAT IS CONSTANT?

ORGANIZATION
- Mission, shared vision, values
- Over 4,500 employees statewide
- Partnership with OCE
- Labor relationships

STRUCTURE
- Institutions statewide
- Community corrections offices
- Work sites

OREGON ACCOUNTABILITY MODEL
- Role modeling
- Redirecting
- Reinforcing

CORE
- Fundamentals Map
- Scorecards
- Quarterly Target Reviews

OUR FOUNDATION

MISSION
To promote public safety by holding offenders accountable for their actons and reducing the risk of future criminal behavior.

SHARED VISION
- Value employee wellness
- Engage employees
- Operate safe facilities
- Implement innovative business practices
- Prepare offenders for re-entry
- Partner with stakeholders

VALUES
- Integrity & Professionalism
- Dignity & Respect
- Safety & Wellness
- Fact-Based Decision Making
- Positive Change
- Honoring our History
- Stewardship

Figure 3 Destination 2016 - Why Look to the Future?

2.2 Business Drivers

In addition to managing the AIC population of 14,500, DOC employees directly supervise approximately 3,000 Offenders in Linn and Douglas counties. The Department employees also administer the Community Corrections grant programs providing financial assistance, technical assistance, and policy development in thirty-four other counties supervising 31,000 Offenders currently on felony probation and post-prison supervision.

The totals of AIC, directly supervised Offenders, and other Offenders on probation and post-supervision programs administered by DOC total 48,000.

o Adults in Custody	14,000
o Supervised Linn & Douglas	3,000
o Offenders on probation and	
o Post-supervision programs	31,000
Total	48,000

There is vast need for improved communication, collaboration, and decision making while DOC faces an increasing rate of retirees in the next several years.

2.3 Assumptions

The following are assumptions for the project and a breakdown of the funding request for the 3.5-year project:

DOC will:

1. Contract with a vendor to perform a technical infrastructure reassessment evaluating our current technology and recommend next steps and tools to support the development of an agency Intranet, collaborative tools, and content management (prior to project initiation).
2. Procure professional services to write the required StageGate Business Case and IRR packet to submit to the State CIO.
3. Procure professional services to write the Statement of Work and Request for Proposal to hire a Solutions Vendor.
4. Procure a Solutions Vendor to implement the intranet and collaborative solutions over the life of the project.
5. Potentially need to hire an independent Quality Assurance (QA) vendor, since this is required for most StageGate projects.

Note: It remains unclear if an independent QA will ultimately be required. The current request for funding includes anticipated costs for independent QA oversight.

If QA is later determined not to be necessary, the requested funds and budget might decrease.

2.4 Key Performance Metrics

If the project is implemented, Key Performance Metrics (KPMs) could include:

- A percentage reduction of duplicate information or files
- A percentage increase of how much more quickly staff can locate information they search for
- A percentage reduction of DOC staff emails (with file attachments) sent to other staff
- A percentage of file shares from the U: and P: drives migrated into the new Intranet Communications Portal with improved management and controls.

Best practice metrics for other similar projects would be used as starting point.

3 Proposed Strategy

3.1 Project Efforts for the 2017-2019 Biennium

The project efforts in the biennium will focus on:

- Creating an ongoing governance plan to manage the development and program efforts for the Agency Intranet
- Publishing critical information and content to DOC staff
- Facilitating staff communications
- Sharing ideas, exchanging information, and engaging staff on collaborative projects and decisions
- To partially streamline key business process workflows

3.2 Business Implications

The proposed project solution would influence business operations at DOC by taking some of the following possible actions:

- Creating an ongoing governance plan to manage development and program efforts

- Publishing critical information and content to staff
- Facilitating staff communications
- Sharing ideas, exchanging information, and engaging staff on collaborative projects and decisions
- Partially streamline key business process workflows
- To modify, integrate, and optimize existing business processes and procedures

Currently there are no plans in this project to change staffing.

Staffing Impact

- Positions 0
- FTE 0.00

3.3 Policy Implications

There are no anticipated policy changes or implications for DOC in relationship to this project.

During the project, policy would be addressed by the Project Sponsor, Business Owner, and the DOC Executive Team.

3.4 Information Technology Implications

Throughout the past several biennia, DOC has faced many budget challenges. Due to these budget constraints, DOC has been unable to implement needed technology required for a healthy infrastructure.

DOC still has numerous inefficient manual and paper business processes that fail to provide shared data and critical information necessary for the appropriate level of AIC and staff management.

It is essential that DOC maintain accurate and quickly available information on all AICs throughout their custody cycle so DOC staff can make solid decisions regarding AIC case and behavior management.

Assisting AICs to progress successfully through their custody cycle helps DOC reach a critical objective of “reducing the risk of future criminal behavior” and driving Oregon’s recidivism rate lower.

DOC is challenged with many technological deficits. Developing an Agency Intranet is essential to the DOC’s ability to promote public safety by supporting all Department functions necessary for AIC management, case management, sentence management, and fiscal accountability.

This project will:

- Leverage the investment made in *an existing Microsoft Enterprise license* held by DOC that includes software to develop and support intranets.

  Leveraging the use of this software provides the opportunity for more productive results from all DOC staff efforts.
- Modify, integrate, and enhance many widely used software systems
- Modify and enhance many current business and decision making processes

3.5 Feasibility

Current IT Services staffing levels, technical experience, and demands for other projects are major constraints on attempting this project in-house.

IT Services cannot currently provide the long-term capacity to support DOC efforts to launch, manage, and implement a multi-year technology project for the type of Agency Intranet proposed.

To make the project achievable, this project proposal anticipates using multiple vendors to provide the major resources, skills, and experience needed to achieve successful project outcomes.

Multiple vendors will be used to:

- Develop a Technical Infrastructure Assessment during the Project Pre-Initiation phase
- Write a fully developed Business Case to submit to the State Oregon CIO (SOCIO) for StageGate review and initial Endorsement
- Enhance the approved Business Case for additional StageGate Endorsements
- Write a Statement of Work (SOW) and Request-for-Proposal (RFP) to procure a Solution Vendor
- Manage and lead the implementation of the various Agency Intranet deliverables and transfer project and technical knowledge to DOC staff during Project Closure (The Solution Vendor)

3.6 Assessment of Project Complexity and Risk

Pursuing the proposed technical strategy of hiring experienced and knowledgeable vendors to provide project resources and expertise throughout the life of the project will mediate some of the critical risks of the proposed Agency Intranet.

There remain business, business transition, and technical risks to this project and the overall project risk is estimated to be in the ***high-medium*** risk to ***low-high*** risk due to a number of considerations.

Business and Business Transition Considerations

A preliminary risk assessment was developed using an adapted version of the Business & Technical Complexity Assessment (BTTCA) developed by the Department of Human Services (DHS) a number of years ago.

Some business transitions complexities that may demonstrate more complexity and risks were rated on a scale from 0 (non-existent) to 5 (high) and those that were identified as a 4 or 5 are listed in the following table.

Overall, the complexity level of the Business Considerations was 5. (High).

Table 1 Business Considerations That May Increase Project Complexity

Business Focus	High Complexity	Comments/Details
Contract Need	**Significant/Complex**	Multiple contracts for vendor support.
Critical Business Processes Affected	**Many**	
Cross Departmental Involvement	**Many**	Should involve all Departments and Units.
Duration of Effort	**More than 3 years**	Estimated 42 months for project.
Funding Source	**Grant /Time Constrained**	Both StageGate and QA oversight.
Human Resources Staffing Impact	**High**	
Level of Training Effort Required	**Formal/Classroom**	To Be Determined
Number of Internal Users	**More than 2000**	4,500 DOC staff.
Stakeholder Impact	**High**	Impact to all DOC employees, DOC leadership, and some external Stakeholders

Business Focus	High Complexity	Comments/Details
	Results: A Range of Business Complexity of 5	

Technical Considerations

The same risk assessment was developed using an adapted form of the BTTCA for Technical considerations.

Technical complexities were rated on a scale from 0 (non-existent) to 5 (high) and those that were identified as a 4 or 5 are listed in the following table.

Overall, the complexity level of the Technical Considerations was 4. (Medium-High).

Table 2 Technical Considerations That May Increase Project Complexity

Business Focus	High Complexity	Comments/Details
Amount of Integration	**Complex**	
Co-Location of Technical Team	**Outside Oregon**	Technical teams should be in Oregon
Contract Need	**Significant/Complex**	For Business Analyst, Project Manager, and Solution Vendor
Data Conversion	**Multiple Systems**	Requires migration of data too.
Hosting	**External**	ETS, Cloud, or hybrid solution.
Multiple IT Group Involvement	**More than 5 Other**	
Number of Users	**Greater than 2000**	
Rough Estimate	**Over $1,000,000**	
Security/Roles	**High (More than 6)**	

Business Focus	High Complexity	Comments/Details
System Availability	24-Hrs, 7 Days	
System Platform	Many	
	Results: A Range of Technical Complexity of 4	

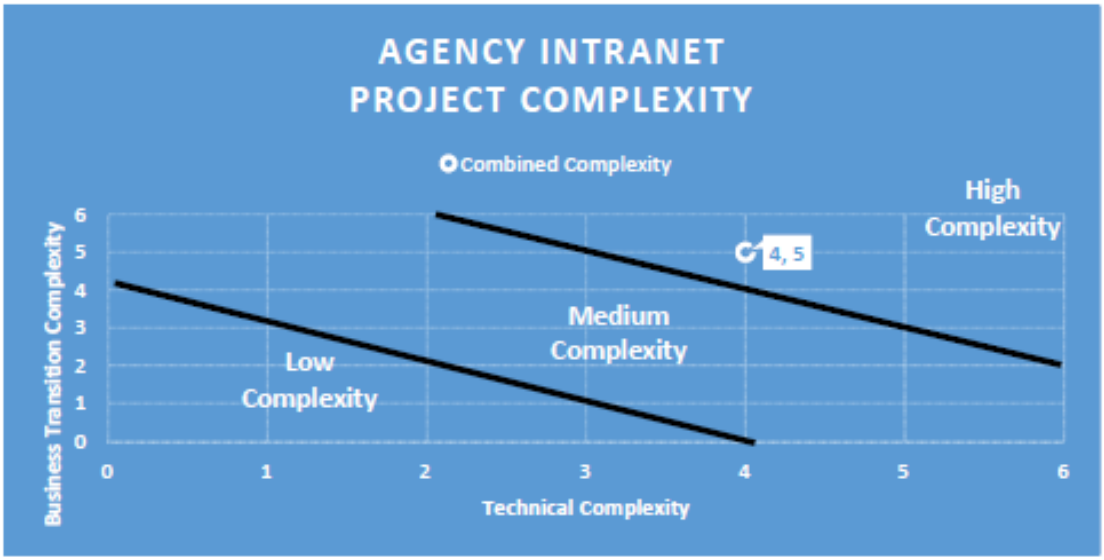
Summary of Complexity

Overall, the combined Business (5) and Technical (4) complexities provide plot points for a Complexity Grid that also demonstrates a relative idea of the potential risk range for the project.

A potential Complexity Grid of the Agency Intranet Project might appear as follows.

Business Transition and Technical Complexities Grid

To identify trends and risks to consider
for Project Management and Business Transition Planning



Technical Complexity	Business Transition Complexity
4	5

Figure 4 Potential Project Complexity Grid

To mediate the potential complexities of the project a number of steps could be taken in addition to using vendor skills and expertise.

1. Assign a DOC project manager, Sponsor, and any other key positions to complete planning and project pre-initiation activities.
2. Have the project following PMI and PMBOK project management best practices.
3. Consider designating a Stakeholder to manage business transition efforts and to assist with the planning, directing, coordinating, and monitoring various DOC transitions.
4. Develop and maintain a comprehensive Project Plan that includes work breakdown structure, effort estimates, resources, requirements, schedule, and a phase budget and breakdown work activities at one to three weeks.
5. To consider developing most of the following project management plans:
    - Business Transition Plan
    - Project Organization and Staffing Plan
    - Project Budget
    - Change Management Plan
    - Communication Plan
    - Issue Management Plan
    - Time and Cost Tracking Plan
    - Quality Management Plan
    - Contract and Procurement Management Plan
    - Risk Management Plan
    - Project Training Plan for Project Team and DOC

Changes would be made to this list during project initiation

4 Proposal Recommendation

4.1 Next Steps

the following comprise some of the next action steps that need to occur for this project to move forward.

1. For Colette Peters to review, approve, or modify this portion of POP #108 to move forward as part of the Agency Request Budget process for the 2017-2019 biennium.

2. For the DAS Analysts to approve this portion of POP #108 to move forward to Governor Kate Brown for review and approval.
3. For Governor Brow to approve and move forward this portion of POP #108 within the Governor's Request Budget package for the Oregon State Legislatures to consider during the next Session.

4.2 Estimated Budget

The estimated costs and budget for the Agency Intranet project are broken down as follows:

POP Summary Breakdown by Startup, Capital, and Ongoing Costs v.7
Intranet Communications Portal - POP #108
2017 - 2019 Biennium

Last Updated: 8/9/2016

Item	One-Time Startup Cost	Capital Outlay (1+years/>=$5k)	Ongoing Costs	Estimated 2017 – 2019 Biennium		Estimated 2019 – 2021 Biennium	Total Both Biennium
Professional Services	$1,511,484			$1,511,484		$426,681	$1,938,165
Training	$60,375			$60,375		$25,750	$86,125
Additional Software Licenses and SDC Hosting			$286,641	$286,641		$240,469	$527,110
Total	$1,571,859	$0	$286,641	$1,858,500		$692,900	$2,551,401
	85%	0%	15%	100%			

Revenue Source	2017-2019 Biennium	2019 – 2021 Biennium	Total (over 3.5 years)
General Fund	$1,858,500	$692,900	$2,551,400
Other Funds -			$0
Federal Funds -			$0
Total Funds	$1,858,500	$692,900	$2,551,400

Figure 5 Agency Intranet POP Estimated Summary Budget and Breakdowns

Revenue Source for the 2017-2019 Biennium

- General Fund $ 1,858,500
- Other Funds $

Note: Any Adjustments to the POP package will be included in the 2019-21 Base Budget.

4.2 Identified Benefits of the Proposed Project

An Agency Intranet will provide a foundation to share data and essential information, measure processes, and can lead to improved business efficiencies, decisions, and responsiveness.

In addition to increased collaboration, the system can also provide ways to reduce manual processes, provide opportunities to improve timeliness and quality of decisions, and generate better outcomes in support of DOC's mission.

- Communications within DOC (Intranet)
- Providing central locations to find common information
- Providing tools to locate common information
- Coordination of meetings
- Managing documents and document versions
- Collaborating on projects and decisions
- Improving the quality of business data/information
- Reducing duplicate business forms

4.3 Milestone Roadmap

Key project targets will be met in three phases by:

1. Establishing an initial Intranet ***foundation***
2. ***Extending*** Intranet functionality
3. ***Integrating*** agency business processes

The anticipated Agency Intranet Milestones range over 3.5 years and will be evaluated and revised during project initiation. The current estimated Milestones and StageGate Endorsements for the project are planned to be as follows.

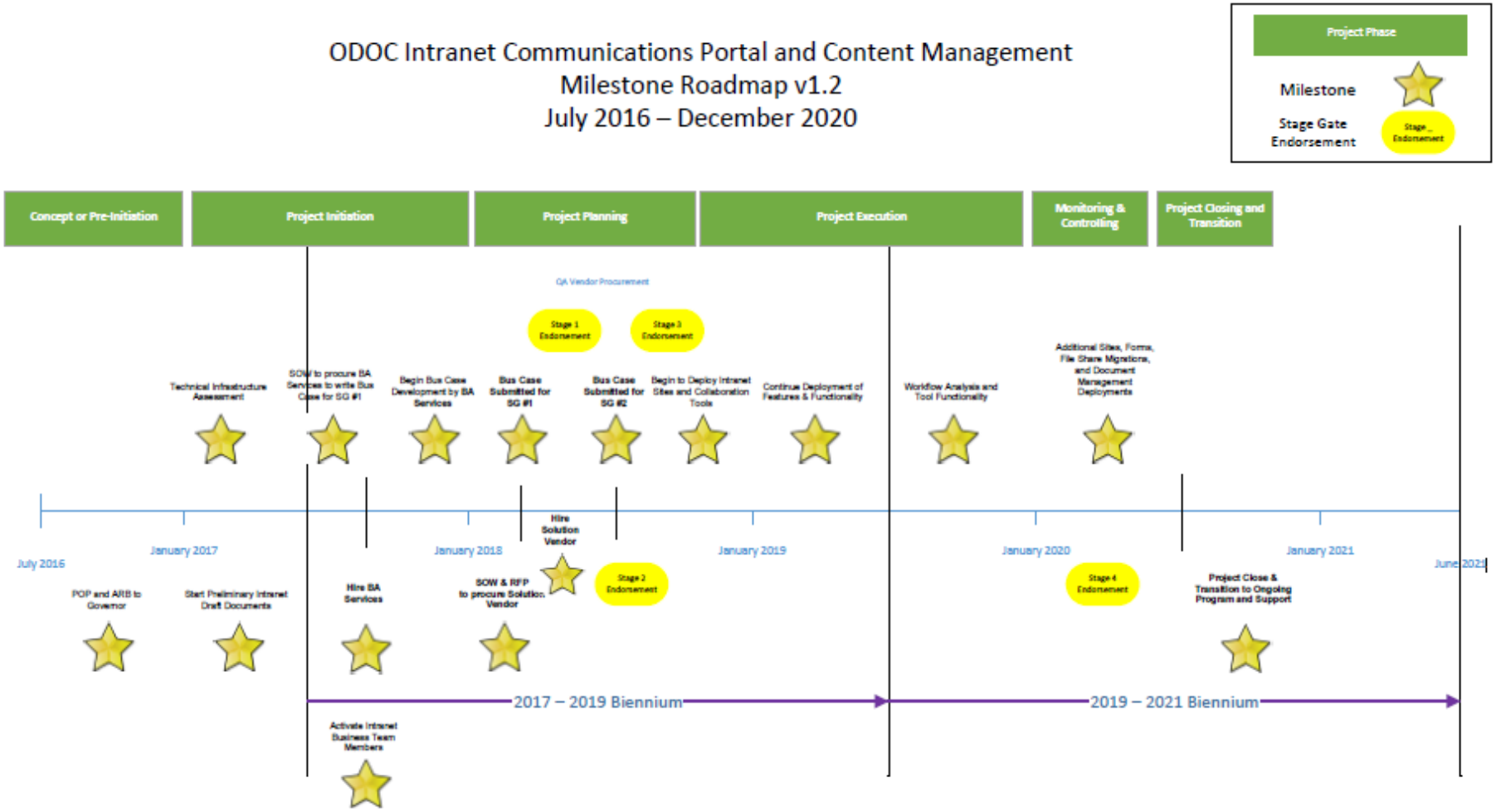


Figure 6 Agency Intranet Milestones

5 Key Abbreviations

Table 3 List of Key Abbreviations

Abbreviation	Description
AIC	**Adults in Custody** (formerly referred to as Offenders or Inmates)
CIO	**Chief Information Officer**
CORE	**Correctional Outcomes through Research and Engagement** (DOC's performance initiative begun in 2013)
Data warehouse	A computer database designed to access and analyzes organizational data to aid in business intelligence efforts and support decision-making.
ETS	State of Oregon **Enterprise Technology Services** (also referred to as the **State Data Center**). ETS provides computing services to numerous state agencies.
Extranet	A password-protected Web site on the Internet, but not the general public. It can provide access to research, internal databases, and virtually any information that customers or business partners are given permission to view and use.
Intranet	An in-house web site on an organizations local area network (LAN) serving employees only and not the general public. An intranet provides a standard way to publish organization's policy, news, schedules, forms, and training manuals. The intranet can also provide a venue for publishing blogs, wikis, activities, events, and schedules. A web browser is the primary way to display information.
ITS	**Information Technology Services** at DOC
ODOC	**Oregon Department of Corrections** (State of Oregon agency)
SDC	State of Oregon **State Data Center** (also referred to as the **Enterprise Technology Services**). SDC provides computing services to numerous state agencies.

Business Case for
Item 1: Assess Corrections Fundamental Systems

Oregon Department of Corrections, Administrative Services Division, Information Technology Services (ITS)

Date: August 10, 2016
Version: v 1.0
Author: Diana Fitzpatrick

(503) 373-7476
E-mail: Diana.C.Fitzpatrick@doc.state.or.us
Web site http://www.oregon.gov/doc/

Business Case – Authorizing Signatures

PROPOSAL NAME AND DOCUMENT VERSION #	**Item 1: Assess Corrections Fundamental Systems (Version 1.0)**		
AGENCY	Oregon Department of Corrections	DATE	August 10 , 2016
DIVISION	Administrative Services Division	DAS CONTROL #	
AGENCY CONTACTS	David Alamein, Oregon Department of Corrections, CIO Roy Bruce, ITS Application Development Manager	PHONE NUMBERS	503-934-1102 503-373-7545

The person signing this section is attesting to reviewing and approving the business case as proposed.

This table to be completed by the submitting agency Agency Head or Designee	
Colette Peters, Oregon Department of Corrections, Director	August , 2016
Signature:	
Agency Executive Sponsor	
Daryl Borello, Oregon Department of Corrections, Assistant Director, Administrative Services	August , 2016
Signature	
Agency Chief Information Officer (CIO) or Agency Technology Manager	
David Alamein, Oregon Department of Corrections, CIO	August , 2016
Signature	
State Data Center Representative, if required by the State CIO	
(Name)	
Signature	

This Section to be completed by DAS Chief Information Office (CIO) IT Investment and Planning Section DAS CIO Analyst	
(Name)	(Date)
Signature	
State CIO	
(Name)	(Date)
Signature	

Table of Contents

Business Case – Authorizing Signatures **2**

Table of Contents **3**

Table of Tables **4**

Table of Figures **4**

Executive Summary **5**

- Mission and Performance Management 5
- Technology Challenges and Opportunities 5
- Funding Requests in this Business Case 5
- Timeframe and Cost 6

Purpose and Background **7**

- Purpose 7
- Background 10

Problem or Opportunity Definition **11**

- Problem 11
- Opportunity 11

Alternatives Analysis **12**

- Assumptions 12
- Selection Criteria and Alternatives Ranking 12
- Solution Requirements 12
- Alternatives Identification 13
- Alternatives Analysis 13
  - Cost 14
  - Benefits 18
  - Risks 18

Conclusions and Recommendations **19**

- Conclusions 19
- Recommendations 19
- Consequences of Failure to Act 20

Appendix A: List of Key Abbreviations **21**

Appendix B: CORE Fundamentals Map **22**

Table of Tables

Table 1 Proposal aligns with ODOC's CORE Supporting Processes 11
Table 2 Identified Costs of Project's Alternatives..... 14
Table 3 Identified Benefits of Alternative (Solution 2)..... 18
Table 4 Possible Consequences of Failing to Act..... 20

Table of Figures

Figure 1 Available Cost Information for ACFS project 15
Figure 2 2015-2017 Deliverable Estimates for ACFS project 16
Figure 3 2017-2019 Deliverable Estimates for ACFS project 16
Figure 4 2019-2021 Deliverable Estimates for ACFS project 17

Note: There are many key terms abbreviated in this business case.

- A list of **List of Key Abbreviations** is available in Appendix A
- Most of the key terms are also hyperlinked so a reader can click the link and jump to the correct description of the term.

Executive Summary

Mission and Performance Management

The **Oregon Department of Corrections** (ODOC) operates correctional facilities and performs functions related to legislative approved programs for 14,600 **Adults in Custody** (AIC), also referred to as Offenders, within fourteen facilities throughout Oregon.

"The mission of the Department of Corrections is to
promote public safety by holding offenders accountable for
their actions and reducing the risk of future criminal behavior."

In 2013, ODOC started a new initiative titled **Correctional Outcomes through Research and Engagement** (CORE). CORE is ODOC's performance management and process improvement method to support the agency's mission, vision, values, goals, and objectives by measuring and evaluating targeted outcomes across the organization.

In addition to managing the AIC population, ODOC directly supervises approximately 3,000 AICs in Linn and Douglas counties. The Department also administers the Community Corrections grant programs providing financial assistance, technical assistance, and policy development in thirty-four other counties supervising 31,000 AICs currently on felony probation and post-prison supervision.

Technology Challenges and Opportunities

Throughout the past several biennia, ODOC has faced many budget challenges. Due to these budget constraints, ODOC has been unable to implement needed technology upgrades for a healthy infrastructure. ODOC still has numerous inefficient manual and paper business processes.

ODOC proposes and requests approval for technical infrastructure projects to help position the agency to take advantage of improved infrastructure efficiencies. The transformation of these critical and targeted business functions is essential to the ODOC's ability to promote public safety by supporting all Department functions necessary for AIC management, case management, sentence management, and fiscal accountability.

- ✓ New and upgraded systems could provide ODOC with a foundation to improve data and essential information sharing, improve processes and their key performance measures, leading to improved business efficiencies, decisions, and responsiveness.
- ✓ The strategy of successfully implementing these foundational improvements is to increase collaboration, reduce manual processes, and provide opportunities to improve timeliness and quality of decisions and generate better outcomes in support of ODOC's mission.

Funding Requests in this Business Case

In support of ODOC's mission, the department is requesting funding for an Assess Corrections Fundamental Systems (ACFS) project. This Business Case requests funding to obtain a vendor to assess ODOC's existing computer systems:

- **Current**: The **Corrections Information System** (CIS) and **Offender Management System** (OMS) are essential to the Department's ability to promote public safety and accomplish its mission by supporting all ODOC functions that are necessary for Adults in Custody (AIC) Programs, Case Management, and Sentence Management. Other essential systems include ODOC developed staff management systems. CIS and OMS are utilized by (and data is shared with) various external stakeholders and criminal justice professionals statewide, e.g. Community Corrections offices (Oregon's 36 counties), Board of Parole and Post-Prison Supervision (BPPPS), Law Enforcement Data System (LEDS), Oregon Department of Justice, etc. ODOC is continuing to add modules to their computer systems to meet emerging business needs and legislative changes while maintaining current applications as needed.

ODOC currently operates with a mix of computer systems, with the core systems built in the 1990's. IBM first introduced the Application System/400 (AS/400) mid-range computer platform used at ODOC twenty-eight years ago (1988). The current CIS applications hosted on the AS/400 system display as "green screens".

ODOC staff use the information displayed on OMS, the CIS "green screens" and other AS/400 applications. Every day, criminal justice professionals statewide use the data provided by these systems to make decisions about AICs under their supervision, and about the effective operation of state prisons and county community corrections offices.

- **Request**: This project is to assess the viability of integrating and standardizing ODOC's core computer systems, which are an assortment of languages including COBOL, Visual Basic, SQL and JAVA. ODOC seeks to engage third party vendors to assess ODOC's computer systems, identify future business needs, and define a roadmap and strategic plan for transforming ODOC's systems. Integration processes are complex and will include enterprise technology planning, business process improvements, and large-scale system integration.
- **If not funded**: Failure to fund this project may have significant negative consequences such as:
  - Increase difficulty to improve collaboration with external partners.
  - Slow to improve and add shared state services.
  - The department will not have a strategy to mitigate the risks of maintaining fundamental systems used for mission critical decisions.
  - The lack of having fundamental system roadmaps prevents alignment of effective decisions with ODOC's Destination 2026 Strategic Plan.
  - It is *essential* that ODOC maintain accurate and quickly available information on all AICs so ODOC staff can make solid decisions regarding AIC case and behavior management. Assisting AICs to progress successfully through their custody cycle helps ODOC reach a critical objective of "reducing the risk of future criminal behavior" and lowering Oregon's recidivism rate.

Timeframe and Cost

The ACFS project would start January 1, 2017 and last through June 30, 2021. ODOC is requesting $1,594,645 General Fund and 3.5 FTE for the 2017-19 biennium.

Purpose and Background

Purpose

ODOC has significant needs to overcome technological deficits that have accumulated over the last several biennia to address some critical business areas.

ODOC proposes the following project to position the agency to take advantage of efficiencies from current and available technologies. The modernization of critical and targeted business areas will help sustain ODOC's ability to meet its mission and promote public safety by supporting all functions necessary for AIC management, case management, sentence management, and fiscal accountability.

In support of this, the agency is requesting funding in the following.

A Vendor Assessment of Corrections Fundamental Systems

ODOC seeks to assess the viability of standardizing and integrating its fundamental computer systems, written in an assortment of languages including COBOL, Visual Basic, SQL and JAVA.

The Corrections Information System (CIS) and Offender Management System (OMS) are essential to the Department's ability to promote public safety and accomplish its mission by supporting all functions that are necessary for Adults in Custody (AIC) Programs, Case Management, and Sentence Management. Other essential systems include in-house developed staff management systems. Every day CIS and OMS are utilized by (and data is shared with) various external stakeholders and criminal justice professionals statewide, e.g. Community Corrections (Oregon's 36 counties), Board of Parole and Post-Prison Supervision (BPPPS), Law Enforcement Data System (LEDS), Oregon Department of Justice, etc. The current display of all CIS applications on the AS/400 system are "green screens," and non-graphical. The majority of ODOC staff regularly use the information available in the CIS system. ODOC is continuing to add modules to existing systems to meet emerging business needs and legislative changes while maintaining current applications as needed.

ODOC seeks to assess the ability for the Administrative Services Division to develop, maintain or purchase integrated information services that are in high demand by the Department and required by the CORE initiative to manage business, IT, and communication services.

- **Current**: ODOC currently operates with a mix of computer systems, with the core systems built in the 1990's. IBM first introduced the Application System/400 (AS/400) mid-range computer platform used at ODOC twenty-eight years ago (1988). The current CIS applications hosted on the AS/400 system display as non-graphical "green screens". All ODOC staff regularly use the information displayed on the CIS, OMS and other essential applications.

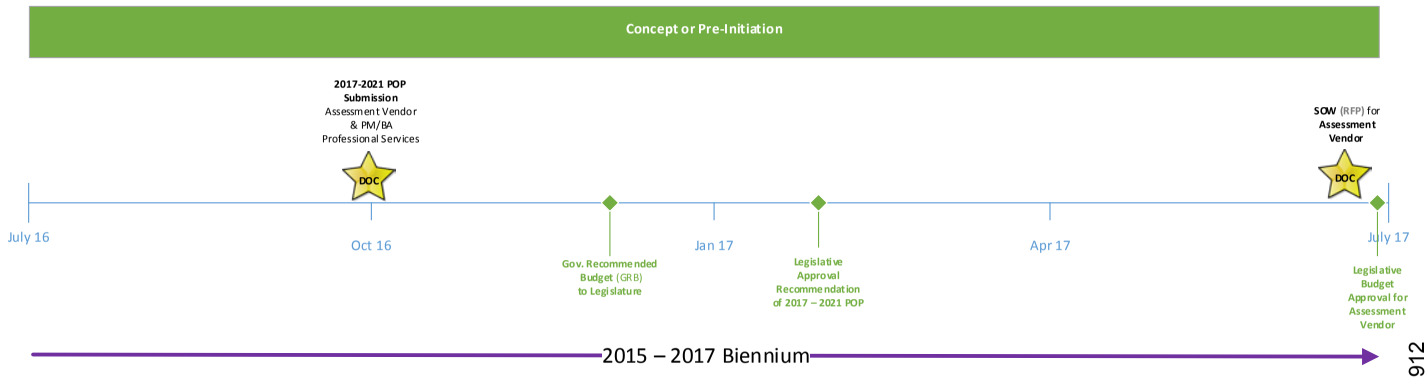
- **Request**: This project is to assess the viability of standardizing and integrating ODOC's core computer systems, which are an assortment of languages including COBOL, Visual Basic, SQL and JAVA. ODOC seeks to engage third party vendors to assess ODOC's fundamental computer systems, identify future business needs, and define a roadmap and strategic plan for transforming ODOC's systems. Integration processes are complex and will include enterprise technology planning, business process improvements, and large-scale system integration.

  In the 2017-2019 biennium, the Department will engage a vendor who is experienced in assessing and analyzing large computer systems and who has assisted with planning and managing large transformation projects. The vendor will identify ODOC's automation needs, review all of ODOC's fundamental systems and perform a gap analysis between the current systems and the identified needs. With ODOC staff, the vendor will visit other state's that have completed or are in the process of integrating and/or transforming their fundamental systems. The vendor will create a Request for Information (RFI) to find out about existing vendor systems and evaluate how those systems can meet ODOC's current and future needs. The vendor will analyze various alternatives, perform risk assessments (e.g. Architectural, Technical and Business), an organizational readiness assessment, and create a

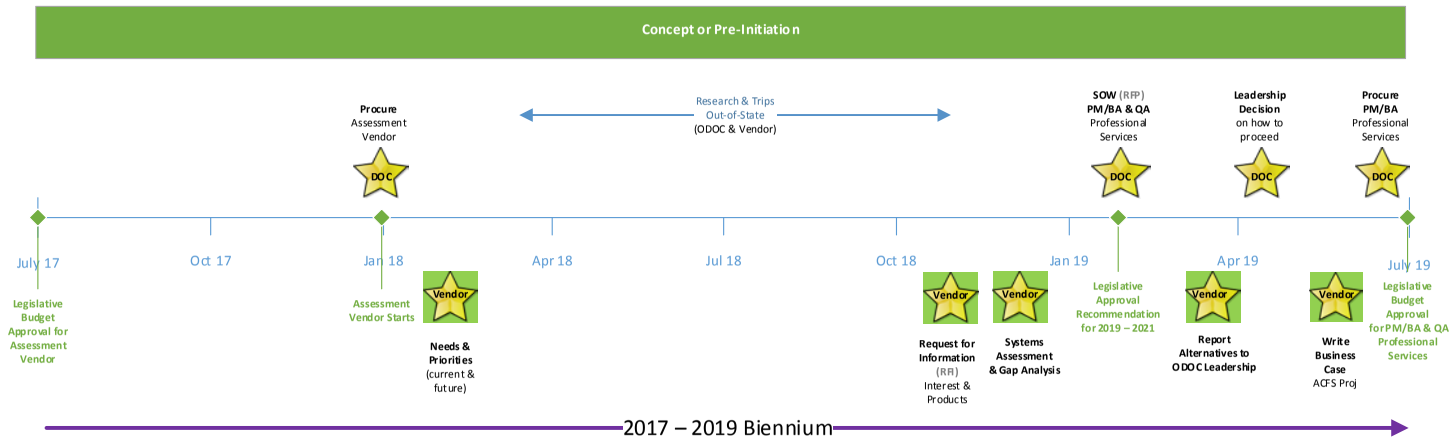
recommendation and roadmap of how ODOC can transform its fundamental systems. The vendor will present its findings, recommendations and a roadmap to the ODOC Executive Team. Following the ODOC Executive Team's chosen alternative, the vendor will create the Business Case, Information Resource Request (IRR), Feasibility Analysis, Budget and Risk assessment, as well as other deliverables required by the Office of the State CIO (OSCIO) and Legislature to proceed with a Corrections Fundamental Systems Transformation project.

In the 2019-2021 biennium, ODOC will procure vendors for Project Management (PM), Business Analysis (BA) and Quality Assurance (QA) professional services to initiate, plan and manage though implementation the Corrections Fundamental Systems Transformation project. The PM and BA vendor(s) must be capable of adequately assisting ODOC through the OSCIO and LFO oversight processes and have the experience and staff size to meet set timelines.

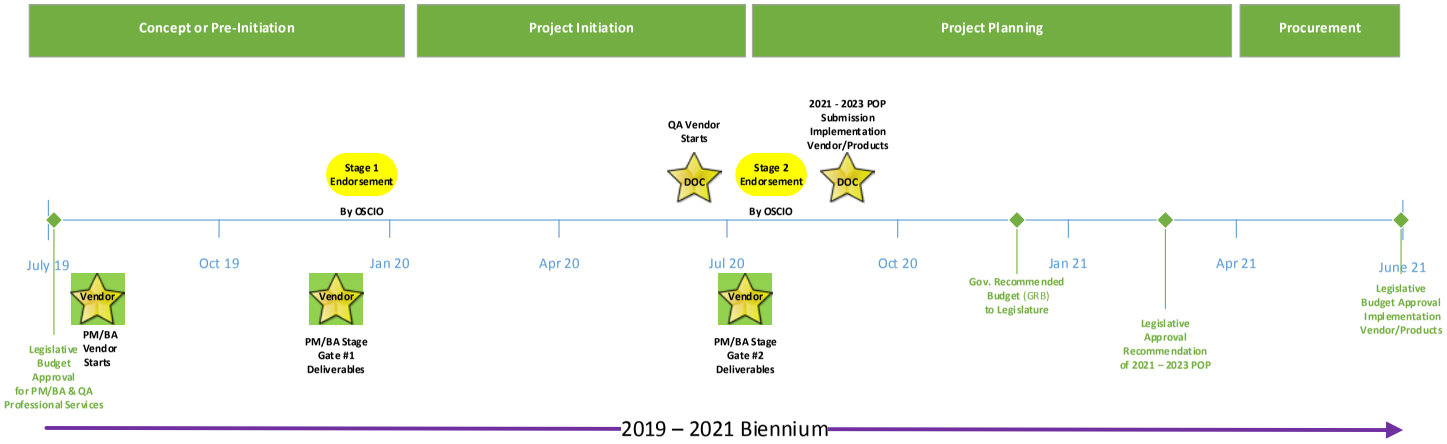
2015-17 Timeline: Prepare 2017-19 POP and complete a SOW for the Assessment Vendor's professional services



2017-19 Timeline: ODOC fundamental systems analysis, alternatives assessment, recommendation, and procure PM/BA services



2019-21 Timeline: Preparation of 2021-23 POP, Stage Gates 1 and 2 deliverables/endorsements and a SOW for the products and professional services of an Implementation Vendor for the Corrections Fundamental Systems Transformation (CFST) Project.



Assessment Vendor Tasks and Project Deliverables for 2017-2019 will include:

- Analyze and document current capabilities/needs met by the current ODOC systems, as well as future needs and priorities (technical, security, business, etc.).
- Analyze and document current capabilities/needs met by current ODOC and external partner's systems and future needs and priorities from entities who currently share data with ODOC. This project needs to support existing shared services initiatives.
- Analyze and document future needs and priorities from external entities that desire pursuing shared services initiatives with ODOC where it would be mutually beneficial.
- Analyze and document Technical Assessments of all ODOC's current systems.
- Gap Analysis and Traceability Matrix comparing current ODOC systems to current and future needs.
- Identification of current industry conventions and best practices.
- Peer Analysis of other transformation projects at other Oregon agencies and other state's jurisdictions. Including visits (with ODOC staff) to other state's departments who completed or are in the process of integrating/transforming their core systems.
- Create a RFI to find out about existing vendor systems and evaluate how those systems can meet ODOC's current and future needs (including a 5 year Total Cost of Ownership).
- Alternatives analysis report (which include Feasibility Studies, Risk, Organizational Readiness and Training Assessments)
- Create a Roadmap and recommendations for integrating and transforming ODOC systems with minimal impact to entities already accessing, receiving or providing data to or from ODOC systems.
- Give presentations of the Roadmap and recommendations to the ODOC Executive Team, legislative bodies, OSCIO, etc.
- After the ODOC Executive Team decision, create deliverables for the initiation of the CFST project to fulfill the chosen alternative. All project deliverables required to obtain Stage Gate 1 and 2 endorsements, which include a Business Case, Risk Assessment, Financial Forecast (include 5-year Total Cost of Ownership), Project Plan, Information Resource Request (IRR) and Solution Requirements (technical, security and business).

Background

CIS was originally built in 1990, written as a COBOL application and has evolved into complex, disparate applications. This strategy served ODOC in developing the automation needed to help ODOC meet its business goals and strategic objectives. Since 1990, many of the application modules have been in continuous use and continually modified to meet business or legislative changes. However, some modules have grown and changed dramatically as laws have changed and parts of the application modules have been modified. In the late 1990's (during theY2K project), the need to replace key elements of CIS was recognized.

A 2004 - 2005 feasibility study looked at the major industry of Offender Management Systems available and evaluated their ability to replace the existing CIS. The feasibility study showed vendor products at that time would require significant customization to meet ODOC's needs, which was cost prohibitive for ODOC, so a decision was made to re-write the existing system, using internal resources.

During the 2005 - 2007 biennium, a project established a technical architecture, began creating ODOC's web based Offender Management System (OMS) and planned to incrementally replace existing CIS functionality over several years, using internal development staff and augmented by contracted developers. The ODOC's OMS system originally included various modules such as the Prison Rape Elimination Act (PREA), Unusual Incident Reporting (UIR), Inmate Misconduct, Inmate Grievance Reporting and Hearings.

In May 2007, ODOC leadership saw demonstrations of industry vendor products, which had greatly expanded since the initial feasibility study in 2004. ODOC deemed it prudent to review these offerings to see if they could now meet agency needs. ODOC conducted evaluations of three industry-leading corrections systems software package providers and conducted phone interviews with each vendor's representatives to discuss their system functionality in detail. Two vendors accepted invitations to demonstrate their systems in December 2007, and ODOC business stakeholders supported the vendor purchase solutions.

In January 2008, ODOC contacted all three vendors and requested high-level planning and implementation budget estimates. All three vendors provided responses that were in the $12-15 Million price range. Additionally, ODOC contacted more than 20 states who had recently implemented corrections systems. Those contacted reported implementation costs between $5 and 20 Million.

In February 2008, faced with the lower cost, better ability to meet ODOC's needs, and a much faster implementation schedule than custom construction, the project team and steering committee decided to recommend to the ODOC Executive Team that the project transition from "Build" (CIS Re-write Project) to "Buy" (CIS Replacement Project). In March 2008, the ODOC Executive Team decided to adopt the "Buy" recommendation, and directed the team to refocus on planning activities for the 2009-2011 biennium. During contract negotiations, issues prevented procurement and the project ended.

Problem or Opportunity Definition

Problem

In support of Destination 2026, ODOC's strategic 10-year plan, an assessment of our current fundamental systems is mission critical. Throughout the past several biennia, ODOC has faced many budget challenges. Due to these budget constraints, ODOC has been unable to assess needed technology upgrades for a sustainable infrastructure.

- ODOC's current applications are not fully integrated, this state affects and constrains the ability to continue to develop and maintain the Department's high demand information systems.
- This project is to assess the viability of integrating and standardizing its core computer systems, which are an assortment of languages including COBOL, Visual Basic, SQL and JAVA. ODOC seeks to engage third party vendors to assess ODOC's fundamental computer systems, identify future business needs, and define a roadmap and strategic plan for transforming ODOC's systems. Integration processes are complex and will include enterprise technology planning, business process improvements, and large-scale system integration.

Opportunity

Technical infrastructure projects address the Agency's current Correctional Outcomes through Research and Engagement (CORE) initiatives by supporting innovative, efficient, and sustainable business practices and by supporting the agency's performance measures. They will provide various opportunities for improvement and increase efficiencies in several areas of ODOC's operations

To provide the Department the ability to more effectively meet CORE targets of providing IT and communications services, and data needed for informed decision making.

- ODOC's fundamental systems are essential to the Department's ability to promote public safety by supporting all Department functions necessary for AIC management, case management, sentence management, operate safe and secure institutions, reduce the risk of future criminal behavior, provide service to agency customers, etc.
- This project affects the Governor's 10 Year Plan, Outcome on Innovative, Efficient, and Sustainable Business Practices, and aligns with the Operating and Supporting Processes on the CORE Fundamentals Map.
- This project aligns with ODOC's Destination 2026.
- ODOC's SAS Data Warehouse provides statistics for most of the agency performance measures with specific information about how well the Department is carrying out its responsibilities. The data contained in the SAS Data Warehouse comes primarily from CIS and OMS systems.

Table 1 Proposal aligns with ODOC's CORE Supporting Processes

CORE Supporting Processes	Supporting Sub Process
SP 3 Managing Business Services	Providing IT and communication Services
SP 6 Managing Performance	Utilizing Data and Research • Providing data to inform decision-making. • Evaluating Program Effectiveness

Alternatives Analysis

Assumptions

- The Assess Corrections Fundamental Systems (ACFS) project will start July 1, 2017, and end June 30, 2021, with the initiation of the Corrections Fundamental Systems Transformation (CFST) Project.
- This project will affect all Department staff and facilities.

Selection Criteria and Alternatives Ranking

Evaluate Technology infrastructure projects against the ability of ODOC:

- To promote public, AIC, and staff safety.
- To increase collaboration, reduce manual processes, improve the speed and quality of decisions, reduce, or manage costs effectively.
- To be sustainable and have the potential to increase ability of ODOC to respond to new challenges.
- To help the Department take advantage of technological improvements towards improved efficiencies and long-term cost savings.
- That position ODOC to modernize in areas that will improve ODOC's business processes related to AIC management, case management, sentence management, and fiscal accountability.
- That investment in improved infrastructures will increase the ability to share data and essential information for increasingly effective business processes and decisions.

Solution Requirements

ODOC will quantify and measure the results of the ACFS project by the following:

- Confirm the feasibility and specific requirements for the project.
- Use standard business and systems analysis to specify clear project requirements and stakeholder expectations.
- Have strong business sponsors and business team members to strengthen the partnership with ITS as objectives are jointly pursued.
- Provide clear lines of communications, responsibility, and accountability for success and management.
- Successful procurement of a vendor who is experienced in assessing and analyzing large computer systems, and has assisted with planning and implementing large integration and transformation technology projects.
- The Request for Information (RFI) on correctional vendor solutions to aid the assessment is ready by September 2018.
- By April 2019, the ODOC's Executive Team has sufficient, quality information to decide whether and how to pursue a CFST Project.
- By May 2019, the ODOC Executive Team decides chosen alternative.
- Following the ODOC Executive Team decision on whether/how to proceed with the CFST Project, the Assessment Vendor will create the Business Case and accompanying attachments by June 2019. (Go/no-Go)
- Procure from a Professional Services vendor a Project Manager and Business Analyst experienced in planning and implementing large integration and transformation technology projects.

- Procure from a Professional Services vendor Business Analyst experienced in analyzing large computer systems, developing new business processes, planning and performing successful organizational change on large integration and transformation technology projects.
- Achieve Stage Gate 1 and Stage Gate 2 endorsements by August 2020, in time for legislative recommendations on the 2021-2023 POP for Implementation Vendor Products and Services.
- Project Planning and Project Management deliverables for the CFST Project are complete and approved
- Achieve Stage Gate 3 deliverables, tasks are complete and approved, and the Stage Gate 3 endorsement of the CFST Project by June 2021.

Alternatives Identification

Solution #1: The status quo – business as usual

Solution #2: Project moves forward

Alternatives Analysis

Some ODOC staff will be fully engaged with this project in biennia 2017-19 and 2019-21, therefore included in this package is the cost to backfill staff for the following positions: an ODOC Business Champion (PEME), an ODOC Project IT Liaison (ISS8), an Information System Specialist 8 (ISS8), and an Information System Specialist 7 (ISS7). Occasionally other ODOC and external entities staff will need to be involved.

The Assessment Vendor will provide all staff for completing the tasks identified in the Assessment Vendor SOW to plan the integration and transformation of ODOC's computer systems.

If Go decision is made by the ODOC Executive Team, a Professional Services Vendor(s) will provide staffing for the CFST Project. Business Analyst(s) to perform business tasks and to create technical, business and project deliverables, and a Project Manager to manage the business and technical tasks, and to create all PM Deliverables needed for Stage Gate endorsements.

Cost

See Table 5	*Identified Costs of Project's Alternatives*
See Figure 1	*Available Cost Information for ACFS project*
See Figure 2	*2015-2017 Deliverable Estimates for ACFS project*
See Figure 3	*2017-2019 Deliverable Estimates for ACFS project*
See Figure 4	*2019-2021 Deliverable Estimates for ACFS project*

Table 2 Identified Costs of Project's Alternatives

Project	Solution #1 (Current State – Business as Usual)	Solution #2 (Proposed State –Project Moving Forward)
1. ***Assess Corrections Fundamental Systems (ACFS)***	**2017-2019** **Costs**: None **FTE**: None **Positions**: None **2019-2021** **Costs**: None **FTE**: None **Positions**: None	**2017-2019** **Costs**: $1,594,645 • Services & Supplies $48,870 • Out-of-State Travel $48,000 • Personal Services $1,497,775 o $667,000 Vendor costs o $830,775 Backfill positions **FTE**: 3.5 **LD Positions**: • PEME - Business Champion • ISS8 - Project IT Liaison • ISS8 - OMS Systems Analyst • ISS7 – CIS Systems Analyst **2019-2021** **Costs**: $2,393,840 • Services & Supplies $50,580 • Personal Services $2,342,840 o 1,483,000 Vendor costs o $859,840 Backfill positions **FTE**: 3.5 **LD Positions**: • PEME - Business Champion • ISS8 - Project IT Liaison • ISS8 - OMS Systems Analyst • ISS7 – CIS Systems Analyst

Figure 1 ***Available Cost Information* for *ACFS* project**

Oregon Department of Corrections		
2015-17 Policy Package 104		
Assess Corrections Fundamental Systems		
General Services SCR 006		
DCR 006-06-03 ITS Development & DCR 006-01-20 Purchasing/Contracting		
Personal Services		
Salaries	3110	515,988
All Other Differential	3190	30,959
ERB Assess.	3210	171
PERS	3220	123,219
Social Security	3230	39,473
Unemployment	3240	985
Worker's Comp. Assess.	3250	207
Mass Transit Tax	3260	3,097
Flex Benefits	3270	116,676
Total Personal Services		**830,775**
Supplies & Services		
Instate Travel	4100	4,719
Outstate Travel	4125	48,000
Employee Training	4150	-
Office Expenses	4175	21,801
Telecom	4200	-
State Govt Svc Chgs	4225	-
Data Processing	4250	1,839
IT Professional Services	4315	667,000
Other S&S	4650	3,642
Exp Prop Start-Up	4700	9,147
Exp Prop IT Start-Up	4715	7,722
Total Supplies & Services		**763,870**
Total Budget		**1,594,645**
Positions		4
FTE		3.50
8-Aug-16		

Page 919

Figure 2 *2015-2017 Deliverable Estimates* for *ACFS* project

Calendar	High Level Estimate Vendors	High Level Estimate DOC Backfill	Responsible	Tasks/Deliverables	Description
2015-2017 Biennium	**$ -**	**$ -**			
2016 June - Sep (15 weeks)			**DOC**	**2017-2021 POP for Consulting Services (Asssessment Vendor), (PM/BA for CFST Project), (QA Vendor)**	Agency Planning and Submission of POP for 2 Biennia (2017-2021). POP for **Implementation** Vendor (incl. **PM/BA**), **QA** Vendor, RFI, travel, etc
2017 Feb				**LAB: Funds Approved for Consulting Services (Asssessment Vendor), (PM/BA CFST Project), (QA Vendor)**	
2017 Feb - June (20 weeks)				***Program Manager starts (Salary Range 33)***	Position filled as Job Rotation, budget needed to backfill their existing work/position
2016 Dec - 2017 Jun (26 weeks)			**DOC**	**Create RFP: consulting services (Asssessment Vendor)**	

Figure 3 *2017-2019 Deliverable Estimates* for *ACFS* project

Calendar	High Level Estimate Vendors	High Level Estimate DOC Backfill	Responsible	Tasks/Deliverables	Description
2017-2019 Biennium	**$ 667,000**	**$ 879,645**	**$ 48,000**	**$48,000 is for Out-of-State Travel by DOC Staff**	
2017 July				**FUNDS AVAILABLE for Consulting Services: (Asssessment, QA, PM/BA, Program Manager)**	FUNDS AVAILABLE for Consulting Services: (Asssessment Vendor & QA Vendor & PM/BA for CFST Project & Program Manager salary range 33)
2017 July - 2019 June		$ 282,132		**1-Program Manager Continues (Salary Range 33)**	The same Program Manager retained thoughout project
2017 July - 2019 June		$ 597,513		**1-ISS7, 1.5-ISS8**	Need to backfill these positions during the assessment
2017 July - Oct (14 weeks)			**DOC**	**RFP Process for consulting services (Asssessment Vendor)**	
2017 Oct - 2018 Jan (14 weeks)			**DOC**	**Contract for consulting services (Asssessment Vendor)**	
2018 Jan				***Vendor Onboard (Assessment for ACSF project)***	
2017 Jan- Feb (6 weeks)	$ 11,000		**Assessment Vendor**	**Initiate/Planning Assess Corrections Fundamental Systems (ACFS) Project & PM Deliverables**	Kickoff, Roadmap, Project Charter, Project Plan, Weekly/Monthly Status reports, Meetings, Schedule, Communication Plan, Issue and Change Request Process
2018 Feb - Jun (19 weeks)	*$ 56,000*		**Assessment Vendor**	**Needs and Priorities (current and future)**	Evaluation of technical and business needs and priorities (current and future). Gather from DOC, entities who currently share data with DOC, as well as additional governmental partners (include mobility and ongoing training on using systems). Gather information for Organizational Assessment.
2018 Mar - Sept (30 weeks	$ 28,000		**Both**	**Research: Peer Systems Transformation, includes Out-of-State Travel**	Peer Analysis of other computer system modernization projects in other correctional jurisdictions and at other state agencies. As well as identification of current industry conventions and best practices to be followed.
2018 Jun - Nov (25 weeks)	$ 85,000		**Assessment Vendor**	**RFI: To find available products & vendor interest**	Request For Information (RFI) to determine products available and vendors interest in responding to Request for Proposal (RFP)
	$ 1,000			Deliverable: Update Requirements & Traceability Matrix with requirements in RFI	Trace requirement in TM to requirements in the RFI. To verify all the requirements are identified.
2018 Jun - Dec (24 weeks)	*$ 152,000*		**Assessment Vendor**	**Current State Assessments & Gap Analysis**	Assessment of current DOC systems: Includes reviewing and documenting all systems. Also, Create/Update the following Deliverables: - As-Is System Documentation - Technical and Risk Assessment - ETS Impact & Architectural Assessment - Organizational Readiness Assessment - CORE/KPM Metrics Assessment - Requirements & Traceability Matrix
2018 Nov - 2019 Apr (19 w	$ 70,000		**Assessment Vendor**	**Alternatives Researched and Recommendation**	Development of a Roadmap, Strategic Plan and Feasibility Study to modernize DOC systems (with minimal impact to entities which already access, receive or provide data to or from DOC systems).
2019 April	$ 178,500			***Vendor Onboard (PM/BA for CFST Projects)***	
2019 May	$ 500		**Both**	***Policy Group Decision(s)***	
2019 May - Jun (8 weeks)	$ 85,000		**Assessment Vendor**	**Detailed Business Case**	

Figure 4 ***2019-2021 Deliverable Estimates* for *ACFS* project**

Calendar	*High Level Estimate Vendors*	*High Level Estimate DOC Backfill*	*Responsible*	*Tasks/Deliverables*	*Description*
2019-2021 Biennium	**$ 1,483,000**	**$ 910,420**			
2019 July				**FUNDS STILL AVAILABLE for Consulting Services: (QA, Program Manager, Assessment Vendor PM/BA)**	FUNDS AVAILABLE for Consulting Services: (Asssessment Vendor & QA Vendor & PM/BA for CFST Project & Program Manager salary range 33)
2019 July - 2021 June		$ 292,000		**1-Business Champion Continues (Salary Range 33)**	Same Program Manager retained thoughout the project
2019 July - 2021 June		$ 618,420		**1-ISS7, 1-ISS8, 0.5 ISS8 (PM)**	Need to backfill these positions during the assessment
2019 Jan	$ 1,428,000			***Vendor Onboard***	***(PM/BA for ACSF & CFST Projects)***
2019 July - Sept (10 weeks)			**SG PM/BA**	**Initiation of Corrections Fundamental Systems Transformation (CFST) Project**	Kickoff, Roadmap, Project Charter, Project Plan, Weekly/Monthly Status, Meetings, Schedule, Communication Plan, Issue & Change Request Process
2019 Sept - Dec (16 weeks)			**SG PM/BA**	**Work to Pass Stage Gate 1 of CFST Project**	Includes all Deliverables for Stage Gate 1 endorsement (except RFP) such as Timeline, Budget Narrative, Budget, Business Case, Project Schedule
				Deliverable: Other documentation as required by LFO or State CIO to pass State Gate 1	To level of Passing Stage Gate 1 - Continue to update based on results of POP, LFO and OR-CIO reviews
2019 Dec				***Stage Gate 1 Endorsement***	"Conditional Approval"
2020 Jan - Aug (27 weeks)			**SG PM/BA**	**Work to Pass Stage Gate 2 of CFST Project**	Type of effort depends on Policy Group's decision Includes all deliverables for Stage Gate 1 endorsement (except RFP). Detailed deliverables for CFST project inclds Project Charter, IRR, Project Budget, Business Case, Risk Assessment, Impact/Architecutual Assessment, Project Schedule, Requirements,
				Deliverable: Update Detailed Project Plan for CFST project	Plan to point of getting Analysis thru Implementation Vendor on board and to pass Stage Gate **2** Includes Governance/Oversight/Accountability, Schedule Management, Budget Management, Project Procurement Management, Quality Management, Communication Plan, Issue Management Process, Risk Management Process, Issue Management Process, Change/Scope Management Process, Project Staffing etc.
				Deliverable: Other documentation as required by LFO or State CIO to pass State Gate 2	To level of Passing Stage Gate **2** - Continue to update based on results of POP, LFO and OR-CIO reviews
2020 Aug				***Stage Gate 2 Endorsement***	"Conditional Approval"
2020 Mar - Sept (27 weeks)			**Both**	**2021-2023 POP for (CFST) Corrections Fundamental Systems Transformation Project (Impementation Vendor)**	To level of detail to get POP approved/funded
2020 April - July (18 weeks)			**DOC**	**Create RFP for Quality Assurance Services for CSFT Project (QA Vendor)**	
2020 Aug	$ 55,000			***Vendor On board (QA Vendor)***	QA costs: $150/hour Avg 40 hrs/month
2020 Sept-2021 June (36 weeks)			**SG PM/BA**	**Work to Pass Stage Gate 3 (SG3) of CFST Project**	Deliverables to proceed past Stage Gate 3.
				Deliverables: All State Gate 3 deliverables	To level of Passing Stage Gate 3
				Stage Gate 3 Endorsement	OSCIO Review, OSCIO gives "Conditional Approval"
2021 Feb			**LFO**	**LAB: Funds Approved for CFST Project (Implementation Vendor & Product)**	
2020 Nov- 2021 June (33 weeks)			**Both**	**Create RFP for CSFT Project (Implementation Vendor & products)**	

Benefits

Many of the following points overlap the possible opportunities described earlier.

Table 3 Identified Benefits of Alternative (Solution 2)

Project	Solution #2 (**Proposed State** – Based on Project Moving Forward)
1. Assess Corrections Fundamental Systems (ACFS)	Benefits for performing assessment: • Improve and increase collaboration with external partners. • Improve and increase shared state services. • Provide ODOC with fundamental system roadmaps to benefit effective decision making by aligning with ODOC's Destination 2026. • Provide the ability enhancing CORE key performance measures to enable fact-based decision-making. • Increase flexibility of system to react to new programs/research/legislative mandates. • Provide ODOC with fundamental system roadmaps improving alignment with the Governor's 10-year plan around government accountability, transparency and responsiveness. • Provide ODOC opportunity for process improvement through assessment business analysis.

Risks

ODOC needs funding to bring a vendor on-board to perform the fundamental system assessment.

ODOC lacks fundamental system roadmaps preventing alignment of technology decisions with ODOC's Destination 2026 Strategic Plan.

This project requires executive leadership and agency wide buy-in throughout the project lifecycle.

Inability to back-fill ODOC positions performing assessment related tasks as outlined in this business case.

Independent Quality Assurance estimates vary greatly depending on the vendor and direction chosen.

Conclusions and Recommendations

Conclusions

There is an immediate need for ODOC to obtain current assessments and roadmap for its fundamental systems.

Challenged with many budget deficits, ODOC proposes and requests approval for this technical infrastructure project to help position the agency to take advantage of improved infrastructure efficiencies.

Recommendations

For ODOC to implement the Assess Corrections Fundamental Systems (ACFS) project and based on the results, initiate a Corrections Fundamental Systems Transformation project in order to start positioning the agency to take advantage of efficiencies from current and available technologies.

- ✓ Modernization of critical and targeted business areas are essential to ODOC's ability to promote public safety by supporting all Department functions necessary for AIC management, case management, sentence management, and fiscal accountability.
- ✓ Provide the ODOC with a foundation to share data and essential information to improve business efficiencies and decisions.
- ✓ Successful adoption of foundational improvements that will increase collaboration, process improvements, and improve the speed and quality of fact based decisions.

This Assess Corrections Fundamental Systems (ACFS) project includes:

1. Assessments of Corrections systems, including roadmap.
2. Evaluations of various vendors and their currently available products.
3. Recommendation of how to integrate all ODOC systems.
4. Determine whether and how to pursue a Corrections Fundamental Systems Transformation (CFST) Project.

The procurement effort to contract with an Assessment Vendor would start July 1, 2017 and would continue until ODOC is ready to begin initiation of a Corrections Fundamental Systems (CFST) project June 30, 2021. (48 months)

The cost of the ACFS project and preparing for the CFST project:

1. 2017-2019 biennium is estimated at $ 1,594,645
2. 2019-2021 biennium is estimated at $2,393,840

(**Note**: Independent Quality Assurance estimates vary greatly depending on the vendor chosen.)

Consequences of Failure to Act

Table 4 Possible Consequences of Failing to Act

Project	Possible Consequences Due to Failing to Approve or Fund the Recommended Alternative
Assess Corrections Fundamental Systems (ACFS)	By not assessing the Corrections fundamental systems: • Increase difficulty to improve collaboration with external partners. • Slow to improve and add shared state services. • The department will not have a strategy to mitigate the risks of maintaining fundamental systems used for mission critical decisions. • The lack of having fundamental system roadmaps prevents alignment of effective decisions with ODOC's Destination 2026 Strategic Plan. • The quality of informed, collaborative, and data driven decisions, remains with fractioned systems. • It is *essential* that ODOC maintain accurate and quickly available information on all AICs so ODOC staff can make solid decisions regarding AIC case and behavior management. Assisting AICs to progress successfully through their custody cycle helps ODOC reach a critical objective of "reducing the risk of future criminal behavior" and driving Oregon's recidivism rate lower. • Difficulty to obtain data for CORE key performance measures needed for evidence based decision-making. • Decrease flexibility when reacting to new programs/research/legislative mandates. • Limit ability to increase government accountability and responsiveness. • Opportunities to promote more efficient processes and business services might be unknown.

Appendix A: List of Key Abbreviations

Abbreviation	Description
ACFS	**Assess Corrections Fundamental Systems** project
AIC	**Adults in Custody** (formerly referred to as Offenders or Inmates)
AS/400	The **Application System/400** mid-range computer platform used at ODOC (Introduced by IBM twenty-six years ago in 1988)
CFST	**Corrections Fundamental Systems Transformation** Project
CIO	**Chief Information Officer**
CIS	The **Corrections Information System** managing **Adults in Custody** on the **AS/400** and displays information on "green screens."
CMIS	**Corrections Management Information System** (ODOC's data warehouse information system)
CORE	**Correctional Outcomes through Research and Engagement** (ODOC's performance initiative begun in 2013)
ETS	State of Oregon **Enterprise Technology Services** (also referred to as the **State Data Center**). ETS provides computing services to numerous state agencies.
ITS	ODOC's **Information Technology Services**
LAN	A **Local Area Network**
LEDS	The **Law Enforcement Data Services** System
ODOC	**Oregon Department of Corrections** (State of Oregon agency)
OMS	Web based **Offender Management System** that consists of multiple software applications
SDC	State of Oregon **State Data Center** (also referred to as the **Enterprise Technology Services**). SDC provides computing services to numerous state agencies.

Appendix B: CORE Fundamentals Map

CORE
Engage • Innovate • Succeed

Oregon Department of Corrections

The Fundamentals Map

June 21, 2016

FOUNDATIONS

MISSION
The mission of the Oregon Department of Corrections is to promote public safety by holding offenders accountable for their actions and reducing the risk of future criminal behavior.

VISION
Valuing Employee Wellness
Engaging Employees
Operating Safe Prisons
Implementing Innovative Business Practices
Preparing Offenders for Reentry
Partnering with Our Stakeholders

VALUES
Integrity and Professionalism
Dignity and Respect
Safety and Wellness
Fact Based Decision Making
Positive Change
Honoring Our History
Stewardship

KEY GOALS

- Safe and Secure Workplace
- Healthy, Engaged and Valued Employees
- Offenders Become Productive Crime-free Citizens
- Innovative, Efficient and Sustainable Business Practices
- Proactive Collaborative Partner

CORE PROCESSES / PROCESS OWNER / SUB PROCESSES

OPERATING PROCESSES

OP1: Managing Safe Prisons — M. Gower

1. Maintaining secure custody/control
2. Maintaining safety of staff, inmates and others
3. Providing basic needs for inmates
4. Transporting inmates
5. Utilizing staff resources
6. Managing PREA policy and awareness
7. Managing emergency preparedness
8. Role modeling, redirecting and reinforcing pro-social behavior
9. Providing adequate training for staff, inmates and others
10. Ensuring adherence to directives for staff, inmates and others

OP2: Preparing for Successful Release/Reentry — H. Steward

1. Assessing inmate risks and needs
2. Computing sentences
3. Determining appropriate housing for successful case management
4. Developing, managing and adjusting case plans
5. Providing treatment
6. Providing educational and vocational programs
7. Providing spiritual programs and services
8. Providing pro-social programs and opportunities
9. Managing transition and reentry
10. Planning for and releasing from custody

OP3: Managing Inmate Healthcare — J. DaFoe

1. Providing intake health care
2. Providing ongoing mental health care
3. Providing ongoing medical care
4. Providing ongoing dental care
5. Managing and coordinating offsite care
6. Supporting health care operations
7. Managing the purchase/distribution of medication and supplies
8. Providing health promotion opportunities

OP4: Providing Inmate Work Opportunities — K. Jeske

1. Evaluating inmates upon entry for job readiness
2. Providing job readiness skills, resources and supportive services
3. Providing work experiences
4. Developing partnerships with community and business leaders
5. Connecting inmates to available community work resources
6. Working collaboratively with Community Corrections staff for reentry services

OP5: Connecting Inmates to Family and Community — H. Steward

1. Recruiting and managing volunteers
2. Providing opportunities for visitation
3. Providing and managing systems for inmate communication
4. Providing opportunities for mentoring contacts
5. Promoting pro-social supports and connecting to community resources throughout incarceration
6. Expanding enhanced family and community visits
7. Expanding access to outside vocational and educational partners
8. Providing information to families to help navigate through an inmate's incarceration

OP6: Managing Offenders in the Community — J. Stromberg

1. Assessing risk, need and responsivity
2. Developing and managing case plans
3. Prioritizing supervision strategies
4. Referring to appropriate programs
5. Maintaining contact in the community
6. Using appropriate interventions to motivate and hold accountable
7. Managing the Interstate Compact for Adult Offender Supervision

SUPPORTING PROCESSES

SP1: Managing our Workforce — D. Borello

1. Recruiting and hiring motivated staff
2. Providing training opportunities for professional development
3. Supporting staff wellness
4. Evaluating and responding to employee needs
5. Advancing employee succession and promotion
6. Negotiating and managing collective bargaining agreements
7. Encouraging a culture of inclusion

SP2: Managing and Planning Finances — S. Robbins

1. Managing financial transactions
2. Managing resources
3. Managing contracts
4. Acquire and align resources
5. Ensuring financial regulatory compliance
6. Providing financial information

SP3: Managing Business Services — D. Borello

1. Providing IT and communication services
2. Maintaining facilities/managing real property
3. Maintaining security and other building systems
4. Managing warehouse operations and logistics
5. Providing inmate goods
6. Managing environmental impact and sustainability

SP4: Mitigating Risk — C. Prins

1. Conducting risk assessments
2. Investigating complaints
3. Managing security threats
4. Protecting due process rights
5. Developing and sharing intelligence
6. Managing rules and policies
7. Preventing and responding to sexual assaults/ harassment
8. Managing litigation and reducing liability
9. Maintaining data integrity
10. Conducting audits and addressing deficiencies

SP5: Engaging Stakeholders and Partners — E. Craig

1. Communicating with employees
2. Managing media relations
3. Working with elected officials
4. Communicating with and informing stakeholders
5. Responding to public records requests
6. Participating in councils and committees
7. Partnering with local communities
8. Coordinating events and recognitions

SP 6: Managing Performance — J. DeCamp

1. Aligning Agency Strategies
2. Engaging Employees
3. Utilizing Data and Research
4. Reviewing Performance
5. Improving Processes
6. Managing Projects
7. Supporting Change

PROCESS MEASURES

OP1:
a. Group disturbances
b. Inmate grievances
c. Inmate misconduct
d. PREA standards
e. Security standards
f. Inmate assaults

OP2:
a. Education
b. Treatment participation
c. Behavioral change programs
d. Housing at release
e. Birth certificates and social security cards
f. Work assignment history

OP3:
a. Offsite medical health care
b. Continuous Quality Improvement (CQI)
c. BHS coordination of care management
d. Clinical licensure
e. Pharmacy
f. Inmate blood pressure
g. Inmate cholesterol
h. Inmate blood sugar
i. Parole/release medications
j. Health empowerment

OP4:
a. Providing DOC work experiences
b. Providing OCE work experiences
c. Providing work experiences for inmates
d. Providing community work experiences
e. Providing job readiness skills, resources and supportive services

OP5:
a. Inmate family and community connections within (1) year of release
b. All inmate family and community connections
c. Volunteers
d. Parenting programs
e. Enhanced visiting
f. Telmate phone contacts
g. Inmates using Telmate

OP6:
a. Assessments
b. Caseplans
c. Employment
d. Treatment participation
e. Restitution
f. Community service completion

SP1:
a. Workers compensation
b. Wellness activities
c. Hiring
d. Annual training
e. Labor relations

SP2:
a. Forecast accuracy
b. Projections
c. LFO fiscal impact statements
d. Purchasing
e. Electronic inmate deposits
f. Number of payroll overpayments
g. Amount of payroll overpayments

SP3:
a. BTU usage
b. IT service response time
c. Work order efficiency
d. Recycling
e. Canteen sales
f. Canteen net income
g. Transportation expense
h. Inmate goods (Food)
i. Inmate goods (Supplies)
j. Inmate goods (Apparel)

SP4:
a. Tort claims compared to actual lawsuits (Inmate)
b. Tort claims (Inmate)
c. Litigation Tort claim costs (Inmate)
d. PREA audits
e. Security audits
f. Internal audits
g. Audit deficiencies

SP5:
a. News coverage
b. Legislative requests
c. DOC general information inquires
d. DOC internet
e. Employee communication
f. Public records requests

SP 6:
a. Breakthrough targets
b. Engagement
c. Research studies
d. Process measures
e. Outcome measures
f. Recommendations implemented
g. Project effectiveness

OUTCOME MEASURES / MEASURE OWNER

OUTCOME MEASURE	MEASURE OWNER
OM 1: Staff Safety	C. Prins
OM 2: Healthy Staff	D. Borello
OM 3: Employee Engagement	D. Borello
OM 4: Community Supervision Success	J. Stromberg
OM 5: Recidivism	J. Stromberg
OM 6: Diversity in the Workplace	G. Sims
OM 7: Population Management	H. Steward
OM 8: Case Plan Adherence	H. Steward
OM 9: Inmate Safety	M. Gower
OM 10:Public Safety	M. Gower
OM 11: Inmate Jobs	K. Jeske
OM 12: Inmate Health	M. Gower
OM 13: Financial Management	S. Robbins
OM 14: Partner and Customer Satisfaction	L. Craig

KEY PERFORMANCE MEASURES

- KPM 1: Measure 17 Compliance
- KPM 2: Completed Corrections Plan
- KPM 3: Recidivism
- KPM 4: Staff Assaults
- KPM 5: Walk-a-Ways
- KPM 6: Natural Gas Usage
- KPM 7: Level 1 Misconducts
- KPM 8: Secure-Custody Escapes
- KPM 9: Unarmed Perimeter Escapes
- KPM 10: Transitional Leave
- KPM 11: Customer Service
- KPM 12: Inmate Offsite Healthcare
- KPM 13: Time Loss Days

A larger copy of this map is available on request.

DATE ISSUED REPORT NUMBER

08/26/2009 State Cell Phone Plans: Closer Attention to Usage Could Create Savings

Purpose
We evaluated use patterns to determine whether state agencies were using cell phones efficiently.

Recommendation
We recommend:

- Obtain, from vendors, cell phone billing and usage reports that identify cost saving opportunities and share those formats and analyses with other agencies as opportunities arise;
- Regularly review cell phone bills and vendor reports to identify zero use phones and usage patterns that indicate a line should be terminated or a plan should be adjusted;
- Update cell phone inventories now and immediately turn off all phones unaccounted for; and
- Update inventories periodically in the future, including accounting for phone returns and line terminations for separating employees.

Response
The department agrees. DOC is currently working on the process to import billing information provided by its cell providers into its Telsoft call accounting software. This will create a central repository of billing information that will be used to provide monthly reports to managers for review of their staff's usage. Once implemented, DOC will gain an additional level of monitoring of cell phone usage. DOC has encountered challenges in this process such as the providers' ability to provide this information in a usable digital format. DOC will be willing to help other agencies implement this solution.

The department agrees. DOC already demonstrated success in assigning the correct service plans to phones. The department will increase efforts of reviewing its top users, in both cost and minutes, to optimize the assigned billing plans. DOC hopes the implementation of its central billing repository referred to above will also assist in increasing effectiveness in this area. DOC has proactively moved the majority of the cell service into pooled minute's service plans. This eliminates unexpected costs if a cell phone is used outside of its lesser cost service plan. The department will continue to review the staff usage for cost abnormalities, and the vendor services options to meet the business requirements within the best rate plan.

The department agrees. DOC is in the process of implementing new inventory and verification processes. A new inventory form for each cellular device will be sent to the responsible manager for inventory verification and to validate the current employee is in possession of the phone issued. This process will allow DOC to verify which staff each phone is assigned to. The staff member's manager will maintain a copy of the signed inventory form. The returned forms will be compared against the cell phone billing statements and will allow DOC to identify and address any anomalies. Unaccounted for cell phones will have their service cancelled.

The department agrees. DOC has updated its cell phone policy including clarifying responsibilities when staff separate from the department. The policy prohibits redistribution of cell phones between staff when the staff terminates employment or no longer needs the cellular device. These policies and enhanced management processes will improve inventory and tracking of cell phones. Monthly reports will be sent to managers detailing their staff's cell phone usage. This will allow them to track inventories at the same time.

01/07/2010 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2009

Purpose
This audit work was not a comprehensive audit of the department. Instead, the audit work performed allowed us, in part, to achieve the following objectives: (1) express an opinion on whether the financial statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles; (2) determine whether the state's internal controls provided reasonable assurance of proper accounting, financial reporting, and legal compliance of transactions; and (3) determine whether the state has complied with applicable legal requirements that may have a direct and material effect on the state's financial statements.

Recommendation
None

Response
No response required.

12/15/2010 Statewide Single Audit – ARRA State Fiscal Stabilization Fund (SFSF) – Government Services, Contracted by Secretary of State through Moss Adams, LLP

Purpose
We determined whether the Department of Corrections substantially complied with the federal requirements relevant to the following federal program:

ARRA – State Fiscal Stabilization Fund (SFSF) – Government Services

Recommendation
None

Response
No response required.

12/2010 Administration of Earned Time

Purpose
During the 2010 Special Session, the Legislature directed the Secretary of State to conduct an audit of earned time to evaluate the actual and potential impacts of the program; assess the Department of Corrections' compliance with statutes and its rules, policies and procedures; and to analyze best practices among similar programs in other jurisdictions.

Recommendation
We recommend that the Oregon Department of Corrections clarify its earned time rules, policies and guidance; and review its procedures for assigning inmates to programs and disciplining them for rule violations in the four months prior to release.

We recommend the Department take the following actions to improve its administration of earned time:

1. Develop clear policy and guidance to address:
   - the definitions of a program failure and refusal;
   - the identification of all required Oregon Corrections Plan programs;
   - the definitions, use and management of program exit codes; and
   - treatment of disciplinary segregation.

2. Ensure that its rules and purpose statement are appropriately aligned.

3. Review program enrollment procedures to ensure that willing inmates are entered into programs mandated by their Oregon Corrections Plan.

4. Revise administrative rules to consistently address inmate accountability for misconduct during the four months prior to release.

Response

Develop clear policies and guidance to address the definition of program failures and refusal

The department partially agrees with this recommendation. Current policies and rules provide “guidance” on the definition of compliance; however, practices between institutions and counselors may appear inconsistent without adequate documentation.

Develop clear policies and guidance to address the identification of all required Oregon Corrections Plan programs

The department agrees with this recommendation and is already taking steps to clarify required programming for inmates in its care and custody. The department acknowledges the auditors found instances where programs currently defined as “required” were not accurately listed on the OCP. The auditors correctly observed the absence of a desk and/or training manual for counselors and for the use of CIS. The department agrees these will be valuable tools for staff.

Develop clear policies and guidance to address the definition, use and management of program exit codes

The department agrees with this recommendation and has already taken steps to improve the definitions, use and management of exit codes. As noted in the audit report, CIS continued to allow the entry of exit codes eliminated as early as 2004 through part of 2009. On March, 1, 2010, a list of program exit codes was updated and posted on the universal drive, accessible to all staff regardless of work unit. This list identifies 30 approved codes and categorizes the exit codes by administrative actions.

Develop clear policies and guidance to address the treatment of disciplinary segregation

The department partially agrees with the recommendation. Current rules provide the structure necessary for an inmate's misconduct to result in an inmate failing to earn earned time associated with the institutional conduct portion of the earned time calculation. In addition, the proposed Correctional Case Management policy includes direction on how to address compliance in the case of an inmate whose behavior prevents him/her from being offered or placed into a mandated or required program. The Department does not agree an inmate's program compliance is necessarily impacted by their placement in segregation as some inmates are able to participate in OCP required/mandated programs.

Ensure the Departments rules and purpose statement are appropriately aligned

The department agrees with this recommendation and will convene a group, including DOJ counsel and representatives from the Criminal Justice Commission, to review the rules in comparison to the purpose statement. As indicated by the auditors, earned time was established in Oregon in 1989 and while the rules have been updated and modified through initiative and legislation in the last 21 years, the purpose statement has not been reviewed.

Review program enrollment procedures to ensure willing inmates are entered into programs mandated by their Oregon Corrections Plan

The department partially agrees with this recommendation and is currently engaged in a review and rewrite of OAR 291, Division 113, Workforce Development and Education Programs. The department does not agree the current enrollment procedures prevent "willing" inmates from participating in programming nor does it agree "willingness" is the only factor it

is required to consider when enrolling inmates in department-offered programs. The biggest challenge for enrolling inmates into programs remains, and will continue to be, the reality there are more inmates in need of programming than there are programming opportunities. At its most basic, this is the challenge of demand exceeding supply and the resources necessary to increase that supply.

Revise administrative rules to consistently address inmate accountability for misconduct during the four-months prior to release

The department partially agrees with this recommendation. The department agrees to review its rules as they relate to the assumption of compliance at the final review conducted four months prior to an inmate's release. The department does not agree with the suggestion it fails to address inmate misconduct in the last four months of incarceration as seriously as it does during the prior period of incarceration.

Conclusion

The results of the audit found the department and its staff to be in compliance with the law and identified a savings to the State of Oregon of at least $25 million through the use and correct application of earned time. The department welcomes the new perspective and information provided by the Secretary of State audit team and acknowledges it is both prudent and necessary to routinely review all rules, policies, procedures and practices.

01/03/2011 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2010

Purpose
This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objective of the statewide audit was to express an opinion on whether the financial statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles.

Recommendation
None

Response
No response required.

02/01/2012 Audit Management Letter for Statewide Single Audit of Selected Federal Programs for the Year Ended June 30, 2011

Purpose
This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objectives of the statewide single audit were to: (1) determine whether the department has complied with laws, regulations, contracts or grants that could have a direct and material effect on the selected federal program, and (2) determine whether the department has effective internal controls over compliance with the laws, regulations, contracts and grants applicable to the selected federal program.

Recommendation
None

Response
No response required.

12/12/2011 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2011

Purpose
This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objective of the statewide audit was to express an opinion on whether the financial

statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles.

Recommendation
None

Response
No response required.

02/10/2012 Agencies Ensured Contracts with Former State Employees Were Properly Awarded

Purpose
In response to a 2011 highly-publicized instance of questionable contracting practices, at the request of the Department of Administrative services, we began an audit of personal services contracts awarded to former state employees. We reviewed personal services contracts with former state employees at 10 agencies, as well as personal services contracting practices at a board and a commission.

Recommendation
No statewide recommendations and no recommendations specific to the Department of Corrections.

Response
No response required.

07/24/2012 Department of Corrections: Managing Security Personnel Costs

Purpose
The objective of our audit was to determine if the department could reduce personnel costs through better administrative practices.

Recommendation

We recommend that the department:

1. Ensure that the calculation and management of the post factor employ sound practices and the best, most reliable data available, such as:
    - Using actual employee payroll hours;
    - Assessing staff availability by institution and classification; and
    - Monitoring the post factor of individual institutions as well as the overall department post factor.
2. Revise current data collection methods for identifying overtime causes to allow more meaningful analysis. Specific examples include obtaining more information on unplanned workload, such as hospital watches, and using broad categories such as changes in workload, planned absences, unplanned absences, and vacant position as contributing factors to the need for overtime.

Response

Recommendation #1:

The department generally agrees. The department is in the process of changing operational policies and practices with institution staff deployment offices, which will enable the department to provide a more accurate reflection of individual staff assignments and overtime assignments. This will provide a more consistent application of DOC staff deployment practices and more accurately capture staff payroll hours, leave usage and reasons for overtime. This will also assist in placing staff in assignments based upon correct classification, as well as those staff having proper training credentials for certain post assignments.

The recommendation to monitor the post factor for individual institutions as well as the overall department would be beneficial in the assignment of overtime dollars. Breaking down leave by institution may assist those facilities who have a higher percentage of senior staff. The department would be best served by having a consistent relief factor for five-day and seven-day posts; staffing variances could be addressed with an overtime funding reallocation.

In regards to the methodology used in this report for calculating the relief factor for five-day and seven-day posts, the department would like to further explore how staff vacancies should be captured and calculated into the relief factor. While

the use of actual payroll data captures the behavior of current employees, it overlooks the void created by holding positions vacant. A vacancy factor does reduce the availability of staff for post assignment. Vacant posts have to be covered by overtime or by assigning relief staff who would normally provide relief for staff on vacation, training or other types of leave. The position vacancy rate should be part of the relief factor. Taking “time needed to fill a vacancy” into account when developing the post relief factor is recommended in the National Institute of Corrections Net Annual Work Hours Model (Chapter 8, page 40).

The relief factor noted for staff training is also a concern. The department does not dispute the actual staff training of 25 hours for this period of review. However, the department would like to recognize that due to severe budget reductions and constraints over the last two biennia, the department has consciously restricted training hours below the number of hours necessary to maintain a workforce that is well versed and prepared to respond to issues and challenges inherent in running correctional institutions. A long-term approach to staff training would include funding for 40 hours of annual in-service training for all veteran staff, a six-week training program for all new correctional officers, and hours for instructors. Finally, a comprehensive plan should include hours for specialty skills to provide for properly trained staff in the areas of Tactical Emergency Response Teams, Crisis Negotiators, Emergency Staff Services, and Honor Guard functions.

The relief factor calculation in this report included actual vacation hours rather than accrued vacation hours. DOC employees can bid all of the vacation hours to which they are entitled. If DOC management denies the requested vacation, the agency must pay the denied time out to employees. Therefore, DOC has a financial liability for all accrued vacation hours, whether taken as time off or paid out, which is why we respectfully disagree with the Secretary of State’s statement that we inappropriately requested policy option packages for post relief factor.

Recommendation #2:

The department agrees. As noted in the above recommendation, the recent change in the staff deployment policy and operational practices will provide a more consistent application and accurate reflection of staffing needs for individual institutions. Having staff deployment coordinators assign the majority of relief staff to vacant positions, reducing the workload on shift supervisors, and reducing their need for discretionary assignments and movement of staff will assist the department in accurately capturing leave codes.

DATE ISSUED REPORT NUMBER

12/01/2012 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2012

Purpose

This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objective of the statewide audit was to express an opinion on whether the financial statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles.

Recommendation
None

Response
No response required.

8/6/2013 Department of Corrections: Treatment of the Highest-risk Offenders Can Avoid Costs

Purpose
Our audit objective was to determine whether the estimated benefits of providing substance abuse treatment to the highest-risk released offenders exceed the costs. We focused on the estimated benefits and costs associated with offenders released from 2008 through 2011.

Recommendation
We recommend the Department of Corrections management:

1. Work with county community corrections agencies and the Legislature to coordinate funding and track resources to provide substance abuse treatment for the highest-risk offenders wherever possible.

2. Explore utilizing expanded Medicaid funding for substance abuse treatment for released offenders and consider integrating Medicaid eligibility review into release planning.

Response

Recommendation #1:

The department agrees. The department will provide the legislature with information about how counties use community corrections grant-in-aid dollars. While the department does not direct or authorize how counties supervise offenders or appropriate dollars to specific programs, the department does provide research, data, and technical assistance to the counties on effective ways to assess offenders and balance resources between supervision, sanctions, and services.

Recommendation #2:

The department generally agrees. For the majority of offenders in the community corrections system, counties determine eligibility for Medicaid and all other federal and state funding-match programs. However, in Linn and Douglas counties, the Oregon Department of Corrections directly supervises offenders and strives to enroll offenders in Medicaid whenever possible.

The department also agrees that Medicaid eligibility determinations need to be incorporated into release planning, and we are working with the Oregon Health Authority to explore a two-phase implementation process.

Additionally, the department is hiring a re-entry benefits coordinator who will focus on developing processes to pre-qualify inmates nearing release for Medicaid, Medicare, veterans' benefits, social security, and other such benefits for which they may qualify. This position will also serve to ensure releasing inmates are effectively linked to these and other supportive services.

DATE ISSUED REPORT NUMBER

12/31/2013 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2013

Purpose

This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objective of the statewide audit was to express an opinion on whether the financial statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles.

Recommendation
None

Response
No response required.

12/30/2014 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2014

Purpose
This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objective of the statewide audit was to express an opinion on whether the financial statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles.

Recommendation
None

Response
No response required.

DATE ISSUED REPORT NUMBER

01/07/2016 Audit Management Letter for Selected Financial Accounts for the Year Ended June 30, 2015

Purpose
This audit work was not a comprehensive audit of the department. We performed this audit work as part of our annual statewide financial audit. The objective of the statewide audit was to express an opinion on whether the financial statements contained in the State of Oregon's Comprehensive Annual Financial Report were fairly presented, in all material respects, in conformity with generally accepted accounting principles.

Recommendation
None

Response
No response required.

Affirmative Action Plan

A. Department Affirmative Action Policy

Each year, Oregon Department of Corrections (DOC) managers are required to review DOC's Equal Employment Opportunity/Affirmative Action policy. The Diversity and Inclusion Administrator will ensure this policy is posted on the department U: Drive where all DOC employees have access. Throughout the biennium there are communications sent periodically affirming the agency's commitment to EEO, Affirmative Action (AA), as well as the Department's commitment towards a work environment free from hostility, harassment, or any type of discrimination.

Department of Corrections
Human Resources Division
DOC Policy 20.4.1: Equal Employment Opportunity and Affirmative Action
Effective: 07/15/98
Applicability: Applicants and State Employees
Directives Cross-Reference: State Administrative Policy 105-40-001.

Equal Employment Opportunity and Affirmative Action – DOC Policy 20.4.1

I. PURPOSE

The department is committed to achieving a workforce that represents the diversity of Oregon and being a leader in providing fair and equal employment opportunity for all interested applicants and its employees.

II. POLICY

A. Supervisors shall insure:
   1. Equal employment opportunities are afforded to all applicants and employees by making employment related decisions that are non-discriminatory.
   2. Employment practices are consistent with the state's Affirmative Action Plan and state and federal laws to:
      a. Promote good faith efforts to achieve established department affirmative action goals, which include persons with disabilities;
      b. Take proactive steps to develop diverse applicant pools for position vacancies and assess the diversity of an applicant pool prior to closing a job announcement; and
      c. Make a good faith effort to have diverse representation on screening and interviewing panels to include representation of employees outside the work unit doing the hiring.

B. Persons who believe they have been subjected to discrimination by the department in violation of this policy may file a complaint with the department's Human Resources Division within 30 calendar days of the alleged act, upon knowledge of the occurrence, or when the person should have known.

III. POLICY CLARIFICATION

A. Employment related decisions include, but are not limited to: hiring, promotion, demotion, transfer, termination, layoff, training, compensation, benefits, and performance evaluations.
B. Diverse applicant pools are developed by using proactive steps in outreach strategies which generally include targeted newspapers, professional organizations, employee networks, community organizations, and resume banks.
C. The Department of Administrative services statewide automated affirmative action system establishes goals for each EEO category and ethnic group for the Department of corrections.
D. Nothing in this policy precludes any person from filing a formal grievance/complaint in accordance with a collective bargaining agreement, or with the state's Affirmative Action Office, the Bureau of Labor and Industries, or the Equal Employment Opportunity Commission.

IV. IMPLEMENTATION

This policy shall be adopted immediately without further modification.

B. Agency Diversity and Inclusion Statement

The Department of Corrections remains deeply committed to promoting and maintaining an environment that is respectful of all persons despite differences in age, citizenship, disability, ethnicity, gender identity or expression, geographic origin, language, marital status, nationality, race, religion, sexual orientation, or socioeconomic status. It is essential to the DOC mission that staff and volunteers reflect all of the different cultures that proudly make up our state.

It is the policy of the Department of Corrections to promote and implement diversity and inclusion practices in all areas of the work environment, with respect for and appreciation of the collective differences and similarities of individuals. Diversity and inclusion practices will be used to develop a balanced workforce, representative of a diverse makeup of characteristics, values, beliefs, experiences, and backgrounds. DOC will support and maintain a work environment sensitive to and respectful of the unique cultural attributes and histories of individuals, providing employees fair treatment and equal access to mentoring, opportunities, and resources.

C. Training, Education and Development

New Employee Orientation

DOC offers 40 hours of New Employee Orientation (NEO) to all employees new to the department, along with prior employees who have been away from the department for two years or more, and full-time contractors. The NEO program is designed to provide new

employees baseline information on the mission, vision, values, concepts, principles, policies, and rules of the agency, focusing on the Oregon Accountability Model, ethics and professionalism, staff wellness, and respectful workplace. Newly-hired staff are expected to successfully complete the NEO program within their trial service period.

Annual In-Service
Each annual 40-hour training program is designed to meet the training requirements for both custody and non-custody employees and contractors. The program's design is based on employee surveys, focus group results, outside regulatory agency requirements, and training need assessments; the program is designed to further the department's mission and goals while strengthening teamwork and communication among and staff and functional units. Annual in-service training includes segments on diversity and respecting others.

Contractor Orientation
Contractor Orientation is now run along with all other Non-Employee Service Providers, through the use of a combined online and in-service training. Contractors complete an online, self-paced course covering general information, and then complete four hours of classroom training. In addition, contractors are required to complete a facility orientation for each institution to which they will have access.

Volunteer Training
There are currently about 2,100 active volunteers who come in regularly to provide services to adults in custody. They come from many different races, socio-economic backgrounds, religious/spiritual backgrounds, educational backgrounds, marital statuses, sexual orientations, and cultures. Men and women are almost equally represented as volunteers. Their common bond is the desire to make a difference. Each volunteer is required to complete a self-paced training module and four hours of classroom training. The training emphasizes the need to treat everyone with respect and to treat all inmates the same. It is the goal of the volunteer program to recruit volunteers who best meet the needs of the incarcerated without respect to race, gender, culture, sexual orientation or religious/spiritual background. It is also our goal to promote understanding and tolerance.

Management Training
DOC is currently developing leadership and management training, which will include content regarding diversity and affirmative action.

D. Programs

Recruitment Programs
Managers and selecting officials will make every reasonable effort to ensure that interview panels are diverse. The department will ensure both hiring and promotion panels, where practical, have membership composed of racial/ethnic and gender diversity. In order to maintain some neutrality for hiring and promotions to management and executive level positions, the panel should include at least one

member from outside the functional unit where the vacancy exists. DOC provides a Supervisor's Recruitment Guide for hiring managers that delineates the appropriate process for selecting and setting up interview panels.

Media Advertisements
In an effort to reach a broad range of job applicants, staff in the Human Resources Recruitment Unit may place ads for vacant positions through the use of various media outlets in Oregon and around the country. Such media groups include, but are not limited to, Craigslist, Oregonianlive.com, Dice.com, Bend Bulletin, Oregon Universities' and College's job boards, Correctionsone.com, The Oregon Sentinel, Argus Observer, Theworldlink.com Newspaper, Idaho Statesman, Tri-City Herald, Military Medical News, and various Press Releases. In addition, some of these media groups send out their own, separate blasts of postings to groups such as Simplyhired, Glassdoor, Indeed, JuJu, Asian.jobs, Hispanic.jobs, Vetjobs, and Diversity Jobs.

Social Media
The department will use online social media websites such as Facebook, Twitter, YouTube, Instagram, and LinkedIn to broaden the range of job applicants.

Job Information Fairs
The department will participate, when financial and staffing resources permit, in a multitude of job fairs held around the state focusing on women, veterans, people of color, and people with disabilities. In addition, employees of the department will be visiting local Military bases to recruit from, and will be holding internal Recruiting events.

College/University Career Days
Employees of the department will attend college and university career days and job recruitment functions, as staffing and finances allow. Each institution will make staff available to attend career days held at community colleges and universities located in their geographical area of the state. Recruitment and Career Services staff has visited with various schools throughout the state.

Policies
Human Resources staff will ensure that the department's formal, written procedures on selection include statements to the effect that appointing officials are to seriously consider gender and ethnic status in hiring and promotion decisions where positions exist that are seriously under-represented and the affirmative action goal in this plan has identified this particular job group.

Vacancy Type and Order
Where affirmative action goals have been established for the particular classification and representation remain clearly below parity standards, the first priority when considering the type of application to develop is open competitive. The second would be for advertising the position as a statewide vacancy. Managers should justify reasons to open announcements that are limited to agency promotions. There are a considerable number of potential applicants in the state labor force with experience in public safety occupations. The

diversity of candidates will be increased considerably by opening up the majority of announcements to job applicants in the public arena.

SB 822 Veterans Points

SB 822 established the manner in which state agencies provide preference to qualifying veterans or disabled veterans in scored or un-scored employment application processes (ORS 408.225-235). In order to be compliant with SB 822, both the Recruitment Unit and the hiring managers have responsibilities.

- ***Recruitment Unit:*** In the initial application screening, the Recruitment Unit determines if applicants are eligible for veterans or disabled veterans preference points. Eligible veterans will have the appropriate points designated upon the certification list the hiring manager receives.
- ***Hiring Manager:*** Hiring Managers review their certification lists to determine who they will be interviewing. In a scored screening, the veterans points must be taken into consideration when determining where to cut off the certification list. In a non-scored screening, all veterans are interviewed.

Community Organization Outreach

The department will maintain a list of minority and women's organizations around the state. For vacant positions showing a serious under-representation of women or minorities, the Recruitment Unit will mail job announcements to appropriate community organizations if they are not getting state vacancy lists or announcements from CHRO recruitment.

Contact with organizations representing the special interests of people of color will be maintained by having staff from the department attend group meetings and conferences. In addition, the intent is to have senior staff represented at key, influential and large statewide organization conferences which address minority community and employment issues. Staff will pursue the opportunity to meet personally with officials representing minority organizations.

DOC Strategic Initiative-Cultural Competency

The Department has identified Cultural Competency as a Strategic Initiative. A work group has been formed to further promote the work of the AAP. A major part of this work group’s plan in promoting Cultural Competency is a strong training effort.

Work Environment Programs

The department will continue to develop ways to maintain a positive and supportive work environment to benefit all employees and the department relative to equal employment opportunity, affirmative action, and cultural diversity. Emphasis will be placed on the importance of the department's Promotion and Maintenance of a Respectful Workplace policy, which prohibits harassment and discrimination in the workplace.

Exit Interviews
In order to determine if there are problems, patterns, or trends affecting women or minorities in a disparate manner, an exit interview process has been implemented. The results of these exit questionnaires will be reviewed by the Recruitment and Career Services Administrator, and will be reported to the Executive Team and functional unit managers as needed.

Other Programs
The department's Affirmative Action Officer will review affirmative action goals and the progress of the entire department on a quarterly basis. This person will develop and distribute to managers a report based on the DAS Affirmative Action Progress Report, summarizing workforce statistics, on a semi-annual basis.

Correctional Officer Hiring Trends
Since correctional officer hiring represents the largest volume entry-level position in the department, a study has been implemented to track selection trends. The test criteria were reviewed to determine if inequities or biases exist for members of protected classes. Data gathered provides numbers and percentage of women and people of color who apply, the numbers which failed the entrance exam, the number interviewed, the numbers and percentage of women and people of color who failed the interview, the pass/fail rate for background checks and the pass/fail rates of physicals. The numbers and percentage of women and minorities who were hired will also be determined. If there is sufficient data and enough staff time, a follow-up study will be done to determine how many of these hires completed trial service as a correctional officer. This study will follow the "Uniform Guidelines on Employee Selection Procedures" of the Equal Employment Opportunity Commission (29 CFR 1607).

Position Descriptions
As position descriptions are written and/or revisions made, conditions that might limit or restrict people with disabilities from consideration will either be eliminated or will be clearly justified on the basis of essential duties and basic requirements of the job. Only where there are bona fide requirements should duties be identified that might limit people with disabilities from consideration. Human resources analysts, classification and recruitment staff are to work closely with managers and supervisors to ensure that position descriptions are not inadvertently biased against people with disabilities. Position descriptions of all managers in the department will include affirmative action language.

Bilingual Pay Differential
The department will continue to utilize certain staff members to provide language skills for communication and translation purposes. The position description must clearly specify this duty in order to receive pay differential.

Additional staff members need to be identified who have these skills and who can provide translation services. Since a large portion of the inmate population speaks Spanish and languages other than English, there are important safety and security reasons to expand the

number of staff members who can exercise these special skills. In the future, the department will consider targeted recruiting and advertising for specific positions that require language skills.

Special Observances

Functional unit managers are encouraged to address cultural diversity awareness issues through topics at staff meetings, planning special observances in recognition of minorities, and encouraging staff participation in special events in the community related to minority heritage and in special training sessions. The emphasis will be placed on resolving problems, combating stereotypes, and highlighting the advantages of cultural diversity.

The types of observances include, but are not limited to, Women's Equality Day, Martin Luther King Jr. birthday (January), Cinco de Mayo (May), Native American Indian Heritage Month (September), Women's History Month (March), Black History Month (February), Asian Heritage Month (April or September), Disabilities Month (October), and National American Indian Heritage Month (November).

E. Executive Order 16-09

Since the beginning of 2005, the Governor's Office has backed affirmative action and mandated state agencies to take action towards integrating affirmative action into the core of each agency's structure. Through Executive Order 05-01 and 08-18, state agencies were mandated to:

- Review and discuss their Affirmative Action Plan to identify areas for improvement
- Review position descriptions to make sure leadership and management employees have affirmative action and diversity responsibilities
- Identify resources for improving the hiring and developmental opportunities of underrepresented persons
- Eliminate the effects of past and present discrimination
- Evaluate management for ability to achieve affirmative action objectives
- Utilize Cultural Competency Assessment and Implementation Services (not mandated, but strongly recommended)
- Allow employees to use state equipment to access the Exit Interview survey and encourage employees to complete prior to their transfer or departure

Executive Order 05-01 and 08-18 expired December 31, 2014. On May 3, 2016, however, Executive Order 16-09 was released, reaffirming the expired Affirmative Action Orders.

Evaluation of the Current State of the Organization

Technological advances now connect the world's peoples in unsurpassed methods and numbers. Those advances have contributed to Oregon's labor pool diversity and the ongoing need to recruit and retain a skilled workforce. Accordingly, it is imperative that DOC

maintain a culturally competent organization. The demographics of today's workforce continue to change as do the demographics of the inmate population. To maintain a viable workforce that interacts with each other, the public, and the inmate population in a culturally healthy fashion, the DOC must embrace the competitive edge found in employees with diverse skills, perspectives, and backgrounds.

During the 2009-11 biennium, DOC designated a manager to create a cultural awareness and diversity program within the department. Since then, the program developed into a full Office of Diversity and Inclusion, run by the Diversity and Inclusion Administrator, along with two support staff. The Diversity and Inclusion Administrator reports to the Assistant Director of Administrative Services, and works closely with the Human Resources Division to coordinate and respond to affirmative action, cultural awareness, and diversity issues.

The state of the department as it relates to diversity and cultural competency is still very complex. The economic downturn and budget constraints have curtailed expenditures in all areas and challenged the agency to accomplish more with less.

In order to determine if there are problems, patterns, or trends affecting women or minorities in a disparate manner, DOC uses the statewide exit interview survey administered by the Department of Administrative Services. The results of these exit surveys will be reviewed quarterly by the Agency Affirmative Action Officer for patterns of disparate treatment. The results of that review will be presented to the Human Resource Executive team and, if patterns of disparate treatment are identified, appropriate action will be taken with the specific management team. In the case of patterns of positive comments, those findings will be shared with other Divisional Management teams to be implemented agency-wide. These results will also be presented to the DOC Director and the other members of the DOC Executive Team in conjunction with the quarterly affirmative action statistics.

In 2005, all management service position descriptions were audited to ensure diversity language was a criterion for evaluation annually. All management service employees continue to have diversity activities evaluated annually. Management service performance evaluation training is being delivered with affirmative action, diversity, cultural competency performance, and documentation being a key aspect of the training.

F. Status of Contracts to Minority Businesses (ORS 659A.015)

ORS 659A.015 (affirmative action reports to include information on contracts to minority businesses) – In carrying out the policy of affirmative action, every state agency shall include in its affirmative action reports under ORS 659A.012 information concerning its awards of construction, service, and personal service contracts awarded to minority businesses.

- DOC Purchasing and Contracts complies with all rules and policies pertaining to contracts and agreements with qualified Minority, Women, and Emerging Small Businesses (MWESB). The agency Purchasing and Contracts Unit use the Department of Administrative Services' Oregon State Procurement Information Network (ORPIN) system to look for potential vendors and adhere to the appropriate rules. All DOC contracts and agreements are listed on ORPIN.

- Between July 1, 2015, and June 30, 2016, the DOC awarded $355,435 to Minority Owned Businesses, be it Goods and Commodities, Trade Services, Personal Services, A and E or Public Works/Public Improvement.

In addition to these contracts, DOC contributes financially to the 2016 Statewide Annual Diversity Conference.

G. Roles for Implementing the Affirmative Action Plan

A. Responsibilities and Accountabilities:

The success of the Affirmative Action Program depends upon commitment and leadership of employees at all levels of the organization. Roles and responsibilities are as follows.

DOC Director and Deputy Director, Executive Team, and Leadership Team:

- Implement the policy and Affirmative Action Plan.
- Monitor progress toward meeting Affirmative Action Plan goals and objectives.
- Ensure compliance with all applicable federal and state laws, rules, and regulations.
- Ensure division administrators understand they are responsible for participating in and promoting affirmative action activities and for communicating this same responsibility to their subordinate managers and supervisors.
- Establish a positive climate for program success within their sections.
- The effectiveness of managers and supervisors in promoting the affirmative action activities, goals, and objectives for DOC will be included in the annual performance appraisals.
- Become thoroughly familiar with the details of the Affirmative Action Plan as they apply to their section/unit, and monitor progress of hiring and promotions, in relation to goals.

Human Resources Personnel:

- The Human Resources Managers/Analysts serve as technical advisors to assigned functional units, ensuring compliance with policies.
- Provide and/or refer employees for counseling related to informal discrimination complaints.
- Maintain statistical information on race, sex, and disability with respect to personnel actions.
- Assist management in ensuring administration of union contracts are in a nondiscriminatory manner.
- Assist management in ensuring internal discrimination complaint procedures are followed.
- Attempt to resolve all discrimination and sexual harassment complaints within assigned units.
- Conduct civil rights investigations where appropriate.

- Maintaining a readily available copy of the AA plan for employees to read
- Hold regular discussions with section managers to be certain they understand and follow the Affirmative Action Plan.
- Ensure that affirmative action implementation activities carry out, as they apply to the units.
- The Director of Human Resources has overall responsibility to ensure the agency is following Equal Opportunity and Affirmative Action guidelines of the EEOC and the Governor's Office of Affirmative Action. Human Resources policies and practices will be reviewed for compliance.

Managers and Supervisors

- Take steps to select, retain, and promote people of color, people with disabilities, women, and other protected classes.
- Provide tools and resources for employees to interact with each other from all backgrounds.
- Create and promote a work environment that is free from any kind of hostility or unwelcome behavior.
- Promote Cultural Awareness.
- Attend, and encourage employees to attend, EEO/AA training programs.
- Assure staff members are aware of the department's discrimination complaint process, and the appropriateness of using it without fear of retribution.
- Establish a positive climate for program success within their sections.
- Assist the EEO/AA Coordinator with identifying problem area and improve employment opportunities for protected classes.
- Involve the manager or supervisor in strategies to evaluate the unit’s work force, develop goals for the fair representation of women, people with disabilities and minorities, and sketch timetables for achievement of those goals.
- Evaluate subordinate manager or supervisor annually on his/her contribution to the establishment of a culturally competent work environment.
- Adhere to DOC policy of equal employment and ensure all employees understand and support these principles.
- Attend meaningful activities related to cultural competency:
    - Training, Workshops
    - Workgroup Meetings
    - Culturally-specific activities.

Affirmative Action Officer:

- Develop and update AA Action plans.
- Work with HR managers to identify improvements to affirmative action, eliminating inequalities and improving equal employment issues.
- Create, review, and discuss affirmative action progress with Executive Management.

- Coordinate with PDU to develop diversity training improving competency towards affirmative action issues.
- Include articles in the department newsletters that express the Director's commitment to promoting a diverse workforce and environment. Articles relating to equal employment opportunity, affirmative action, and the ongoing development of a diverse workforce, and the efforts and progress made toward meeting department goals in these areas are some examples. Ensure that newsletter articles about employees are non-discriminatory in their portrayal of employees' gender, ethnic heritage, disability, or other non job-related characteristics.
- Work whenever possible with community groups and leaders assuring the department is an agency known as committed and responsive to affirmative action and cultural diversity values.
- Review hiring and promotion patterns, training programs, job descriptions, and work assignments to identify and remove any barriers to equal employment opportunity.
- Develop the written Affirmative Action Plan and Publicize its content internally and externally.
- Keep management informed of the latest developments (law and rule changes, etc.) in the EEO/AA area and measure the effectiveness of the department's program.
- Determine the degree to which the department has attained goals and objectives, indicate need for corrective action if necessary and provide such information to the director, deputy director, and assistant directors on a semi-annual basis.
- Provide an annual update of the Affirmative Action Plan to department administration.
- Serve as a liaison between the department and minority organizations, women's organizations and community action groups concerned with employment opportunities of women, people of color, and people with disabilities.
- Receive complaints of discrimination from employees and applicants with the department Attempt to resolve internal discrimination and sexual harassment complaints and serve as a liaison between the department and Civil Rights enforcement agencies (EEOC and BOLI).
- Keep the Assistant Director, DOC Human Resources Unit, and the DOC Director informed of complaint activity and provide advice to the Assistant Director, DOC Human Resources staff on discrimination complaint cases.
- Monitor affirmative action activity.
- Identify weak areas of recruitment.
- Improve identified weak areas.
- Identify long term trends.
- Track the retention and departure rates of employees who are women, people of color and people with disabilities.
- Identify effective affirmative action activities.
- Manage the Affirmative Action Plan and implementation.
- Recognize policy needs and initiate necessary policy changes.
- Review quarterly, the progress the department is making toward achieving their affirmative action goals.
- Recommend the annual goals to the Executive Staff.
- Provide oversight and review of all civil rights (Title VII) complaints of discrimination in employment.

- Review affirmative action goals and the progress of the entire department.
- Develop and distribute to managers a report based on the DAS Affirmative Action Progress Report, summarizing workforce statistics, on a semi-annual basis.

All Employees

- Maintain a work environment free from harassment of any kind, and report barriers to affirmative action existing within offices/sections to the appropriate Department of Corrections Human Resources Analyst (includes incidents of reported or known harassment on the basis of sex, race, color, national origin, religion, age, mental or physical disability).
- Support the DOC policy to equal employment and diversity, while creating a positive work environment for all stakeholders.
- Establish a work environment and culture supportive of cultural diversity and responsive to customers in the service area.
- Put forth individual efforts and achieve results in Equal Employment/Affirmative Action objectives, and have these evaluated via the performance appraisal process.

Internal Monitoring and Evaluation

The Legal Affairs and Affirmative Action Manager has the responsibility of monitoring, evaluating, and reporting the effectiveness of the Affirmative Action Plan, and gives advice and makes recommendations to the Assistant Director of Administrative Services and to the Executive Team and/or Functional Unit Managers, as needed.

Methods for Monitoring and Reporting the Affirmative Action Program

- Maintain affirmative action reports, guides, records, and statistics.
- Analyze statistical reports.
- Evaluate manager’s performance in all areas of diversity and affirmative action.
- Determine what interview and selection methods are appropriate for each recruitment.
- Compare the number of women, people of color, and people with disabilities hired to the department's goals.
- Discuss employee performance or retention problems with supervisors to identify methods for improvement.
- Conduct exit interviews to learn the reason for resignation and how the department might improve working relationships if applicable.
- Report on an annual basis to the director of department the progress and efforts made toward accomplishment of goals and objectives, and recommendations for improvement, if necessary.
- Brief administrators and executive staff annually on workforce composition and Affirmative Action progress.

Assessment Tools

- Affirmative action reports generated quarterly by DAS.
- Statistics on number of BOLI, EEOC and tort claims filed alleging discrimination or harassment.

H. Accomplishments July 1, 2014 to June 30, 2016

A number of initiatives that support and promote DOC Equal Employment Opportunity (EEO)/Affirmative Action (AA) efforts for increasing awareness, transparency, and participation have been and will continue to be undertaken. Although the department's overall workforce composition has remained comparatively consistent for representation of women and for people of color as compared to the previous biennium, the agency will continue to enhance training materials, web pages, and other outreach activities in an effort towards attracting and hiring diverse applicants.

The following 2014-2016 accomplishments were gathered from data provided by the Department of Administrative Services as of June 30, 2016. The quarterly statistics are available to all department employees to view in the department's public folders. The Affirmative Action Plan is a key component for ongoing diversity development efforts. DOC will continue to strive for improved representation by hiring, retaining, and promoting women, people of color, and people with disabilities.

Table 2
DOC Total for Women under parity as of June 30, 2016 is as follows:

Title	Total Positions	Filled By Women	Parity	Under Parity
Physician/Dentist	43	6	14	-8
Inspector/Investigator	21	9	10	-1
Computer Analyst	79	20	26	-6
Social Services	230	133	138	-5
Lieutenant/Captain	160	21	25	-4
Correction Officer	2381	387	543	-156
Paraprofessionals	35	19	20	-1
Skilled Craft Worker	104	1	13	-12
Service/Maintenance	257	78	97	-19

Although under parity, DOC continues to make it an ongoing Affirmative Action Plan goal to close the gap, seeking and hiring candidates that would contribute positively to a diverse community.

Table 3
DOC Total for Women above parity as of June 30, 2016 is as follows:

Title	Total Positions	Filled by Women	Parity	Over Parity
Middle Management (SR 24-30)	54	25	23	2
Upper Management (SR 31+)	133	52	49	3
Communication/Editor	2	2	1	1
Nurse/Health	255	191	180	11
Purchasing Agent	13	10	6	4
Researcher	4	3	2	1
Personnel/Employment	45	29	26	3
Accounting	21	12	11	1
Program Analyst	95	69	39	30
Technicians	86	68	40	28
Administrative Support	405	363	285	78

Table 4
DOC Total for Women 2014 vs. 2016

EEO-4 Category	Total Employees 6/30/2014	Number Women 6/30/2014	Total Employees 6/30/2016	Number Women 6/30/2016	Change in number of Women
Officials/Administrators	184	69	187	77	8
Professionals	932	479	978	508	29
Technicians	84	68	86	68	0
Protective Service Workers	2364	395	2381	387	-8
Paraprofessionals	33	16	35	19	3
Administrative Support	390	348	405	363	15
Skilled	107	2	104	1	-1
Service/Maintenance	256	82	257	78	-4
TOTAL AGENCY	**4350**	**1459**	**4433**	**1501**	**42**

DOC's overall workforce composition has remained steady for the representation of both women and people of color. As of June 30, 2016, the total representation of women is at 33.86 percent.

Table 5
DOC Total for People of Color under parity as of June 30, 2016 is as follows:

Title	Positions	Filled by POC	Parity	Under Parity
Middle Management (SR 24-30)	54	4	7	-3
Upper Management (SR 31+)	133	13	16	-3
Nurse/Health	255	26	29	-3
Accounting	21	2	3	-1
Program Analyst	95	8	9	-1
Social Services	230	27	36	-9
Lieutenant/Captain	160	19	24	-5
Service/Maintenance	257	29	30	-1

The representation of people of color within DOC has remained steady at 12.68 percent. DOC continues to take proactive steps to promote and recruiting people of color, and will vigorously strive towards reaching its parity goals.

Table 6
DOC Total for People of Color over parity as of June 30, 2016 is as follows:

Title	Positions	Filled by POC	Parity	Over Parity
Physician/Dentist	43	6	5	1
Researcher	4	2	1	1
Personnel/Employment	45	6	5	1
Hearings Officer	10	2	1	1
Technicians	86	14	9	5
Correction Officer	2381	324	260	64
Paraprofessional	35	5	3	2
Administrative Support	405	53	39	14
Skilled Craft Worker	104	9	8	1

Table 7
DOC Total for People of Color 2014 vs. 2016

EEO-4 Category	Total Employees 6/30/2014	Number POC 6/30/2014	Total Employees 6/30/2016	Number POC 6/30/2016	Change in number of POC
Officials/Administrators	184	20	187	17	-3
Professionals	932	99	978	111	12
Technicians	84	13	86	14	1
Protective Service	2364	308	2381	324	16
Paraprofessionals	33	6	35	5	-1
Administrative Support	390	39	405	53	14
Skilled	107	7	104	9	2
Service/Maintenance	256	23	257	29	6
TOTAL AGENCY	**4350**	**515**	**4433**	**562**	**47**

DOC has been able to maintain parity within the Correctional Officer series, which is the largest job classification in corrections as well as the Hearings Officer, Technicians, and Administrative Support classifications.

Table 8
DOC Total for People with Disabilities 2014 vs. 2016

EEO-4 Category	Total Employees 6-30-2014	Number Disabled 6-30-2014	Total Employees 6-30-2016	Number Disabled 6-30-2016	Change Number of Disabled
Officials/Administrators	184	3	187	3	0
Professionals	932	9	978	8	-1
Technicians	84	0	86	0	0
Protective Service	2364	26	2381	25	-1
Paraprofessionals	33	0	35	0	0
Administrative Support	390	5	405	3	-2
Skilled	107	0	104	0	0
Service/Maintenance	256	4	257	4	0
TOTAL AGENCY	**4350**	**47**	**4433**	**43**	**-4**

Representation of persons with disabilities continues to be a small proportion compared to other agencies. With 60 percent of positions within the security classifications series where strict physical standards and requirements are required pursuant to the Department of Public Safety Standards and Training (ORS 259-08-010), DOC continues to strive to improve recruitment efforts toward people with disabilities. Efforts to close the gap include continued meetings with staff of the Vocational Rehabilitation Division to discuss the number of non-security positions that are available, as well as providing education and awareness of the variety of career paths available to individuals within the Department of Corrections. The Recruitment Unit has made progress in establishing better working relationships with both public and private vocational rehabilitation agencies and has found that working one-on-one with disabled individuals is proving to be the best approach to helping them secure employment with the Department.

I. 2015-2017 Affirmative Action Plans

Goals

The Department of Corrections understands the value in diversity. Historically, most institutional diversity programs, such as affirmative action initiatives, were implemented to be in compliance with the law. However, many organizations now realize the benefits and solid business reasons to uphold such programs. DOC's focus will be in developing a diversity program into a strategic initiative.

Affirmative action develops strong workforces because it forces employers to create job descriptions and engage in true competition for new hires and promotions instead of using the "old boy's network," friends, or relatives. A diverse workforce can take advantage of the experiences and skills people with culturally diverse backgrounds can offer. In spite of the progress that has been made to create a diverse workforce, there is and continues to be difficulty with maintaining diversity within some classifications, but the agency will continue to strive with identifying talent at all levels, and developing strategies for diversity in the workforce.

Although the agency continues to be challenged to reduce costs that have caused many positions to remain unfilled, emphasis will continue to be to recruit a diverse workforce to fill vacancies. Recruitment efforts will focus on obtaining applicants from the various minority populations. Institutions located in small communities throughout the central, eastern and southern parts of the state, will require additional training by expanding awareness to management in developing opportunities to bring diversity not only to the workplace, but to those small local communities as well.

Long-term Affirmative Action Goals

1. Hiring authorities will take into consideration protected class status applicants specifically where there is clearly established statistical under representation and where the agency is below parity standards in that particular job.
2. The department will continue to review current recruitment strategies for women, minorities, and people with disabilities to see what actions have been successful in bringing applicants to the department.

3. The department will strive towards transferring seasoned professionals into each community, with an increased level of diversity being one intended outcome.
4. The department will continue to focus on recruiting women in security positions, minorities in both mid- and upper-level management positions, as well as positions in areas such as health and fiscal services, and persons with disabilities in non-security positions. In addition, DOC is seeking to place more women into other job categories which have been long overlooked as being more traditionally male-oriented. Actual numbers to achieve equity in these positions are determined in the parity goals established by the Governor's Affirmative Action Office. These statistics are received quarterly by the DOC Human Resources Unit, analyzed for areas of non-compliance, and reported to the DOC Executive Team at standing quarterly presentations.
5. The department will utilize bilingual staff members to provide language skills for communication and translation purposes. The position description must clearly specify this duty in order to receive pay differential. Applicants who can demonstrate proficiency in Spanish will be given preference for security officer positions or other staff positions that work directly with inmates.

It has been recommended to the Executive Team that DOC utilize the following Affirmative Action/Cultural Competency Implementation Strategy for the 2017-2019 biennium.

Objective 1: Education and Training

- Establish leadership in diversity initiatives/increase awareness.
- Develop training programs and diversity strategies.
- Disseminate, forward, and promote monthly topics.
- Create diversity committee.
- Promote the increase of diversity/inclusion within the department.
- Conduct review of agency performance review process.

Objective 2: Responsibilities and Accountability

- Establish position responsible for AAP.
- Responsibility and Accountability Statements in PDs.
- Management accountability for maintaining diversity.
- Evaluate diversity/inclusion initiative activities quarterly.
- Analyze and disseminate quarterly Affirmative Action data; monitor compliance with requirements of the Affirmative Action Plan.
- Meet with Executive Team quarterly.
- Distribute monthly calendars and proclamations received from Governor's Office.

Objective 3: Community Outreach/Awareness

- Participate in community activities.
- Inform staff of activities in community.
- Look into minority student organizations.
- Partner and collaborate with other organizations that are addressing diversity and related workforce issues.

Objective 4: Recruitment and Retention

- Participate in community events.
- Evaluate and maintain statistics identifying rotations, transfers, hires, and terminations.
- Pursue inclusion in the interview processes.
- Increase diversity of staff and volunteers.
- Do not hire unqualified people, but take positive steps to contribute toward greater employment for protected classes.
- Create and implement a plan to translate and disseminate research information.
- Conduct review of agency exit interview process

Parity Goal Objective

DOC recognizes the importance of diversity and will strive towards reaching parity goals in positions where minorities have historically been under-represented.

Internal Dissemination

The Affirmative Action Plan will be brought to the attention of employees in the following ways:

- The director's Affirmative Action Policy Statement shall be disseminated to all staff along with DOC policies on ADA and Reasonable Accommodation and Promotion and Maintenance of a Respectful Workplace.
- Affirmative Action progress reports of statistical data by functional unit will be disseminated to superintendents and members of the department's Executive Team and posted in an electronic public folder for access by all department staff and managers.
- Affirmative Action accomplishments and diversity issues will be published in the department's employee newsletters and on bulletin boards.
- Recruitment and Career Services Newsletter will include statistics and information regarding diversity.
- New Employee Orientation shall include a four-hour module on a respectful workplace.

- The department's policy statement on Affirmative Action and Respectful Workplace will be posted on employee bulletin boards, in public lobbies, employee lounges, and meeting rooms.
- Biennial training will be held with department managers and supervisory staff to inform them of the department's Affirmative Action Plan.
- Meetings will be held with union officials to inform them of the Affirmative Action Plan and to request their continued cooperation and feedback.
- Non-discrimination clauses shall remain in all collective bargaining agreements.
- Affirmative action goals and progress will be on the agenda of key departmental staff meetings dealing with personnel.
- Supervisors will conduct meetings with employees to discuss the Affirmative Action Plan.
- Copies of the Affirmative Action Plan distributed to DOC Human Resource Managers and available in each workplace and accessible to employees. Additional copies can be obtained by contacting the DOC Human Resources Division.

External Dissemination

The Affirmative Action Plan will be represented to outside sources through the following means:

- The department's employment advertisements shall state that the Department of Corrections is an "Equal Opportunity/Affirmative Action Employer in compliance with the ADA." Advertising shall occur first in local publications frequently read by individuals who fall within a protected class.
- Except in the case of a bona fide occupational qualification, employment advertising shall omit reference to sex, religion, age, and national origin, and shall clearly convey the commitment of the agency to equal opportunity/affirmative action.
- Recruiting sources, including minority, and women's organizations, and organizations for the people with disabilities; churches, synagogues and mosques, community agencies, and colleges shall be informed of the department's equal employment policy.
- Articles and pictures in Department of Corrections' newsletters, publications, and recruitment brochures will include or feature employees in protected classes at various levels and in non- traditional jobs.
- Contractors will be informed of the department's policy of equal opportunity and affirmative action. Contractors with the greatest diversity in their own organization will be chosen over contractors with equal qualifications, but with less diversity among their company employees.
- The Assistant Director of Administrative Services and/or designee(s) shall establish communication and maintain relationships with outside organizations representing the interests of protected classes and individuals in the field of equal employment opportunity.

- Copies of the Affirmative Action Plan will be provided to the Governor's Office of Affirmative Action.
- Copies of the department's Affirmative Action Plan will be distributed to DOC labor organizations.
- Copies of the department's Affirmative Action Plan will be provided to other state government public safety agencies and to other agencies upon written request.

Copies of the department's Respectful Workplace, Affirmative Action and Equal Employment Opportunity and related policies are available to the public and state agency personnel on the DOC website: http://www.oregon.gov/DOC/INSPEC/rules_policies/.

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