

INFORMATION SYSTEMS AUDIT
Offender Management Information System
Department of Corrections

AUGUST 2014

13DP-04

REPORT SUMMARY

The Department of Corrections provides administration, programs, and services for about 13,000 adult male and female offenders in various facilities, programs, and community settings. The Department of Corrections could improve supervision and management of adult offenders by strengthening its recordkeeping methods and the controls surrounding its Offender Management Information System.

Context

The Department of Corrections (department) is responsible for supervision and management of about 13,000 adult offenders. The department maintains two types of offender records, including hardcopy documentation and an electronic information system. This audit reviewed data integrity within the department’s electronic information system called the Offender Management Information System (OMIS).

A magnitude of information and data is compiled over the course of an offender’s supervision. Offender data is created and maintained by numerous individuals responsible for various aspects of supervision and management. This data is used by a number of entities to make decisions regarding the type, location, and length of an offender’s incarceration and/or supervision. As a result, it is important for the data to be accurate, complete, and timely, as well as being secured.

and minimizing the use of hardcopy documentation. In conjunction, the audit recommends the department establish policy to have the creator of documentation enter the data into OMIS, as well as using OMIS to calculate the sentence terms for offenders. A system can be more effective in controlling access to and increasing consistency of offender data.

In addition, the department should provide users with training and reference manuals to assist with OMIS operations. The department has established a process for assigning users access to OMIS, but this process could be improved by further defining and limiting access rights, and creating a new process for reassignment of access. Finally, the department needs to formalize its backup and recovery procedures to ensure offender data is available to users.

Results

Our audit noted that, while the department has established controls within OMIS, strengthening those controls could help enhance data integrity. The department’s use of two methods of recordkeeping impacts data integrity, so the audit recommends establishing OMIS as the official record

Recommendation Concurrence	
Concur	6
Partially Concur	0
Do Not Concur	0
Source: Agency audit response included in final report.	