



State of Montana

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**Montana Department of Corrections  
Strategic Information Technology plan  
2014 - 2019**

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## 1. Executive Summary

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I am pleased to present the department's strategic IT plan. This plan adheres to the fundamental values, principles, and goals that guide our department operations with delivery of IT services that make the most efficient use of all available resources.

Nearly every state and department objective requires information to review progress, make adjustments, develop new innovative and efficient programs and review their efficacy. Critical information for decision making is stored, maintained, and analyzed by the staff in the Information Technology Division or otherwise made available whenever and wherever they need it to Department decision makers.

We continue to concentrate on modernization of our most critical technologies with the realization that not keeping pace with upgraded technology results in greater complexity for support and lower productivity for staff. Information systems are much like a car that we are dependent on. To keep it dependable and available we need to provide regular maintenance, replace parts when they fail, and replace it when it has reached the end of its useful life. Staff need trained in new emerging technologies in order to provide the proper care and maintenance required. If we do not take these actions to sustain the system we face reduced capabilities or complete failure of the system.

The Information Technology Division will strive to continue automating business process in alignment with Department goals. We are committed to utilizing our available staff and resources to focus on these goals. The Division looks forward to working with our business partners in implementing technologies to make their areas more efficient.

## 2. Environment, Success, and Capabilities

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### **Department mission:**

The Montana Department of Corrections enhances public safety, supports the victims of crime, promotes positive change in offender behavior, and reintegrates offenders into the community.

### **Department goals:**

- For offenders, to increase public safety through reduced recidivism.
- For victims, to increase victim safety and peace of mind by providing accurate, timely information and support.
- For the public, to inform and educate through effective communication.
- For department employees, to increase pride through increased professionalism.

### **Montana Reentry initiative**

The mission of the Montana Offender Re-entry Plan is to reduce crime and enhance public safety by implementing a seamless plan of services and supervision developed with each offender - delivered

through state and local collaboration - from the time of his or her entry to custody through transition, reintegration, and aftercare in the community.

The vision of the Montana Offender Re-entry Plan is that every offender released from a facility will have the tools needed to succeed in the community.

### **Reentry Goals**

- Promote public safety by reducing by 10 percentage points during the next three years the recidivism rate among inmates leaving prison while less than 25 years old or leaving prison at a medium or higher level of custody.
- Educate Montana employers on the benefits of hiring offenders, increase offenders' employability and improve offenders' ability to find and maintain employment.
- Create individualized offender reentry plans utilizing risk and needs assessment tools that include offender input, court requirements, treatment issues and case management by prison and community corrections staff that follows an inmate through all phases of correctional placement.
- Promote adequate housing opportunities that will increase offender success by reducing the number of offenders that return to custody.
- Form an effective public-private agency partnership that promotes appropriate, healthy relationships between offenders and their families through education and improved access to state, tribal and community resources
- Create an offender reentry plan through collaboration among communities, prisons, and community staffs.

### **Department facilities include:**

- 2 state prisons
- 2 regional prisons
- 1 private prison
- 1 infirmary for long term health care
- 2 juvenile correctional facilities
- 24 probation and parole offices
- 6 contracted Pre-Release centers
- 1 juvenile transition center
- 11 community corrections programs.

### **Department functions include, but are not limited to:**

- victim services
- reentry programming and services
- supervision and management of inmates in secure facilities
- supervision and management of offenders on probation and parole
- treatment programs
- clinical services
  - Medical
  - Dental
  - Mental health
- Education

- vocational education
  - heavy equipment repair
  - motor vehicle maintenance
  - welding
  - computer aided drafting
  - electronics and computer applications
- GED preparation and testing
- Elementary and High school educational services for youth
- Commissary management
- inmate trust accounts
- restitution collection and disbursement
- laundry services
- food services
- facilities management
  - repairs and maintenance
  - electrical
  - plumbing
- Agricultural operations
  - cattle ranching
  - dairy operations
  - sawmill and lumber processing
  - veterinary care
  - wild land firefighting
- Industry operations
  - Furniture
  - Signs
  - license plates;
  - Upholstery
  - Embroidery
  - silk screening
  - printing
  - dog training
  - Motor vehicle maintenance

### **Board of Pardons and Parole**

The Montana Board of Pardons and Parole is a 7 member, part-time citizen board appointed by the governor. The board is administratively attached to the Department, but operates as an autonomous agency with a 10 member staff.

### 3. IT Contributions and Strategies

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ITD's business strategy is to support the state's primary strategies, the state's IT strategies, the department's primary strategies, and responsibilities delegated by state IT under the Montana Information Technology Act. Not all IT projects will address all of these strategies, but all IT projects will support one or more of these strategies.

ITD's strategy to contribute to the department's success is reflected in the principles, goals and projects located in other sections of this document.

- The state's primary strategies
  - Jobs
  - Education
  - Effective and efficient government
  
- The state's IT strategies
  - Deliver network services that enable online education and remote access to state and local government services
  - Deliver mobile access to state services for citizens, businesses, and state employees
  - Leverage standards, technical innovations and systems from other government entities, share systems, components and functionality across MT agencies, MT political subdivisions, and other states
  - Utilize cloud, open source and existing systems; deploy custom built applications only when absolutely necessary
  - Implement an enterprise cyber security program
  
- The department's primary strategies
  - Victim's rights
  - Public safety
  - Design of successful reentry programs
  - Staff development
  - Safety and welfare of offenders
  - Public safety data integration and information sharing
  - Leveraging partnerships with state, local, federal, vendor, and business entities for standards, best practices, system sharing, and selective sourcing
  - Ability to collect appropriate data in our Offender Management Information System
  - Effective use of mobile technology
  - Implementation of electronic medical records

## 4. IT Principles

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IT principles govern the activities, decisions, operations, and service delivery of IT services and solutions in the Department. These principles provide guidelines to ensure that correct decisions are being made; decisions that will provide the greatest value to the citizens of the state.

Corrections has adopted the state IT principles and have expanded the list. The majority of these principles have their roots in the Montana Information Technology Act.

- Resources and funding will be allocated to the IT projects that contribute the greatest net value and benefit to stakeholders.
- Unwarranted duplication will be minimized by sharing data, IT infrastructure, systems, applications and IT services.
- Shared inter-state systems will be used to minimize IT expenditures, improve service delivery and accelerate service implementation.
- Information technology will be used to provide educational opportunities, create quality jobs, a favorable business climate, improve government, protect individual privacy and protect the privacy of IT information, and enable business continuity for state government.
- IT resources will be used in an organized, deliberative and cost-effective manner.
- Deliver sustainable IT systems.
- IT systems will provide delivery channels that allow citizens to determine when, where, and how they interact with state agencies.
- Mitigation of risks is a priority to protect individual privacy and the privacy of IT systems information.
- Systems will be centrally managed, to add value and reduce risk.
- We will discover and incorporate industry best practice and tools wherever possible.
- Standard system management products will be used wherever possible, with minimal modifications and in-house code.
- The end-user workstation environment will be standardized as much as possible.
- No changes will be made to production systems without the approval of the IT and user representatives responsible for the service.
- No sensitive data will reside on client workstations.

## 5. IT Governance

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There are two distinct components to IT governance covered in this section. The first component relates to activities that support the goals of the department and the IT staff who manage these activities. The second component relates to the decision making associated with IT decisions made within the department.

Department staff participates in a number of activities that ensure effective and efficient use of IT through national and state collaboration, education, and information sharing.

These activities include participation and representation with the following groups:

- IJIS Institute Corrections Committee
- BJA sponsored Corrections Information Sharing Advisory Board (Reentry Focus)
- National Consortium of Offender Management Systems
- Corrections Technology Association

- Corrections PREA Standards committee
- NIJ Corrections Advisory Panel
- Information Technology Managers Council
- E-Government Managers Group
- Network Managers Group
- Web Managers Group
- Information Security Managers Group
- Project Managers Group
- Criminal Justice Information Sharing

IT decision making in the department occurs on several levels depending on the magnitude of the request. All IT procurement decisions start with the department Information Technology Procurement Request (ITPR) process authorized via DOA SITSD delegated authority.

A department bureau chief or division administrator submits the ITPR to the IT service desk, which processes the request. The request is evaluated on a number of criteria including: relation to business need, state standards, cost, risk, supportability, and alternatives. The budget analyst for the division submitting the request will evaluate the cost of the request if the request meets the threshold for fiscal evaluation. If the request is outside of our agency's delegated approval authority an ITPR is submitted to SITSD upon approval of the department ITPR. All ITPRs are logged and submitted to DOA SITSD in accordance with our delegated approval authority.

The department does not have a formal governance structure for the approval of requests that require a significant use of resources. When this occurs the requests are discussed with department leadership. Depending on the requirements of the request this may include the entire leadership team, a subset of the leadership team, and/or the Director's office.

Requests for new or enhanced functionality to our adult and youth offender management systems are submitted to the Application Change Management Review Committee (ACMRC). This committee reviews the request in relation to changes relating to the applications, database, system configuration, interfaces, servers, hardware, and software.

The division has the need to strengthen the selection and prioritization of approved ACMRC requests for implementation and has started the process of formalizing a department-wide governance group for this purpose.

The department has partnered with federal and state criminal justice agencies in an effort to improve information sharing capabilities. We believe that improvements in interoperability between criminal justice and public safety agencies are key to the success of future technology initiatives.

## **6. IT Financial Management**

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The department funds most IT expenditures from general fund appropriations. Federal grant funds for IT projects are received at various times.

A majority of the IT costs are for services provided by the Department of Administration. State IT services and payment are managed by the IT Division in conjunction with the department budget bureau from a single responsibility center.

IT costs for ongoing maintenance and licensing of COTS and cloud based information systems used in the department are also managed by the IT Division, budget bureau, and business owner from a single cost center.

IT costs for replacement hardware are managed by the IT Division and budget bureau based upon available funding and age of the systems. Each Division is responsible for the replacement of any laptops and printers that they own.

IT costs for projects funded by the legislature are managed by a combination of the business owner, budget bureau, and IT Division as required.

The IT Division assumed responsibility for management of the Department's radio systems in September of 2013. There is currently an operational budget of \$25,000 for this program additional funds for ongoing maintenance of this program will be requested.

## 7. IT Services and Processes

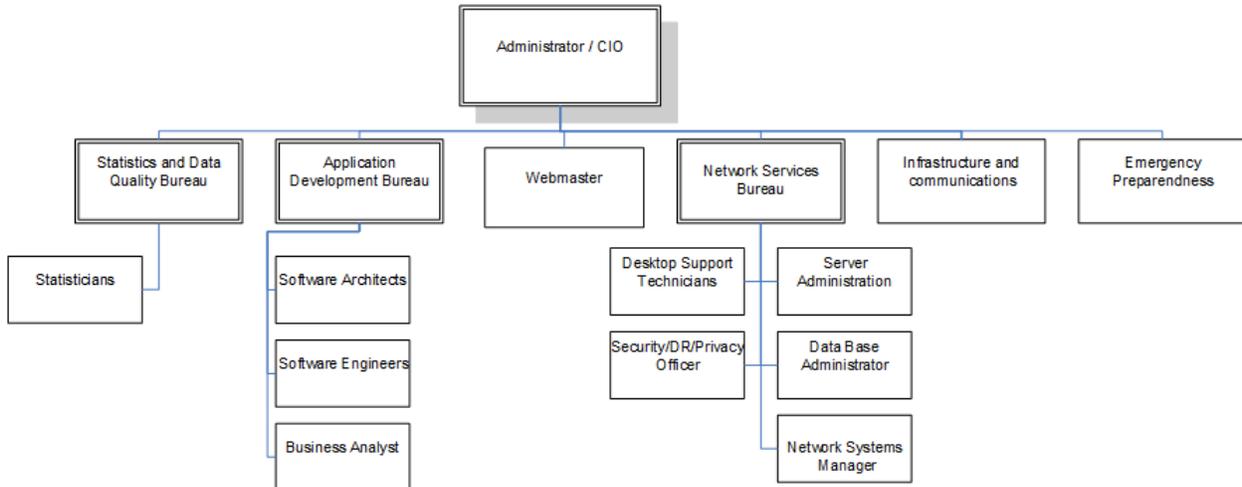
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The scope of ITDs services and processes is similar to peer agencies. The main services provided are:

- Desktop support and maintenance
- Statistical analysis and reporting
- Data quality and warehouse management
- Application development and management
- Web site development and management
- Information Security, user security, application security
- Coordination of communication services with business owners, ITD, DOA, and 3<sup>rd</sup> party providers
  - Network connections
  - Phones and phone systems
  - Video services
  - Unified communications
  - Radio
  - Smart phones
  - Inmate phones
- Emergency preparedness planning
- Continuity of operations planning
- Interfaces into multiple systems for information sharing
- Computer networks for offender work programs
- Computer networks for offender education programs
- Server management and support
- Management and support of Management information systems

## 8. IT Infrastructure, Staffing and Resources

ITD has 24.5 FTE organized on a functional basis and has no contracted IT support staff supporting approximately 1350 FTE as well as inmate work and educational networks. Staff support all department locations with staff located in Helena, Deer Lodge, and Billings.



The department IT to staff ratio at the end of FY2012 was 1.84% which is less than the average state agency IT to staff ratio of 5.24% for that same time period. The current staffing limits the ability of IT to provide a timely level of service to all program areas. It also necessitates utilizing staff from one functional area to backup staff in another functional area weakening internal controls.

The department utilizes enterprise services whenever possible and when it must procure resources from external sources the preference is to use Software as a Service (SaaS), or cloud based services when possible.

## 9. Risks and Issues

Primary Risk	Probability	Impact	Mitigation Strategy
Loss of funding	Medium	Medium	Items needing funding will need to be evaluated and reprioritized based upon the funds and resources available.
Security breach	Medium	High	Our agency has an active security program including, but not limited to, staff training and awareness, data encryption, and security policies.
Difficulty of hiring qualified technical staff	High	High	Increase pay for positions most affected by this issue when possible.

Change to business objectives and/or priorities	Medium	Medium	Work with department programs to determine what areas are impacted by changes and reprioritize projects as required.
Staffing level remains the same	High	Medium	Request needed positions, continually examine processes to look for efficiencies that can be implemented, and utilize existing resources in a manner that will allow us to provide the best service possible.

## 10. IT Goals and Objectives

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- Utilize the appropriate project management methodology for all information system enhancement activities lasting over 100 hours.
  - All enhancement requests to the Department’s information systems (Offender Management Information System (OMIS) and Youth Management System (YMS) estimated to take more than 100 hours to complete will be managed using an appropriate project management methodology.
  - Every significant enhancement will have a signed charter from the project sponsor, a project scope document, and a communication plan.
  - Feature documentation will be produced and updated throughout the cycle and conduct development status sessions.
  
- Continually enforce change management practices that govern the methods in which the Department IT staff conduct changes on critical information systems. These practices are designed to:
  - Maintain the integrity of the production environment.
  - Reduce or eliminate disruptions to the availability of production systems or services due to changes.
  - Maintain the proper balance between the need for change and the potential detrimental impact of changes.
  - Ensure appropriate management review to understand risks associated with changes, and to mitigate these risks wherever possible.
  - Provide a process that supports the efficient and prompt handling of changes and provides accurate and timely information about those changes.
  
- Enhance the quality of data contained within the Department’s information systems (Offender Management Information System (OMIS) and Youth Management System (YMS)).
  - Reduce the number of data errors in our databases (including missing or incomplete data) by running existing and creating new programming procedures designed to catch errors on a regular basis and when data quality issues are identified.

- Data capture applications will be engineered to integrate more closely to the process they enhance.
  - Within 30 days of discovering a data error that can be reduced by modifying the Department's information system, utilize the Department's change request process to recommend enhancements to OMIS/YMS to reduce the likelihood of repeat errors.
  - Within five days of discovering a user generated data error, contact will be made with the user. Subsequent meetings will be held to determine the cause, research solutions, and counsel staff, when necessary, to correct the error.
- Implement a strategy that utilizes technology to give offenders direct access to information critical to reentry efforts and supports victims of crime by 2016.
    - IT staff will provide services to offenders that provide access to important case plan information, including but not limited to educational, employment, and criminal history domains.
    - Engage other state agencies by providing easy access to offender case plans and reported needs as well as other related information.
    - Provide information regarding the conditions of supervision to offenders including treatment requirements, restitution and community service obligations.
- Where possible, automate business practices to make the practices more efficient and cost effective
    - Evaluate current business practices and make recommendations where applicable to automate process.
    - Continue efforts to capture and define business process architecture for automation efforts.
- Implement working groups to collaborate and coordinate the development of requirements, standards, policy, procedures, and strategy for all department cross divisional technology initiatives.
    - Establish an offender technology working group to evaluate technology requirements in the areas of education, vocational education, work programs, and reentry.
    - Establish a mobility working group to establish the requirements, policies, and procedures for expanded use mobile technology within the department.

## 11. IT Projects

Currently funded IT projects are listed below.

Item	Description
Project name	MDIU Door control upgrade
Project/program purpose and objectives	Upgrade the door control system for the Martz Diagnostic Intake Unit (MDIU) at Montana State Prison. This upgrade will update the system that operates the video cameras, speakers, internal security doors, and external security doors and gates for MDIU.
Estimated start date	April 2014
Estimated cost	\$48,632
Funding source - 1	General fund one time only appropriation.

Item	Description
Project name	Water Telemetry system replacement
Project/program purpose and objectives	All of the water used at MSP for cooking, drinking, grounds maintenance, showers, and fire prevention is provided from a central storage tank that is supplied by 3 wells on the property. This system monitors the water level in the main tank and when more water is needed a radio signal is sent to one or all of the wells and they begin to pump and send the necessary water. The system continually monitors the flow of water throughout the facility, the water level in the storage tank, the water level in each of the wells, and makes automatic adjustments based upon the water demands throughout the day and night. In the event of a fire the system detects that water used in the suppression of that fire is flowing begins pumping water to keep the system supplied.
Estimated start date	Fall 2014
Estimated cost	\$50,000
Funding source - 1	General fund one time only appropriation.

Item	Description
Project name	Inmate video visitation
Project/program purpose and objectives	The project will result in the issuance of an RFP to provide inmate video visitation at our secure facilities. The intent of video visitation is not to eliminate in-person visitation, but rather to provide more than one way for families and friends to remain in contact with incarcerated offenders.
Estimated start date	RFP release summer 2014

Estimated cost	Cost neutral project.
Funding source - 1	Self-funding

<b>Item</b>	<b>Description</b>
Project name	Adult Educational Assessment Software procurement
Project/program purpose and objectives	Procurement of an assessment tool that includes an Adult Basic Education (ABE) component to be used to evaluate offenders in the areas of reading, writing, and math with a focus on the requirements needed to successfully pass the new High School Equivalency Degree test that is replacing the GED test. This tool would pre-test the offender, place them at the proper curriculum level, and provide additional testing as the offender progresses in their curriculum, including preparation for testing.
Estimated start date	May 2014
Estimated cost	\$20,000
Funding source - 1	General fund one time only appropriation.

<b>Item</b>	<b>Description</b>
Project name	Inmate vocational training
Project/program purpose and objectives	Installation of equipment to assist in the development of digital literacy skills for youth and adult offenders in the areas of general and vocational education.  The use of computer technology is a requirement of many jobs today and dictates the need for employees to have basic computer skills, and students at Riverside Youth Correctional Facility, Pine Hills Youth Correctional Facility along with offenders in the education programs at Montana State Prison and Montana Women's prison require a learning environment that includes computer training.
Estimated start date	Currently in progress
Estimated cost	\$159,618
Funding source - 1	General fund one time only appropriation.

IT projects that are not currently funded are listed below. The department will seek funding for these projects through the Executive planning process.

<b>Item</b>	<b>Description</b>
Project name	Electronic Health Records
Project/program purpose and objectives	<p>Department of Correction’s facilities currently utilize paper-based medical charts. Purchase of an electronic health record (EHR) system is the first step toward utilization and implementation of an EHR system. EHR is the automation of medical records within a facility. This automation would greatly enhance the medical services provided at the sites by:</p> <ul style="list-style-type: none"> <li>• Improving the quality of patient care;</li> <li>• Improving accuracy of diagnosis;</li> <li>• Improving care coordination;</li> <li>• Increasing efficiencies and cost savings.</li> </ul> <p>Additionally, all areas of health care can work together more efficiently; medical, dental and mental health care will be able to work in a team approach rather than as individual work groups. The medical records department will greatly decrease the amount of time currently used on hand-copying documents for litigation, grievances, and transfer of patients. Staff time will be greatly reduced by reducing the amount of time transferring paper-based charts from one department to another. In addition, EHR software allows for easily accessible statistical data, and tracking certain aspects of a patient’s health status—e.g., graphing of a diabetic’s Hemoglobin A1c (HbA1c) values.</p> <p>We are seeing a Software as a Service (SaaS) solution rather than a solution that would require a capital outlay in hardware and software systems.</p>
Estimated start date	Dependent on funding
Estimated cost	\$368,000 first biennium and additional annual costs of \$155,712 for subsequent years.
Funding source - 1	General fund EPP request

<b>Item</b>	<b>Description</b>
Project name	Dental Panograph Machine
Project/program purpose and objectives	<p>Montana State Prison’s current panograph film processor is broken and would be extremely expensive to repair. In addition, if repaired, the image quality of the current panograph is below acceptable quality standards. The radiographs are very important for detection of oral pathology of the upper and lower jaw, including tumors and malignancies; preparation for dental surgical procedures, especially for detection of nerves close to the tooth roots and maxillary sinuses; for follow-up to maxilla-facial</p>

	surgeries; and for detection of maxilla-facial trauma. The new panograph machine could produce significantly better images and can be transmitted digitally. The new panograph would allow for MSP to meet the treatment recommendations and standard of care set forth by the National Commission on Correctional Health Care (NCCHC).
Estimated start date	Dependent on funding
Estimated cost	\$25,000 OTO biennial cost
Funding source - 1	General fund EPP request

<b>Item</b>	<b>Description</b>
Project name	Tablet computers for field staff
Project/program purpose and objectives	This request will address mobility issues for a select number of employees. For example the probation and parole officers are often times in the field making contact with offenders. The ability to access the Offender Management Information System (OMIS) instantaneously will add safety and efficiency to these contacts. It will also give officers the ability to notate any situation so that the next officer the ability to access these notes and determine if the offender is unstable and should not be approached without law enforcement assistance. Support staff would be able to access critical information outside of the office.
Estimated start date	Dependent on funding
Estimated cost	\$137,303 OTO biennial cost
Funding source - 1	General fund EPP request

<b>Item</b>	<b>Description</b>
Project name	Jasper Server Professional
Project/program purpose and objectives	The purpose of this procurement is to enhance the distribution and accessibility of mission critical information with Department staff and external state agencies. This software will allow us to create a Business Intelligence portal. This portal will allow non-technical staff to use existing data to create, edit, and distribute ad hoc reports and charts that will allow them to get the data they need, when they need it. They will be able to create distribution schedules that will automatically transmit information in report format to local law enforcement and other strategic partners.
Estimated start date	Dependent on funding

Estimated cost	\$25,000 annual cost for licensing
Funding source - 1	General fund EPP request

Item	Description
Project name	Security systems replacement and assessments
Project/program purpose and objectives	<p>The department has a wide variety of security systems that are at the end of life and that need to be replaced, that need to be updated, and new installations.</p> <p>These systems include:</p> <p>Key control systems utilized for key control in secure facilities. Staff enter their identification to receive the keys they are authorized to use. At the end of the shift the keys are returned. All key checkout and return is logged by the system.</p> <p>Security cameras replacements, assessments, and new installations. The department has multiple standalone security camera installations, along with some network connected camera systems. These cameras are in place for the purposes of security and for compliance with the Prison Rape Elimination Act (PREA). The older legacy systems need to be updated with more modern equipment that is also capable of being viewed from multiple locations. This update will include a complete assessment of needs at all of our secure facilities to plan the most efficient use of the technology.</p> <p>Door control updates and assessments. We 4 door control systems at Montana State Prison that have reached the end of their useful life and need to be replaced. These door control systems operate video cameras, internal and external security doors, gates, and speakers from a central security console in each area. The oldest of these 4 systems was installed in 1984, it is difficult to obtain parts for repair, and currently parts from older salvaged systems are being used for repair.</p> <p>Security assessment. This request includes funding for a comprehensive technology security assessment for our secure facilities and probation and parole offices. It is essential for offender and staff safety that we have the necessary security technology installed. An assessment would include a detailed assessment of all camera equipment necessary to provide coverage for security, PREA, and safety needs at all of our secure facilities and probation and parole offices. The assessment will also include a review of all technology needs related to door control systems, fire alarms, and perimeter alerts.</p>
Estimated start date	Dependent on funding

Estimated cost	\$778,850 OTO biennial cost.
Funding source - 1	General fund EPP request

Item	Description
Project name	MSP Scanners
Project/program purpose and objectives	The purpose for these scanners will be to allow direct upload into the Offender Management Information System (OMIS) an electronic record of the grievance form. At this time there have been numerous issues with regional facilities misplacing the grievance files. This would ensure at least an electronic copy could be recovered for legal purposes if needed. A work order for the OMIS function has as already been submitted.
Estimated start date	Dependent on funding
Estimated cost	\$8,000 OTO biennial cost.
Funding source - 1	General fund EPP request

Item	Description
Project name	Warehouse delivery software
Project/program purpose and objectives	The purpose for this delivery software is to make the tracking of and picking up and delivering a package much easier to track. Currently when warehouse staff pick-up a package, they must hand write the vendors name, shipping #'s and destination of delivery. The warehouse staff pick-up and deliver over 3200 packages a month and the current manual process is no longer an efficient and effective way to manage this process.
Estimated start date	Dependent on funding
Estimated cost	\$30,000 OTO biennial cost, \$1,000 annual maintenance costs following years.
Funding source - 1	General fund EPP request

## 12. Security and Business Continuity Programs

The Department of Corrections has a responsibility to protect and secure the information it receives, generates, and stores. Accordingly, the Information Technology Division (ITD) is continuing to work on

the development and implementation of a National Institutes of Standards and Technology (NIST) based IT Security Program. The security officer is in the process of auditing systems, reviewing and updating processes, and developing security policies. We anticipate that it will take 12 to 18 months to fully audit, review, and update policies and procedures. The components of the Security Program and the status of implementing the components are described below:

**ENTERPRISE SECURITY PLAN/PROGRAM:** ITD is continuing to design, improve and implement an Enterprise Security Plan that presents a plan for securing all COR Systems. All information systems owned and operated by the State of Montana have some level of sensitivity and require the appropriate level of protection. The Enterprise Security Plan will consist of all policies and procedures necessary for securing information and will include training requirements and security awareness for users and a risk assessment plan. It will provide an overview of the security requirements for the systems and describe the controls planned for meeting those requirements. This plan also defines the responsibilities and expected behavior of all individuals who access COR systems.

**SECURITY AWARENESS AND TRAINING PLAN:** The Department, along with all other state departments, has implemented an online training in information and security awareness that is mandatory for all users that have access to Department information systems. This training is required on an annual basis and progress is being tracked by the Professional Development Bureau. Additional alerts and training messages are distributed on an as-needed basis to address current events/incidents.

**POLICIES AND PROCEDURES:** The policies and procedures required for the Enterprise Security Plan are being developed and approved with input from all pertinent areas. Both the Breach Notification and the Personal Protected Information/Social Security Number Protection Procedure are currently in the approval process. The following policies or procedures are currently being developed:

- Information Security Incident Policy
- Breach Notification Procedure
- Personal Protected Information/Social Security Number Protection Procedure

Updates to existing policies, and new policies drafted, will include alignment with NIST publications and State information technology policies, standards, procedures, and guidelines published by the Department of Administration, State Information Technology Services Division and found at <http://itsd.mt.gov/policy/itpolicy.asp>.

**RISK ASSESSMENT PLAN:** The risk assessment plan is being revised in accordance with the recently created State policy “Information Technology Security Risk Management” that complies with NIST SP 800-39 “Managing Information Security Risk” and FIPS SP 199 and 200. Once it is completed and approved, all COR systems will be evaluated according to the plan, starting with those deemed the most high value systems. The risk assessment plan is based on the NIST SP 800-30, “Risk Management Guide for Information Technology Systems”. Risk assessment and mitigation information are being shared with the Continuity of Operations (COOP) Capability Program.

**Continuity of Operations (COOP) Capability Program Description:** The Department of Corrections joined with the Department of Administration *Continuity Services* for the development of our agency’s Continuity of Operations Capabilities, which will provide the plans and structure to facilitate response and recovery capabilities to ensure the continued performance of the State Essential Functions of Government. This program involves two blocks of focus; the first is to complete the Business Continuity Plans (BCP) involving two phases, the second block works on the specific business processes or activity plans such as Emergency Action Plans (EAP), Information System Contingency Plan (ISCP), Communications Plans, Incident Management Plans, and more.

The Department of Corrections Central Office is currently developing BCP plans spread across various divisions which include; Director’s office, Information Technology, Youth Services, Clinical Services, Adult Community Corrections, and Administrative and Financial Services. This planning also includes various regional offices. The planning effort involves approximately 20 planners from the areas listed above.

Integration of these three programs is critical to the confidentiality, integrity, and availability of information, which is associated with each program.

**Future COOP Program Plans**

The Department of Corrections Emergency Preparedness Unit will introduce the Department of Administration Continuity Services BCP initiative to all DOC facilities, including secure care in 2014/2015. The Department Emergency Operations Plan requires that each facility have COOP plans in place and the Emergency Preparedness planner is actively supporting each facility’s efforts to develop COOP plans.

**13. Planned IT Expenditures**

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	<b>FY2014</b>	<b>FY2015</b>	<b>FY2016</b>	<b>FY2017</b>	<b>FY2018</b>	<b>FY2019</b>
IT personal services	\$1,777,208	\$1,773,385	\$1,826,586	\$1,826,586	\$1,826,586	\$1,826,586
IT operating expenses	\$ 330,174	\$ 330,174	\$ 330,174	\$ 330,174	\$ 330,174	\$ 330,174
IT initiatives/OTO	\$340,056	\$ 73,056				
SITSD Fixed costs	\$1,808,159	\$1,808,159	\$1,900,000	\$1,900,000	\$1,900,000	\$1,900,000
<b>Total</b>	<b>\$4,255,597</b>	<b>\$3,988,597</b>	<b>\$4,056,760</b>	<b>\$4,056,760</b>	<b>\$4,056,760</b>	<b>\$4,056,760</b>

## 14. Administrative Information

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IT strategy and plan owners:   Name: Mike Batista, Director  
  Phone: 406-444-4913  
  Email: [MBatista@mt.gov](mailto:MBatista@mt.gov)

  Name: Loraine Wodnik, Deputy Director  
  Phone: 406-444-0406  
  Email: [lwodnik@mt.gov](mailto:lwodnik@mt.gov)

IT contact:                           Name: John Daugherty, CIO  
  Phone: 406-444-4469  
  Email: [jdaugherty@mt.gov](mailto:jdaugherty@mt.gov)

Alternate IT contact:               Name: Jon Straughn, Network Services Bureau Chief  
  Phone: 406-444-1706  
  Email: [jstraughn@mt.gov](mailto:jstraughn@mt.gov)

Information Security Manager:   Name: Kimberly McIntyre, Security Officer  
  Phone: 406-444-0305  
  Email: [kmcintyre@mt.gov](mailto:kmcintyre@mt.gov)

## 14. Plan updates

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April 2014 – Plan submission per MCA 2-17-527(3)  
June 2014 – updated projects section with funding requests for future projects.