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POLICY NUMBER: 5.2		
CHAPTER 5: INFORMATION TECHNOLOGY SYSTEMS		
	STATE of MAINE DEPARTMENT OF CORRECTIONS Approved by Commissioner:  <hr/>	PROFESSIONAL STANDARDS: See Section VII
	EFFECTIVE DATE: November 17, 2003	LATEST REVISION: October 4, 2019

I. AUTHORITY

The Commissioner of Corrections adopts this policy pursuant to the authority contained in 34-A M.R.S.A. Section 1403.

II. APPLICABILITY

Entire Maine Department of Corrections

III. POLICY

It is the policy of the Department of Corrections to provide a computerized database to serve as a master index identifying all clients committed or assigned to the Department. The Department has access to and uses an organized system of information storage, retrieval and review that is part of an overall research and decision-making capacity relating both to client and operational needs. [\[4-4100 & 5-1F-4100 and 4-JCF-6F-04\]](#)

IV. DEFINITIONS

1. CORIS (Corrections Information System) - The computer-based Maine Department of Corrections offender information management system.
2. CORIS Site Coordinator – an employee assigned to provide coordination and assistance for CORIS users at a specific Department facility, region or Central Office.

V. CONTENTS

- Procedure A: Management of Corrections Offender Information Management System (CORIS)
- Procedure B: CORIS Functionality
- Procedure C: CORIS Security

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VI. ATTACHMENTS

Attachment A: [CORIS Statement of Compliance](#)

VII. PROCEDURES

Procedure A: **Management of Corrections Offender Information Management System (CORIS)** [\[4-4100, 5-1F-4100, 4-JCF-6F-04 & ACRS 7D-05\]](#)

1. The Department's Information Technology Division shall maintain a centralized database (Corrections Information System - CORIS), which provides for information on all clients under the jurisdiction or custody of the Department, to include adult and juvenile facilities, and adult and juvenile Community Corrections. CORIS provides for the uniform collection, recording, organization, and processing of data developed for information purposes. [\[4-4103 & 5-1F-4103\]](#)
2. The Department's Manager of Correctional Information Technology (IT) Operations, or designee, is responsible for the overall management of CORIS, which shall include, but is not limited to:
 - a. ensure that users who are authorized to have access to CORIS are trained in and responsive to the system's security requirements; [\[4-4101 & 5-1F-4101\]](#)
 - b. conduct audits of the data to ensure integrity, consistency, timeliness, and quality;
 - c. provide training for Site Coordinators and new CORIS users who do not have Site Coordinators assigned to their area;
 - d. serve as or designate a Site Coordinator for Central Office staff;
 - e. evaluate the effectiveness of CORIS on an annual basis as it relates to overall facility management and provide a report to the Deputy Commissioner, or designee; and [\[4-4106, 5-1F-4100 and 4-JCF-6F-05\]](#)
 - f. ensure this policy is reviewed on an annual basis.
3. Chief Administrative Officers and Regional Correctional Administrators, or their designees, and Central Office supervisors, as applicable, are responsible for, but not limited to:
 - a. ensure staff enter information into appropriate data elements contained in CORIS; and
 - b. may provide recommendations regarding CORIS's usefulness to the Department's Manager of Correctional Information Technology (IT) Operations. [\[4-4100, 5-1F-4100 and 4-JCF-6F-04\]](#)
4. Each facility Chief Administrative Officers and each Regional Correctional Administrator shall designate an employee as a CORIS Site Coordinator who shall be responsible for, but not limited to:

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- a. notify the Office of Information Technology (OIT) Customer Service Center through email regarding:
 - 1) employees requiring access to specific areas of CORIS; and
 - 2) modification or deletion of user access rights;
 - b. provide the necessary training to staff in a timely, consistent manner;
 - c. make recommendations to Department's Manager of Correctional Operations (IT), or designee, as to training needs; and
 - d. assist staff in consistent system data entry.
5. Any need for CORIS enhancements shall be detailed and submitted as set forth in Department Policy 5.1, Information Technology Planning. If approved, CORIS enhancements shall be developed into a scope of work with the intent to "contract out" incorporation into CORIS as needs dictate and resources permit.

Procedure B: CORIS Functionality

- 1. A computerized record shall be created and maintained for each client committed to the Department and maintained through discharge or death as set forth in the Department's records retention schedule.
- 2. The electronic record maintained in CORIS is the primary official record on each client. Each CORIS record shall include, but not be limited to:
 - a. documented legal authority to accept the client;
 - b. sentence information;
 - c. name, address, SSN, date of birth, sex, race or ethnic origin, religion;
 - d. a dated photograph of the client, which should be updated if there is a significant change in the client's appearance or for other reasons such as, the prisoner's eyes were closed, no backdrop with height chart, blurry photos, etc.;
 - e. emergency notification information, which should be reviewed in CORIS and updated, if necessary;
 - f. criminal history; and
 - g. social history/family environmental information.
- 3. In Department facilities, the following information shall be maintained and updated in the client's CORIS record by designated staff
 - a. initial intake information;
 - b. case plans
 - c. current property inventory;
 - d. educational, vocational and treatment programs

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- e. employment history;
 - f. classification assessments;
 - g. security level;
 - h. housing assignments;
 - i. good time calculations;
 - j. referrals to other agencies;
 - k. evaluations and progress reports, as applicable;
 - l. disciplinary record;
 - m. visitation approvals and restrictions; and
 - n. final discharge report
4. CORIS's integration for all areas of the Department shall allow an updated case record for any client transferred from one facility to another to be instantaneous, thereby, providing continuity of programming for clients.
 5. Collection and analyzing of data shall be conducted on an ongoing basis to determine the internal order of the facility. [\[4-4105 & 5-1F-4105 and 4-JCF-6F-05\]](#)
 6. Through CORIS's Incident and Discipline areas, the Department can measure the degree of internal facility order such as: escape rate; frequency and number of assaults on staff; group disturbances by clients; assaults and homicides by clients; weapons and/or illegal drugs found; and major and minor disciplinary actions, etc. In addition, data on clients can permit categorization by age, gender, race, offense, and prior record.

Procedure C: CORIS Security [\[4-4101 & 5-1F-4100-1\]](#)

1. Client record information contained in CORIS shall not be released or disclosed any differently from other types of record information.
2. Prior to initial access to CORIS, any staff authorized access to CORIS shall be required to read and sign the CORIS Statement of Compliance (Attachment A), which identifies understanding and acknowledgment of policy and procedures for using CORIS or any Departmental client related information.
3. Depending on the staff's job responsibilities, he or she shall have access to various areas of the system in either a read-only or full insert and maintain capability. The employee shall not have access to any portion of CORIS that represents areas outside of his or her assigned job functions.
4. Each CORIS user shall be required to use a strong password for access to CORIS, which requires the following:
 - a. Minimum Password Length: 8

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- b. Maximum Password Length: 16
 - c. Must not be the same as your user name.
 - d. Must not be a dictionary word or proper name.
 - e. Must not be the same as any of your 10 previous passwords
 - f. Password Expires After: 90 days
5. All areas of CORIS that contain information deemed to be of a “critical” or “sensitive” nature shall have full auditing in place. In addition, areas such as Victim Notification, Informal Adjustments, and Probation Notes shall be accessible to specified Job Function(s) only.

VIII. PROFESSIONAL STANDARDS

ACA:

- 4-4100** The institution contributes to, has access to and uses an organized system of information storage, retrieval, and review. The information system is part of an overall research and decision-making capacity relating to both inmate and operational needs.
- 5-1F-4100** The institution contributes to, has access to and uses an organized system of information storage, retrieval, and review. The information system is part of an overall research and decision-making capacity relating to both inmate and operational needs and its effectiveness as it relates to overall institutional management is evaluated in writing at least annually.
- 5-1F-4100-1** Written data security policy, procedure, and practice govern the collection, storage, retrieval, access, use, and transmission of sensitive or confidential data contained in paper, physical, or media format.
- 4-4101** All staff who have direct access to information in the information system are trained in and responsive to the system's security requirements.
- 5-1F-4101** All staff who have direct access to the information in the information system have authorized access associated with their job duties and are trained in and responsive to the system's security requirements.
- 4-4103**
5-1F-4103 The institution maintains a single master index identifying all inmates who are assigned to the institution.
- 4-4105**
5-1F-4105 The institution's criteria for evaluating overall institutional performance are specific and defined in writing.
- 4-4106** The effectiveness of the information system as it relates to overall institutional management is evaluated in writing at least annually
- 4-ACRS-7D-05** Procedures govern access to and use of an organized system of information, analysis, collection, storage, retrieval, reporting, and review.
- 4-JCF-6F-04** The facility contributes to, has access to, and uses an organized system of information storage, retrieval, and review. The information system is part of an overall research and decision making process relating to both juvenile and operational needs.

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4-JCF-6F-05 **The effectiveness of the information system as it relates to overall facility management is evaluated in writing annually.**

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