

STATE OF LOUISIANA LEGISLATIVE AUDITOR

Department of Public Safety and Corrections,
Corrections Services
Analysis of Program Authority
and Performance Data

November 1997



Performance Audit Division

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Legislative Auditor

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**Department of Public Safety and Corrections,
Corrections Services:
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and Performance Data**

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**Performance Audit
Office of Legislative Auditor
State of Louisiana**

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November 18, 1987

The Honorable Randy L. Ewing,
President of the Senate
The Honorable H. B. "Hank" Downs, Jr.,
Speaker of the House of Representatives

Dear Senator Ewing and Representative Downs:

This report gives the results of our performance audit of the Department of Public Safety and Corrections, Corrections Services and its related boards and commission. The audit was conducted under provisions of Title 24 of the Louisiana Revised Statutes of 1950, as amended. In addition, this audit is one step toward meeting requirements of Act 1108 of 1985.

The report represents our findings, conclusions, and recommendations. We have also identified matters for legislative consideration. Appendix D contains the Department of Corrections' response. Appendix E contains the response of the Division of Administration, Office of Planning and Budget. I trust that this report will be of use to you in your legislative decision-making process.

Sincerely,

Daniel G. Kye, CPA, CFE
Legislative Auditor

DGK:al



Office of Legislative Auditor

Executive Summary

Performance Audit Department of Corrections: Analysis of Program Authority and Performance Data

The Department of Public Safety and Corrections, Corrections Services (DOC) is responsible for the administration, management, and operation of all state institutions for the care, custody, and correction of persons sentenced for felonies or misdemeanors. The department was appropriated \$433,199,483 for the 1996-97 fiscal year, which included funding for 7,566 authorized positions. We found that:

- All missions and goals reported in the 1996-97 executive budget are generally consistent with legislative intent and legal authority.
- The program structure presented in the 1996-97 executive budget for adult correctional facilities differs from the program structure for juvenile facilities.
- Several areas require additional study related to the potential for overlap and duplication within the department. If overlap or duplication exists, the department may be using more resources than necessary to provide and coordinate certain services. We did not identify any programs, functions, or activities that appear to be unneeded.
- Overall, the performance data reported in the fiscal year 1996-97 executive budget do not communicate complete information about the performance of DOC's programs. This is because the performance data, as a whole, lack critical elements. The department could improve the performance data by providing missions and goals for programs where needed and developing measurable and timebound objectives. The department has, however, developed some missions that meet all criteria against which we compared them, and it has developed a large number of outcome indicators.
- Finally, the 1996-97 executive budget does not contain comprehensive performance data for all major DOC programs and activities. The program structure may have an effect on whether or not performance data are reported in the budget for all programs and activities.

Audit Initiation and Objectives

The Office of the Legislative Auditor conducted this performance audit of the executive budget program information for the Department of Public Safety and Corrections, Correctional Services (hereafter referred to as the Department of Corrections or DOC) in response to certain requirements of Act 1190 of 1995. This act amended the state audit law, Louisiana Revised Statute (R.S.) 24:511 et seq. and created the Louisiana Performance Audit Program. Although the legislative auditor has been conducting performance audits since 1988, Act 1190 formalizes an overall performance audit program for the state. In addition to finding solutions to present fiscal problems, the legislature created the Performance Audit Program to identify and plan for the state's long-term needs.

This report is one of a series of reports on all major executive branch departments addressing the following objectives:

- Determine if the department's missions and goals as reported in the fiscal year 1996-97 executive budget are consistent with legislative intent and legal authority
- Determine if the department's missions, goals, objectives, and performance indicators as reported in the fiscal year 1996-97 executive budget are consistent with established criteria
- Determine if the department's objectives and performance indicators as reported in the fiscal year 1996-97 executive budget collectively provide useful information for decision-making purposes
- Identify any programs, functions, and activities within the department that appear to be overlapping, duplicative, or unneeded

Background

DOC is responsible for the administration, management, and operation of all state institutions for the care, custody, and correction of persons sentenced for felonies or misdemeanors. The department was appropriated \$455,159,453 for the 1996-97 fiscal year. This amount included funding for 7,066 authorized positions.

An additional \$28,045,042 was appropriated for the Prison Enterprises Program.

The department is responsible for 15 state-owned adult correctional institutions. Two of these facilities are operated under contractual agreements with private management corporations. Three state-owned juvenile secure correctional facilities provide rehabilitative services as well as incarceration. A fourth juvenile facility, the Tallulah Correctional Center for Youth, is privately owned and operated.

Related Boards and Commission

We identified three boards and one commission that are related to the department. They are the Pardon Board, Parole Board, Prison Enterprises Board, and American Correctional Association (ACA) Advisory Commission. The ACA Advisory Commission is the only one of these entities for which funding was not recommended in the 1996-97 executive budget. The Pardon Board and the Parole Board are listed as individual programs in the executive budget. Recommended funding for the Prison Enterprises Board is included under the Prison Enterprises Program. However, the program description contains no mention of the board.

(See page 53 of the report.)

Recommendation

- 3.1 BDC should include a description of the Prison Enterprises Board in the program description for the Prison Enterprises Program. This would help readers to identify boards associated with the department.

**Some Programs
and Entities
Should Be
Further Reviewed
for Potential
Overlap and
Duplication**

We identified the potential for overlap and duplication in three areas: administration, food services (procurement), and notification of crime victims and their families. If overlap or duplication exists, the department may be using more resources than necessary to provide and coordinate certain services. In addition, DOC officials and legislators may be making funding decisions related to corrections without full knowledge of the types of cost interaction among various corrections services. Therefore, these areas should be further reviewed.

(See page 16 of the report.)

Recommendation

- 1.3 DOC officials should investigate the areas of potential overlap and duplication identified in Chapter 2 to determine if overlap or duplication is occurring unnecessarily. According to R.S. 36:8, the Undersecretary of Corrections could oversee such investigations.

Matter for Legislative Consideration

- 2.1 The legislature may wish to consider directing the Performance Audit Division or other staff to conduct additional work related to areas of possible overlap and duplication within DOC.

**Performance
Data Lack
Critical Elements**

We could not identify missions and goals for most programs listed in the executive budget. As a result, users of the executive budget may not have sufficient information to determine the program's purposes, clients, and desired outcomes. However, of the missions that are reported, almost all meet the established criteria.

In addition, the majority of reported objectives are not measurable, and most are timebound. Therefore, it is not possible to determine progress made toward specific targeted levels of accomplishment. Although the performance indicators reported provide some useful information, most cannot be used to measure progress toward the stated objectives because most objectives do not establish measurable, timebound performance standards. In addition, some indicators are reported in an unclear format, and some of the explanatory information might be better suited for internal reporting only. Because of these deficiencies, the objectives and performance indicators collectively do not provide complete information for decision-making purposes. Without useful and complete performance data, the legislature may not have sufficient information with which to judge overall performance of the department's programs.

We did find, however, that almost half (48%) of the department's indicators are outcome indicators. Outcome indicators are the most important type of indicator because they show whether or not expected results are being achieved. We counseled the department for developing numerous outcome indicators.

(See page 44 of the report.)

Recommendations

- 3.1 DDC staff should work with OPB staff to determine whether each program in the executive budget should have a mission. An advantage of reporting a mission for each program is that it would provide useful information regarding each program's purpose and clients. The department could use other sources of information, such as the operational plan, Master Plan, Briefing Book, or other sources to develop these missions. DDC and OPB staff should also ensure that all missions are clearly identified and labeled as such in future editions of the executive budget. In addition, they should review all missions to ensure that they meet all criteria listed for missions in Exhibit 3-1.

- 3.2 DDC staff should work with OPR staff to develop program goals that will enable the legislature and others to determine what DDC's programs are intended to accomplish. To help develop these goals, the department should review other sources of information that already contain goals for its programs. DDC and OPR staff should also work together to ensure that all program goals are clearly identified and labeled as such in future editions of the executive budget and that they meet all criteria listed in Exhibit 3-1.
- 3.3 DDC should work with OPR and House Appropriations Committee staff to develop specific objectives that are consistent with the goals and that set measurable performance standards or targets for accomplishment. The objectives should also include specific time frames for accomplishment. It is important to develop specific, measurable, disjunctive objectives so that progress made by the programs toward targeted levels of accomplishment is communicated.
- 3.4 DDC should work with OPR and House Appropriations Committee staff to develop improved performance indicators for inclusion in future editions of the executive budget. The performance indicators should, at a minimum, be consistent with the stated objectives, measure progress made toward these objectives, and be clear, easily understood, and non-technical. The staff should also ensure that outcome indicators are reported for all objectives. Providing this information should help legislators make funding decisions by showing whether or not expected results are being achieved.
- 3.5 DDC officials should work with OPR and House Appropriations Committee staff to further clarify the performance indicators that are lacking essential elements. The indicators should be consistent with and measure progress toward the stated objectives. DDC should also work with OPR and House Appropriations Committee

staff to ensure that outcome indicators are reported for all objectives. In addition, explanatory information should be included where appropriate. Providing this information should help legislators make funding decisions by showing whether or not expected results are being achieved.

- 3.6 To help readers identify all performance indicators, BOC and OPB staff should work together to develop a clear, concise format in which to present the indicators. The indicators should be presented in a format that is easily understood by House Appropriations Committee members and staff, as well as other users of the executive budget. GAOB recommends reporting indicators in tabular format.
- 3.7 To minimize the amount of unnecessary information included in the executive budget, BOC officials should work with OPB staff, with input from the House Appropriations Committee staff, to determine what information is suitable for external versus internal reporting.

**1996-97 Executive
Budget Does Not
Contain
Comprehensive
Performance
Data for All
Major Programs
and Activities**

Several of the major programs that are listed in the 1996-97 executive budget are not supported by meaningful objectives and performance indicators. These include the Auxiliary Programs, the Sheriff's Housing of State Inmates Program, and the Prison Enterprise Program. In addition, several activities within the privately operated adult institutions and the Office of Youth Development do not have complete performance data reported. Without complete performance data for these programs and activities, the legislature may be unable to make informed budgetary decisions related to them.

(See pages 63 through 70 of the report.)

Recommendations

- 3.8 If the canteen funds are left as Auxiliary Programs in the executive budget, DOC and OPB staff should work with the House Appropriations Committee staff to develop performance data for them to comply with R.S. 50:522(D) and R.S. 39:31(C)(3) or include a notation in the executive budget explaining why these programs do not have performance data reported. Alternatively, as suggested by the OPB planning analyst, the canteen funds could possibly be incorporated into the Incarceration Programs, thus eliminating the need for performance data to be reported for them as programs.
- 3.9 To provide comprehensive performance data to the legislature, DOC and OPB staff should work with the House Appropriations Committee staff to develop additional performance data for the Sheriff's Housing of State Inmate Program for inclusion in the executive budget. This information would enable the legislature to make more informed budgeting decisions about this program.
- 3.10 DOC staff should continue to work with Prison Enterprises management, OPB staff, and House Appropriations Committee staff to develop performance data for the Prison Enterprises Program. The data should include a clearly identifiable mission, goals, objectives, and performance indicators that meet the criteria described in Exhibit 3-3 of this report. The department should include performance data for Prison Enterprises in future operational plans submitted to OPB as part of the budget request package. OPB should then publish key performance data in the executive budget. Implementing this recommendation will help legislators see the results of the Prison Enterprises Program.

- 3.11 DDC should work with OPE staff and House Appropriations Committee staff to develop objectives and performance indicators for health care services in general at the juvenile facilities, as well as for the LIFE and JEDC programs. The department should ensure that all objectives include performance standards and time frames for accomplishment. Including measurable and timebound objectives and appropriate corresponding performance indicators will make it possible for legislators to determine program goals by these programs in the juvenile correctional facilities.
- 3.12 Regarding the programs in the privately operated facilities, DDC should include in its operational plans all relevant performance data reported in the monthly C-25-900 reports. OPE should then publish this information in the executive budget. Including all relevant and useful performance data for the privately operated prisons would allow legislators to see what the state is getting in return for the contract payments it makes to the private management firms.

Chapter 1: Introduction

Audit Initiation and Objectives

The Office of the Legislative Auditor conducted this performance audit of the executive budget program information for the Department of Public Safety and Corrections, Corrections Services (hereafter referred to as the Department of Corrections, or DOC) in response to certain requirements of Act 3108 of 1995. This act amended the state audit law, Louisiana Revised Statutes (R.S.) 24:511 et seq. and created the Louisiana Performance Audit Program. Although the legislative auditor has been conducting performance audits since 1985, Act 3108 formalizes an overall performance audit program for the state. In addition to finding solutions to present fiscal problems, the legislature created the Performance Audit Program to identify and plan for the state's long-term needs.

This report is one of a series of reports on all major executive branch departments addressing the following objectives:

- Determine if the department's mission and goals as reported in the fiscal year 1996-97 executive budget are consistent with legislative intent and legal authority
- Determine if the department's mission, goals, objectives, and performance indicators as reported in the fiscal year 1996-97 executive budget are consistent with established criteria
- Determine if the department's objectives and performance indicators as reported in the fiscal year 1996-97 executive budget collectively provide useful information for decision-making purposes
- Identify any programs, functions, and activities within the department that appear to be overlapping, duplicative, or unneeded

Report Conclusions

The Department of Corrections is responsible for the administration, management, and operation of all state institutions for the care, custody, and correction of persons sentenced for felonies or misdemeanors. The state owns 11 adult correctional institutions (two of which are operated by private management firms) and three juvenile correctional facilities. A fourth juvenile facility is privately owned and operated. We identified three boards and one commission that are related to the department. The department was appropriated \$485,195,463 for the 1996-97 fiscal year, which included funding for 7,968 authorized positions. Another \$28,846,641 was appropriated for the Prison Enterprise Program.

Overall, the performance data reported in the fiscal year 1996-97 executive budget do not communicate complete and useful information about the performance of DOC's programs. This is because the performance data, as a whole, lack critical elements. We found that:

- We could not identify missions and goals for most programs listed in the executive budget. As a result, users of the executive budget may not have sufficient information to determine the program's purposes, clients, and desired outcomes. However, of the missions reported, almost all meet the established criteria. Also, all missions and goals reported in the 1996-97 executive budget are generally consistent with legislative intent and legal authority.
- The majority of reported objectives are not measurable, and some are timebound. Therefore, it is not possible to determine program made toward specific targets of accomplishment.
- Although the performance indicators reported provide some useful information, most cannot be used to measure progress toward the stated objectives because the objectives do not establish measurable, timebound performance standards. However, almost half (48%) of the performance indicators are outcome indicators, which are the most important type of indicator.

Because of these deficiencies, the objectives and performance indicators collectively do not provide complete information for decision-making purposes. Without complete performance data, the legislature may not have sufficient information on which to judge overall performance of the department's programs.

In addition, the program structure presented in the 1996-97 executive budget for adult correctional facilities differs from the program structure for juvenile facilities. The program structure may have an effect on whether or not performance data are reported in the executive budget for all programs and activities.

Finally, we identified several areas that may require additional study related to the potential for overlap and duplication within the department. If overlap or duplication exists, the department may be using more resources than necessary to provide and coordinate certain services. These areas should be further reviewed to determine if overlap and duplication are occurring unnecessarily.

Accountability Initiatives

Article XIV, Section 6 of the 1974 Louisiana Constitution reorganized the executive branch of state government into 20 departments. State law says that the structure of the executive branch is to, in part, promote economy and efficiency in the operation and management of state government. Since the reorganization, additional efforts have been undertaken to eliminate duplicative, overlapping, and outmoded programs and activities. Some of these efforts require internal reviews of programs, policies, and services of state agencies, and others provide for external reviews.

R.S. 24:522 requires the legislative auditor to annually make recommendations to the legislature relative, in part, to the effectiveness and efficiency of programs and services that the various state agencies provide. In particular, it directs the auditor to evaluate the basic assumptions underlying all state agencies, programs, and services to assist the legislature in identifying those that are vital to the best interests of the people of Louisiana and those that no longer meet that goal. The act also requires state

agencies to produce certain information during the budgetary process.

In July 1995, the Office of Legislative Auditor issued a report that examined the performance and progress of Louisiana state government. That report followed up on all recommendations made in performance audits and staff studies issued by the legislative auditor during the previous three years. In that report, we tracked the progress of agencies in implementing recommendations contained in the performance studies and identified related legislation. We also identified a number of problem areas in state government including inadequate oversight and inadequate planning.

As part of our continuing efforts to meet the requirements of Act 1180, we have issued this report that examines the legal authority for DDC's programs and services. This report also examines the program information contained in the fiscal year 1996-97 executive budget and builds on the need for better planning. As previously mentioned, similar performance audit reports are to be issued on all other executive branch departments.

State law (R.S. 49:190 et seq.) also requires agencies to provide the legislature with certain information to justify their existence in order to continue. This law is referred to as the sunset review process. This process allows the legislature an opportunity and mechanism to evaluate the operations of state statutory entities.

State law also requires an annual report by department undersecretaries on their department management and program analysis. These reports, required by the provisions of R.S. 30:8, are referred to as Act 168 reports, since Act 168 of 1982 originally enacted this law. This law requires agencies to conduct evaluations and analyses of programs, operations, and policies to improve the efficiency, economy, and effectiveness of the departments.

Other performance legislation includes an accountability act for colleges and universities. Also, various agency performance related reports are required to be submitted with the agency budget request. One of these reports is referred to as the "Sunset Review Budget Request Supplement."

**Program
Budgeting and
Strategic
Planning
Focus on
Outcomes**

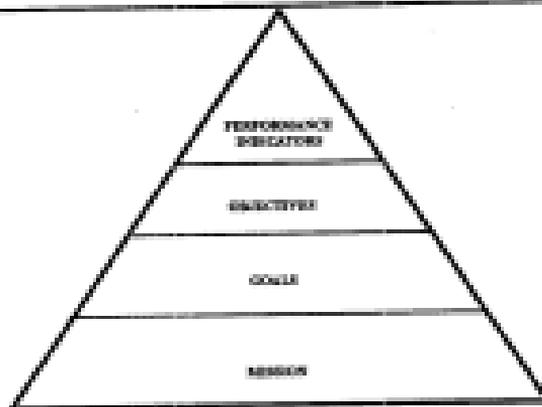
Act 804 of the 1987 Regular Legislative Session required the state to adopt a program budgeting system beginning in fiscal year 1988-89. R.S. 39:36 requires the executive budget to be in a format that clearly presents and highlights the programs operated by state government. According to *AdmAggware*, a publication of the Division of Administration's Office of Planning and Budget (OPB), program budgeting is a budget system that focuses on program objectives, achievements, and cost-effectiveness. *AdmAggware* also states that program budgeting is concerned with outcomes or results rather than with individual items of expenditure.

Strategic planning is a process that sets goals and objectives for the future and strategies for achieving those goals and objectives, with an emphasis on how best to use resources. Act 1463 of the 1997 Regular Legislative Session enacted R.S. 39:31. This law requires each state department to engage in the strategic planning process, produce a strategic plan, and submit it to the commission of administration and the appropriate legislative oversight committee by July 1, 1998. Program budgeting involves the development of missions, goals, objectives, and performance indicators. These factors are components of the strategic planning process.

Exhibit 1-1 on page 6 shows how missions, goals, objectives, and performance indicators relate to each other. As can be seen in this exhibit, the mission is the base from which goals are derived. Objectives flow from the goals, and performance indicators flow from the objectives.

Exhibit 3-1

Major Components of the Strategic Planning Process



Source: Prepared by legislative auditor's staff using a similar diagram to *Management*.

Management defines the above terms as follows:

- **Mission:** a broad, comprehensive statement of the organization's purpose. The mission identifies what the organization does and for whom it does it.
- **Goals:** the general end purposes toward which effort is directed. Goals show where the organization is going.
- **Objectives:** specific and measurable targets for accomplishment. Objectives include degrees or types of change and timetables for accomplishment.
- **Performance Indicators:** the tools used to measure the performance of policies, programs, and plans.

Furthermore, *Management* categorizes performance indicators into five types:

1. **Input indicators** measure resource allocation and demand for services. Examples of input indicators are budget allocations and number of full-time equivalent employees.
2. **Output indicators** measure the amount of products or services provided or the number of customers served. Examples of output indicators include the number of students enrolled in an adult education course, the number of vaccinations given to children, and the number of miles of roads resurfaced.
3. **Outcome indicators** measure results and assess program impact and effectiveness. Examples of outcome indicators are the number of persons able to read and write after completing an adult education course and the change in the highway death rate. Outcome indicators are the most important performance measures because they show whether or not expected results are being achieved.
4. **Efficiency indicators** measure productivity and cost-effectiveness. They reflect the cost of providing services or achieving results. Examples of efficiency indicators include the cost per student enrolled in an adult education course, the bed occupancy rate at a hospital, and the average processing time for environmental permit applications.
5. **Quality indicators** measure effectiveness in meeting the expectations of customers, stakeholders, and other groups. Examples of quality indicators include the number of defect-free reports compared to the number of reports produced, the accreditation of institutions or programs, and the number of customer complaints filed.

Management also points out the benefits of program budgeting. According to *Management*, program budgeting streamlines the budget process. *Management* also says that program budgeting supports quality management by allowing managers more budgetary flexibility while maintaining

accountability for the outcomes of programs. Since appropriations are made at the program level, program managers can more easily shift funds from one expenditure category to another to cover unanticipated needs, according to *NewsWire*.

The need for accountability in government operations is gaining recognition both domestically and internationally. According to a recent report issued by the United States General Accounting Office, the federal government is currently implementing the Government Performance and Results Act of 1993. This act requires agencies to set goals, measure performance, and report on their accomplishments. The report also cites several states including Florida, Oregon, Minnesota, Texas, and Virginia and foreign governments such as Australia, Canada, New Zealand, and the United Kingdom that are also pursuing management reform initiatives and becoming more results-oriented.

In Louisiana, the 1996 general appropriation bill and resulting act included program descriptions for the first time. The 1997 general appropriation bill also includes key performance indicators. For fiscal year 1997-98, this information will be presented for informational purposes only. However, in the future, it will serve as a starting point for the full implementation of performance based budgeting.

Beginning in fiscal year 1998-99 and in all subsequent fiscal years, key objectives and key performance indicators contained in the General Appropriation Act will be included in the agency's appropriation. Each agency will be required to provide quarterly performance program reports. The agency's appropriation will be issued conditioned upon the agency preparing and submitting these reports.

Article VII, Section 11(A) of the Louisiana Constitution requires the governor to submit a budget estimate to the legislature that sets forth the state expenditures for the next fiscal year. This budget estimate, the executive budget¹, must include recommendations for appropriations from the state general fund, dedicated funds, and self-generated funds.

¹ The governor also submits a capital outlay budget. However, the scope of this article includes only the executive budget.

**Executive Budget
Is Basis for
General
Appropriation
Act**

R. S. 38-36 requires the executive budget to be configured in a format that clearly presents and highlights the programs operated by state government. This statute also requires the executive budget to include:

- (1) an outline of the agency's programmatic structure, which should include an itemization of all programs with a clear description of the objectives of each program;
- (2) a description of the activities that are intended to accomplish each objective; and
- (3) clearly defined indicators of the quantity and quality of performance of these activities.

OPB develops the executive budget based on voluminous material contained in various documents prepared by the departments as part of their budget requests. The budget request packages are made up of six separate components, which are listed as follows. These packages contain both financial and program information.

1. **Operational plans** describe the various programs within state agencies. They also give program missions, goals, objectives, and performance indicators. Operational plans are derived from long-range strategic plans. Operational plans tell what portions of strategic plans will be addressed during a given operational period.
2. **Existing operating budgets** describe the initial operating budgets as adjusted for actions taken by the Joint Legislative Committee on the Budget, the Interim Emergency Board, the legislature, and/or the governor.
3. **Continuation budgets** describe the level of funding for each budget unit that reflects the resources necessary to carry on all existing programs and functions at the current level of service in the ensuing fiscal year. These budget components include any adjustments necessary due to the increased cost of services or materials as a result of inflation and increased workload requirements.

resulting from demographics or other changes. Consolidation budgets contain program information.

4. **Technical/other adjustment packages** allow for the transfer of programs or functions from certain agencies or departments to other agencies or departments. However, total overall revenues and expenditures cannot be increased. The technical/other adjustment packages also contain program information.
5. **New or expanded service requests** are designed to provide information about the cost of new and/or expanded services that departments will provide. These service changes can come about as a result of regulation or procedural changes that are/were controlled by the agency or by the addition of services that were not previously provided. The new or expanded service requests also contain program information.
6. **Total request summaries** provide a cross-check of the total budget request document. These forms are designed to provide summaries of all the requested adjustments made to arrive at the total budget requests.

According to *Management*, the total budget request must be accompanied by the Sunset Review Budget Request Supplement (i.e., BRS forms). The BRS forms list all activities that a budget unit has been directed to administer (through legislatively authorized programs and acts of the legislature) for which no implementing funds were appropriated in the existing operating budget. The BRS forms must be submitted to OPR, the Legislative Fiscal Office, and the Joint Legislative Committee on the Budget.

For the 1996-97 fiscal year, OPR prepared and published several volumes of a two-part executive budget using the departments' budget request packages. One part of the executive budget contains financial information, and the other part contains program information. The program information includes program descriptions, missions, goals, objectives, and performance indicators related to the services and products of each department resulting from spending state revenues.

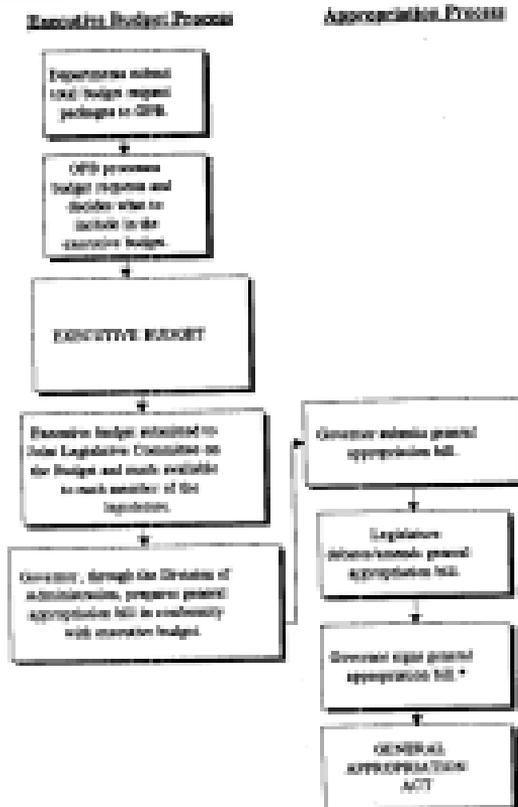
According to R.S. 29:17, the governor must submit the executive budget to the Joint Legislative Committee on the Budget. The governor must make a copy of the executive budget available to each member of the legislature. The constitution requires that the governor submit a general appropriation bill for proposed ordinary operating expenditures in conformity with the executive budget document that was submitted to the legislature.

The general appropriation bill moves through the legislature similar to any other bill. The Appropriations Committee in the House of Representatives initially hears the bill. It then moves to the full House, then to the Senate Finance Committee, and then the full Senate. Both the House and Senate may amend the bill. The bill is voted upon in its final form by the full membership of both chambers. OPR monitors any amendments the legislature makes to the bill.

After the general appropriation bill passes the legislature, it is forwarded to the governor. Once the governor signs the bill, it becomes law in the form of the General Appropriation Act. After the governor signs the bill, OPR reports to the state departments any amendments made by the legislature. The state constitution allows the governor to veto any line item in the appropriation bill. A veto can be overridden by a two-thirds vote of the legislature. Exhibit 1-3 on page 12 illustrates the executive budget and appropriation processes.

Exhibit 1-2

Executive Budget and Appropriation Process



* The governor has line-item veto power.

Source: Prepared by legislative writer's staff using the state constitution, state law, Administrative and House Legislative Services - State and Local Government in Legislation - An Overview (February 1995).

Scope and Methodology

Overview. This performance audit of DOC's program information was conducted under the provisions of Title 34 of the Louisiana Revised Statutes of 1990, as amended. All performance audits are conducted in accordance with generally accepted government auditing standards as promulgated by the Comptroller General of the United States.

This section provides a summary of the methodology used in this audit. Based on planning meetings held by legislative audit staff, we formulated audit objectives that would address issues specific to the program information contained in the executive budget. The audit focused on the fiscal year 1996-97 executive budget program information.

References Used. To familiarize ourselves with performance measurement, program budgeting, and accountability concepts, we reviewed various publications including the following:

- *Manuals* published by the Office of Planning and Budget (1991 and 1996 editions)
- *Research Report - Service Efforts and Accomplishments Reporting: In Time Not Cost, An Overview* published by the Governmental Accounting Standards Board (GASB)
- *Executive Guide: Effectively Implementing the Government Performance and Results Act* published by the U.S. General Accounting Office (June 1994)
- Various reports by the Canadian Comprehensive Auditing Foundation
- Reports from various states related to program budgeting and strategic planning

These publications are listed in detail in Appendix A. We also conducted interviews with personnel of the Urban Institute, the federal Office of Management and Budget (OMB), and GASB. These individuals represent both the theoretical and practical sides of current performance measurement and accountability efforts.

To gain an understanding of the state's budget process, we reviewed state laws regarding program budgeting. In addition, we interviewed staff of OMB and DOC regarding their budget processes.

Legal Basis for Missions and Goals. We searched state and federal laws to determine whether there is legal authority for the missions and goals reported for the department and its programs in the 1996-97 executive budget. We also reviewed applicable laws to determine legislative intent related to the creation of the department and the functions that the department and its programs are intended to perform. In addition, we reviewed and organized data obtained from the department on its structure, functions, and programs. We also interviewed key department personnel about these issues. We also identified three boards and one commission related to the department.

Comparison of Performance Data to Criteria. We developed criteria against which to compare the department's missions, goals, objectives, and performance indicators as reported in the fiscal year 1996-97 executive budget. To help develop these criteria, we gathered information from OASB, OMB, the Urban Institute, and Management. During our criteria development process, we obtained ongoing input from OASB. We also obtained concurrence from OASB on our final established criteria. We then compared the missions, goals, objectives, and performance indicators to the established criteria.

In addition, we evaluated the objectives and performance indicators to determine if they collectively provide useful information to decision makers. When deficiencies or other problems were identified, we discussed them with appropriate personnel of the department and OPR. We did not assess the validity or reliability of the performance indicators.

Although other documents contain performance data on the department, we only compared the missions, goals, objectives, and performance indicators contained in the executive budget to the criteria. This decision was made because the executive budget is the submission of OPR's review and refinement of the budget request components. It also represents the governor's official recommendation to the legislature for appropriations for the next fiscal year.

Potential Overlapping, Duplication, or Outmoded Areas. Finally, we reviewed the program descriptions and legal authority for the department's programs and related boards and commission to identify areas that appear to be overlapping, duplicative, or outmoded. We defined these terms as follows:

- **Overlapping:** instances where two or more programs appear to perform different activities or functions for the same or similar purposes
- **Duplicative:** instances where two or more programs appear to conduct identical activities or functions for the same or similar purposes
- **Outmoded:** those programs, activities, or functions that appear to be outdated or are no longer needed

We did not conduct detailed audit work on the areas we identified as potentially overlapping, duplicative, or outmoded. We only identified them for further review at another time.

Areas for Further Study

During this audit, we identified the following areas that require further study:

- As previously mentioned, assessing the validity and reliability of performance indicators was not within the scope of this audit. However, if the legislature intends to include performance indicators in future appropriation bills and acts, validity and reliability become increasingly important. Consequently, in the future, the legislature may wish to direct a study of the validity and reliability of performance indicators included in appropriation bills.
- The programs, functions, and activities that appear to be overlapping, duplicative, or outmoded should be assessed in more detail to determine whether they are truly overlapping, duplicative, or outmoded. Once these assessments are completed, the legislature may decide whether any of these programs, functions, or activities should be altered, expanded, or eliminated.
- The availability of management information systems that can readily integrate data from a variety of sources is essential to a successful program budgeting system. Capturing accurate and meaningful performance data is important, in part, because of the increased emphasis the legislature is

planning on program information. Therefore, the capabilities of the department's management information system as related to performance data should be addressed in the near future.

Report Organization

The remainder of this report is divided into the following chapters and appendices:

- **Chapter 2** describes the Department of Corrections. This chapter gives the legal authority for the department and its programs as well as other information that describes the department and its related boards and commission. This chapter also compares the missions and goals of the department as reported in the fiscal year 1996-97 executive budget to their legal authority. In addition, this chapter discusses programs, functions, and activities within the department that appear to be overlapping, duplicative, or unneeded, if any came to our attention.
- **Chapter 3** gives the results of our comparison of the department's missions, goals, objectives, and performance indicators as reported in the 1996-97 executive budget to established criteria. In addition, this chapter discusses whether the objectives and performance indicators collectively provide useful information for decision-making purposes.
- **Appendix A** is a list of publications used for this study.
- **Appendix B** is a list of all budget units and programs within the Department of Corrections.
- **Appendix C** is a list of all missions, goals, objectives, and performance indicators reported in the 1996-97 executive budget. It also shows a comparison of the performance data to the criteria.
- **Appendix D** is the Department of Corrections' response to this report.
- **Appendix E** is the Division of Administration, Office of Planning and Budget's response to this report.

Chapter 2: Department Overview

Chapter Conclusions

DOC is responsible for the administration, management, and operation of all state institutions for the care, custody, and correction of persons sentenced for felonies or misdemeanors. The department was appropriated \$425,199,463 for the 1996-97 fiscal year. This amount included funding for 7,064 authorized positions. An additional \$18,846,042 was appropriated for the Prison Enterprise Program.

The department is responsible for 11 state-owned adult correctional institutions. Two of these facilities are operated under contractual agreements with private management corporations. Three state-owned juvenile secure correctional facilities provide rehabilitative services as well as incarceration. A fourth juvenile facility, the Tallulah Correctional Center for Youth, is privately owned and operated.

We identified three boards and one commission that are related to the department. They are the Pardon Board, Parole Board, Prison Enterprise Board, and American Correctional Association (ACA) Advisory Commission. The ACA Advisory Commission is the only one of these entities for which funding was not recommended in the 1996-97 executive budget. The Pardon Board and the Parole Board are listed as individual programs in the executive budget.

All missions and goals identified in the 1996-97 executive budget are generally consistent with legislative intent and legal authority. The Louisiana Revised Statutes provide general legal authority for all departmental programs, activities, and functions presented in the executive budget.

The program structure presented in the 1996-97 executive budget for adult correctional facilities differs from the program structure for juvenile facilities. The program structure may have an effect on whether or not performance data are reported in the executive budget for all programs and activities.

We identified several areas that may require additional study related to the potential for overlap and duplication. If overlap or duplication exists, the department may be using more resources than necessary to provide and coordinate

certain services. These areas should be further reviewed to determine if overlap or duplication is occurring unnecessarily.

Creation and Purpose of the Department

The Department of Public Safety and Corrections includes two major areas: Public Safety Services and Corrections Services. This report concentrates only on the Corrections Services area, which we refer to as the Department of Corrections or DOC. DOC was created by Act 192 of 1968, which amended R.S. 15:821 through 15:839. This act provides that the functions of the department shall include administrative functions exercised in relation to the administration, management, and operation of all state institutions for the care, custody, and correction of persons sentenced for felonies or misdemeanors.

Overview of Budget Units and Programs Included in 1996-97 Executive Budget

For budgetary purposes, the department is divided into 17 budget units and 64 programs. According to DOC officials, three programs are "single program appropriations" and are counted as both budget units and programs. These programs are:

1. Adult Community-Based Rehabilitation
2. Sheriff's Housing of State Inmates
3. Prison Enterprises

A complete listing of all budget units and programs included in the fiscal year 1996-97 executive budget is provided in Appendix B.

In the next seven sections, we describe the 17 budget units and the programs contained within these budget units. Each of the state's 11 adult correctional facilities is presented as a separate budget unit in the 1996-97 executive budget. Since the majority of these facilities generally operate the same programs, we discuss all 11 of these budget units in a single section called "Adult Correctional Facilities (11 Budget Units)." The other six budget units are discussed separately.

**Corrections Services -
Administration
(Budget Unit 08-400)**

The Corrections Services - Administration budget unit is composed of five programs. These programs are designed to support the management of the adult and juvenile institutions, regional and district adult and juvenile probation and parole offices, and all other services. Corrections Services - Administration includes the following programs:

- **Program A: Office of the Secretary.** The secretary serves as the department's chief executive officer and is responsible for the operation of all department programs. The secretary formulates the rules and regulations that determine agency policy and priorities within legal mandates. The Office of the Secretary is responsible for providing departmentwide administration and support, including financial management and leadership.

Under the authorization of R.S. 40:1844 (A)(5), the office is also responsible for maintaining the Crime Victims Services Bureau. The bureau's purpose is to publicize and provide a way for crime victims and their families to be kept informed about various issues. These issues include successful court appeals; parole board, pardon board, or other release hearings; dates of possible release from physical custody; escapes, apprehensions; and the department's policies and programs for inmates.

- **Program B: Office of Management and Finance.** The office operates under the direction of the Undersecretary of Corrections Services. The office is responsible for providing guidance and technical assistance for managing the financial and human resources of Corrections Services.
- **Program C: Office of the Pardon Board.** R.S. 15:572.10(C) provides that the Pardon Board shall meet for the purpose of reviewing and taking action on applications for pardons pending before it and to transact other business as necessary. The Pardon Board is responsible for providing clemency relief to individuals who have shown that they have been rehabilitated and have been or can become law-abiding citizens. Clemency relief may consist of commutation of sentence, restoration of parole eligibility, pardon, and/or restoration of rights.

According to Constitution Art. 4, § 50(C)(2), the board shall consist of five electors appointed by the governor, subject to confirmation by the senate.

- **Program D: Parole Board.** R.S. 15:574.2 (A)(1) creates the Parole Board and places it within DDC. The Parole Board is responsible for determining the time and conditions of release on parole for all adult offenders who are eligible for parole; determining and imposing sanctions for violations of parole; and cooperating with the criminal justice and corrections systems. The board is also responsible for administering medical paroles and revocations. Board members are appointed by the governor and confirmed by the senate.
- **Program E: Adult Services.** The primary function of the Office of Adult Services is to provide administrative oversight and support for the operations of adult prisons. The office is also responsible for performing subsidiary functions necessary for the intake and release of inmates.

**Adult
Correctional
Facilities
(11 Budget Units)**

Adult Correctional Facilities. R.S. 15:893 authorizes the department to create, establish, operate, and maintain adult correctional institutions as needed to fulfill the department's obligations, provided funds have been appropriated by the legislature. The department is responsible for the 11 state-owned adult institutions. However, two of these facilities (Adrian Correctional Center and Winn Correctional Center) are operated under contractual agreements with private management corporations. As previously mentioned, each adult facility is shown as a separate budget unit in the 1996-97 executive budget. The 11 adult facilities and their budget unit numbers are as follows:

1. 88-401 - C. Paul Phelps Correctional Center
2. 88-402 - Louisiana State Penitentiary
3. 88-403 - Avoyelles Correctional Center
4. 88-406 - Louisiana Correctional Institute for Women

5. 08-407 - Wain Correctional Center
6. 08-408 - Allen Correctional Center
7. 08-409 - Dixon Correctional Institute
8. 08-412 - Work Training Facility-North
9. 08-413 - Elays Hunt Correctional Center
10. 08-414 - David Wade Correctional Center
11. 08-416 - Washington Correctional Institute

As shown in Appendix B, the majority of state-operated adult institutions operate the same basic programs: Administration, Incarceration, Rehabilitation, Health Services, and Auxiliary. Specialized programs are also operated at Dixon Correctional Institute and Elays Hunt Correctional Center.

State-Operated Adult Institutions

Each **Administration Program** includes the warden and the institution's business office. Its responsibilities include ACA accreditation reporting efforts. **Incarceration Programs** are responsible for providing security, inmate housing and clothing, nutritional services, and facility maintenance.

The **Rehabilitation Programs** offer adult literacy, academic, vocational, religious guidance, and recreational programs, as well as on-the-job training. R.S. 15:828(A)(1) provides that persons in the custody of the department shall be treated in a humane manner, and the department shall direct efforts toward their rehabilitation in order to effect their return to the community as promptly as practicable. This statute directs the secretary to establish rehabilitation programs consistent with available resources, physical custody, and appropriate classification criteria.

The **Health Services Programs'** responsibilities are to generally provide substance abuse counseling and medical, dental, and mental health services to inmates. R.S. 15:831(A) provides that the secretary shall establish and prescribe standards for health, medical, and dental services for each institution, including preventive, diagnostic, and therapeutic measures.

The Auxiliary Programs comprise the Inmate Canteen Funds. The programs are administered as a service to inmates and are listed as Auxiliary Programs for all adult facilities except the two privately managed prisons. According to the executive budget, each fund receives money on behalf of the inmates, who may use their accounts to purchase consumer items from the institution's canteen. Through this fund, the inmates should be able to obtain food and hygiene products in greater quantity and variety than those supplied by the institution.

Diagn Correctional Institute (DCI) houses the **Mex Walters Substance Abuse Program**. This program is available to selected inmates who are completing their sentences or being released early on parole, good time, or to work release programs. The goal of the program is to reduce recidivism through a structured program of substance abuse intervention, education, and rehabilitation.

Finally, under the Diagnostic Program, Eliza Hunt Correctional Center (EHCC) operates the **Adult Reception and Diagnostic Center (ARDC)**. All adult males are screened at ARDC upon entry into the state correctional system. Screening includes a complete medical examination, a thorough psychological evaluation, and an in-depth social workup. After screening, the inmates are assigned to one of the state's correctional facilities based on their security risks and specific needs, as well as institutional availability and needs.

Female inmates are screened upon intake at the Louisiana Correctional Institute for Women (LCIW). There is no separate diagnostic program listed for LCIW in the 1996-97 executive budget. Instead, the executive budget states that the facility offers a reception and diagnostic component. This reception and diagnostic component at LCIW receives assistance from the staff of EHCC.

Privately Operated Adult Institutions

R.S. 39:1800.4 authorizes the department to enter into contracts with prison contractors for the financing, acquiring, designing, leasing, constructing, and operating of facilities. Winc Correctional Center (WNC) is operated by the Corrections Corporation of America. Allen Correctional Center (ACC) is operated by the Wackenhut Corporation. The executive budget includes only two programs for each of these privately operated prisons: Administration and Purchase of Correctional Services.

According to the executive budget, the Administration Program includes the warden, institution business office, and ACA accreditation reporting efforts. The Purchase of Correctional Services Program provides for the reimbursement of the private management providers for the operation of the institutions.

Adult Probation and Parole (Budget Unit 08-415)

R.S. 36:458(G)(1) provides that the Office of Adult Services shall perform functions of the state relating to probation and parole programs for adults. The Division of Probation and Parole functions as a "community services" division and consists of a headquarters office in Baton Rouge and 29 district offices strategically located throughout the state. The division is responsible for protecting public safety by investigating and supervising adjudicated adult inmates. The division facilitates inmates' adjustment and reintegration into society through probation, parole, and other community-based programs.

The division also has responsibility for monitoring community rehabilitation center contracts and the inmates assigned to contract work release facilities. Of the six work release facilities monitored by the division, four are contracted to private providers, and two are operated through cooperative endeavor agreements with local sheriff's offices.

The executive budget includes two programs for the Division of Probation and Parole budget unit. The programs are the Administration and Support Program and the Field Services Program. The Administration and Support Program is responsible for providing management direction and administrative support for all operational needs of the program. The purpose of the Field Services Program is to supervise adult offenders who are released on probation or parole.

Office of Youth Development (Budget Unit 08-422)

The Office of Youth Development has policy, oversight, and support responsibilities for state programs for youth who are adjudicated delinquent or in need of supervision by courts of juvenile jurisdiction. R.S. 36:408(D)(1) provides that the office of youth development shall have responsibility for the care, custody,

security, and treatment of children adjudicated delinquent or in need of supervision committed to its custody or placed under its supervision, as well as adults placed under its supervision.

Three state-owned juvenile secure correctional facilities are designed to provide rehabilitative services as well as incarceration. These three facilities are listed in the executive budget as individual programs within the Office of Youth Development (OYD) budget unit. A fourth juvenile secure facility, the Tallulah Correctional Center for Youth, is privately owned and operated. It is described under OYD's Contract Services Program.

The Office of Youth Development budget unit includes six programs:

- **Program A: Administration.** The Administration Program is responsible for providing administration, policy development, financial management, and leadership. It is also responsible for developing and implementing staffing standards and for standardizing operations as much as possible to increase the economy and efficiency of juvenile corrections.
- **Program B: Louisiana Training Institute - Monroe (LTI-Monroe).** This institution is a secure correctional facility for male juveniles adjudicated delinquent for one or more offenses that would be crimes if committed by an adult. LTI-Monroe was established to conduct operations necessary to protect society and rehabilitate offenders. A Job Skills Education Program (JSEP) is located at the facility. In addition, offenders who have completed their General Equivalency Diploma (GED) may participate in an apprenticeship program. Participants are assigned to work eight-hour days with electricians, painters, plumbers, carpenters, heating/air conditioning repairmen, or automotive mechanics.
- **Program C: Jensen Correctional Center for Youth (JCCY).** This institution is a secure correctional facility for male and female juveniles who have been adjudicated delinquent. The institution's functions include providing educational, social, religious, recreational, vocational, and

medical services, along with on-the-job training in various trades. The Juvenile Reception and Diagnostic Center (JRDC) at JCCY was established to provide intake and diagnostic services to facilitate placement decisions for juveniles that will afford those juveniles opportunities that will best meet their needs.

A JSEP is also located at JCCY. Funded by a 1993 federal Model Continuum of Rehabilitative Care for Incarcerated Juvenile Offenders (MCRAC) grant, JSEP is a computer-based literacy training program developed by the U.S. Army. Based on the success of JSEP at JCCY, the program was implemented at all state juvenile institutions during 1995.

- **Program D: Louisiana Training Institute-Bridge City (LTI-Bridge City).** This institution is a secure correctional facility for male juveniles who have been adjudicated delinquents. LTI-Bridge City offers medical, social, recreational, religious, psychological, educational, and self-help activities for juvenile offenders. The facility houses the Short Term Offender Program (STOP). This program is an intensive and highly structured short-term program designed to provide constructive interventions to facilitate the offender's reintegration into society. A pre-vocational JSEP is also located at LTI-Bridge City.
- **Program E: Field Services.** This program is carried out by the Division of Youth Services. Its functions include providing probation and parole supervision and residential and nonresidential treatment services. These services are for adjudicated youth and for status offender youth and their families. The services are designed to address the needs of offenders who have been assigned no supervision while ensuring the safety of the public. Programs to address the needs of seriously emotionally disturbed offenders and offenders with substance abuse problems are developed in cooperation with the Department of Health and Hospitals.

- **Program F: Contract Services.** Through this program, the department contracts with private providers to offer a community-based system of care that addresses the needs of youth committed to the department's custody and/or supervision. Emphasis is given to the appropriate placement of offenders who are suited for placement in the community.

A cooperative endeavor agreement between the department and the Town of Tallulah to provide additional secure beds for juvenile males led to the opening of the Tallulah Correctional Center for Youth (TCCY) in 1994. TCCY is a privately owned and operated facility. Its operations include the Louisiana Intensive Training and Education Program (LITE), which is a shock incarceration (boot camp) program for juvenile offenders who are committed to the state's custody. LITE is an intensive program designed to facilitate a positive change in serious juvenile offenders. Upon successful completion of the program, LITE participants return to their communities under intensive supervision.

**Adult
Community-Based
Rehabilitation
(Budget Unit 08-450)**

The Adult Community-Based Rehabilitation budget unit contains only one program in the 1996-97 executive budget. This program is called the **Adult Community-Based Rehabilitation Program**. R.S. 15:1111(A) authorizes the department to establish and administer a work release program for inmates of any institution under the jurisdiction of the department. The program provides housing, recreation, and other treatment activities aimed at re-socialization rather than isolation of adult offenders who have been approved for participation in a work release program.

The program is designed to provide a smooth transition for offenders from prison back into society by affording them an opportunity to obtain employment before release. This employment is intended to assist both the offender and his/her family. The program's facilities are nonsecure community-based residential facilities.

**Sheriffs' Housing of
State Inmates
(Budget Unit 08-451)**

The Sheriff's Housing of State Inmates budget unit contains one program by the same name. This program is designed to provide a safe and secure environment for adult male and female offenders and juveniles who have been committed to state custody and are awaiting transfer to DDC. Because of space limitations in state correctional institutions, the department uses parish and local jails to house offenders. R.S. 15:824(D) provides that in the event the department cannot accept an individual because of a lack of state facilities, the department may enter into a contract with a law enforcement district or municipal or parish governing authority to house additional prisoners. This provision is subject to legislative appropriation.

The department and the Louisiana Sheriffs' Association have jointly developed a comprehensive set of basic jail guidelines. These guidelines must be followed by any parish prison or local detention facility as a condition of housing state inmates. According to the 1986-87 executive budget, this voluntary quality assurance effort has done much to ensure that the basic conditions under which state inmates are housed in local facilities are safe and constitutional.

**Prison Enterprises
(Budget Unit 21-811)**

Work opportunities are made available in more than 20 industrial, agricultural, and service operations through the Prison Enterprises Program within the Prison Enterprises (PE) budget unit. Prison Enterprises is under the authority of the Undersecretary of DDC. According to R.S. 15:1153, Prison Enterprises is operated by the department for the following purposes, given priority in the order listed:

1. To utilize the resources of the department in the production of food, fiber, and other necessary items used by the inmates in order to lower the cost of incarcerating the inmates.
2. To provide products and services to state agencies and agencies of parishes, municipalities, and other political subdivisions. The products and services shall be provided at the cost to the department for providing the goods and services.

3. To provide work opportunities for inmates in accordance with law.

Funds for the operation of the PE program are totally self-generated through the sale of more than 200 products and services. Prison Enterprises provides goods and services to state and local governmental and tax-supported entities. It is also designed to teach inmates marketable job skills and good work habits.

ACA Accreditation

All adult correctional institutions, all juvenile secure institutions, all adult work release contractors, the Prison Enterprises program, the Division of Probation and Parole, and the Division of Youth Services are accredited by the American Correctional Association (ACA) or have met applicable ACA standards. The ACA is a national, nonprofit organization of correctional professionals and practitioners that has developed standards for prisons and other correctional operations. The accreditation program offers agencies the opportunity to evaluate their operations against national standards, remedy deficiencies, and upgrade the quality of correctional programs and services.

According to the executive budget, ACA accreditation is incorporated into all of the department's goals and priorities. The executive budget also states that accreditation serves as a catalyst for productive change in the policymaking, management, and operational processes of the state's correctional institutions, probation and parole divisions, and contract programs.

Consent Decrees

Continued compliance with federal consent decrees is listed as an objective in the 1996-97 executive budget for the Office of the Secretary. The consent decrees pertain to issues such as inmate population limits, security, health, and medical services. According to OPH's publication, *the State of the State 1996*, DOC continues to work with the courts to gain release from court supervision for all its adult and juvenile institutions. The department is currently under several court mandates pertaining to conditions at state facilities described as follows:

- *Hanilton v. Mistral* is related to overcrowded conditions in the Orleans Parish jail. The department is a party to the suit because state inmates are housed in this facility. According to the department, as of October 1997, the suit was pending.
- *Hayes Williams et al. v. Bruce N. Lynn et al.* is related to medical conditions at Louisiana State Penitentiary. A three-week trial was held in September 1994. Post-trial pleadings have been submitted. According to the department, as of October 1997, the federal magistrate had not submitted a report or recommendations to the federal judge for decision.
- *Hayes Williams et al. v. John McKeithen et al.* is related to consent decrees at all institutions regarding general conditions of confinement. In April 1997, U.S. District Court Judge Frank Polozola approved a settlement releasing nine state prisons and more than 100 local jails from court supervision. The state's largest prison, the Louisiana State Penitentiary at Angola, and four juvenile prisons will remain under court control until the court determines that the department can govern these facilities on its own.

Department Expenditure Data

Exhibit 3-1 on page 30 provides a summary of DOC's budget and expenditure information listed by budget unit. The exhibit shows the actual expenditures for fiscal year 1996, as well as recommended and appropriated amounts for fiscal year 1997. As shown in the exhibit, in fiscal year 1996 the department's actual expenditures, including Prison Enterprises, totaled \$403,206,000. Adult correctional facilities accounted for the largest portion of 1996 expenditures, a total of \$216,512,000. A total of \$454,137,750 was recommended for 1997, including Prison Enterprises, and \$455,199,963 was appropriated.

Exhibit 2-1
Summary of Expenditure Data
Department of Corrections

Budget Unit (Number/Name)	Actual Expenditures Fiscal Year 1999	Recommended Amounts Fiscal Year 2000	Appropriated Amounts Fiscal Year 1999
08-408: Corrections Services - Administration	\$15,659,800	\$15,700,000	\$14,317,341
08-403: C. Paul Phelps Correctional Center	\$40,771,800	\$41,000,822	\$41,879,434
08-402: Louisiana State Penitentiary	\$76,716,800	\$80,148,440	\$80,844,524
08-405: Acadiana Correctional Center	\$17,838,800	\$18,328,889	\$18,844,811
08-406: Louisiana Correctional Institute for Women	\$9,407,800	\$9,704,000	\$9,751,583
08-407: White Correctional Center	\$12,988,800	\$13,671,877	\$13,671,877
08-408: Allen Correctional Center	\$12,718,800	\$13,180,820	\$13,393,820
08-409: Dixie Correctional Institute	\$18,898,800	\$20,284,368	\$20,549,046
08-412: Mark Training Facility-Merit	\$4,990,800	\$4,488,407	\$5,968,511
08-413: Elays House Correctional Center	\$17,836,800	\$28,348,940	\$19,281,431
08-414: David Wade Correctional Center	\$14,649,800	\$15,498,327	\$16,411,233
08-416: Washington Correctional Institute	\$14,659,800	\$15,923,418	\$16,897,898
08-415: Adult Probation and Parole	\$18,434,800	\$20,658,945	\$21,628,246
08-400: Office of Youth Development	\$70,794,800	\$81,784,668	\$84,289,628
08-401: Adult Community - Bond Rehabilitation	\$1,849,800	\$1,718,624	\$1,738,624
08-411: Sheriff's Housing of State Inmates	\$70,838,800	\$88,748,395	\$90,581,583
Total	\$648,264,800	\$674,520,750	\$685,899,463
21-011: Prison Enterprises - Auxiliary	\$18,954,971	\$28,046,842	\$28,046,842

Source: Supplementary information to the 4-10-99 Comprehensive Annual Financial Report (CAFR), 1997-98 Executive Budget; 1999-00 Executive Budget, General Fund Appropriations - Executive Summary, July 18, 1999.

Source: Prepared by legislative auditor's staff from data supplied by above sources.

The Prison Enterprises Program was appropriated a total of \$28,048,042 for fiscal year 1997. Prison Enterprises is an auxiliary program within the department. It operates with 100% self-generated funding and uses no funds from the state general fund. However, the legislature must still appropriate self-generated funds. Prison Enterprises' actual expenditures in fiscal year 1996 were \$24,554,937. Both the recommended funding and appropriated amount for fiscal year 1997 were \$28,048,042.

Clients and Staffing of the Department

The department's clients primarily include the inmates under the department's jurisdiction. Other users of the department's services include the institutional staff, the families of juvenile offenders, and the public.

Where applicable, Exhibit 2-2 on page 32 shows the number of offenders housed in a particular facility or participating in a particular program in fiscal year 1997. These numbers do not represent the actual number of inmates in a particular facility or program. Instead, the numbers are budgeted population averages.

As can be seen in Exhibit 2-2, the majority of the department's offenders (57%) are in Adult Probation and Parole. The Louisiana State Penitentiary is the largest adult correctional facility in the state, with 4,878 inmates. There is also a large number of offenders listed under the Office of Youth Development (OYD). This number includes juveniles housed in correctional facilities as well as those on probation and/or parole and in community-based programs. The juveniles on probation and/or parole are represented under the Field Services Program. Juveniles housed in residential and non-residential community-based programs are accounted for under the Contract Services Program.

Exhibit 2-2 also provides the number of staff positions authorized for each budget unit for fiscal year 1997. There are a total of 7,066 authorized positions for DOC with an additional 114 positions under the Prison Enterprises Program. There are no staffing figures listed for the facilities or programs that are operated by private contractors or parties outside the department.

Exhibit B-2
Summary of Offender and Staffing Information
Department of Corrections

Budget Units (Numbers/Names)	Number of Offenders Fiscal Year 1997*	Number of Authorized Staff Fiscal Year 1997*
06-400: Corrections Services - Administration	56A	179
06-401: E. Paul Philipps Correctional Center	781	361
06-402: Louisiana State Penitentiary	4,878	1,770
06-403: Angoulet Correctional Center	1,474	380
06-404: Louisiana Correctional Institute for Women	736	270
06-405: Natchez Correctional Center	1,474	56A**
06-406: Abbeville Correctional Center	1,474	56A**
06-409: Bienville Correctional Institute	1,439	480
06-410: Work Training Facility-Herib	480	118
06-413: Elays Hunt Correctional Center	1,890	778
06-414: Donald W. Wade Correctional Center	1,239	480
06-416: Washington Correctional Institute	1,640	380
06-417: Adult Probation and Parole	49,812	820
06-407: Office of Youth Development	9,387	1,111
06-458: Adult Community - Based Rehabilitation	128	56A**
06-459: Sheriff's Housing of State Inmates	10,000	56A**
Total	87,460	7,068
28-913: Prison Enterprises - Auxiliary	N/A	114

Sources: Department of Corrections Budget Book, 8-21-96 and 1996 General Appropriation Act

N/A: Not applicable

*These figures are budgeted population averages.

**These facilities and programs are operated by private contractors or parties outside the department.

Source: Prepared by legislative auditor's staff from data supplied by above sources.

Related Boards and Commission

We identified three boards and one commission that are related to the department. They are as follows:

- **Pardon Board.** R.S. 15-572.1(C) authorizes the Pardon Board to meet for the purpose of reviewing and taking action on applications for pardons pending before it and to transact other business as necessary. The board is responsible for recommending clemency relief to individuals who have shown that they have been rehabilitated and have been or can become law-abiding citizens. Clemency relief may consist of commutation of sentence, restoration of parole eligibility, pardon, and/or restoration of rights.
- **Parole Board.** R.S. 15-574.3(A)(1) creates the Parole Board. The purpose of this board is to determine the time and conditions of release on parole for all eligible adult offenders. It is also responsible for determining and imposing sanctions for violations of parole and for cooperating with the criminal justice and corrections systems. The board may also administer medical paroles and revocations.
- **Prison Enterprise Board.** Created by R.S. 15-1153, this board's purpose is to advise the secretary on all aspects of Prison Enterprises' administration.
- **American Correctional Association (ACA) Advisory Commission.** This commission is composed of representatives from the adult and juvenile systems, field staff, and administrators. Department officials stated that no enabling legislation exists for the program. The commission was created by the department to oversee, direct, and assist all units with their accreditation efforts.

Funding is recommended in the 1996/97 executive budget for the three boards listed above. The ACA Advisory Commission is not included in the 1996/97 executive budget and is also omitted from our analysis of performance data in Chapter 3. The performance of the commission may, however, be at least partially ascertained by reviewing the number of facilities and programs that achieve and maintain accreditation. This information is presented in

the executive budget through objectives and performance indicators listed under the Office of the Secretary, the Office of Youth Development's Administration Program, and the individual programs seeking accreditation.

The Prison Enterprises Board is also omitted from the performance measurement analysis in Chapter 3 of this report. This is because the board is not listed in the executive budget, and we found no other sources of performance data for the board. According to the department, funding for the board is included in the recommendation for Prison Enterprises. However, the program description for the Prison Enterprises Program in the 1996-97 executive budget does not mention the existence of the board. The OPS planning analyst for DOC stated that as a governing board, the Prison Enterprises Board should at least be mentioned in the program description.

Recommendation

- 2.1 DOC should include a description of the Prison Enterprises Board in the program description for the Prison Enterprises Program. This would help readers of the executive budget to identify the boards associated with the department.

Missions and Goals Generally Consistent With Law

All missions and goals reported in the 1996-97 executive budget are generally consistent with legislative intent and legal authority. We did not find any instances where the executive budget lists programs or activities for which there is no general legal authorization. As a result, users of the executive budget can be assured that the major program functions included in the executive budget are grounded in state law.

We reviewed the laws that govern programs within DOC to determine if the missions and goals are consistent with applicable legal authority and legislative intent. We found that all reported missions and goals are supported by state law. In addition, we found that the Louisiana Revised Statutes provide general legal authority for the existence of departmental programs, activities, and functions listed in the executive budget.

**Program
Structure Is
Different for
Adult and
Juvenile
Institutions**

The program structure presented in the 1996-97 executive budget for adult facilities differs from the program structure presented for juvenile facilities. Adult facilities are listed in the executive budget as single budget units, with each major type of institutional activity (e.g., administration, incarceration, rehabilitation, etc.) listed as an individual program. However, the presentation for juvenile facilities is different. The Office of Youth Development is listed as a budget unit, with each state-owned juvenile facility listed as a program within that budget unit. As a result, performance data for adult and juvenile facilities is not presented consistently, which may confuse readers of the executive budget.

For example, under the Office of Youth Development there are no reported objectives or performance indicators for health care. However, objectives and performance indicators are reported for health care in the adult facilities. In addition, no objectives or performance indicators are reported for the Juvenile Reception and Diagnostic Center. However, objectives and performance indicators are reported for the Adult Reception and Diagnostic Center. Finally, no specific objectives or performance indicators are reported for the juvenile boot camp program (LITE) at Tallahassee. However, they are reported for the comparable adult boot camp program (IMPACT) at Hays Hunt Correctional Center.

Having two different program structures for adult and juvenile facilities may have an effect on whether or not performance data is presented consistently for all programs. According to *Admanagers*, agency program structures may be changed. However, both OPE and the Legislative Fiscal Office must approve the revisions. The legislature may also modify an agency's program structure during the appropriation process. For fiscal year 1994-95, DOC, with the concurrence of OPE, proposed a budget structure that listed Adult Institutions (Adult Services) within a single budget unit. The proposal listed each state-owned correctional facility as a separate program under that budget unit. This format was published in the executive budget for that year and included in the appropriation bill. However, the legislature amended the program structure to the format shown in the 1996-97 executive budget during the appropriation process.

Department officials stated that the program structure for adult facilities does not reflect the actual program operations of the department. The department prefers the program structure used for juvenile facilities, which identifies each facility as a program.

According to a QASB official, there is no ideal program structure for program budgeting. However, he said that the program structure should be logical and include measures for performance. In addition, *Aswogrower* states that a program structure is an orderly logical array of programs and activities that indicates the relationship between such. In addition, according to R.S. 28:3041, for each budget unit there shall be detailed statements that include an outline of the agency's program structure. This law says that this must specifically include an itemization of all programs with a clear description of the objective or objectives of each program.

Regardless of the program structure, agency officials are responsible for developing performance data to communicate effectiveness and efficiency at the functional level. They should communicate with OPB and legislative staff to discuss the most effective and logical way to present this information. They should also ensure that consistent data are reported for both adult and juvenile facilities.

Recommendation

- 2.2 DOC should work with OPB staff, members of the Legislative Fiscal Office, and House Appropriations Committee staff to determine the most appropriate program structure for the department. Regardless of the program structure used, consistent performance data should be reported for adult and juvenile facilities at the functional level.

Some Programs and Entities Should Be Further Reviewed for Potential Overlap and Duplication

We identified three areas that may require additional study related to the potential for overlap and duplication. If overlap or duplication exist, the department may be using more resources than necessary to provide and coordinate certain services. In addition, DOC officials and legislators may be making funding decisions related to corrections without full knowledge of the types of and interaction among various correction services. Based on our analysis, we did not identify any instances of potential redundancy.

We reviewed the 1996-97 executive budget and legal authority for the department's programs and related boards and commissions to identify areas that appear to be overlapping, duplicative, or outdated. We also reviewed the department's 1996-97 Sunset Review Budget Request Supplement (BRSS) forms and conducted interviews with departmental officials and personnel. We defined these terms as follows:

- **Overlapping:** instances where two or more programs appear to perform different activities or functions for the same or similar purposes
- **Duplicative:** instances where two or more programs appear to conduct identical activities or functions for the same or similar purposes
- **Outdated:** those programs, activities, or functions that appear to be outdated or are no longer needed

We did not conduct detailed audit work on the areas we identified as potentially overlapping and duplicative. We only identified these areas for further review.

Also, in our analysis, we did not include similar services or programs that are provided in each adult and juvenile correctional institution. These institutions are all authorized by the legislature and required to provide certain basic services (e.g., administration, incarceration, rehabilitation, and health services) in all inmates to comply with constitutional or statutory provisions, accreditation standards, or court mandates. Therefore, we limited our analysis to programs other than those described above and the related boards and commission. That is, we did not include cases where one type of program is replicated throughout the various correctional centers.

Potential Overlap and Duplication May Exist Among DOC Programs, Boards, and Commissions

Based on our review of the executive budget and legal authority, we found that the potential for overlap and duplication may exist among certain functions of some DOC programs and its boards and commission in the following three areas:

- Administration
- Food Services (procurement)
- Notification of Crime Victims and Their Families

Area 1: Administration. We found that the following three programs within the Corrections Services - Administration budget unit are responsible for providing administration and support.

- **Office of the Secretary (Program A):** R.S. 30-404 states that one function of the office is to make, alter, and promulgate rules and regulations necessary for the administration of the functions of the department.
- **Office of Management and Finance (Program B):** According to the executive budget, the mission of OMF is to provide administrative management support and direction for the department.
- **Adult Services (Program E):** According to the executive budget, the mission of Adult Services is to provide administrative oversight and support of the operational programs of the adult institutions.

In summary, these three programs may overlap because they all deal with administration for Corrections Services. DDC officials stated that the Office of the Secretary has policy-making functions and promulgates rules. In comparison, the Office of Adult Services is responsible for the day-to-day management of the department's programs. However, if these programs do overlap, DDC may be using more resources than necessary to provide for administration. In addition, department officials and legislators may be making funding decisions related to administration of the functions of Corrections Services without full knowledge of the interaction among these programs.

Area 2: Food Services (procurement). We found that the following programs are both responsible for food services:

- **Office of Management and Finance (Program B):** According to the executive budget, the mission of OMF is to provide administrative management support and direction for the department, including food services and procurement.

- **Prison Enterprises Program:** R.S. 15-1153 states that the program shall operate to utilize the resources of the department in the production of food, fiber, and other necessary items used by the inmates in order to lower the cost of incarcerating the inmates. According to department officials, the Prison Enterprises Program is also responsible for food procurement for the department.

If necessary, these programs may overlap in that they both deal with food services. According to DOC officials, Prison Enterprises is geared toward food production through its industries program. They said that Prison Enterprises produces the food (livestock), and the institutions purchase the food directly from Prison Enterprises or through OMF. DOC officials said they do not see a potential for overlap with these procurement services. They said that it is a coordinated effort.

However, if these services do overlap, the state may be using more resources than necessary to administer food services and procure food for correctional institutions in the state. In addition, department officials and legislators may be making funding decisions related to food services and food procurement without full knowledge of the interaction among OMF and the Prison Enterprises Program.

Area 3: Notification of Crime Victims and Their Families. We found that the following two programs and one bureau within the Corrections Services - Administration budget unit all deal with the notification of crime victims and their families.

- **Office of the Pardon Board (Program C):** R.S. 44-304(C) states that the Board of Pardons or the Board of Parole, respectively, shall notify the victim or the victim's family that a hearing has been set for the inmate convicted of the crime against the victim.
- **Parole Board (Program D):** R.S. 46-1844(D) states that the Board of Pardons or the Board of Parole, respectively, shall notify the victim or the victim's family that a hearing has been set for the inmate convicted of the crime against the victim.

- **Crime Victims Services Bureau:** R.S. 46:1844(A)(7) states that the bureau shall publicize and provide a way for crime victims and their family members to be kept informed about parole board or pardon board hearings.

In summary, the notification function within these two programs may be duplication and may overlap with the notification function of the bureau. Department officials stated that the victims have to state in writing that they wish to be notified upon movement of the offender. They also said that if duplication is occurring, it would not be a bad thing, because the department would not want to risk the possibility of someone not being notified. If their functions do overlap, however, DOC may be using more resources than necessary for the notification function. In addition, DOC officials and legislators may be making funding decisions related to the notification of crime victims and their families without full knowledge of the interaction among these programs and this bureau.

The DOC Undersecretary for Corrections is responsible for identifying programs that should be modified or eliminated. K.S. 36-8 provides that the undersecretary shall have the power to review and evaluate department programs to determine whether the program should be modified or eliminated and what specific changes, if any, should be made in the program. According to this statute, the undersecretary could evaluate the areas discussed in this section and make changes if necessary.

Recommendation

- 1.3 **DOC officials should investigate the areas of potential overlap and duplication identified in this chapter to determine if overlap or duplication is occurring unnecessarily. According to R.S. 36-8, the Undersecretary of Corrections could oversee such investigations.**

Matter for Legislative Consideration

- 2.1 The legislature may wish to consider directing the Performance Audit Division or other staff to conduct additional work related to areas of possible overlap and duplication within DDC.

Chapter 3: Analysis of Performance Data

Chapter Conclusions

Overall, the performance data reported in the fiscal year 1996-97 executive budget do not communicate complete and useful information about the performance of DOC's programs. This is because the performance data, as a whole, lack critical elements. We found that:

- We could not identify missions and goals for most programs listed in the executive budget. As a result, users of the executive budget may not have sufficient information to determine the program's purposes, clients, and desired outcomes. However, of the missions reported, almost all meet the established criteria.
- The majority of reported objectives are not measurable, and none are timebound. Therefore, it is not possible to determine progress made toward specific targets of accomplishment.
- Although the performance indicators reported provide some useful information, most cannot be used to measure progress toward the stated objectives because most objectives do not establish measurable, timebound performance standards. However, almost half (48%) of the performance indicators are outcome indicators, which is the most important type of indicator.

Because of the deficiencies mentioned above, the objectives and performance indicators collectively do not provide complete information for decision-making purposes. Therefore, the legislature may not have sufficient information with which to judge overall performance of the department's programs.

In addition, the 1996-97 executive budget does not contain comprehensive performance data for all major DOC programs and activities. The program structure may have an effect on whether or not performance data are reported in the budget for all programs and activities.

**Analysis
Conducted**

We analyzed the performance data reported in the program information volumes of the 1996-97 executive budget for DOC. As stated in Chapter 2, we identified a total of 37 budget units and 69 programs in the executive budget. Although there are 69 programs listed, only 57 have performance data reported. The Auxiliary Programs listed under each state operated adult correctional facility do not contain performance data. The lack of performance data for these programs is discussed on pages 63 and 64 of this chapter. Appendix C provides a list of all performance data reported in the executive budget.

We identified 28 missions and 18 goals included in the executive budget for DOC's budget units and programs. We gave the department and CMB an opportunity to identify missions and goals in the executive budget where they are not clearly labeled as such. The missions and goals reported in the executive budget are included in Appendix C. We also identified 76 objectives and 138 performance indicators.

We evaluated the missions, goals, objectives, and performance indicators against a set of established criteria. We used *Management* and consulted with various experts to develop these criteria. The criteria used in our evaluation are described in Exhibit 3-1 on the next page. Our evaluation included determining whether the objectives and performance indicators collectively provide information suitable for external reporting and budgetary decision making. Our evaluation also examined whether the executive budget provides useful information that would enable a legislator or other reader to understand each program and make related budgetary decisions. Appendix C shows how the performance data compares to the criteria outlined in Exhibit 3-1.

Exhibit 3-1
Criteria Used to Evaluate Performance Data Included
in 1996-97 Executive Budget

MISSION: A broad, comprehensive statement of purpose

- ✓ Identifies overall purpose for the existence of the organization, department, office, institution, or program as established by constitution, statute, or executive order
- ✓ Identifies clients/customers of the organization or external and internal users of the organization's products or services
- ✓ Organizationally acceptable

GOAL: The general end purpose toward which effort is directed

- ✓ Consistent with department, program, and office missions
- ✓ Provides a sense of direction on how to address the mission; reflects the destination toward which the entity is striving

OBJECTIVE: A specific and measurable target for accomplishment

- ✓ Consistent with goals
- ✓ Measurable
- ✓ Timebound
- ✓ Specifies desired end result

PERFORMANCE INDICATOR: Tool used to measure performance of policies, plans, and programs

- ✓ Measures progress toward objective or contributes toward the overall measurement of progress toward objective
- ✓ Consistent with objective
- ✓ Clear, easily understood, and non-technical

Source: Prepared by legislative auditor's staff based on input from Management, OARS, the Federal Office of Management and Budget, and the Urban Institute to show criteria used to evaluate the department's performance data.

Reported Missions Are Useful, But Few Are Reported

The Majority of Programs Listed in 1994-97 Executive Budget Do Not Have Missions Reported

For the 17 budget units and 46 programs reported in the executive budget, we were able to identify only 28 missions. All budget units have easily identifiable missions, with the exception of the Division of Probation and Parole and CYD. These two missions were identified for us by department officials. Of the 28 missions, almost all meet the established criteria. However, only 11 of the 46 programs have missions reported in the executive budget. Without missions for each program, users of the executive budget may not be able to determine the programs' purposes and the persons who are intended to benefit from the programs' services.

We asked DOC officials about the lack of program missions. They stated that the missions were originally developed through the strategic planning process at the budget unit level and not the program level. The exception is CYD, whose units are synonymous with programs. For adult facilities, department officials said that each budget unit should be a program, and the budget unit level is where the missions should be collected. They also said that since the missions generally encompass most of the items currently listed as programs in the budget, they could perhaps provide a mission at each program level. However, they stated that this is unnecessary and would be redundant in terms of the executive budget.

American Correctional Association (ACA) standards require mission statements for each adult and juvenile institution. These missions are reported in the executive budget. However, as mentioned previously, missions are not reported for each program within the institutions. According to the CPM planning analyst for DOC, if a department has only one program, the program does not need its own mission and goals. The analyst said that in this case, it is assumed that the program's mission and goals are the same as the department's. Moreover, she states that in a small department with only one program, the department and program mission will be the same. However, the CPM analyst said that if there is more than one program within the department, each program should have a separate mission and goals, even if they are redundant.

In contrast, according to the Director of the State and Local Government Research Program of the Urban Institute and the Assistant Director of Research at GASB, it may not be necessary for all programs within an agency to have missions. They said this is especially true if the programs have useful goals and objectives.

However, useful and complete goals and objectives have not been established for DOC's programs. As noted in the following sections, the majority of the budget units and programs do not have goals. Also, the objectives for DOC's programs lack critical elements. Hence, the performance data in the 1996-97 executive budget may not be complete enough to warrant the lack of missions for each program. Therefore, it is important for DOC and OPR to work together to develop, at a minimum, useful and complete goals and objectives for the department's programs. Once these goals and objectives are in place, there may not be a need for each program to have a mission.

Missions That Are Reported in Executive Budget Provide Useful Information

We found that the majority of missions that are reported in the 1996-97 executive budget meet all aspects of the criteria listed in Exhibit 3-1. Of the 28 missions that are reported:

- (1) all 28 (100%) identify the overall purpose for the existence of the budget unit or program as established by constitution, statute, or executive order;
- (2) 27 of 28 (96%) identify the client or customer of the budget unit or program as external and internal users of the budget unit or program's products or services; and
- (3) all 28 (100%) are organizationally acceptable. That is, DOC agrees that these missions, as stated, are accurate and acceptable to the department.

The only mission we identified that does not identify the program's clients is the mission for the Administration and Support Program within the Division of Probation and Parole budget unit. The mission for the Administration and Support Program is as follows:

To provide management directions, guidance and coordination as well as to provide the administrative support services necessary for all operational needs. To carry out this mission, the program provides quality administration, policy development, financial management and leadership.

This mission identifies the overall purpose for the existence of the program: to provide management direction, guidance, and coordination, and to provide the administration support services. We concluded that the mission is organizationally acceptable because the same mission statement is included in the department's operational plan. However, the mission does not identify the users of the program's services. The implied user is the Division of Probation and Parole, although the statement does not specifically mention the division. To provide clear and complete information to legislators and other readers, the program's clients should be identified in the mission.

In contrast, the mission listed in the executive budget for the Prison Enterprises Program meets all three of the established criteria. Therefore, it provides complete and useful information to users of the executive budget. The mission for the Prison Enterprises Program is as follows:

To reduce the overall costs of prison operations and operating costs of other state agencies, local government entities, and tax-supported institutions by operating self-supported industrial and agricultural businesses, which employ offenders in meaningful jobs, teach marketable skills and good work habits, and provide quality, cost-effective products and services.

This mission is consistent with the overall purpose of Prison Enterprises set forth in R.S. 15:1153. The users of Prison Enterprises' services are identified as state agencies and local entities, the department, and inmates. We could not determine whether the mission is organizationally acceptable by reviewing the department's operational plan because the program is not included in the operational plan. However, the mission is included in the department's *Directory Book* and is labeled as the mission in that document. It is also reported in the 1997 and 1998 executive budgets. Therefore, we concluded that it is organizationally acceptable.

Another example of a mission that is comprehensive enough to provide useful information for decision-making purposes is the overall mission reported for DOC. This mission also means all citizens against which we compared it. The mission of the department is:

To provide for the custody, control, care and treatment of adjudicated offenders through enforcement of the laws and implementation of programs designed to ensure the safety of the public, staff, and inmates, and reintegrate offenders into society.

This mission clearly identifies the purpose of the department: to provide for the custody, control, care, and treatment of adjudicated offenders. It also identifies the department's clients: the public, departmental staff, and inmates. We have concluded that this mission statement is also organizationally acceptable (i.e., that DOC knows this is its mission and agrees with it) because it is the same as the mission included in the department's operational plan. Therefore, this mission provides information that would allow legislators to make informed decisions regarding the department.

Since the majority of the missions reported for DOC in the executive budget satisfy all elements of the criteria, they generally provide information that can be useful to legislators and other users of the executive budget. That is, these missions identify the purposes of the programs and the programs' internal and external clients. These missions are also acceptable to the department. With useful and complete mission information such as this, legislators can make informed budgetary decisions regarding the programs.

Recommendation

- 3.1 DOC staff should work with OPE staff to determine whether each program in the executive budget should have a mission. An advantage of reporting a mission for each program is that it would provide useful information regarding each program's purpose and clients. The department could use other sources of information, such as the operational plan, Master Plan, *Swigley Book*, or other sources to develop these missions. DOC and OPE staff should also ensure that all missions are clearly identified and labeled as such in future editions of the executive budget. In addition, they should review all missions to ensure that they meet all criteria listed for missions in Exhibit 3-1.

**Goals Need
Improvement****The Majority of Budget Units and Programs in
1996-97 Executive Budget Do Not Have Goals
Reported**

For the 89 budget units and programs we reviewed, we identified only 18 goals reported in the executive budget. These 18 goals are reported under three budget units and three programs. Without identifiable goals, it may not be possible for legislators and other readers to determine what the programs are intended to accomplish.

According to *Managersware*, each department and program should have at least one goal. In addition, the ACA standards require the agencies to formulate goals for each institution and to translate them into measurable objectives. Also, R.S. 24:522(D) requires all state agencies to develop goals for each of their programs. Goals are important because they describe the desired end results for programs and set the desired levels of performance. They are needed to provide a basis upon which to develop objectives and indicators. Legislators may not be able to make informed budgetary decisions regarding the programs without clearly defined program goals.

**Many Goals Reported in Executive Budget Need
Improvement**

Many of the goals that are reported in the 1996-97 executive budget lack critical elements. We could not determine how many of the goals relate to the program, institutional, or departmental missions. Also, 50% of the goals do not identify a clear destination toward which the organization is striving. Without these elements, a reader may not be able to determine the ultimate aim of the program.

Based on a comparison of the 18 reported goals to the established criteria, we found that:

- Eleven (81%) are consistent with the department's mission. The remaining 7 goals (50%) do not clearly state how the goals relate to the program, institutional, or departmental missions.
- Only 8 goals (48%) provide a sense of direction as to how to address the mission. The remaining 10 goals (72%) do not contain enough information to enable a reader to identify a clear agency destination.

In this section we discuss goals reported for Ellyn Hunt Correctional Center (EHCC) and the Blue Waters Substance Program as examples. Nine goals are listed under the EHCC budget unit as the overall goals for the facility. These goals are as follows:

1. Enhance management style and visibility by being approachable throughout all areas of the facility to the staff and inmates alike
2. Work towards funding the Skilled Nursing/Mental Health Unit through the capital outlay process
3. Move toward completion of capital outlay projects (such as major repairs, kitchen equipment, locking mechanisms, isolation ponds, and the Security Hardware Project)
4. Stabilize information systems
5. Maximize utilization of vegetable products
6. Complete Wellness Center for employees
7. Provide administrative support for Unit 6
8. Expand education programs to include implementation of the Job Skills Educational Program (JSEP) with emphasis placed on IMPACT
9. Enhance staff development, especially to supervisory personnel, through inservice training and self development

It is not clear how seven of these goals (#1, #3, #4, #5, #6, #7, and #9) relate to EHCC's institutional mission or the department's overall mission. Also, only two goals (#2 and #8) clearly address the institution's mission. That mission is to provide a controlled correctional environment in a professional manner to

as to protect the safety of the general public, the surrounding community, staff, and offender population, and to provide each inmate the opportunity to become a successful citizen upon release through the provision of an assessment of assessment, diagnostic, work, educational, self-help, discipline, medical, mental health and social programs. These two goals address the institution's mission to provide treatment and educational opportunities for offenders. The other seven goals do not explain how they fit in with or clarify the institution's mission or the overall departmental mission.

Also, only one of EHCC's goals (88) provides a sense of direction on how to address the mission and reflects the destination toward which the institution is striving. That goal is to expand education programs to include implementation of JSEP with emphasis placed on IMPACT. Part of EHCC's mission is to provide educational programs for inmates. It is clear that implementing the JSEP program will help address that mission. The other eight goals do not reflect the institution's or department's destination.

Blue Waters, a substance abuse program at DCI, is the only program reported under the adult state-operated institutions that contains a clearly identifiable goal. The goal for this program is as follows:

To reduce recidivism through a structured program of substance abuse intervention, education, and rehabilitation.

In contrast to the EHCC goals, this goal satisfies all criteria against which we compared it. It is consistent with the overall departmental mission as well as the institution's mission. The overall mission for the department, as well as the institutional mission, includes providing treatment for adjudicated offenders. The goal for Blue Waters describes how to address these missions through a structured program of substance abuse intervention, education, and rehabilitation. The program's destination is the reduction of recidivism. This goal enables users of the executive budget to understand the direction in which the program is going and the end results that are expected from the program.

As previously stated, *Management* states that the department should develop goals for each of its programs. In the 1990-97 executive budget, there are ten-five goals reported to enable legislators to determine the strategic direction of the various programs.

Recommendation

- 3.2 BOC staff should work with OPE staff to develop program goals that will enable the legislators and others to determine what BOC's programs are intended to accomplish. To help develop these goals, the department should review other sources of information that already contain goals for its programs. BOC and OPE staff should also work together to ensure that all program goals are clearly identified and labeled as such in future editions of the executive budget and that they meet all criteria listed in Exhibit 3-1.

Most Objectives Do Not Set Performance Standards**Only Five Percent of Objectives Reported in the 1996-97 Executive Budget Are Measurable; None Are Timely**

None of the programs listed in the 1996-97 executive budget have objectives that collectively provide legislators or other readers with adequate information to make informed budgetary decisions. In every case, program objectives collectively fail to set performance standards or targets for all of the programs' goals. Also, none of the objectives set time frames for accomplishment of the desired results.

Department officials stated that there are no target dates set for the accomplishment of objectives in most cases because the department's objectives generally relate to the continuous provision of a high level of services. They said that many of the public safety aspects are difficult to quantify and measure. Indicators such as escapes, disturbances, and assaults, for example, are unpredictable and are not always correlated to the amount of resources allocated. Department officials also stated that establishing target levels and time frames for accomplishment for most of the objectives would be unrealistic and misleading.

However, according to *Measures*, an objective must be measurable in order to determine when it has been achieved. In addition, as previously mentioned on page 38 of this report, the ACA standards require goals and measurable objectives for each adult and juvenile correctional institution. According to ACA, measurable objectives facilitate the process of program review, monitoring, and evaluation. Each objective should also be achievable within a reasonable time period. Actual program performance cannot be ascertained without standards against which to measure the effectiveness, efficiency, or success of the programs. Objectives are steps for achieving long-term goals. Therefore, they should include a time frame for determining when each step in reaching those goals has been achieved.

A total of 76 objectives are reported for 57 of the 66 programs listed in the executive budget. No objectives are listed for the Auxiliary Programs at the nine state-operated adult correctional facilities. We compared the 76 objectives to the criteria listed in Exhibit 3-1 and found that:

- All of the objectives (100%) are consistent with the departmental, budget unit, or program goals.
- There are no measurable performance standards for 32 of the 76 objectives (42%). The remaining four objectives that only direct programs to meet quality standards or statistical targets set by outside sources (e.g., federal consent decrees, state legislation, or the American Correctional Association) can be measured.
- None of the objectives set a time frame for accomplishment of desired results.
- All of the objectives (100%) specify one or more desired end results.

Only Four (5%) of the 76 Reported Objectives Are Measurable

Although we found that four of the objectives reported in the 1996-97 executive budget set measurable performance standards, the majority (95%) do not. These 72 objectives do not allow a reader to determine whether desired levels of performance have been achieved.

The four objectives in the executive budget that do include measurable performance standards for achievement are those with standards set by external sources. These objectives are listed in Exhibit 3-2 that follows.

Exhibit 3-2
Objectives That Set Measurable Performance Standards
Department of Corrections

Objectives	Budget Title and Program
1. The Office of the Secretary will achieve and maintain American Correctional Association (ACA) accreditation department-wide. In so doing, it is the intent of the department to demonstrate that the department can prove itself without the federal court's continued supervision.	Corrections Services - Administration, Program A: Office of the Secretary
2. The Office of the Secretary will continue to assure the department's compliance with federal consent decrees governing the state's adult and juvenile correctional systems and will continue to seek modifications of federal court mandates.	Corrections Services - Administration, Program A: Office of the Secretary
3. The Adult Services Program will continue to: (a) maintain the consent decree prison population limitation and (b) maintain ACA accreditation of all adult correctional institutions.	Corrections Services - Administration, Program E: Adult Services
4. The Administration Program will assure maintenance of ACA accreditation standards for juvenile service programs and institutions; attain ACA accreditation for LTI, juvenile regional offices, and juvenile community residential centers and day-treatment programs.	Office of Youth Development, Program A: Administration

Source: Prepared by legislative auditor's staff using information from the 1996-97 executive budget.

The accomplishment of these four objectives that seek accreditation or compliance with federal consent decrees can be measured. That is, either the facilities are in compliance with ACA accreditation standards and federal consent decrees or they are not.

These objectives refer to compliance with clearly defined national standards. The standards for accreditation address services, programs, and operations essential for good correctional management. They include administrative and fiscal controls, staff training and development, physical plant, safety and emergency procedures, sanitation, food service, rules and discipline, and a variety of subjects that comprise good correctional practice. Compliance with ACA standards or judicial mandates can be measured.

None of the Reported Objectives Set Time Frames for Accomplishment of Desired Results

According to *Management*, a time frame for meeting objectives should be specified. Each objective should be attainable within a reasonable time period. The majority of objectives state that the department will continue to provide certain services, but there is no specific time frame stated for any objective.

DCC may have difficulty attaching a specific time frame for achieving some objectives because the majority of objectives are very broad statements that describe long-term results. Because of this, the objectives are actually more consistent with the criteria established for goals. According to *Management*, goals are broad, general statements of long-range and purposes, whereas objectives are specific, quantified, time-bound statements of accomplishments or outcomes.

Recommendation

- 1.3 DCC should work with OPR and House Appropriations Committee staff to develop specific objectives that are consistent with the goals and that set measurable performance standards or targets for accomplishment. The objectives should also include specific time frames for accomplishment. It is important to develop specific, measurable, timebound objectives so that progress made by the program toward targeted levels of accomplishment is communicated.**

**Most
Performance
Indicators
Provide Some
Useful
Information But
Cannot Measure
Progress Toward
Deficient
Objectives**

Overall, the performance indicators reported in the 1996-97 executive budget for the department provide some useful information. The performance indicators are consistent with the objectives and are easy to understand. However, only a small percentage of them measure progress toward the stated objectives. This is because the majority of the objectives do not set measurable standards. When performance indicators do not measure progress toward objectives, they do not communicate how well a program did what it was supposed to do. As a result, users of the executive budget may not be able to determine how effectively or efficiently a program is achieving its objectives.

We assessed 558 performance indicators reported for DOC. We found that only 8 (approximately 1%) measure progress toward the objectives. The remaining performance indicators cannot be used to measure progress toward stated objectives. However, we did find that all of the performance indicators broadly relate to the objectives, and the majority (536 or 96%) are clear, easily understood, and non-technical.

Majority of Reported Performance Indicators Have Measurable Components

It should be noted that 509 (90%) of the performance indicators have measurable components. That is, for the most part, they are quantifiable. However, these performance indicators still do not measure progress made toward the stated objectives because the objectives are not measurable. If the objectives included specific targets for accomplishment, the performance indicators may measure progress toward them.

The remaining 47 (8%) performance indicators do not measure progress made toward the stated objectives, and would not, even if the objectives contained measurable components. This is because these indicators do not contain measurable components. Although performance indicators without measurable components might provide some useful information, they cannot be used to measure progress toward objectives. As a result, readers of the executive budget may not be able to determine if the DOC programs are accomplishing their objectives.

Recommendation

- 3.4 DOC should work with OPI and House Appropriations Committee staffs to develop improved performance indicators for inclusion in future editions of the executive budget. The performance indicators should, at a minimum, be consistent with the stated objectives, measure progress made toward those objectives, and be clear, easily understood, and non-technical. The staffs should also ensure that outcome indicators are reported for all objectives. Providing this information should help legislators make funding decisions by showing whether or not expected results are being achieved.

Ninety-Four Percent of Reported Performance Indicators are Clear, Understandable, and Non-technical

Only 32 (8%) of the reported performance indicators reported are deficient in this area. We noted the following types of problems for these 32 indicators:

- **Technical terms are undefined.** For example, under the Field Services Program within Adult Probation and Parole, two indicators are stated as follows: "sanctuary addendums" and "supervision assistance requests." These two indicators are difficult to understand. A reader unfamiliar with the various types of investigations may not understand the meaning of the terms "sanctuary addendum" and "supervision assistance request" without the help of notes that explain their meaning. These terms should be defined so readers can better understand the program's activities.
- **Additional information is needed to explain the indicators.** For example, one of the reported indicators is the "number of apprehensions." This indicator is reported under the Incarceration Programs within the state-operated adult institutions and under both Purchase of Correctional Services Programs within the privately managed adult institutions. It is also reported for all state-operated

juvenile institutions and for the Contract Services Program under DYD. The indicator may imply that the department is solely responsible for apprehending escapees. However, department officials stated that nondepartmental resources, such as federal, state, and local law enforcement agencies also play a role in the apprehension of escaped inmates. Therefore, it would be helpful to include an explanatory note to inform readers that outside resources also contribute to this activity. *Management* recommends reporting explanatory information with performance indicators to put them in the proper context.

Various Types of Performance Indicators Are Reported

Mix of Indicators Reported in 1996-97 Executive Budget

Exhibit 3-3 below shows the types of performance indicators reported in the 1996-97 executive budget for DOC. The five types of performance indicators are described in Chapter 3.

Exhibit 3-3
Types of Performance Indicators Reported in
1996-97 Executive Budget for
Department of Corrections

Type of Indicator	Number of Indicators Reported	Percentage of Total
Input	187	19%
Output	123	21%
Outcome	287	48%
Efficiency	48	8%
Quality	7	1%
Explanatory	11	2%
Total	666	100%

Source: Prepared by legislative auditor's staff based on information in 1996-97 executive budget.

As shown in Exhibit 3-3, there is a mix of indicator types reported for DOC's programs. This is important because, according to *Advantage*, performance indicators should be balanced and should include several types of measures. In addition, Act 1465 of 1997 requires each department to engage in strategic planning. This act, which amends R.S. 39:31, also requires specific and measurable performance indicators for each objective, which, at a minimum, include indicators of input, output, outcome, and efficiency. GASB also stresses the need for a mix of the different types of indicators to be reported. If a mix of indicators is not reported, users of the budget will not have complete information on program performance. We encourage DOC to continue developing and OPO to continue reporting indicators of all types.

We commend the agency for developing numerous outcome indicators. As shown in Exhibit 3-3, 48% of the department's performance indicators are outcome indicators. According to *Advantage*, outcome indicators are the most important type of performance measure because they show whether or not expected results are being achieved. They provide information that helps users of the executive budget determine how effectively the programs are performing. When outcome indicators are reported for each objective, legislators have more meaningful performance information to help them make informed budgetary decisions regarding the department's programs.

Explanatory Information Reported

We also noted that there is various explanatory information reported in the executive budget. Explanatory notes are provided for 53 of the 76 reported objectives. We identified only one set of indicators for which explanatory notes may be needed but are not reported. These indicators are the "number of apprehensions," which are mentioned on page 58. Explanatory notes would help put these performance indicators into proper context.

GASB recommends reporting explanatory information with performance indicators. According to GASB, explanatory information should be grouped into two categories:

1. Elements substantially outside the control of the public agency, such as demographic characteristics
2. Elements over which the agency has significant control, such as staffing patterns

Explanatory information helps readers understand the environment within which the service is delivered and the factors that may affect the results of that service. According to *Management*, explanatory information should be included in order to put results in context.

Four Items Reported as Performance Indicators Are Not Actually Performance Indicators

As shown in Exhibit 3-3, we identified 358 performance indicators in the executive budget. Four additional items were reported in the executive budget as performance indicators. However, we did not analyze these four items as performance indicators. They appear to be strategies because they describe methods used to accomplish the reported objectives. These four items are listed in Exhibit 3-4 below.

Exhibit 3-4
Items Reported as Indicators in 1996-97 Executive Budget That Appear to Be Strategies
Department of Corrections

Budget Unit/Program/ Objective	Items Reported As Performance Indicators	Reported Indicator Types
Corrections Services - Administration/Program D: Parole Board/Objective #1	1. Implementation of a videoconferencing program	Listed as efficiency indicator in the executive budget
David Hall Correctional Center/Program D: Health Services/Objective #1	2. Telemedicine demonstration project	Listed as efficiency indicator in the executive budget
Office of Youth Development/Program A: Administration/Objective #4	3. Job Skills Education Program (JSEP) grant	Listed as outcome indicator in the executive budget
Sheriff's Housing of State Inmates/Program B: Sheriff's Housing of State Inmates/Objective #1	4. Release Parole Prison Work Release Program	Listed as outcome indicator in the executive budget

Source: Prepared by legislative auditor's staff based on information from 1996-97 executive budget.

Presentation of Some Performance Indicators Is Confusing

Eight percent (43) of the 538 indicators reported in the 1996-97 executive budget are reported in a narrative format as opposed to table format. These narrative indicators are reported along with additional explanatory information. Although the explanatory data are helpful for putting the indicators in proper context, it is difficult to distinguish between the performance indicators and the explanatory data. As previously mentioned, OASB recommends that explanatory data be included with the performance indicators and states that agencies should be able to include narrative explanations for performance that varies significantly from expectations. However, OASB recommends that the indicators be presented clearly, in a comprehensive table format, with explanatory data included at the end of the table.

The large amount of explanatory data included with the performance indicators may be confusing to readers of the budget. Users of the executive budget may not be able to determine what the individual performance indicators are and, consequently, whether the department's objectives are being met. OASB states that because there are a great number of explanatory factors applicable to any service, and because their relationships to the indicators may not be clear, readers should not be overloaded with too much information. To minimize confusion for the reader, agency officials should determine whether all of the information should be reported externally. Some of the explanatory information might be better suited for internal reporting only. In addition, the information should be presented in a format that clearly identifies the individual performance indicators. OASB recommends that performance indicators be listed in tabular format, one of the more common reporting formats.

Recommendations

- 3.5 **DOC officials should work with OPE and the House Appropriations Committee staffs to further clarify the performance indicators that are lacking essential elements. The indicators should be consistent with and measure progress toward the stated objectives. DOC should also work with OPE and House Appropriations Committee staffs to ensure that outcome indicators are reported for all objectives. In**

addition, explanatory information should be included where appropriate. Providing this information should help legislators make funding decisions by showing whether or not expected results are being achieved.

- 3.6 To help readers identify all performance indicators, DOC and OFB staff should work together to develop a clear, concise format in which to present the indicators. The indicators should be presented in a format that is easily understood by House Appropriations Committee members and staff, as well as other users of the executive budget. GASB recommends reporting indicators in tabular format.
- 3.7 To minimize the amount of unnecessary information included in the executive budget, DOC officials should work with OFB staff, with input from the House Appropriations Committee staff, to determine what information is suitable for external versus internal reporting.

1996-97 Executive Budget Does Not Contain Comprehensive Performance Data for All Major Programs and Activities

Several of the major programs that are listed in the 1996-97 executive budget are not supported by meaningful objectives and performance indicators. These include the Auxiliary Programs, the Sheriff's Housing of State Inmates Program, and the Prison Enterprise Program. In addition, several activities within the privately operated adult institutions and the Office of Youth Development do not have meaningful performance data reported. Without adequate performance data for these programs and activities, the legislature may be unable to make informed budgetary decisions related to them.

No Performance Data Reported for Auxiliary Programs

No performance data are reported for the Auxiliary Programs in the state-operated adult correctional facilities. As stated in Chapter 2, the Auxiliary Programs comprise the Inmate Canteen Funds. The programs are administered as a service to inmates and are listed as Auxiliary Programs for all adult facilities except the two privately managed adult prisons. According to the executive budget, each fund receives money on behalf of inmates,

who may use their accounts to purchase consumer items from the institution's canteen. The total recommended funding listed in the 1996-97 executive budget for the Auxiliary Programs is \$5,450,000. The programs operate with 100% self-generated funding.

The OPB planning analyst for DOC stated that the Auxiliary Programs are set up to manage money for the inmates, so they do not need performance data. However, according to R.S. 24:522(D), all state agencies are required to develop specific goals and objectives for each of their programs to include measures of performance. In addition, for strategic plans, R.S. 39:51(C)(8) requires specific and measurable performance indicators for each objective. Therefore, the department is required to develop performance data for these programs. Because of these laws, department officials stated that they are working to develop performance data for the Auxiliary Programs.

According to the OPB planning analyst, OPB is considering including the Auxiliary Program functions under the Incarceration Programs, to be listed as activities instead of separate programs. If this change is made, the provisions of R.S. 24:522(D) will no longer apply because the canteen funds will no longer be programs. However, if they remain as programs in the executive budget, the department will have to develop objectives and performance indicators, according to the laws. If performance data are not really needed for the Auxiliary Programs, it might be appropriate to include a notation in the executive budget explaining that, because of the nature of the programs, performance information is not necessary, even though state law requires it.

Recommendation

- 2.B If the canteen funds are left as Auxiliary Programs in the executive budget, DOC and OPB staff should work with the House Appropriations Committee staff to develop performance data for them in order to comply with R.S. 24:522(D) and R.S. 39:51(C)(8) or include a notation in the executive budget explaining why these programs do not have performance data reported. Alternatively, as suggested by the OPB planning analyst, the canteen funds could possibly be incorporated into the Incarceration Programs, thus eliminating the need for performance data to be reported for them as programs.

Incomplete Performance Data Reported for Sheriff's Housing of State Inmates Program

The 1996-97 executive budget reports only limited performance data for the Sheriff's Housing of State Inmates Program. According to the executive budget, the average total number of offenders housed per day in parish and local jails is 8,518. The department pays the local sheriff's \$21 per day per inmate to house adult state inmates. The fiscal year 1996-97 recommended amount for the program was \$90,383,595. Additional performance data for the services provided to the inmates would enable legislators and other users of the executive budget to see how these dollars are being spent.

As previously described, the Sheriff's Housing of State Inmates Program is designed to provide a safe and secure environment for adult and juvenile male and female offenders who have been committed to state custody and are awaiting transfer to Correctional Services. Because of space limitations in state correctional institutions, the department uses parish and local jails to house some offenders.

Only one objective is reported for the Sheriff's Housing of State Inmates Program. It states that the department will continue to utilize parish and local jails for housing offenders committed to the state's custody and awaiting transfer to Correctional Services and will reimburse local authorities through the Sheriff's Housing Program. The indicators reported under this objective are the average numbers of adult and juvenile offenders housed per day at the parish and local jails. No indicators are reported for the services provided (e.g., health care, rehabilitation, safety) to the inmates housed in these facilities.

The department and the Louisiana Sheriff's Association have jointly developed a comprehensive set of basic jail guidelines. These guidelines must be followed by any parish prison or local detention facility as a condition of housing state inmates. According to the 1996-97 executive budget, this quality assurance effort has done much to ensure that the basic conditions under which state inmates are housed in local facilities are safe and constitutional. Department officials stated that the participating local facilities are spot-checked to monitor their compliance with the basic jail guidelines.

Although some inmates are housed in local or parish facilities, they are still within the state's legal custody. The legislature may find it helpful to have comprehensive performance data regarding the services provided to the inmates in local facilities. The results of the monitoring efforts described previously could be reported in the executive budget. This would provide useful information to legislators and other readers of the budget about the quality of services provided to inmates housed in local facilities.

Recommendation

- 3.5 To provide comprehensive performance data to the legislature, DOC and OPE staff should work with the House Appropriations Committee staff to develop additional performance data for the Sheriff's Housing of State Inmates Program for inclusion in the executive budget. This information would enable the legislature to make more informed budgeting decisions about this program.

Incomplete Performance Data Reported for Prison Enterprises Program

The department has not developed comprehensive performance data for the Prison Enterprises Program to include in its operational plan submitted to OPE. According to department officials, the limited performance data included in the fiscal year 1996-97 executive budget were developed by OPE using the department's strategic plan and reports from the Legislative Fiscal Office. Without adequate performance data, users of the executive budget cannot determine how well the program is performing.

The fiscal year 1996-97 executive budget reports a mission, an objective, and 20 performance indicators for the Prison Enterprises Program. The performance indicators are presented in narrative format, which makes it difficult to identify each individual indicator. These performance data are listed in Appendix C. According to department officials, these data were added by OPE personnel during the executive budget development process. The department did not include the Prison Enterprises Program in the operational plan it submitted to OPE.

We discussed the lack of performance data for Prison Enterprises with DOC and the OPR planning analyst for the department. The OPR analyst stated that although the program operates with self-generated funding, it should have performance data because Prison Enterprises still produces. Department officials stated that since Prison Enterprises is an auxiliary program and operates with 100% self-generated funds, they have not placed an emphasis on developing performance data for the program. However, they stated that they are working with the OPR planning analyst as well as House Appropriations Committee staff to develop a new strategic plan and better performance indicators for the program.

The Prison Enterprises Program essentially functions as a business, similar to a private sector business. Reporting performance data for the program would enable legislators and other users of the executive budget to determine how effectively and efficiently this program is operated.

Recommendation

- 3.18** DOC staff should continue to work with Prison Enterprises management, OPR staff, and House Appropriations Committee staff to develop performance data for the Prison Enterprises Program. The data should include a clearly identifiable mission, goals, objectives, and performance indicators that meet the criteria described in Exhibit 3-1 of this report. The department should include performance data for Prison Enterprises in future operational plans submitted to OPR as part of the budget request package. OPR should then publish key performance data in the executive budget. Implementing this recommendation will help legislators see the results of the Prison Enterprises Program.

Incomplete Performance Data Reported for Juvenile Services

OVD's Administration Program and the state-operated juvenile facilities do not have objectives or performance indicators reported for the health care services in the 1996-97 executive budget. In addition, no objectives or performance indicators are reported for the Juvenile Reception and Diagnostic Center (JRDC) at Jeter Correctional Center for Youth. Finally, specific objectives and performance indicators are not reported for the Louisiana Intensive Training and Education Program (LITE) at Tallulah Correctional Center for Youth. Because the executive budget does not report objectives or performance indicators for these programs, legislators and other readers cannot determine progress made by these programs.

As stated in Chapter 2, the program structure presented in the 1996-97 executive budget for adult facilities differs from that of juvenile facilities. This may be the reason that objectives and performance indicators reported for adult facilities are not reported for similar programs in juvenile facilities. DDC officials agreed that performance data should be provided for the JRDC and LITE programs.

The program structure may have an effect on whether or not performance data are reported for all programs and activities. It may also affect the way the performance data are presented in the budget. However, regardless of the program structure, performance data should be reported for all programs and major activities to allow legislators to make informed funding decisions.

Recommendation

- 3.13 DDC should work with OPI staff and House Appropriations Committee staff to develop objectives and performance indicators for health care services in general at the juvenile facilities, as well as for the LITE and JRDC programs. The department should ensure that all objectives include performance standards and time frames for accomplishment. Including measurable and timebound objectives and appropriate corresponding performance indicators will make it possible for legislators to determine progress made by these programs in the juvenile correctional facilities.

All Available Performance Data Reported for Privately Operated Adult Prisons Not Reported in Executive Budget

The performance data reported in the executive budget for the privately operated adult correctional facilities is not as comprehensive as the performance data reported for the state-operated correctional facilities. These performance data may not provide enough information for members of the legislature to fully understand the activities covered by the programs or what the programs are intended to accomplish. As a result, they may not be able to make informed funding decisions about the privately operated adult prisons.

The private contractors report almost the same performance data as the state facilities in their monthly reports to the Secretary of BOC. This information could easily be incorporated into the executive budget. The information would help legislators determine whether to continue funding the management contracts, based on the contractors' performance.

For example, the executive budget reports security incidents, such as the number of major disturbances, minor disturbances, inmate-on-inmate assaults, and inmate-on-staff assaults for the state-operated facilities. However, the executive budget does not report these data for the privately managed facilities. The private contractors do, however, report this information in their monthly reports to the Secretary of Corrections. Departmental Regulation No. C-05-001 requires all adult and juvenile facilities, adult and juvenile Probation and Parole Divisions, and adult and juvenile contract rehabilitation centers to report monthly to the Secretary detailed information on facility operations and activities. In these reports, identical data are reported by state and private adult facilities. Therefore, it would be easy to incorporate this information into the executive budget.

For fiscal year 1996, the Corrections Corporation of America was paid \$12,988,906 to operate Wain Correctional Center, and Wackenhut was paid \$12,718,090 to operate Allen Correctional Center. As shown in Exhibit 2-1 in Chapter 2, the recommended amounts for those facilities for fiscal year 1997 were \$13,673,877 and \$13,181,925, respectively. Without comprehensive performance data reported in the executive budget, the legislature may not be able to gauge the success of the privately operated programs and determine whether to continue funding the management contracts.

Recommendation

- 3.12 Regarding the programs in the privately operated facilities, DDC should include in its operational plan all relevant performance data reported in the monthly C-95-001 reports. OPR should then publish this information in the executive budget. Including performance data for the privately operated prisons that are comparable to those reported for the state-operated facilities would allow legislators to better see what the state is getting in return for the contract payments it makes to the private management firms.

Appendix A
List of Publications Used

Appendix A: List of Publications Used

- California, State of—California State Auditor. *California Conservation Corps: Further Actions Would Improve Its Performance-Based Budgeting Plan*. October 1986.
- Canadian Comprehensive Auditing Foundation. *Effectiveness: Reporting and Auditing in the Public Sector*. 1987.
- Canadian Comprehensive Auditing Foundation. *Effectiveness: Putting Theory Into Practice*. 1990.
- Crayton, Dale K. and Albert Hawkins. *Texas Tomorrow: Strategic Planning and Performance Budgeting*. October 1993.
- Government Accounting Standards Board. *Research Report - Service Efforts and Accomplishments Reporting: Its Time Has Come—the Overview*. September 1993.
- Louisiana, State of—Office of Legislative Auditor. *Louisiana's Planning, Budgeting, and Program Evaluation System*. February 1993.
- Lyndon B. Johnson School of Public Affairs/The University of Texas at Austin. *Managing for Results: Performance Measures in Government*. Conference Proceedings. March 1994.
- Minnesota, State of—Office of the Legislative Auditor. A series of reports that comment on state agencies' 1994 annual performance reports. 1995.
- Office of Planning and Budget, Division of Administration. *Managers: A Practical Guide to Adopting for Results*. January 1996.
- Office of Planning and Budget, Division of Administration. *Managers: Strategic Management Manual for the State of Louisiana*. November 1991.
- Oregon, State of—Secretary of State Audit Division. *Service Efforts and Accomplishments*. (Report No. 95-33) August 31, 1995.
- Portland-Multnomah County Progress Board. *Portland-Multnomah County Benchmarks - Standards for Measuring Community Progress and Government Performance*. January 1994.
- Texas, State of—Governor's Office of Budget and Planning. *Instructions for Preparing and Submitting Agency Strategic Plans for the 1992-1998 Period*. January 1992.

- Texas, State of—Governor's Office of Budget and Planning. *Detailed Instructions for Preparing and Submitting Requests for Legislative Appropriations for the Biennium Beginning September 1, 1993 - Executive, Administrative, Human Services and Selected Public Education Agencies*. June 1992.
- Texas, State of—State Auditor's Office. *Accurate and Appropriate Performance Measures Are the Foundation of Tomorrow's Texas*. February 1992.
- Texas, State of—State Auditor's Office. *Accurate and Appropriate Performance Measures Are the Foundation of Tomorrow's Texas*. June 1992.
- United States General Accounting Office, Comptroller General of the United States. *Executive Guide: Effectively Implementing the Government Performance and Results Act*. June 1994.

Appendix B

Department of Corrections'
Budget Units and Programs
Included in 1996-97
Executive Budget

Appendix B: Department of Corrections' Budget Units and Programs Included in 1996-97 Executive Budget

Corrections Services, Administration Program A: Office of the Secretary Program B: Office of Management and Finance Program C: Office of the Parole Board Program D: Parole Board Program E: Adult Services	Ellys Hall Correctional Center (EHCC) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Diagnostic Program E: Health Services Program F: Auxiliary
IC Penal Lodge Correctional Center (PNC) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Auxiliary	David Walsh Correctional Center (DWCC) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Auxiliary
Louisiana State Penitentiary (LSP) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Auxiliary	Washington Correctional Institute (WCI) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Auxiliary
Archer Correctional Center (ACC) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Auxiliary	Adult Probation and Parole Program A: Administration and Support Program B: Field Services
Louisiana Correctional Institute for Women (LCIW) Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Auxiliary	Office of Youth Development Program A: Administration Program B: Louisiana Training Institute - Monroe ** Program C: Baton Rouge Training Center for Youth Program D: Louisiana Training Institute - Bridge City Program E: Field Services Program F: Contract Services
Winn Correctional Center (WCC)* Program A: Administration Program B: Purchase of Correctional Services	Adult Community-Based Rehabilitation Program A: Adult Community-Based Rehabilitation Program
Allen Correctional Center (ACC)* Program A: Administration Program B: Purchase of Correctional Services	Shirley Herring of State Inmate Program A: Shirley Herring of State Inmate
Dixon Correctional Institute Program A: Administration Program B: Inmate Services Program C: Rehabilitation Program D: Health Services Program E: Blue Walkers Program F: Auxiliary	Prison Enterprises Program A: Prison Enterprises
Work Training Facility-North (WTF-North) Program A: Administration Program B: Inmate Services Program C: Health Services Program E: Auxiliary	

* Directly managed with contractors.

** The name of this program facility has been changed to the A.L. "Red" Ferguson, Sr. Correctional Center for Youth.

Source: Prepared by legislative staff using information from the 1996-97 executive budget and the Department of Corrections' Inmate Plan.

Appendix C
Analysis of Performance Data
Reported for the
Department of Corrections
in 1996-97 Executive Budget

Appendix C: Department of Corrections’ Performance Data Analysis

Department of Public Safety and Corrections, Corrections Services	C.3
Budget Unit: Administration (08-400)	C.4
Budget Unit: C. Paul Phelps Correctional Center (08-401)	C.12
Budget Unit: Louisiana State Penitentiary (08-402)	C.18
Budget Unit: Arroyales Correctional Center (08-405)	C.24
Budget Unit: Louisiana Correctional Institute for Women (08-406)	C.30
Budget Unit: Winn Correctional Center (08-407)	C.36
Budget Unit: Allen Correctional Center (08-408)	C.40
Budget Unit: Dixon Correctional Institute (08-409)	C.48
Budget Unit: Work Training Facility—North (08-412)	C.51
Budget Unit: Elyse Hart Correctional Center (08-413)	C.56
Budget Unit: David Wade Correctional Center (08-414)	C.64
Budget Unit: Washington Correctional Institute (08-416)	C.70
Budget Unit: Adult Probation and Parole (08-415)	C.76
Budget Unit: Office of Youth Development (08-480)	C.80
Budget Unit: Adult Community-Based Rehabilitation Program (08-450)	C.97
Budget Unit: Sheriff’s Housing of State Inmates (08-451)	C.98
Budget Unit: Prison Enterprises (21-811)	C.99

DEPARTMENT OF PUBLIC SAFETY AND CORRECTIONS, CORRECTIONS SERVICES

11 missions (4 goals)

Mission

To provide for the custody, control, care and treatment of sentenced offenders through enforcement of the laws and implementation of programs designed to ensure the safety of the public, staff, and inmates, and reintegrate offenders into society.

1. Mission (score) of 1-5 (where 1=best, 5=worst) (100% available, if data is not available)

Goals

Goal 01: Maintain public safety through appropriate and effective correctional control and supervisory programs.

Goal 02: Provide for the safety of correctional staff and inmates by maintaining an organized and disciplined system of operations that promotes stability in institutional and other field operations.

Goal 03: Ensure the basic well-being of the inmate population by providing adequate food, clothing, medical care, and shelter.

Goal 04: Provide an environment that enables inmates change by making rehabilitative opportunities available for inmates who demonstrate motivation for change and the desire to participate in rehabilitative programs.

1. Data (10) score criteria as follows:

- a. 4 (100%) are consistent with the mission
- b. 4 (100%) are in alternative and/or transitional

Note: Objectives and Performance Indicators are reported only if the program level

Source: Prepared by legislative auditor's staff from comparison of 1986-87 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Administration (88-800)

Program A: Office of the Secretary

(1) salaries, 9 goals, 3 objectives, 4 performance indicators)

Mission

To ensure development and implementation of Departmental policy and to give direction and fund support to the administration, control and execution of Departmental programs and other activities related to activities placed in state custody by the courts. To attend this direction and support, the office provides departmentwide administration, policy development, financial management and leadership, sets the standards for ongoing credit programs, and maintains a computer culture for management excellence.

1. Mission (most) 3 of 3 criteria (100%). *Measurable purpose, identifiable output, is specifically assigned to a position, is measurable.*

Goals

No goals are identified for this program.

Objectives and Performance Indicators

Objective #1: The Office of the Secretary will achieve and maintain American Correctional Association (ACA) accreditation departmentwide. In so doing, it is the intent of the Department to demonstrate that the Department can perform best without the federal court's continued oversight.

e. Indicator: American Correctional Association (ACA) accreditation

Objective #2: The Office of the Secretary will continue to ensure the department's compliance with federal consent decrees governing the state's adult and juvenile correctional systems and will continue to seek modification of federal consent decrees.

e. Indicator #1: Systems in compliance with federal consent decrees

e. Indicator #2: Status of court mandates

Objective #3: The Crime Victims Services Bureau in the Office of the Secretary will continue to make it easier for victims to obtain information on how to file a complaint when particular incidents are considered the subject of an actively released from physical custody.

e. Indicator: Number of victim relative notification requests (other contacts with)

a. Objective (3) meet criteria as follows:

1. 1 (100%) are consistent with program or departmental goal

2. 2 (67%) are measurable

3. 0 (0%) is time-based

4. 1 (100%) are results-oriented

a. Performance Indicators (4) meet criteria as follows:

1. 1 (100%) measure to help a business program to meet its objective

2. 1 (100%) are time-based

3. 1 (100%) are time-based, easily-measurably, and cost-applied

Source: Prepared by legislative staff in a staff line comparison of 1996-97 executive budget performance data to criteria listed in Exhibit B-1.

Budget Unit: Administration (04-100)

Program B: Office of Management and Planning

(1) **mission, 6 goals, 1 objective, 2 performance indicators**

Mission:

To provide administrative management support and direction for the fund, information services, food services, maintenance and construction, training, procurement, and contractual services, human resources and employee relations programs of the department.

- **Mission goals 1 and 2 relate (100%) directly to the program, although 2 is approximately 50% directly to the program.**

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: The Office of Management and Planning will continue to competently manage areas of responsibility encompassing food services, procurement, contract, payroll, personnel, grants and data processing management, maintenance and construction, and prison enterprises.

- **Indicator #1:** Louisiana's FY 1994-95 per capita expenditures on corrections relative to other 13 Southern Legislative Conference states
- **Indicator #2:** Increase in annual correction expenditures between FY 1984-86 and FY 1993-95 relative to other 13 Southern Legislative Conference states

- **Indicator #3:** Compliance of Prison Enterprise Programs with ACA standards

• **Mission goal 2 and 1 relate (100%) directly to the program.**

• **Indicator 1 and 2 are in alignment with program's approved goals**

• **Goal 1 is not measurable**

• **Goal 2 is not measurable**

• **Goal 3 is not measurable**

• **Mission goal 1 and 2 relate (100%) to the program.**

• **Goal 1 is not measurable but is related program's approved goals**

• **Goal 2 and 3 are not measurable**

• **Goal 3 is not measurable**

Source: Prepared by legislative studies's staff from comparison of FY84-87 executive budget performance data to criteria listed in Exhibit 3-4.

Budget Unit Administration (BUA)

Program D: Public Trust

(8 missions, 8 goals, 1 objective, 3 performance indicators)

Mission

No mission is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: The Public Trust will continue to provide for reintegrations of offenders into society in a manner consistent with public safety.

- ▶ Indicator #1: Number of parole hearings
- ▶ Indicator #2: Number of parole granted
- ▶ Indicator #3: Number of parole revocations hearings
- ▶ Indicator #4: Number of parole revoked
- ▶ Indicator #5: Number of medical paroles

1. Outcome: newly granted paroles (2014)

1. Increased the number of parole grants

2. Total parole grants

3. Total paroles

4. Total paroles

5. Total paroles

1. Performance Indicators (3) are listed in Policy

1. 100% increase in parole grants

Source: Prepared by legislative auditor's staff from comparison of 2014-17 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Administrative (00-000)
Program (E) Adult Services
 (1 mission, 8 goals, 4 objectives, 41 performance indicators)

Mission:

To provide administrative oversight and support of the operational programs of the adult institutions, as well as to perform specific voluntary functions necessary to the intake and release processes.

4. Mission Goals (7 of 1) (results clarify measurable program objectives which are independently measurable)**Goals:**

My goals are identified by this program.

Objectives and Performance Indicators

Objective #1: The Adult Services Program will continue to: (a) maintain the current inmate population statistics and (b) maintain American Correctional Association (ACA) accreditation of all adult correctional institutions.

- ▶ Indicator #1: Compliance with non-inmate population limits
 - ▶ Indicator #2: Number of adult institutions accredited by ACA
 - ▶ Indicator #3: Comparison with other states' adult inmate populations expressed as a percentage of maximum design capacity
- Objective #2:** The Adult Services Program will continue to maximize available capacity and provide services in the most efficient and effective manner possible.

- ▶ Indicator #1: Comparison of percentage increase from July 1, 1994 - July 1, 1995 in Louisiana inmate population to percentage change in other Southern states
- ▶ Indicator #2: Comparison of projected percentage increase in Louisiana inmate population to projected percentage increases in other Southern states
- ▶ Indicator #3: Increase in state prison bed capacity
- ▶ Indicator #4: Breakdown of Louisiana inmates by length of sentence and severity of offense as of 10/1/95
- ▶ Indicator #5: Distribution of adult inmate population by type of institution. Louisiana versus Southern region
- ▶ Indicator #6: Corrections spending per capita in Louisiana compared to the Southern states' average
- ▶ Indicator #7: Percentage increase in Louisiana corrections budget compared to Southern states' average, FY 1994-95
- ▶ Indicator #8: Annual per capita increase in Louisiana corrections budget compared to Southern states' average, FY 1995
- ▶ Indicator #9: Average daily cost per inmate paid in Louisiana adult correctional facilities

Budget Unit: Administrative (99-400)**Programs: Adult Services (Crim.)****Objective #1: (Cont.)**

- Indicator #9: Comparison of number of inmates housed in state institutions, Louisiana and other Southern states
- Indicator #11: Number of inmates per correctional officer, Louisiana and other Southern states
- Indicator #12: Annual cost per inmate housed in state institutions, Louisiana and other Southern states
- Indicator #13: Average cost per day per inmate housed in state institutions, Louisiana and other Southern states

Objective #1: The Adult Services Program will continue to monitor necessary operations at adult institutions to ensure the safety of inmates, staff, and public.

- Indicator #1: Aspects on inmates by inmates in state correctional systems, Louisiana and South and South Central states
- Indicator #2: Aspects on inmates by inmates in state correctional systems, per 1,000 inmates, Louisiana and South and South Central states
- Indicator #3: Aspects on staff by inmates in state correctional systems, Louisiana and South and South Central states
- Indicator #4: Aspects on staff by inmates in state correctional systems, per 1,000 inmates, Louisiana and South and South Central states
- Indicator #5: Field escapes as inmates by inmates in state correctional systems, Louisiana and South and South Central states
- Indicator #6: Field escapes as inmates by inmates in state correctional systems, per 1,000 inmates, Louisiana and South and South Central states
- Indicator #7: Field escapes as staff by inmates in state correctional systems, Louisiana and South and South Central states
- Indicator #8: Field escapes as staff by inmates in state correctional systems, per 1,000 inmates, Louisiana and South and South Central states
- Indicator #9: Arranged escapes from state correctional systems, Louisiana and South and South Central states
- Indicator #10: Arranged escapes from state correctional systems, per 1,000 inmates, Louisiana and South and South Central states
- Indicator #11: At-large escapes from state correctional systems, Louisiana and South and South Central states
- Indicator #12: At-large escapes from state correctional systems, per 1,000 inmates, Louisiana and South and South Central states

Budget Unit Administration (01-491)

Program E: Adult Services (0101)

Objective A1: The Adult Services Program will continue to coordinate and monitor the provision of benchmark-based educational programs to adult inmates who are motivated to take advantage of these services and learn demonstrated behavior that would enable them to function within an educational setting.

- Indicator A1: Average reading level of adult inmates (1999)
- Indicator A2: Percentage of total inmates participating in an educational program in any given month
- Indicator A3: Average monthly enrollment in adult basic education program
- Indicator A4: Number receiving GED
- Indicator A5: Average monthly enrollment in re-visit program
- Indicator A6: Number receiving re-visit certificate
- Indicator A7: Average monthly enrollment in literacy program

Objective A2: The Adult Services Program will continue to seek efficient, effective strategies to address inmate health care issues.

- Indicator A8: Deaths by suicide
- Indicator A9: Deaths by violence
- Indicator A10: Deaths by illness
- Indicator A11: Positive state observations
- Indicator A12: Cases of HIV
- Indicator A13: Cases of AIDS

Objective A3: The Adult Services Program will lead efforts to reduce recidivism among adult offenders.

- Indicator A14: Overall approximate five-year recidivism rate for adult prisoners released, 1990-99
- Indicator A15: Recidivism returned, 1991-94
- Indicator A16: Recidivism returned, 1995-98
- Indicator A17: Recidivism rate, 1999-04

**Budget Title: Administrative (2014)
Program B: Adult Services (0300000)**

Item	2014 Budget	2015 Budget	2016 Budget	2017 Budget	2018 Budget	2019 Budget	2020 Budget
<ul style="list-style-type: none"> 1. Objectives (if not others address) 2. 4 priority or outcome and program or department goals 3. 1 (2014), 4 (annual) 4. 4 (2014) in total 5. 4 (2014) in total 							
<ul style="list-style-type: none"> 1. Performance Measure (if) and goal of focus 2. 5 (1st) measure or key indicator (output) based on expected 3. 10 (2014) in total and one for each 4. 10 (2014) in total 							

Source: Prepared by legislators and/or staff from comparison of 2014-17 executive budget performance data to criteria found in Exhibit 1-1.

Budget Unit C, Paul Phipps Correctional Center (04-001)

(1 position, 2 posts)

Mission:

To provide for the custody, control, care and treatment of adjudicated adult offenders through enforcement of the laws and implementation of programs designed to reintegrate offenders into society while ensuring the safety of the public.

- a. Mission meets 3 of 5 criteria (staffing, adequate program, adequate training, is organizationally appropriate)

Goals:

Goal 01: To provide for the custody and care of persons committed to the custody of Correctional Services through the provision of institutional services, medical services, mental health services, and placement of offenders in appropriate housing that is the least restrictive setting possible without creating undue public or institutional risk.

Goal 02: To provide rehabilitative opportunities to offenders through literacy, academic, and vocational programs, religious programs, recreational programs, and on-the-job training.

1. Goal 02 meets criteria in full.

a. 1 criteria are consistent with the mission.

a. 2 criteria give a direction and description.

Note: Objectives and Performance Indicators are reported only at the program level.

Business: Prepared by legislative auditor's staff from inspection of 1994-95 executive budget performance data in criteria listed in Exhibit 3-1.

Budget Unit: C, Full-Range Correctional Center (04-031)

Program A: Administration

(8 activities, 9 goals, 3 objectives, 3 performance indicators)

Mission

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators

Objective: C, Full-Range Correctional Center will maintain ACA accreditation standards while continuing to provide services in the most economical, efficient, and effective way possible.

- a. Indicator #1: ACA accreditation
- b. Indicator #2: Average cost per day per inmate bed
- c. Indicator #3: Percentage of total institutional budget that is administration

1. Objectives and Indicators

1.1. A financial goal, objective or activity goal

1.2. An activity goal

1.3. An activity goal

1.4. An activity goal

1.5. Performance indicator 1, and indicator 2

1.6. A goal, objective or activity goal (not for indicator)

1.7. A goal, objective or activity goal (not for indicator)

1.8. A goal, objective or activity goal (not for indicator)

1.9. A goal, objective or activity goal (not for indicator)

Source: Prepared by legislative auditor's staff from completion of 1996-97 narrative budget performance data in various forms in Exhibit 1.1.

Budget Unit: C: Paid Prison Correctional Center (30-40)

Program #: 44-000000

(0 missions, 0 goals, 1 objective, 10 performance indicators)

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators

Objective: C: Paid Prison Correctional Center will continue to provide for the secure confinement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- Indicator #1: Prison capacity
- Indicator #2: Number of inmates per correctional security effort
- Indicator #3: Percentage of total institutional budget due to incarceration
- Indicator #4: Number of escapes
- Indicator #5: Number of apprehensions
- Indicator #6: Number of major disturbances
- Indicator #7: Number of minor disturbances
- Indicator #8: Number of inmates by inmates on staff
- Indicator #9: Number of inmates by inmates on inmates
- Indicator #10: Number of sex offenses

4. Objectives, Goals and Indicators

- 4.1 is consistent with program or departmental goal
- 4.1 is not measurable
- 4.1 is not time-bound
- 4.1 is results-oriented
- 4.2 Indicator: Inmates (10) (not critical to mission)
- 4.3 4.3 (10%) measure of staff to inmate program should be objective
- 4.4 4.4 (100%) are consistent with the objective
- 4.5 4.5 (100%) are clearly identifiable, and not redundant

Source: Prepared by legislative auditor's staff from comparison of 1996-97 executive budget performance data to criteria found in Subtitle 7-4.

Budget Unit: C: Post Prison Conditional Center (M-041)

Program C: Rehabilitation

(8 indicators, 8 goals, 1 objectives, 6 performance indicators)

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: C: Post Prison Conditional Center will continue to provide rehabilitation opportunities to offenders in order to enable offenders to reform their mental and physical development and acquire to enable upon their release.

- ▶ **Indicator #1:** Percentage of total institutional budget that is rehabilitation
- ▶ **Indicator #2:** Average monthly enrollment in adult basic education program
- ▶ **Indicator #3:** Number receiving GED
- ▶ **Indicator #4:** Average monthly enrollment in vocational program
- ▶ **Indicator #5:** Number receiving vocational certificate
- ▶ **Indicator #6:** Average monthly enrollment in therapy program

4. (Optional) Items 1 of 4 (Table 10000)

Indicator	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	
1. Indicator #1: Percentage of total institutional budget that is rehabilitation																											
2. Indicator #2: Average monthly enrollment in adult basic education program																											
3. Indicator #3: Number receiving GED																											
4. Indicator #4: Average monthly enrollment in vocational program																											
5. Indicator #5: Number receiving vocational certificate																											
6. Indicator #6: Average monthly enrollment in therapy program																											

Source: Prepared by Legislative Auditor's staff from comparisons of 1999-01 narrative budget performance data to criteria found in Exhibit 1-4.

Budget Unit C: Paul Pledge Correctional Center (M-61)

Program 05: Inmate Services

(6 missions, 6 goals, 1 objective, 7 performance indicators)

Mission

No mission is identified for this program.

Goal

No goals are identified for this program.

Objective and Performance Indicators

Objective: C. Paul Pledge Correctional Center will continue to provide such items as the medical, dental, and mental health services necessary to maintain the basic health.

- Indicator #1: Percentage of total institutional budget that is health services
- Indicator #2: Deaths by suicide
- Indicator #3: Deaths by violence
- Indicator #4: Deaths by illness
- Indicator #5: Positive tests: tuberculosis
- Indicator #6: Cases of HIV
- Indicator #7: Cases of AIDS

1. Objective: none listed (M-61)

2. Indicator: none listed (M-61)

3. Indicator: none listed (M-61)

4. Indicator: none listed (M-61)

5. Indicator: none listed (M-61)

6. Indicator: none listed (M-61)

7. Indicator: none listed (M-61)

1. Performance indicator: 11 and 12 (M-61)

2. Performance indicator: 11 and 12 (M-61)

3. Performance indicator: 11 and 12 (M-61)

4. Performance indicator: 11 and 12 (M-61)

5. Performance indicator: 11 and 12 (M-61)

6. Performance indicator: 11 and 12 (M-61)

7. Performance indicator: 11 and 12 (M-61)

Source: Prepared by legislative auditor's staff from comparison of 1999-01 executive budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: C. Paul Pulos Correctional Center (M-441)**Program C: Ability****(8 missions, 6 goals, 8 objectives, 8 performance indicators)****Mission:**

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objectives and Performance Indicators

No objectives or performance indicators are identified for this program.

Source: Prepared by legislative auditors using the state-of-texas.gov budget.

Budget Unit: Louisiana State Penitentiary (66-401)**(1 million, 2 posts)****Objectives**

To protect society from those individuals whose disregard and violation of the law have caused them to be incarcerated as well as to assist offenders in becoming productive members of society by utilizing the positive traits and values that are predominant in American society. This is accomplished by providing vocational services, medical services (including a jail hospital), mental health services, and rehabilitation opportunities (literacy, arts, and recreational programs, religious activities, recreational programs, and on-the-job training).

- a. *Minimum needs* (1 and 2 articles (2007)): *Minimum needs, including food, is approximately 40 percent of the total budget.*

Goals

No goals are identified for this budget unit.

Notes: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislators under the 1995-97 revenue budget.

Budget (all): Louisiana State Penitentiary (LSU-181)**Program A: Administration**

(8 indicators, 8 goals, 1 objective, 1 performance indicator)

Mission

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators

Objective: Louisiana State Penitentiary will maintain all CA accreditation standards while continuing to provide services to the most economical, efficient, and effective way possible.

- a. Indicator F1: ACA accreditation
- b. Indicator F2: Average cost per day per inmate bed
- c. Indicator F3: Percentage of total institutional budget due to administration

F1: Accredited under a national agency

F1 is measured with programs or departments scored

F1 is not measurable

F1 is not tracked

F1 is rarely tracked

F2: Performance indicator for total costs to inmate

F2 is only tracked at high institutional program levels for operating

F2 is tracked and indicators not in all units

F2 is tracked but data not available and data not available

Source: Prepared by Legislative Auditor's staff from compilation of 1994-95 operating budget performance data by central fund in Exhibit 14-1.

Budget Unit: Louisiana State Penitentiary (LSU)

Program B: Institutions

(8 missions, 9 goals, 1 objective, 16 performance indicators)

Mission

No mission is identified for this program.

Goal

No goal is identified for this program.

Objective and Performance Indicators

Objective: Louisiana State Penitentiary will continue to provide for the secure confinement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- ▶ Indicator 01: Prison capacity
- ▶ Indicator 02: Number of inmates per correctional security officer
- ▶ Indicator 03: Percentage of total institutional budget that is incarceration
- ▶ Indicator 04: Number of escapes
- ▶ Indicator 05: Number of apprehensions
- ▶ Indicator 06: Number of major disturbances
- ▶ Indicator 07: Number of minor disturbances
- ▶ Indicator 08: Number of assaults by inmates on staff
- ▶ Indicator 09: Number of assaults by inmates on inmates
- ▶ Indicator 10: Number of sex offenses

1. Objective meets 1 of 4 criteria (20%)

1. If consistent with program or departmental goals

- 1. Greatly measurable
- 1. Good measurable
- 1. Overachieved

2. Performance Indicators (PI) meet criteria as follows:

- 1. 0 PI(s) measured or lack of measurable progress toward all objectives
- 1. 1 to 100% are consistent with the objective
- 1. 99%+ are clear, easily understandable, and measurable

Sources: Prepared by Legislative Auditor's staff from comparison of 1994-95 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Least Cost State Penitentiary (LCS-P)**Program D: Health Services**

3 million, 3 goals, 1 objective, 1 performance indicator

Measures:

No measure is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: Least Cost State Penitentiary will continue to provide such inmate care medical, dental, and mental health services necessary to minimize life threatening.

Indicator #1: Percentage of total institutional budget that is health services

Indicator #2: Deaths by suicide

Indicator #3: Deaths by violence

Indicator #4: Deaths by illness

Indicator #5: Positive tests, tuberculosis

Indicator #6: Cases of HIV

Indicator #7: Cases of AIDS

1. Objectives score 3 of 4 criteria (60%)

1 - all objectives met program or departmental goals

2 - all but measurable

3 - all but measurable

4 - all measurable

1. Performance Indicators (7) met results at 100%

1 - 3 (64) measures or higher if additional programs created and objective

1 - 1 (20%) are concerned with the objective

1 - 1 (14%) are above basic institutional goals, and not measured

Source: Prepared by legislative auditor's staff from comparison of 1991-92 executive budget performance data to income listed in Exhibit 1.1.

Budget Unit: Louisiana State Penitentiary (56-416)
Program E: Auxiliary
(11 positions, 0 goals, 1 objectives, 1 performance indicators)

Mission

No mission is identified for this program.

Goals

No goals are identified for this program.

Objectives and Performance Indicators

No objectives or performance indicators are identified for this program.

Source: Prepared by legislative auditor's staff using the 1994-95 operating budget.

Budget Unit: Annette Correctional Center (08-482)

(1) includes 0 funds

Objectives

To provide for the custody, control, care and treatment of sentenced offenders through enforcement of laws and implementation of programs designed to return the safety of the public, staff and inmates and to reintegrate offenders into society. This mission is carried out through the provision of custodial services, medical services, mental health services, and rehabilitation opportunities in education (theory, academic, and vocational programs, religious guidance programs, vocational programs, substance abuse self-help programs, community service activities, and on-the-job training)

1. Education (0800); Identify purpose, identify classes, if voluntarily completed
-

Goals

No goals are identified for this budget unit.

Notes: Objectives and Performance Indicators are provided only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 1996-97 executive budget performance data to those listed in Exhibit 3.4.

Budget Unit: Arapaho Correctional Center (04-462)**Program A: Administration**

(0) missions, 6 goals, 1 objectives, 3 performance indicators

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

Objective: Arapaho Correctional Center will maintain ACA accreditation standards while continuing to provide services to the most successful, efficient, and effective way possible.

- 1. Indicator (1): ACA accreditation
- 2. Indicator (2): Average cost per day per inmate bed
- 3. Indicator (3): Percentage of total institutional budget that is administration

4. **Mission:** leads to all activities (00%)

- 1. It is measured with purpose or department goal
- 2. It is not measurable
- 3. It is not measurable
- 4. It is not measurable

(1) Performance Indicator (3) not entered in table

(2) 1 - 0 (0%) measure to help to measure program budget by objective

(3) 1 - 1 (100%) are performance indicator

(4) 1 - 1 (100%) are budget indicator

(5) 1 - 1 (100%) are budget indicator

Source: Prepared by legislative audit's staff from comparison of 1996-97 revenue budget performance data to actuals found in Exhibit 1-1.

Budget Unit: Annette Correctional Center (04-085)

Program B: Institutions

(3 indicators, 3 goals, 1 objective, 11 performance indicators)

Mission:

To continue to be identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: Annette Correctional Center will continue to provide for the secure confinement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- Indicator #1: Prison capacity
- Indicator #2: Number of inmates per correction facility
- Indicator #3: Percentage of total institutional budget that is non-revenue
- Indicator #4: Number of escapes
- Indicator #5: Number of applications
- Indicator #6: Number of major disturbances
- Indicator #7: Number of minor disturbances
- Indicator #8: Number of assaults by inmates on staff
- Indicator #9: Number of assaults by inmates on inmates
- Indicator #10: Number of sex offenses

1. Objectivity (each 2 of 4 criteria (20%))

- Is contained with program or departmental goal
 - Is not unattainable
 - Is not illogical
 - Is clearly defined
 - Is verifiable
4. Performance Indicators (10) used criteria as follows:
- #1 (90%) measures or helps to achieve program purpose (as above)
 - #2 (100%) are essential and fully verifiable
 - #3 (90%) are clearly, fully understandable, and not technical

Source: Prepared by legislative auditor's staff from comparison of 1994-95 executive budget performance data to criteria listed in Exhibit 1-4.

Budget (Unit): Average Correctional Center (ACJ 00)

Program C: Rehabilitation

(3) mission, 0 goals, 1 objective, 6 performance indicators)

Mission

No mission is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: Average Correctional Center will continue to provide substitution opportunities to offenders in order to enable offenders to enhance their mental and physical development and expand its society upon their release.

- Indicator #1: Percentage of total institutional budget that is substitution
- Indicator #2: Average monthly enrollment in adult basic education program
- Indicator #3: Number receiving GED
- Indicator #4: Average monthly enrollment in re-entry program
- Indicator #5: Number receiving re-entry services
- Indicator #6: Average monthly enrollment in literacy program

4. Objectives

Indicator #1: 1994-1995: 100%

Indicator #2: 1994-1995: 100%

Indicator #3: 1994-1995: 100%

Indicator #4: 1994-1995: 100%

Indicator #5: 1994-1995: 100%

Indicator #6: 1994-1995: 100%

Performance Indicators (PI) used include all relevant

PI items address or relate to all PI items placed in objective

PI items are consistent with the mission

PI items are clearly and unambiguously defined and measured

Source: Prepared by legislative auditor's staff from comparison of 1994-95 executive budget performance data to criteria listed in Exhibit 3-4.

Budget Unit: Annapolis Correctional Center (01-402)

Program D: Health Services

60 missions, 6 goals, 1 objective, 7 performance indicators

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators

Objective: Annapolis Correctional Center will continue to provide such inmate the medical, dental, and mental health services necessary to maintain his/her health.

- Indicator #1: Percentage of total institutional budget that is health services
- Indicator #2: Deaths by suicide
- Indicator #3: Deaths by violence
- Indicator #4: Deaths by illness
- Indicator #5: Positive tests administered
- Indicator #6: Cases of HIV
- Indicator #7: Cases of AIDS

1. Quality: Goal 2 of 4 criteria (20%)

1. 1 is calculated using program or department goals

2. is not measurable

3. is not measurable

4. is not measurable

5. is not measurable

1. Professional Indicators (7) with ratings to follow

1. 1 is only awarded to legal or medical professionals named for position

1. 2 points are maximum with all 7 points

1. 7 (20%) are possible

1. 7 (20%) are possible

Source: Prepared by legislative auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit B-1.

Budget Unit: Analytical Control Cost (M-18)**Program E: Auxiliary****(8 missions, 8 goals, 8 objectives, 8 performance indicators)****Mission:**

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objectives and Performance Indicators:

No objectives or performance indicators are identified for this program.

Source: Prepared by legislative auditors staff using the 1996-97 executive budget.

Budget Unit: Louisiana Correctional Institute for Women (08-486)

(1 activity, 0 goals)

Mission:

To provide for the custody, control, care and treatment of adult female offenders through enforcement of the laws and implementation of programs designed to consistently reinsert participants into society while retaining the safety of the public. To provide high quality, individualized rehabilitative services to a safe, law-abiding environment. LCIW offers a wide range of program activities, including: a reception and diagnostic component, orientation, North Carolina substance abuse counseling and sobriety program, financial services, recreational programs, legal aid program and parent mentoring program.

4. **Mission Area 1 a) 1:** use criteria (0000): identify purpose, identify object, is impermanently temporary.

Goals:

No goals are identified for this budget unit.

Notes: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 2004-07 executive budget performance data to criteria listed in Exhibit C-1.

Budget Unit: Louisiana Correctional Institute for Women (88-666)

Program A: Administration

(1 mission, 8 goals, 1 objective, 3 performance indicators)

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators

Objective: Louisiana Correctional Institute for Women will maintain accreditation through the American Correctional Association while continuing to provide services in the most economical, efficient, and effective way possible.

► Indicator #1: ACA accreditation

► Indicator #2: Average cost per day per inmate/day

► Indicator #3: Percentage of total institutional budget that is administration

(1) **Objective:** maintain ACA accreditation

1. ACA accreditation

2. ACA accreditation

3. ACA accreditation

4. ACA accreditation

(2) **Objective:** maintain ACA accreditation

1. ACA accreditation

2. ACA accreditation

3. ACA accreditation

4. ACA accreditation

(3) **Objective:** maintain ACA accreditation

1. ACA accreditation

Source: Prepared by legislative auditor's staff from comparisons of 1996-97 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Louisiana Correctional Institute for Women (04-600)**Program B: Inmate/Inmate****(0 missions, 0 goals, 3 objectives, 10 performance indicators)****Mission:**

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators

Objective: Louisiana Correctional Institute for Women will continue to provide for the career advancement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- Indicator B1: Prison capacity
- Indicator B2: Number of inmates per correctional facility officer
- Indicator B3: Percentage of total institutional budget that is incarceration
- Indicator B4: Number of escapes
- Indicator B5: Number of apprehensions
- Indicator B6: Number of major disturbances
- Indicator B7: Number of inmate absences
- Indicator B8: Number of inmates by location on staff
- Indicator B9: Number of inmates by inmate on inmate
- Indicator B10: Number of sex offenses

4. Objective: Inmate 1 of 4 criteria (00%)

- It remained with program at departmental goal
 - It met measurably
 - It met threshold
 - It met or exceeded
- Performance Indicators (0) met/aligned as follows:**
- It fully met/aligned or helped to achieve program overall this objective
 - It (100%) met/aligned with the objective
 - It (0%) met/aligned, nearly unachievably, and was not/aligned

Source: Prepared by Legislative Auditor's staff from comparison of 1996-97 inmate budget performance data to criteria listed in Exhibit 1-4.

Budget Unit: Limestone Correctional Institute for Women (04-08)**Program C: Rehabilitation****(3 missions, 6 goals, 1 objective, 1 performance indication)****Mission:**

No mission is identified for this program.

Goal:

No goal is identified for this program.

Objective and Performance Indicators:

Objective: Limestone Correctional Institute for Women will continue to provide rehabilitation opportunities to offenders to enable offenders to enhance their mental and physical development and adjust to society upon their release.

- ▶ **Indicator #1:** Percentage of total institutional budget that is rehabilitative
- ▶ **Indicator #2:** Average monthly enrollment in adult basic education program
- ▶ **Indicator #3:** Number working OBI
- ▶ **Indicator #4:** Average monthly enrollment in work program
- ▶ **Indicator #5:** Number working wrap-ups/clinics
- ▶ **Indicator #6:** Average monthly enrollment in literacy program

1. **Indicator Item 1 of 6 reports (OBI)**

2. **Indicator Item 2 of 6 reports (OBI)**

3. **Indicator Item 3 of 6 reports (OBI)**

4. **Indicator Item 4 of 6 reports (OBI)**

5. **Indicator Item 5 of 6 reports (OBI)**

6. **Indicator Item 6 of 6 reports (OBI)**

7. **Performance Indicators (OBI Item 1) (OBI)**

8. **Performance Indicators (OBI Item 2) (OBI)**

9. **Performance Indicators (OBI Item 3) (OBI)**

10. **Performance Indicators (OBI Item 4) (OBI)**

11. **Performance Indicators (OBI Item 5) (OBI)**

12. **Performance Indicators (OBI Item 6) (OBI)**

Sources: Prepared by legislative auditor's staff from comparisons of 1994-95 executive budget performance data to criteria listed in Exhibit 5-1.

Budget Unit: Louisiana Correctional Institute for Women (08-000)

Program D: Health Services

(1 mission, 8 goals, 1 objective, 7 performance indicators)

Mission

No mission is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: Louisiana Correctional Institute for Women will continue to provide such inmate the medical, dental, and mental health services necessary to maintain her health status.

- ▶ Indicator 01: Percentage of total institutional budget that is health services
- ▶ Indicator 02: Deaths by suicide
- ▶ Indicator 03: Deaths by violence
- ▶ Indicator 04: Deaths by firearm
- ▶ Indicator 05: Positive spirit assessments
- ▶ Indicator 06: Cases of HIV
- ▶ Indicator 07: Cases of AIDS

Objective Goals of 4 criteria (50%):

- ▶ 1. In compliance with program or departmental goals
- ▶ 2. 80% measurable
- ▶ 3. 80% measurable
- ▶ 4. 80% measurable

- ▶ 1. Performance indicator (1) total deaths of inmates
 - ▶ 2. 80% measurable total of deaths (reports received and reported)
 - ▶ 3. 80% (reports are obtained with the monthly)
 - ▶ 4. 70% (are other, daily, measurable), and last reported

Source: Prepared by Legislative Auditor's staff from comparison of 1995-97 available budget performance data in criteria listed in Exhibit 3.1.

Budget Unit Louisiana Correctional Institute for Women (01-106)**Program E: Auxiliary****(3 missions, 6 goals, 6 objectives, 6 performance indicators)****Mission:**

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

No objectives or performance indicators are identified for this program.

Source: Prepared by legislative auditor's staff using the 1996-97 executive budget.

Budget Year: 1994
 Program: Adult Education
 (3 objectives, 8 goals, 1 objective, 1 performance indicator)

Measures:

No measure is identified for this program.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

Objective: Most Correctional Center will maintain recidivism through the American Correctional Association's case monitoring in parole system in the most extensive, efficient, and effective way possible.

- ▶ Indicator #1: ACA's recidivism

- ▶ Indicator #2: Average cost per day per inmate/prisoner

1. Objective: meet 2 of 8 criteria (goals)

Goal	Performance Indicators (PI) used within the program
1.1. In compliance with program organizational goals	<ul style="list-style-type: none"> ▶ 1.1.1. 0 (0%) inmates in high recidivism program would be released ▶ 1.1.2. 21,000 inmates released in all programs ▶ 1.1.3. 21,000 inmates in high recidivism program would be released
1.2. Other measurable	
1.3. Other measurable	
1.4. Other measurable	
1.5. Other measurable	
1.6. Other measurable	
1.7. Other measurable	
1.8. Other measurable	
1.9. Other measurable	
1.10. Other measurable	

Source: Prepared by Legislative Auditor's staff from comparison of 1994-95 executive budget performance data to criteria listed in Exhibit C-1

Budget Title: **Winn Correctional Center (Jail)**

Program B: **Purchase of Correctional Services**

(3 missions, 6 goals, 1 objective, 15 performance indicators)

Mission:

No mission is identified in this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Mission: The Department of Public Safety and Corrections will continue to maintain the prison management provided for the operations of the institution.

- ▶ Indicator #1: Actual number of inmates
- ▶ Indicator #2: Number of inmates per correctional security officer
- ▶ Indicator #3: Number of escapes
- ▶ Indicator #4: Number of applications
- ▶ Indicator #5: Average monthly enrollment in adult basic education
- ▶ Indicator #6: Number receiving GED
- ▶ Indicator #7: Average monthly enrollment in vocational program
- ▶ Indicator #8: Number receiving re-entrance certificate
- ▶ Indicator #9: Average monthly enrollment in literacy program
- ▶ Indicator #10: Deaths by vehicle
- ▶ Indicator #11: Deaths by violence
- ▶ Indicator #12: Deaths by illness
- ▶ Indicator #13: Positive tests, intravenous
- ▶ Indicator #14: Cases of HIV
- ▶ Indicator #15: Cases of AIDS

Budget Unit: Male Correctional Center (M-467)
Program B: Parole of Correctional Services (C0016000)

Objective: needs 2 of 4 results (20%)

- 1. 0% compliance with program re-offense goal
- 2. 0% not measurable
- 3. 0% not measured
- 4. 0% results-oriented

4. Estimated Excesses (15) used within 0% State

- 1. 0 (0%) increase in high to reduce program costs for services
- 2. 0 (0%) low unachieved cost savings
- 3. 0 (0%) are above yearly unachieved, and not reduced

Source: Prepared by Legislative Auditor's staff from comparison of 1998-99 executive budget performance data to criteria listed in Exhibit 1-3.

Budget Unit: Adult Correctional Class (88-000)**(1 unit/100, 0 grade)****Mission:**

To maintain a secure institutional environment that ensures the safety of the public, provides a safe working climate for employees, and offers inmates and staff living conditions for inmates confined in this institution. To accomplish this, a highly organized system of institutional policies, procedures, management plans, and programs; management processes are completed.

- a. **Primary needs:** staff safety (100%), thoughtful program, individual class, if reasonably acceptable.

Goals:

No goals are identified for this budget unit.

Notes: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 1996-97 excellent budget performance data to criteria listed in Exhibit 3-4.

Budget Unit: Early Head Start Correctional Center (04-113)**Program #: Auxiliary**

(# missions, # goals, # objectives & performance indicators)

Mission:

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators

No objectives or performance indicators are identified for this program.

Source: Prepared by Legislative Auditor's staff using the 1999-07 executive budget.

Budget Unit: David Wadd Correctional Center (09-414)**(1 million, 1 post)****Mission:**

To provide correctional services to a professional manner so as to protect the safety of the public, the institution staff, and the inmate population. Correctional activities, CRCC provides meaningful opportunities to enhance through a variety of educational, work, social services and medical programs the ability of individual inmates to successfully reintegrate into society upon release.

1. **Monitor** (over 1 of 3 criteria (working), identify persons, identify clients, is implemented irregularly.

Goals:

No goals are identified for this budget unit.

Notes: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislators and/or staff from inspection of 1994-97 executive budget performance data in criteria listed in Exhibit 1-1.

Budget Unit: David Wade Correctional Center (64-104)

Program A: Administration

(0 missions, 0 goals, 1 objectives, 3 performance indicators)

Mission

No mission is identified for this program.

Goal

No goals are identified for this program.

Objective and Performance Indicators

Objective: David Wade Correctional Center will maintain accountability through the American Correctional Association while continuing to provide services to the most criminal, efficient, and effective way possible.

- a. Indicator E1: ACA accreditation
- a. Indicator E2: Average cost per day per inmate bed
- a. Indicator E3: Percentage of total institutional budget that is administration

Indicator: Goals and Objectives

- 1. Is relevant with program or department goal
 - a. Is measurable
 - a. Is not duplicated
 - a. Is entity-oriented
- 2. Performance indicators do not conflict or overlap
 - a. If goals measured to help it achieve program budgeted for separate
 - a. If goals are measured with the indicator
 - a. If goals are close, goals should be combined and reworded

Source: Proposed by legislative auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: David Wade Correctional Center (06-414)**Program B: Incarceration****(3 indicators, 9 goals, 1 objective, 6 performance indicators)****Mission:**

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:**Objective:** David Wade Correctional Center will continue to provide for the secure confinement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- Indicator #1: Prison capacity
- Indicator #2: Number of inmates per correctional security officer
- Indicator #3: Percentage of total institutional budget that is incarcerated
- Indicator #4: Number of escapes
- Indicator #5: Number of apprehensions
- Indicator #6: Number of major disturbances
- Indicator #7: Number of minor disturbances
- Indicator #8: Number of assaults by inmates on staff
- Indicator #9: Number of assaults by inmates on inmates
- Indicator #10: Number of sex offenses

1. Objectives (each of 4 criteria (1996):**4 - it contained the program or department's goals****4 - it had measurable****4 - it was operational****4 - it was operational****Indicator Indicators (1996) (and revised as follows)****4 - 0 (1996) measure or target is necessary (goals) to be used for objective****4 - 18 (1996) are consistent with the objective****4 - 9 (1996) are clear, easily measurable, and non-redundant**

Source: Prepared by legislative auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit C-1.

Budget Unit: David Wade Correctional Center (05-414)**Program C: Rehabilitation**

(9) missions, 8 goals, 1 objectives, 6 performance indicators

Mission

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: David Wade Correctional Center will continue to provide rehabilitation opportunities to offenders in order to make effective treatment more formal and personal development and help to society upon their release.

- a. Indicator P1: Percentage of total institutional budget that is rehabilitation
- a. Indicator P2: Average monthly enrollment in adult basic education program
- a. Indicator P3: Number training GED
- a. Indicator P4: Average monthly enrollment in research program
- a. Indicator P5: Number receiving two-year certificate
- a. Indicator P6: Average monthly enrollment in literacy program

11 - Objectives: Item 2 of 4 criteria (P1), 2 of 2 - Performance Indicators (1) Item 1 (P1) at 100%

- a. Is the mission valid program or appropriate goal?
 - 1 - a good solution to help to achieve program stated in objective
 - 1 - a good or improved task for objective
 - 1 - a good, or other, joint responsibility and accountability
- a. Is the measurable?
- a. Is the focused?
- a. Is the timely-relevant?

Source: Prepared by Legislative Auditor's staff from compilation of 1996-97 executive budget performance data by office as listed in Exhibit 1-1.

Budget Unit: Dual State Correctional Center (18-414)**Program D: Health Services****(3 missions, 9 goals, 1 objective, 7 performance indicators)****Mission:**

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators:**Objective:** Dual State Correctional Center will continue to provide such inmate the medical, dental, and mental health services necessary to maintain the inmate health.

- ▶ Indicator #1: Percentage of total institutional budget that is health services
- ▶ Indicator #2: Deaths by suicide
- ▶ Indicator #3: Deaths by violence
- ▶ Indicator #4: Deaths by illness
- ▶ Indicator #5: Positive tests, tuberculosis
- ▶ Indicator #6: Cases of HIV
- ▶ Indicator #7: Cases of AIDS

Objective: Goals 1 of 4 (inmate 20%)

- ▶ 1. Is inmate with program or department goal
 - ▶ a. Is not measurable
 - ▶ b. Is not institutional
 - ▶ c. Is not to be avoided
- ▶ 2. Is program goal
 - ▶ a. Is not institutional (1) and critical or essential
 - ▶ b. Is not to be avoided (2) and critical or essential
 - ▶ c. Is critical or essential with the objective
 - ▶ d. Is critical or essential with the objective

Source: Prepared by legislative auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit 11.

Budget Unit: David Wade Correctional Center (M-414)**Program B: Auxiliary**

(8 missions, 8 goals, 9 objectives, 8 performance indicators)

Mission:

No mission is identified for this program.

Goal:

No goal is identified for this program.

Objective and Performance Indicators

No objective or performance indicators are identified for this program.

Source: Prepared by legislative review¹ and using the 1998-99 executive budget.

Budget Title: Washington Correctional Institute (64-400)**(1 unit(s), 6 year(s))****Measures**

To provide for the custody, control, care and treatment of each inmate assigned to that facility through compliance with applicable laws, regulations, and procedures. Emphasis is placed on the implementation of programs that provide a public service and those designed to rehabilitate inmates into making a life of law-abiding citizenship.

4. **Statistical needs 1 of 1 units (100%);** **Inventory program, Inventory class, 3 organizational, assignable**

Goals

No goals are identified for this budget unit.

Notes: Efficiency and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 1994-95 executive budget performance data to estimates listed in Budget 1-1.

Budget Title: Washington Correctional Institute (WB-416)
Program A: Administration
(3 salaries, 8 goals, 1 objective, 3 performance indicators)

Measures

No measure is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: Washington Correctional Institute will maintain accreditation through the American Correctional Association while continuing to provide services in the most economical, efficient, and effective way possible.

• Indicator #1: ACA accreditation

• Indicator #2: Average cost per day per inmate bed

• Indicator #3: Percentage of total institutional budget that is administrative

4. Identifying needs 3 of 4 criteria (80%)

4.1. Is consistent with program or organizational goals

4.2. Is not measurable

4.3. Is not institutional

4.4. Is not data-driven

4. Performance Indicators (3) need criteria to follow:

4.1 (80%) increases in budget in limited program funded by legislature

4.2 (100%) are consistent with the institution

4.3 (100%) are clearly, easily identifiable, and data driven

Source: Prepared by Legislative Auditor's staff from comparison of 1999 to 2000 revenue budget performance data to criteria listed in Exhibit 3-4.

Budget Units: Washington Correctional Institute (WCI-16)

Program B: Institutional

10 missions, 9 goals, 1 objective, 10 performance indicators

Mission:

Mission 1: Operate the program.

Goals:

One goal was identified for this program.

Objective and Performance Indicators

Objective: Washington Correctional Institute will continue to provide the utmost effectiveness and support of offenders committed to that institution while maintaining a safe working environment for staff.

- Indicator 1: Prison capacity
- Indicator 2: Number of inmates per correction facility
- Indicator 3: Percentage of total institutional budget that is incarceration
- Indicator 4: Number of escapes
- Indicator 5: Number of apprehensions
- Indicator 6: Number of major disturbances
- Indicator 7: Number of minor disturbances
- Indicator 8: Number of inmates on staff
- Indicator 9: Number of inmates by inmates on inmates
- Indicator 10: Number of sex offenses

1. Objectives (not all criteria apply):

- To maintain cost program in Department goal
- To be accurate
- To not be biased
- To be measurable

1. Performance Indicators (10 were noted as follows):

- 1 (95%) measured or kept to account program over time objective
- 10 (100%) are consistent with the objective
- 8 (80%) are clear, fairly measurable, and un-biased

Source: Prepared by Legislative Auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: Rehabilitation Incentives (88-418)**Program C) Rehabilitation**

(0) salaries, (1) goals, (2) objectives, (3) performance indicators

Objective:

No indicator is identified for this program.

Death:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: Washington Correctional Institute will continue to provide rehabilitation opportunities to offenders in order to enable offenders to enhance their mental and physical development and assist in society upon their release.

- Indicator B: Percentage of total institutional budget that is rehabilitation
- Indicator C: Average monthly enrollment in total basic education program
- Indicator D: Student receiving GED
- Indicator E: Average monthly enrollment in vocational program
- Indicator F: Student receiving re-entry certificate
- Indicator G: Average monthly enrollment in literacy program

1. Objectives with 100% criteria (2000):

- To continue this program as departmental goal
 - Total institutional
 - Total department
 - Is multi-agency
- Departmental Indicator (0) need criteria is 100%
 ■ 0 (0%) indicates no target is available; program meets the criteria
 ■ 1 (100%) are consistent with the 100% goal
 ■ 2 (200%) are that many indicators exist, all are consistent

Source: Prepared by Legislative Auditor's staff from comparison of 1999-01 narrative budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: Washington Correctional Institute (MI-100)

Program D: Health Services

(3) mission, 8 goals, 1 objective, 7 performance indicators

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators

Objective: Washington Correctional Institute will continue to provide such items as the medical, dental, and mental health services necessary to maintain the basic health.

- Indicator #1: Percentage of total institutional budget that is health services
- Indicator #2: Deaths by suicide
- Indicator #3: Deaths by violence
- Indicator #4: Deaths by illness
- Indicator #5: Positive toxic substances
- Indicator #6: Cases of STI
- Indicator #7: Cases of AIDS

4. Objectivity: none of 4 criteria (0/4):

- 1. Is consistent with program or departmental goals
- 2. Is not measurable
- 3. Is not achievable
- 4. Is overly-oriented

5. Performance Indicators (PI) need criteria to follow:

- 1. (PI) measure or judge if necessary program should be adjusted
- 2. (PI) be appropriate with the objective
- 3. (PI) are clear, easily identifiable, and well defined

Source: Prepared by legislative auditor's staff from comparison of 1996-97 narrative budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: Washington Correctional Institute (61-100)

Program E: Auxiliary

(3 missions, 0 goals, 0 objectives, 0 performance indicators)

Mission:

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators:

No objective or performance indicators are identified for this program.

Source: Prepared by legislative auditor's staff using the 1996-97 executive budget.

Budget Unit: Adult Probation and Parole (68-418)**(1 mission, 0 goals)****Mission**

The Division of Probation and Parole provides a "community services" division and consists of 1 headquarters office in Boise, Idaho and 20 district offices strategically located throughout the state. The division protects public safety by supervising adjudicated adult offenders for the courts and other decision makers, supervising those who are placed on probation, parole, pretrial and post-trial release, and enforcing the conditions attached to their programs in the community.

1. Monitor over 1 of 1 million people, identify people who are potentially dangerous.

Goals

No goals are identified for this budget unit.

Note: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by Legislative Auditor's staff from information of 1990-91 executive budget performance data to criteria listed in Exhibit 3-1.

Budget (Total Adult Probation and Parole 98-415)

Programs for Administration and Support

(1 mission, 6 goals, 3 objectives, 3 performance indicators)

Mission

To provide management direction, policies and regulations as well as to provide the administrative support services necessary for all operational needs. To carry out this mission, the program provides quality administration, policy development, financial management and leadership.

- 1. Mission meets 2 of 3 criteria (100%); identifies purpose and is organizationally acceptable. (61.00% per state, fully measurable) (61.00% per state)

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: The Administration and Support Program will continue to provide the administration and leadership on a statewide level for services provided to adult institutional courts, the Boards of Probation and Parole, and the Inmate's Complaint units. The Administration and Support Program will continue to ensure that services are provided according to standards and in a manner that best serves the needs of the citizens and the community, maintains efficiency and effectiveness, and maintains DCJ accreditation standards.

- 1. Indicator #1: ACA accreditation
- 2. Indicator #2: Average cost per day per offender supervised
- 3. Indicator #3: Probation and parole funding per offender supervised; Louisiana versus Southern and North Central states

1. Objective #1: ACA accreditation

Indicator #1: ACA accreditation (11) and (100%)

(1) is consistent with program or departmental goals

(1) (100%) measures or tracks a clearly program-related objective

(1) is not measurable

(1) (100%) are consistent with the objective

(1) is not achievable

(1) (100%) are state, fully measurable, and fully tracked

(1) is partially-achieved

(1) (100%) are state, fully measurable, and fully tracked

Source: Prepared by Legislative Auditor's staff from comparison of 1998-99 executive budget performance data to criteria listed in Exhibit 3-4.

Budget Unit: Adult Probation and Parole (08-415)

Program B: Field Services

(1 mission, 1 goal, 1 objective, 12 performance indicators)

Mission:

To regulate adult offenders who are released on probation or parole.

- **Mission Area 1 of 1 criteria (100%):** *Adaptive program, minimize arrests, is consistently completed*

Goal:

To protect public safety and to facilitate the adjustment and reintegration of offenders into society.

- **Goal Area 1 of 1 criteria (90%):** *Highly rated success for post-release supervision*

Objective and Performance Indicators:

Objective: The Field Services Program will continue to provide efficient and effective control, supervision, and reintegration of offenders into society while, at the same time, striving to comply with statutory workload limits.

- **Indicator #1:** Prostitution investigations
- **Indicator #2:** Pre-arrest investigations
- **Indicator #3:** Prostitution investigations
- **Indicator #4:** Pre-arrest/return release investigations
- **Indicator #5:** Churnout investigations
- **Indicator #6:** Travel (investigation)
- **Indicator #7:** Searching petitions (investigation)
- **Indicator #8:** Supervision assistance requests
- **Indicator #9:** Average workload per agent
- **Indicator #10:** Comparison of number of offenders under supervision, Louisiana and total for Southern region, (1993-96)
- **Indicator #11:** Comparison of average caseload, Louisiana and Southern region, (1991-96)
- **Indicator #12:** Comparison of number of offenders on probation and parole, Louisiana and each Southern Legislative Conference state, FY 1996
- **Indicator #13:** Comparison of number of probation and parole agents, Louisiana and each Southern Legislative Conference state, FY 1996
- **Indicator #14:** Comparison of number of offenders per agent, Louisiana and each Southern Legislative Conference state, FY 1996

Budget Units: Adult Probation and Parole (004-414)

Program B. Field Services (004-414-1)

- **Statistics**
 - **of 11 criteria being:**
 - **in compliance with program or department goals**
 - **in cost effectiveness**
 - **in staff development**
 - **in results-oriented**

Source: Prepared by Legislative Auditor's staff from comparisons of 1986-87 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Office of Youth Development (BU-400)

(1) Mission, Goals

Mission:

To design, implement and administer a state-level system of care, custody and supervision that serves the needs of juvenile offenders and their families and assists courts of proper jurisdiction, all on behalf of public safety by:

- providing and/or ensuring pre-arrest services to youth;
- protect public safety by providing safe, secure, humane and rehabilitative institutional programs for violent juvenile offenders;
- locate available money and resources to the rehabilitation of youth in need of supervision and youth adjustment delinquency and in any manner that will promote the well-being of Louisiana youth;
- provide a diversified system of community services for youth and their families, including probation, aftercare, residential and non-residential interventions;
- provide substance, support and coordination to local and regional governmental agencies and courts towards the development of alternative and early intervention programs.

(2) Mission Statement: Meeting the legal, scientific, medical, psychiatric, psychological, educational, and social needs of Louisiana's youth.

Goals:

No goals are identified for this budget unit.

Mile: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 1995-96 narrative budget performance data to various funds in Exhibit B-1.

Budget Unit: Office of Youth Development (05-103)

Program A: Adult Inmate

(1 mission, 0 goals, 4 objectives, 30 performance indicators)

Mission:

To design, implement and administer a state-level system of care, custody and supervision that serves the needs of juvenile offenders and their families and assist courts of proper jurisdiction, and in behalf of public safety by:

- preventing and/or deterring prodelinquent behavior by youth;
- protect public safety by providing safe, secure, humane and rehabilitative institutional programs for violent juvenile offenders;
- locate available staff and resources to the rehabilitation of youth in need of supervision and youth adjustment following and in any appropriate case will promote the well-being of Louisiana youth;
- provide a diversified system of community services for youth and their families, including probation, aftercare, residential and institutional interventions;
- provide assistance, support and coordination to local and regional governmental agencies and courts towards the development of alternative and early intervention programs.

4. Major goal(s) of 1 mission (0 goals, 4 objectives, 30 performance indicators)

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

Objective 01: The Administration Program will continue to support all available resources to deal with the increasing number of juveniles who commit violent felonies offenses and need to be placed in secure juvenile institutions to provide for the public's safety.

- Indicator 01: Increase in number of secure beds

Objective 02: The Administration Program will assure the efficient and effective operation and direction of various juvenile services, including responsible management of the juvenile institutions, proper selection and monitoring of juvenile delinquency prosecution projects, foster care facilities, and residential and nonresidential community treatment programs; and the effective administration of juvenile probation and parole services.

- Indicator 01: Average cost per day per bed at LJA-Orleans
- Indicator 02: Average cost per day per bed at Jones Correctional Center for Youth
- Indicator 03: Average cost per day per bed at LJA-Bossier City
- Indicator 04: Average cost per day per bed at Tylorville Correctional Center for Youth
- Indicator 05: Average cost per day per youth in residential programs
- Indicator 06: Average cost per day in nonresidential programs

Budget Unit: Office of Youth Psychiatry (09-000)

Program A: Administration (09-000)

Objectives and Performance Indicators: (Cont.)

Objective B: The Administration Program will assure maintenance of ACA accreditation standards for juvenile services programs and institutions, such as ACA accreditation for VTA, juvenile regional offices, and juvenile community residential centers and day treatment programs.

- Indicator B1: ACA accreditation, LTV
- Indicator B2: ACA accreditation, regional office
- Indicator B3: ACA accreditation, community residential centers and day treatment programs

Objective B4: The Administration Program will fund efforts to reduce recidivism among juvenile offenders.

- Indicator B4: Average monthly enrollment in OYO program
- Indicator B5: Number working OYO (in fiscal year)
- Indicator B6: Average monthly enrollment in re-entry program
- Indicator B7: Number working re-entry certificate (in fiscal year)
- Indicator B8: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from home
- Indicator B9: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from treatment program
- Indicator B10: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from secure program
- Indicator B11: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from other places
- Indicator B12: Profile of recidivism in OYO: Total number & percentage of recidivism in 1989
- Indicator B13: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from home
- Indicator B14: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from treatment program
- Indicator B15: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from secure program
- Indicator B16: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from other places
- Indicator B17: Profile of recidivism in OYO: Total number & percentage of recidivism in 1989
- Indicator B18: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from home
- Indicator B19: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from treatment program
- Indicator B20: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from secure program
- Indicator B21: Profile of recidivism in OYO: Number & percentage of recidivism in 1989 released from other places

Budget (with Office of Youth Detention) (04-400)

Program A: Administration (C-01)

Objective 4: (Cont.)

Objective 4: (Cont.)

- Indicator #19: Profile of recidivism in CY0; Total number & percentage of recidivists in 1999
- Indicator #20: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from home
- Indicator #21: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from treatment program
- Indicator #22: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from secure program
- Indicator #23: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from other places
- Indicator #24: Profile of recidivism in CY0; Total number & percentage of nonrecidivists in 1999
- Indicator #25: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from home
- Indicator #26: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from treatment program
- Indicator #27: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from secure program
- Indicator #28: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from other places
- Indicator #29: Profile of recidivism in CY0; Total number & percentage of recidivists in 1999
- Indicator #30: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from home
- Indicator #31: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from treatment program
- Indicator #32: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from secure program
- Indicator #33: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from other places
- Indicator #34: Profile of recidivism in CY0; Total number & percentage of nonrecidivists in 1999
- Indicator #35: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from home
- Indicator #36: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from treatment program
- Indicator #37: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from secure program
- Indicator #38: Profile of recidivism in CY0; Number & percentage of recidivists in 1999 released from other places
- Indicator #39: Profile of recidivism in CY0; Total number & percentage of recidivists in 1999
- Indicator #40: Profile of recidivism in CY0; Number & percentage of nonrecidivists in 1999 released from home

Budget Units: Office of Youth Development (08-405)

Program A: Administrative (Cost)

Objectives and Performance Indicators (Cost)

Objective 44 (Cost)

- Indicator 44.1: Profile of recidivism in OYD; Number & percentage of nonrecidivists in 1993 released from sentence program
- Indicator 44.2: Profile of recidivism in OYD; Number & percentage of nonrecidivists in 1993 released from sentence program
- Indicator 44.3: Profile of recidivism in OYD; Number & percentage of nonrecidivists in 1993 released from other plans
- Indicator 44.4: Profile of recidivism in OYD; Total number & percentage of nonrecidivists in 1993
- Indicator 44.5: Profile of recidivism in OYD; Number & percentage of recidivists in 1993 released from home
- Indicator 44.6: Profile of recidivism in OYD; Number & percentage of recidivists in 1993 released from sentence program
- Indicator 44.7: Profile of recidivism in OYD; Number & percentage of recidivists in 1993 released from other plans
- Indicator 44.8: Profile of recidivism in OYD; Total number & percentage of recidivists in 1993
- Indicator 45.1: Profile of recidivism in OYD; Number & percentage of nonrecidivists in 1993 released from home
- Indicator 45.2: Profile of recidivism in OYD; Number & percentage of nonrecidivists in 1993 released from sentence program
- Indicator 45.3: Profile of recidivism in OYD; Number & percentage of nonrecidivists in 1993 released from other plans
- Indicator 45.4: Profile of recidivism in OYD; Total number & percentage of nonrecidivists in 1993
- Indicator 45.5: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.6: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.7: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.8: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.9: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.10: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.11: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.12: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.13: Total number of OYD discharges during 1993 from sentence locations
- Indicator 45.14: Total number of OYD discharges during 1993 from sentence locations

Budget Unit: Office of Youth Development (00-400)
Program A: Administrative (000)

Objective and Performance Indicators (Cont.)

Objective B: OYD

- ▶ Indicator 061: Total number of OYD discharges during 1993 from treatment facilities
- ▶ Indicator 062: Total number of OYD discharges during 1992
- ▶ Indicator 063: Total number of OYD discharges during 1993 from secure facilities
- ▶ Indicator 064: Total number of OYD discharges during 1993 from treatment facilities
- ▶ Indicator 065: Total number of OYD discharges during 1993 from secure facilities
- ▶ Indicator 066: Total number of OYD discharges during 1992
- ▶ Indicator 067: Total number of OYD discharges during 1993 from secure locations
- ▶ Indicator 068: Total number of OYD discharges during 1994 from treatment facilities
- ▶ Indicator 069: Total number of OYD discharges during 1994 from secure locations
- ▶ Indicator 070: Total number of OYD discharges during 1995 from secure locations
- ▶ Indicator 071: Total number of OYD discharges during 1996 from secure locations
- ▶ Indicator 072: Total number of OYD discharges during 1997 from secure locations
- ▶ Indicator 073: Total number of OYD discharges during 1998 from secure locations
- ▶ Indicator 074: Total number of OYD discharges during 1999 from treatment facilities
- ▶ Indicator 075: Total number of OYD discharges during 1999
- ▶ Indicator 076: Total number of OYD discharges during 2001 from secure locations
- ▶ Indicator 077: Total number of OYD discharges during 2001 from treatment facilities
- ▶ Indicator 078: Total number of OYD discharges during 2001 from secure locations
- ▶ Indicator 079: Total number of OYD discharges during 2001 from secure locations
- ▶ Indicator 080: Total number of OYD discharges during 2003 from treatment facilities
- ▶ Indicator 081: Total number of OYD discharges during 2003
- ▶ Indicator 082: Total number of OYD discharges during 2003 from secure locations
- ▶ Indicator 083: Total number of OYD discharges during 2003 from treatment facilities
- ▶ Indicator 084: Total number of OYD discharges during 2003
- ▶ Indicator 085: Number of residents discharged in 2003 adjusted to what BDC from OYD
- ▶ Indicator 086: Number of residents discharged in 1990 adjusted to what BDC from OYD
- ▶ Indicator 087: Number of residents discharged in 1991 adjusted to what BDC from OYD

Budget Unit: Office of Youth Development (B1-482)
Program A: Administrations (Continued)

Objectives and Performance Indicators (Cont.)

Objective 04 - (Cont.)

- Indicator 010: Number of mid-levels discharged in 1992 adjusted to what 1991 was (1991)
- Indicator 011: Number of mid-levels developed in 1992 adjusted to what 1991 was (1991)
- Performance Indicator (PI) used overall is follows:
 - 1 (PI) measure of targets needed (goals) listed in table
 - 2 (PI) are achieved with the targets
 - 3 (PI) are above target (achieved) and are listed

Source: Prepared by legislative auditor's staff from comparison of 1991-92 executive budget performance data to criteria listed in Exhibit 3-4.

Budget Unit: Office of Youth Development (00-000)

Program B: LTI-Mission

(1) Mission, 1 goal, 3 objectives, 33 performance indicators)

Mission

To provide leadership for change for youth - creating legitimate, alternative pathways to adulthood. This includes the provision of effective, efficient programs and operations that will prevent the well-being of youth (juvenile offenders and LTI) and to the fulfillment of judicial mandates and maintenance of ethical and professional standards of practice, consistent with the need for public safety.

(1) - Mission meets 1 of 3 criteria (100%): strategic purpose, measurable results, & departmentally acceptable

Goal

That each youth experience success and learn to relate both family and community.

(1) - Goal meets 1 of 3 criteria (100%): measurable results, 100% of goals are achieved, & departmentally acceptable

Objectives and Performance Indicators

Objective #1: LTI-Mission will maintain accreditation through the American Correctional Association while continuing to provide services to the most criminal, efficient, and effective way possible.

- ▶ Indicator #1: ACA accreditation

- ▶ Indicator #1: Average cost per day per juvenile offender (red)

Objective #2: LTI-Mission will continue to provide for the secure confinement and support of juvenile offenders committed to jail institutions while maintaining a fully working treatment for staff.

- ▶ Indicator #1: Capacity

- ▶ Indicator #1: Number of offenders per correctional security officer

- ▶ Indicator #1: Number of escapes

- ▶ Indicator #1: Number of apprehensions

Objective #3: LTI-Mission will continue to provide treatment and rehabilitation opportunities geared to the assessed needs of juvenile offenders.

- ▶ Indicator #1: Average monthly enrollment in OED program

- ▶ Indicator #1: Number receiving OED (in fiscal year)

- ▶ Indicator #1: Average monthly enrollment in work program

- ▶ Indicator #1: Number receiving work training (in fiscal year)

Budget Unit: Office of Youth Development (04-400)

Program #: 010-Ministry-Counseling

Objectives (1) and criteria as follows:

1. Objectives are measured with program-Apprenticeship goals
2. Objectives are measurable
3. Objectives are time-bound
4. Objectives are cost-effective

Performance Indicators (and cost criteria) as follows:

1. 0-100% business to help establish program goals for business
2. 0-100% are completed and not reported
3. 0-100% are cost effective and not reported

Note: Littlemore has been awarded the Services Commission Contract for Youth.

Source: Prepared by Legislative Auditor's staff from comparison of 1996-97 executive budget performance data to criteria found in Exhibit 1-4.

Budget Unit: Office of Youth Development (01-400)**Program C: Inmate Correctional Center for Youth****(1 mission, 9 goals, 3 objectives, 11 performance indicators)****Mission:**

To ensure juveniles under the care of the institution with the necessary education, mental, and psychological tools that will enable them to make law-abiding, socially productive decisions and to develop their individual talents to an optimum level.

1. Mission needs 1 of 1 mission priority, 1 mission purpose, 1 mission goal, 3 objectively measurable, 11 performance indicators.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

Objective #1: Inmate Correctional Center for Youth will maintain involvement through the American Correctional Association while continuing to provide services in the most economical, efficient, and effective way possible.

- a. Indicator #1: ACA accreditation

a. Indicator #2: Average cost per day per juvenile offender held

Objective #2: Inmate Correctional Center for Youth will continue to provide for the prison confinement and support of juvenile offenders committed to that institution while maintaining a safe working environment for staff.

- a. Indicator #1: Capacity

a. Indicator #2: Number of offenders per correction security officer

a. Indicator #3: Number of escapes

a. Indicator #4: Number of apprehensions

Objective #3: Inmate Correctional Center for Youth will continue to provide treatment and rehabilitation opportunities gained in the second needs of juvenile offenders.

a. Indicator #1: Average monthly enrollment in GED program

a. Indicator #2: Number reaching GED (in final year)

a. Indicator #3: Average monthly enrollment in re-entry program

a. Indicator #4: Number training re-entry certificate (in final year)

a. Indicator #5: Number of graduates from the Skills Education Program

a. Indicator #6: Enrollment in IEP

Budget Unit: Office of Youth Development (00-00)

Program C: At-Risk Correctional Center for Youth (200000)

• Objectives: Of these six criteria as follows:

- 1 (1980) are consistent with program's approximate goals
 - 2 (1980) are measurable
 - 3 (1980) are timely-oriented
 - 4 (1980) are results-oriented
- 1. Institutional Statistics (11) meet criteria as follows:
 - 1 (1980) measures or helps to indicate program-related activities
 - 11 (1980) are consistent with the policy
 - 11 (1980) are clear, easily understood, and well-focused

Sources: Prepared by legislative auditor's staff from comparison of 1980-81 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Office of Juvenile Rehabilitation (01-200)

Program #: L11-Bridge City

(1) mission, 6 goals, 3 objectives, 3 performance indicators

Mission:

To provide for the custody, care and treatment of juvenile offenders resulting in their rehabilitation into productive, law-abiding citizens by utilizing effective education programs and operations that will ensure public protection, better judicial decisions, and maintain ethical and professional standards of practice. The dominant correctional philosophy applied at L11-Bridge City is that all offenders have the right to receive individualized treatment to the extent that is provided in a safe, secure, ordered, organized, therapeutic atmosphere in which feelings of trust and responsibility are developed through social, recreational, religious, psychological, educational and self-help activities. Simultaneously, the safety of the public is ensured through incarceration of the juvenile offender.

Goals:

No goals were identified for this program.

Objectives and Performance Indicators:

Objective #1: L11-Bridge City will maintain accreditation through the American Correctional Association while continuing to provide services to the most successful, efficient, and effective way possible.

- ▶ Indicator #1: ACA accreditation

- ▶ Indicator #2: Average cost per day per juvenile offender bed

Objective #2: L11-Bridge City will continue to provide for the secure confinement and support of juvenile offenders committed to that institution while maintaining a safe working environment for staff.

- ▶ Indicator #3: Capacity

- ▶ Indicator #4: Number of offenders per correctional security officer

- ▶ Indicator #5: Number of escapes

- ▶ Indicator #6: Number of aggressions

Objective #3: L11-Bridge City will continue to provide treatment and rehabilitation opportunities geared to the assessed needs of juvenile offenders.

- ▶ Indicator #1: Average monthly enrollment in CSD program

- ▶ Indicator #2: Number receiving CSD in fiscal year

Budget Unit: Office of Youth Development (M-450)
Program D: LTR-Bridge City (C-34044)

• **Expenditures (1) meet criteria as follows:**

- \$1,000,000 are consistent with program departmental goals
- \$1,000,000 are measurable
- \$1,000,000 are consistent
- \$1,000,000 are results-oriented

• **Expenditures (2) meet criteria as follows:**

- 1. If (P) amounts are large or major program goals are achieved
- 2. If (P) are consistent with (M) (M) (M) (M)
- 3. If (P) are clear, measurable, and results-oriented

Source: Prepared by legislative liaison's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit C-1.

Budget Unit: Office of Youth Development (01-403)**Program E: Field Services****(1 mission, 9 goals, 3 objectives, 3 performance indicators)****Mission:**

To provide for the supervision of juvenile probationers and/or parolees and to provide support as required by the courts. The program, carried out by the Division of Youth Services (DYS), provides probation and parole supervision and both residential and nonresidential treatment services for adjudicated youth and for status offender youth and their families. These services are designed to address the needs of offenders subject to supervision while ensuring the public safety. Risk assessment models are used to determine levels of custody, supervision, and management and release recommendations. Programs to address the needs of the seriously mentally ill/developmentally disabled offender and the offender with substance abuse problems are developed in consultation with the Office of Mental Health and the Office of Human Services.

Key Indicators: 1 of 3 (Total) (100%) (Monthly Reported) (Indicator Objectives) (3 Objectives) (3 Objectives)

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

Objective #1: The Field Services Program will continue to develop, implement, and coordinate a multidimensional system of supervision and treatment for youth subject to probation and/or parole by courts of justice jurisdictions.

- Indicator #1: Number of youth under supervision
- Indicator #2: Number of juvenile service officers
- Indicator #3: Number of investigations per month
- Indicator #4: Average total workload per month
- Indicator #5: Number of transports per month
- Indicator #6: Average hours transporting per month
- Indicator #7: ACA investigations and incident services efficiency and efficiency.

Objective #2: The Field Services Program will maintain ACA investigations and incident services efficiency and efficiency.

- Indicator #8: ACA investigations of Division of Youth Services (DYS)

- Indicator #9: Cost per day per offender supervised

**Budget Unit: Office of Youth Delinquency Control
Program B: Field Services (Colorado)**

4. **Delinquent (1) case counts as follows:**

- 4. 1 (0000) are unsentenced programs/ department goals
- 4. 5 (0000) are sentenced
- 4. 5 (0000) are sentenced
- 4. 1 (0000) are sentenced

4. **Programmatic Evaluation of need status as follows:**

- 4. 1 (0000) are sentenced or high risk delinquent program levels of delinquency
- 4. 1 (0000) are sentenced with the program
- 4. 1 (0000) are sentenced with the program

Source: Prepared by legislative auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Office of Youth Development (01-600)
Program E: Contract Services (01-600-04)

Objectives and Performance Indicators (Cont.)

Objective #1: The Contract Services Program will continue the cooperative and/or agreement for Public Contract Center for Youth.

- ▶ **Indicator #1:** TCCY capacity
- ▶ **Indicator #1:** Average number of activities assigned in TCCY
- ▶ **Indicator #1:** TCCY total cost
- ▶ **Indicator #1:** TCCY cost per offender day
- ▶ **Indicator #1:** ACA accreditation
- ▶ **Indicator #1:** Number of contracts
- ▶ **Indicator #1:** Average monthly enrollment in TCCY program
- ▶ **Indicator #1:** Number receiving CEO

1. Objectives (O) and related activities:

(A) 1. Contracts are awarded with program operational goals

(M) 1. 0 (95%) to maximum

(A) 1. 0 (95%) to maximum

(M) 1. 2 (95%) to maximum

2. Performance Indicators (PI) and sources of data:

(A) 1. 0 (95%) to maximum or budget is available (high to low) for objective

(M) 1. 10 (100%) to maximum (high to low)

(A) 1. 10 (100%) to maximum (high to low)

(M) 1. 2 (95%) to maximum (high to low)

Source: Provided by Legislative Auditor's staff from comparison of 1994-95 executive budget performance data records listed in Exhibit 1-4.

Budget Title: Adult Community-Based Rehabilitation Program (00-480)

Program A: Adult Community-Based Rehabilitation Program (of missions, it goals, objectives, & performance indicators)

Mission:

To provide training, orientation and other treatment activities aimed at re-socialization within those facilities of adult offenders who have been approved for participation in a work release program. The program provides a smooth transition of offenders from prison back into society by affording an opportunity for offenders to obtain employment prior to release from state custody, this assists both the offender and his family. These facilities are secure, community-based residential facilities that have generally been utilized as a re-entrance center. The use of the facilities has expanded to an alternative to incarceration for parole violators.

- a. **Mission Goals:** (100%) *Admission to program, (100%)* *Completion of program*

Goals:

No goals are identified for this program.

Objectives and Performance Indicators:

Objective #1: The Department of Public Safety and Corrections will continue to implement the process of "building out" the housing of offenders who are determined to be qualified for work release program through the Adult Community-Based Rehabilitation Program. This procedure will ensure that those inmates are housed at the lowest possible cost and maintain a quality program.

- a. **Indicator #1:** ACA accreditation
 - b. **Indicator #2:** Average number of persons in program per day
 - c. **Indicator #3:** Average cost per day per offender
 - d. **Indicator #4:** Number of inmates in community-based programs in Louisiana and Southern region states
 - e. **Indicator #5:** Percentage of total inmate population in community-based programs in Louisiana and Southern region states
 - f. **Indicator #6:** Annual operating cost per inmate in adult community-based programs in Louisiana and Southern region states
- 4. (Mission) Goals:** (100%) *Admission to program, (100%)* *Completion of program*
- a. **Indicator #1:** ACA accreditation
 - b. **Indicator #2:** Average number of persons in program per day
 - c. **Indicator #3:** Average cost per day per offender
 - d. **Indicator #4:** Number of inmates in community-based programs in Louisiana and Southern region states
 - e. **Indicator #5:** Percentage of total inmate population in community-based programs in Louisiana and Southern region states
 - f. **Indicator #6:** Annual operating cost per inmate in adult community-based programs in Louisiana and Southern region states

Source: Prepared by legislative auditor's staff from comparison of 1994-95 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Use: Sheriff's Housing of State Inmates (88-400)

Program A: Sheriff's Housing of State Inmates

(1 mission, 9 goals, 1 objective, 9 performance indicators)

Mission:

To provide safe and secure environments for adult male and female offenders and juveniles who have been committed to state custody and are residing outside of Corrections facilities. Due to space limitations in state correctional institutions, the Department of Public Safety and Corrections (DPS/C) utilizes private and local jails for housing offenders.

9 - Annual needs (1 of 9 annual goals); Strategic purpose, identify goals, if appropriate, identify needs

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective #1: The Department of Public Safety and Corrections will maintain its within private and local jails for housing offenders committed to the state's custody and existing contracts to Corrections Services and will reimburse local authorities through the Sheriff's Housing Program.

- ▶ Indicator #1: Average number of adults housed per day
- ▶ Indicator #2: Average number of juveniles housed per day
- ▶ Indicator #3: Average total number of offenders housed per day
- ▶ Indicator #4: Certification of sheriff's facilities
- ▶ Indicator #5: Number of cooperative reimbursement agreements for adult beds
- ▶ Indicator #6: Actual budgeted and approved bed reimbursement agreements by cooperative reimbursement agreements
- ▶ Indicator #7: State offenders in local jails, Lockdown and 11 other facilities and South Central states
- ▶ Indicator #8: State prisoners per inmate day, Lockdown and 11 other facilities and South Central states
- ▶ Indicator #9: State prisoners per inmate year, Lockdown and 11 other facilities and South Central states

1. Identify needs (1 of 9 goals):

- 4 - In compliance with program or departmental goals
 - 4 - 0 (0%) necessary or 40% to increase program toward the objective
 - 4 - 0 (0%) not necessary or 40% to decrease program toward the objective
 - 4 - 0 (0%) not necessary or 40% to increase program toward the objective
 - 4 - 0 (0%) not necessary or 40% to decrease program toward the objective
- 4 - In use/reused
- 4 - In use/reused
- 4 - In use/reused

Source: Prepared by legislative auditor's staff from completion of 1996-97 executive budget performance data to which is added in Exhibit 1-1.

Budget Unit: Prison Enterprise (14-111)

Program A: Prison Enterprise

(1) mission, (2) goals, (3) objectives, (4) performance indicators

Mission

Transferring overall costs of prison operations and operating costs of other state agencies, local government entities, and tax-supported institutions by operating self-supported industrial and agricultural businesses, which employ offenders in meaningful jobs, teach marketable skills and good work habits, and provide quality, cost-effective products and services.

1. Mission (only 1 of 7 criteria (40%)) (Annually reported) (Quality rated) (By local business, governmental agencies, or by the state) (100%)

Goals

So goals are identified for this program.

Objectives and Performance Indicators

Objective #1: The Prison Enterprise Program will reduce the overall cost of prison operations and operating costs of other state agencies, local government entities, and tax-supported institutions by operating self-supported industrial and agricultural businesses that employ offenders in meaningful jobs, teach offenders marketable skills and good work habits, and provide quality, cost-effective products and services.

- ▶ Indicator #1: Other costs to the 11 of 16 Southern and South Central states whose corrections departments operate prison industries programs
- ▶ Indicator #2: Number of inmates employed in the 15 of 16 Southern and South Central states whose corrections departments operate prison industries programs
- ▶ Indicator #3: Average hours an inmate is employed per day in the 11 of 16 Southern and South Central states whose corrections departments operate prison industries programs
- ▶ Indicator #4: Range of inmate reimbursements per hour in the 11 of 16 Southern and South Central states whose corrections departments operate prison industries programs
- ▶ Indicator #5: Average hourly inmate reimbursement in the 11 of 16 Southern and South Central states whose corrections departments operate prison industries programs
- ▶ Indicator #6: Total sales by Louisiana Prison Industries
- ▶ Indicator #7: Net profit by Louisiana Prison Industries
- ▶ Indicator #8: Number of inmates employed by Louisiana Prison Industries
- ▶ Indicator #9: Hours per day inmates are employed by Louisiana Prison Industries
- ▶ Indicator #10: Monthly reimbursement rate paid by Louisiana Prison Industries

Budget Unit: Prison Expenditures (11-412)
Program A: Prison Expenditures (Cost=666)

Objective and Performance Indicators (Cost)

Objective #1: (Cost)

- ▶ Indicator #11: Gross sales of inmate laundries by Louisiana Prison Industries
- ▶ Indicator #12: Gross sales of garments by Louisiana Prison Industries
- ▶ Indicator #13: Gross sales for furniture refabricating by Louisiana Prison Industries
- ▶ Indicator #14: Gross sales of soap products by Louisiana Prison Industries
- ▶ Indicator #15: Gross sales of ententeils by Louisiana Prison Industries
- ▶ Indicator #16: Private Security/Prison Industries Enhancement Program at When Committed Center: average number of inmates employed
- ▶ Indicator #17: Private Security/Prison Industries Enhancement Program at When Committed Center: state and federal taxes generated
- ▶ Indicator #18: Private Security/Prison Industries Enhancement Program at When Committed Center: bonds generated for lease and bond
- ▶ Indicator #19: Private Security/Prison Industries Enhancement Program at When Committed Center: bonds generated for Center Region Corrections Prison
- ▶ Indicator #20: Private Security/Prison Industries Enhancement Program at When Committed Center: elections at facilities for 1993-2003

Source Information (Cost)

1.0 (66666) Bonds 2 (4) (100%) (0%)

- ▶ 1.1 Includes only programs in approved funds
- ▶ 1.2 Is not necessarily
- ▶ 1.3 Is not allocated
- ▶ 1.4 Is not available

1.0 (66666) Bonds 2 (4) (100%) (0%)

- ▶ 1.1 Includes only programs in approved funds
- ▶ 1.2 Is not necessarily
- ▶ 1.3 Is not allocated
- ▶ 1.4 Is not available

Note: Prison Expenditures is included in the Auxiliary Funds section of the 1993-97 executive budget.

Sources: Prepared by legislative auditor's staff from comparison of 1993-97 executive budget performance data to criteria listed in Exhibit 3-4.

Appendix D
Department of Corrections'
Response



DEPARTMENT OF
PUBLIC SAFETY AND CORRECTIONS

HOWARD L. STANLEY, SECRETARY

November 12, 1997

Dr. Daniel G. Kyle, CPA, CFE
Legislative Auditor
P. O. Box 94293
Baton Rouge, LA 70804-0293

Re: Analysis of Program Authority and Performance Data

Dear Dr. Kyle:

The department has reviewed the performance audit report, *Department of Public Safety and Corrections, Corrections Services: Analysis of Program Authority and Performance Data* dated November 1997, prepared by your performance audit staff and have met and discussed the report with them in great detail. As indicated during the exit interview, the department acknowledges that the report contains much valuable and useful information concerning the department's program authority and performance data. It was noted that your staff acknowledged both the positive aspects of the performance data reported by the department and those areas needing improvement.

However, the report's conclusions reflect very little on the positive aspects of the performance data. It also fails to mention the effort that the department has and will continue to put forth in the monitoring and reporting of its operations. The cornerstone in this process is Department Regulation C-09-081 entitled, *Activities/Outcome/Outcome Reports, Operational Units*, which establishes the Secretary's policy on the monthly reporting for all operational units of the department. This information is reviewed by departmental administration and other executive staff members on a monthly basis. It provides a tremendous amount of information which is used to effectively manage the department by assessing the performance of each operational unit. Much of this information is included in the annual operating plan for the department as well as the Governor's Executive Budget.

The department recognizes and agrees with the report's conclusion that there is room for improvement in certain areas of the performance data. It should be noted, however, that the audit evaluated the information contained in the department's Operational Plan and the Governor's Executive Budget for Fiscal Year 1996-97. This was well before the current emphasis by the legislature on performance budgeting and ACT 1485 of the 1997 Regular Session. According to the Office of Planning and Budget, the information submitted by the department in the 1996-97 Operational Plan was in keeping with their expectations and in fact exceeded the information provided by many other departments. Realizing the importance of these current initiatives, the

Regarding the several areas that were identified as possibly requiring additional study related to the potential for overlap and duplication, the department does not concur with your office's assessment. As discussed in a previous meeting with your staff and again at the exit interview, each program in the Corrections Administration budget performs specific and distinct administrative functions. The Office of the Secretary oversees the development and implementation of departmental policies and provides direction and leadership department wide. The Office of Management and Finance, through the Undersecretary, is responsible for statute for the functions of accounting, budget control, procurement and contract management, and grants management department wide. The Office of Management and Finance is also responsible for human resources and information services for the department. Adult Services is responsible for the day to day operations of the adult institutions by evaluating operations and monthly information supplied by Department Regulation C-03-001 noted above. It is also responsible for providing guidance and support in the department's accreditation efforts. On-site semiannual operational audits are also conducted at each secure and non-secure institution and residential contact facility in order to provide an objective, informative assessment of operational activities, in accordance with Department Regulation C-03-003.

In the area of Food Services (procurement), it was explained that the Office of Management and Finance, Procurement and Contract Management Division (PROCORMD) is responsible for procuring of food items in accordance with the Louisiana Procurement Code. In addition, the food services section at the Office of Management and Finance provides on-site inspections of food service programs and equipment to help insure that all health and safety issues are complied with. In contrast, the Prison Enterprise Program is responsible for producing food through its agricultural programs which are purchased by the units from them. They also make bulk purchases of certain food items in order to package and sell them in suitable quantities to the institutions in order to achieve efficiency for the department's food services operations. This lowers the cost of incarcerating inmates as noted in their mission statement.

The third area noted as being potentially overlapping and duplicative was the notification of Crime Victims and Families. Secretary Snider addressed this item at the exit interview by indicating that the Crime Victims Services Bureau is not responsible for any of the actual notification of victims. Utilizing existing resources, the department established the Crime Victims Services Bureau in the Office of the Secretary to facilitate victim access to information regarding their rights and responsibilities as legitimate participants in the criminal justice system. Specific notification responsibility remained with statutorily designated entities within Corrections Services such as the Parole and Pardon Boards. The Crime Victims Services Bureau helps victims register for notification and answers questions about the department's policies and programs and related laws as outlined in Department Regulation C-03-003, Crime Victims Services Bureau. Because of the clear delineations of responsibility, there is no need to investigate or expend additional resources in any of the areas noted in the report as potentially duplicative or overlapping.

In summary, the department thanks you and your staff for providing this wealth of information which will be used in making improvements to the department's performance data. The department will continue to work with the Office of Planning and Budget, the Legislative Fiscal Office, the House Appropriations Committee, and with any other interested parties in order for the legislature and the citizens of Louisiana to have a better understanding and appreciation of the accomplishments of this department and its efficient utilization of the state's resources in accomplishing its goals and objectives.

Sincerely,



Donald E. "Tony" Boudreau, III
Undersecretary

BEBRLG/m

- c: Richard L. Stalder, Secretary
Ronald Granda, Chief Fiscal Officer
Carolyn Lane, Office of Planning and Budget

Appendix E

Division of Administration,
Office of Planning and Budget's
Response



State of Louisiana
DIVISION OF ADMINISTRATION

OFFICE OF PLANNING AND BUDGET

W. J. "BOB" WYFFEN, JR.
GOVERNOR

MARK C. DRUMMOND
COMMISSIONER OF ADMINISTRATION

November 14, 1997

David G. Kyle, Ph.D., CPA, CFE
Legislative Auditor
Post Office Box 94997
Baton Rouge, LA 70804-9997

Re: Analysis of Program Authority and Performance Data for Department of Public Safety and Corrections - Correctional Services

Dear Dr. Kyle:

Thank you for the inclusion of members of our staff in the main conference for your office's performance audit of the Department of Public Safety and Corrections - Correctional Services and this opportunity to respond to the audit report, Department of Public Safety and Corrections, Correctional Services, Analysis of Program Authority and Performance Data.

Our office agrees that the department has achieved an excellent mix of indicator types for its programs and should be commended for its emphasis on outcome measures. This balanced set of indicators provides valuable information on actual program performance. Moreover, the department has demonstrated its effective utilization of this performance information for management purposes. Operational plan weaknesses identified in your audit are being addressed by the department as it implements the requirements of Act 1465 of 1997. The clear presentation of FY 1996-97 performance data appearing in Appendix C of the audit report will be useful to the department in this endeavor.

As you are aware, the Office of Planning and Budget maintains a standing offer to all state agencies of training and technical assistance in planning, budgeting, and performance accountability. Department of Public Safety and Corrections - Correctional Services staff members have participated in recent Office of Planning and Budget training on the strategic planning, operational planning, and performance accountability requirements and guidelines of Act 1465 of 1997. In addition, we anticipate working with department executives and staff over the course of this fiscal year as they build upon the strong management foundation they have already laid.

Sincerely,

Stephen K. Wiseman
State Director of Planning and Budget

BTWICAL

- cc: Richard Stalder
Secretary
Department of Public Safety and Corrections

Budget Unit: Adult Correctional Center (M-40)**Program B: Parole of Correctional Inmate****(3 missions, 9 goals, 1 objective, 15 performance indicators)****Mission:**

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:**Objective:** The Department of Public Safety and Corrections will continue to enhance its parole management practice for the operation of the facilities.

- ▶ Indicator #1: Actual number of inmates
- ▶ Indicator #2: Number of inmates per correctional security officer
- ▶ Indicator #3: Number of escapes
- ▶ Indicator #4: Number of apprehensions
- ▶ Indicator #5: Average monthly enrollment in adult basic education
- ▶ Indicator #6: Number receiving GED
- ▶ Indicator #7: Average monthly enrollment in re-entry program
- ▶ Indicator #8: Number receiving vehicle certificate
- ▶ Indicator #9: Average monthly enrollment in literacy program
- ▶ Indicator #10: Deaths by vehicle
- ▶ Indicator #11: Deaths by violence
- ▶ Indicator #12: Deaths by illness
- ▶ Indicator #13: Positive test: tuberculosis
- ▶ Indicator #14: Cases of HIV
- ▶ Indicator #15: Cases of AIDS

**Budget Unit Area Correctional Center (11-016)
Program in Purchase of Correctional Services (Continued)**

4. Division meets 2 of 4 criteria (50%):	2. Performance Indicators (PI) with related to budget:
1. Is consistent with program or departmental goal?	1. 6 (PI) amount of budget is accurate (properly allocated) (Award)
2. Is not measurable	4. 12 (200%) are consistent with all objectives
3. Is not time-based	5. 14 (87%) are clear, measurable, and well defined
4. Is multi-oriented	

Source: Prepared by legislative auditor's staff from comparison of 1994-95 executive budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: Basic Correctional Institute (04.000)

(1 position, 9 grade)

Mission:

To provide for the custody, control, care and treatment of adult-male offenders through enforcement of laws and implementation of programs designed to reduce the safety of the public, staff and inmates and to reintegrate offenders into society. This mission is carried out through the provision of institutional services, medical services, mental health services, and educational opportunities in offender fitness, academic, and vocational programs, religious products programs, vocational programs, substance abuse self-help programs, community practice activities, and inmate job training.

- **Primary tasks for 1 grade (0404):** Manage program, maintain records, & reportability documents.

Goals:

No goals are identified for this budget unit.

Note: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 2004-05 executive budget performance data to estimates found in Exhibit C-1.

Budget Title: Basic Constitutional Matters (50-400)**Program A: Administration**

(9 indicators, 6 goals, 1 objective, 3 performance indicators)

Monitor:

No monitor is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: Basic Constitutional Matters will maintain accountability through the American Constitutional Association while continuing to provide services in the most economical, efficient, and effective way possible.

- a. Indicator #1: ACA membership
- b. Indicator #2: Average cost per day per inmate fed
- c. Indicator #3: Percentage of total institutional budget that is administration

Objective: Indicators 1 of 4 criteria (50%)

- a. Achievement with program of administrative goals
- b. Total measurable
- c. Total (unmeasurable)
- d. Total (unmeasurable)

Indicator: Indicators 1 of 4 criteria (50%)

- a. Achievement with program of administrative goals
- b. Total measurable
- c. Total (unmeasurable)
- d. Total (unmeasurable)

Source: Prepared by legislators and/or a staff from comparison of state-of-america budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: Dixon Correctional Institute (01-000)**Program B: Institutional****(3) mission, 8 goals, 1 objectives, 13 performance indicators)****Mission:**

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators

Objective: Dixon Correctional Institute will continue to provide for the secure confinement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- ▶ Indicator 01: Prison capacity
- ▶ Indicator 02: Number of inmates per correctional security officer
- ▶ Indicator 03: Percentage of total institutional budget that is incarceration
- ▶ Indicator 04: Number of escapes
- ▶ Indicator 05: Number of representations
- ▶ Indicator 06: Number of major disturbances
- ▶ Indicator 07: Number of minor disturbances
- ▶ Indicator 08: Number of assaults by inmates on staff
- ▶ Indicator 09: Number of assaults by inmates on inmates
- ▶ Indicator 10: Number of sex offenses

4. Objective Item 3 of 4 exists (00%)

- ▶ Is contained with program or departmental goal
- ▶ Is not measurable
- ▶ Is not trackable
- ▶ Is readily obtained

Indicators/Indicators (0) need criteria as follows

- ▶ 0 (0%) measured or helps to measure progress toward the objective
- ▶ 10 (100%) are consistent with the objective
- ▶ 8 (80%) are clear, easily identifiable, and non-redundant

Source: Prepared by Legislative Auditor's staff from completion of 1996-97 executive budget performance data in criteria listed in Exhibit 3.1.

Budget Unit: Basic Correctional Institute (BI-100)

Program C: Rehabilitation

(# missions, # goals, # objectives, # performance indicators)

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objectives and Performance Indicators

Objective: Basic Correctional Institute will continue to provide rehabilitation opportunities to offenders in order to enable offenders to release from prison and societal development and enable to reentry upon their release.

- Indicator #1: Percentage of total institutional budget that is rehabilitation
- Indicator #2: Average monthly enrollment in adult basic education program
- Indicator #3: Number entering GED
- Indicator #4: Average monthly enrollment in each program
- Indicator #5: Number meeting re-entry criteria
- Indicator #6: Average monthly enrollment in literacy program

Table C-3: Objectives from 2 of 3 criteria (1994-95)

- 1. Is consistent with program or departmental goals
- 2. Is measurable
- 3. Is not financially
- 4. Is results-oriented

Table C-4: Performance Indicators (6) and status of Indicators

- Indicator #1: 0 (1994) improved to 60% in 1995. Proposed increase to 65% in 1996
- Indicator #2: 6 (1994) and consistent with the indicator
- Indicator #3: 4 (1994) for 1995, nearly unobtainable, and not measurable

Source: Prepared by legislative author's staff from comparisons of 1994-95 executive budget performance data to criteria listed in Exhibit 1-4.

Budget Unit: Basic Correctional Institute (BK-400)**Program B: Health Services**

(9 indicators, 8 goals, 1 objective, 7 performance indicators)

Mission:

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: Basic Correctional Institute will continue to provide such inmate the medical, dental, and mental health services necessary to maintain his/her health.

Indicator #1: Percentage of total institutional budget that is health services

Indicator #2: Deaths by suicide

Indicator #3: Deaths by violence

Indicator #4: Deaths by illness

Indicator #5: Positive ratio referrals

Indicator #6: Cases of STI

Indicator #7: Cases of AIDS

1. Objectives and 3 or 4 criteria (KPIs):

1. A comparison with programs or departments goals

2. Annual measurability

3. Annual measurability

4. If not measurable

1 Performance Indicators (70 most critical) if missing

2 If (KPI) measurable budget is normally program budget for objective

3 If (KPI) not measurable will use (KPI) if

4 If (KPI) not viable, clearly define measurability, and when measurable

Source: Prepared by legislative auditor's staff from comparison of 1999-01 executive budget performance data to criteria listed in Exhibit 1-1.

Budget Unit: Blind Correctional Institute (M-488)

Program: In-Blind Walker

(1 activities, 1 goal, 1 objective, 10 performance indicators)

Mission

No mission is identified for this program.

Goal

To reduce recidivism through a structured program of activities from intervention, education, and rehabilitation.

Goal is consistent with 1 of 3 criteria (2009): it is *achievable and realistic*, *prior to enactment and measurable*.

Objective and Performance Indicators

Objective: Blind Correctional Institute, through the Blind Walker Program, will continue to deliver a viable treatment program that will reduce the recidivism rates for those offenders who successfully complete the program, enabling them to remain in the community free of any legal justice needs violations and modifying their substance abuse behavior.

- Indicator #1: Percentage of total institutional budget that is Blind Walker
- Indicator #2: Percentage of adults sentenced to state custody for drug-related offenses or having previous substance abuse histories
- Indicator #3: Total number of inmates
- Indicator #4: Number of successful completions
- Indicator #5: Total number of inmates into adult correctional system
- Indicator #6: Work release violations
- Indicator #7: Probation, parole or post-lease revocations
- Indicator #8: Studies arrested, but not yet convicted
- Indicator #9: Arrested supervisors
- Indicator #10: One-year recidivism rate

1. Quality goals (1 of 4 criteria) (2009)

- It continues with program or departmental goals
 - It is not measurable
 - It is not meaningful
 - It is overly-ambitious
- Reducement indicators (10 total points) (100%)
 - It (95%) increases or helps to initiate projects needed to address
 - It (100%) are reviewed with the legislature
 - It is carried out fairly, easily administratively, and cost-efficient

Source: Program (1) indicator number 1 will have completion of 100-20 percent budget performance data to obtain listed in Exhibit 1.1.

Budget Unit: Broad Commercial Initiatives (M3-486)**Program P: Auxiliary****(0) mission, 0 goals, 0 objectives, 0 performance indicators)****Mission:**

No mission is identified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

No objectives or performance indicators are identified for this program.

Source: Prepared by legislative studies staff using the 1996-97 executive budget.

Budget Units: West Training Facility - North (00-017)

(1 mission, 8 goals)

Mission

To provide for the security, control, care and containment of adjudicated offenders through subcontracts of lines and implementation of programs designed to assist the safety of the public, staff and inmates and to return program offenders into society. This mission is carried out through the provision of institutional services, medical services, mental health services, and educational opportunities to offenders (Inmate, academic, and vocational programs, religious guidance programs), recreational programs, substance abuse self-help programs, community service activities, and work-for-pay activities.

1. Mission needs 1 of 1 subunits (100%). **Measures/Outputs:** Acceptable

Goals

No goals are identified for this budget unit.

Notes: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 10/01/07 executive budget performance data to criteria listed in Exhibit B-1.

Budget Unit: Work Training Facility—North (00-412)

Program A: Administration

(3 missions, 8 goals, 1 objective, 3 performance indicators)

Mission

No mission is identified for this program.

Goal(s)

No goals are identified for this program.

Objective and Performance Indicators

Objective: Work Training Facility—North will maintain communication through the American Correctional Association while continuing to provide services to the most economical, efficient, and effective way possible.

- ▶ Indicator #1: ACA accreditation
- ▶ Indicator #2: Average cost per day per inmate bed
- ▶ Indicator #3: Percentage of total institutional budget due to administration

A. Objectives meet 2 of 4 criteria (80%)

- ▶ 1. In consistent with program or departmental goals
- ▶ 2. 100% measurable
- ▶ 3. In cost beneficial
- ▶ 4. In measurable

Performance Indicators (3) meet criteria as follows:

- ▶ 1. 100% measurable as to its contribution (program) covered and objectives
- ▶ 2. 100% measurable with the program
- ▶ 3. 100% cost-benefit analysis and cost-benefit

Source: Prepared by legislative auditor's staff from comparison of 1995-96 executive budget performance data to criteria listed in Exhibit 1-4.

Budget Unit: Work Training Facility - North (01-412)**Program B: Inmateville****(8 relations, 9 goals, 1 objective, 10 performance indicators)****Mission**

No mission is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators**Objective:** Work Training Facility - North will continue to provide for the inmate confinement and support of offenders committed to that institution while maintaining a fully working environment for staff.

- ▶ Indicator #1: Prison capacity
- ▶ Indicator #2: Number of inmates per correctional security officer
- ▶ Indicator #3: Percentage of total institutional budget that is incarcerated
- ▶ Indicator #4: Number of escapes
- ▶ Indicator #5: Number of apprehensions
- ▶ Indicator #6: Number of major disturbances
- ▶ Indicator #7: Number of minor disturbances
- ▶ Indicator #8: Number of assaults by inmates on staff
- ▶ Indicator #9: Number of assaults by inmates on inmates
- ▶ Indicator #10: Number of sex offenses

4. Objectives (max 3 of 4 criteria) (20%)

In accordance with program or departmental goals

▶ Broad measurable

▶ Broad measurable/

▶ Specific-oriented

5. Performance (including city and county of focus)

1. 0 (0%) inmates in legal or statutory projects listed in Exhibit

2. 10 (100%) are incarcerated with the supports

3. 0 (0%) sex assaults by inmates on inmates

4. 0 (0%) sex assaults by inmates on staff

Source: Prepared by Legislative Auditor's staff from comparison of 1996-97 inmate budget performance data to criteria listed in Exhibit 1-4.

Budget Unit: Youth Training Facility- Youth (20-412)

Program C: Health Services

(1 million, 9 goals, 1 objectives, 1 performance indicators)

Measures

No measure is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: Youth Training Facility--Goals will continue to provide such lessons the needed, desired, and essential health services necessary to enhance the basic health.

- Indicator #1 Percentage of total institutional budget that is health services
- Indicator #2 Deaths by suicide
- Indicator #3 Deaths by substance
- Indicator #4 Deaths by firearm
- Indicator #5 Positive tests interventions
- Indicator #6 Cases of HIV
- Indicator #7 Cases of AIDS

Quality Indicators and Metrics (N/A)

• No measures with program or departmental goals.

- Not developed
- Not developed

Performance Indicators (N) Not Rated as Risk

- 1 (N/A) measure of total institutional program indicators
- 2 (N/A) and indicators with the objective
- 3 (N/A) are other, early interventions, and risk reduction

Source: Prepared by legislative auditor's staff from comparisons of 1995-97 execution budget performance data to criteria listed in Exhibit C-1.

Budget Unit: Work Training Facility/Men's (08-012)**Program #: 410000****(3 missions, 6 goals, 8 objectives, 8 performance indicators)****Mission:**

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators:

No objective or performance indicators are identified for this program.

Source: Prepared by legislative auditor's staff using the 1994-97 executive budget.

Budget Unit: Days In-Custody Correctional Center (M-413)

(1 student, 5 years)

Mission:

To provide a controlled, correctional environment in a professional manner so as to protect the safety of the general public, the surrounding community, the staff, and the inmate population. In addition, IMC provides each inmate the opportunity to become a successful citizen upon release through the provision of the instruction of mechanics, electronics, work, education, self-help, discipline, medical, mental health, and social programs.

1. Mission areas: 1 of 1-custody (IMC); 1-employee program; 1-employee direct; 1-employee/indirectly-employable

Goals:

- Goal #1: Enhance management style and visibility by being appreciable throughout all areas of the facility to the staff and inmates alike.
- Goal #2: Work towards meeting the 50-hour/annual health test through the capital safety process.
- Goal #3: Move toward completion of capital safety projects (such as major repairs, kitchen equipment), building modifications, utilityline projects, and fire Security Hardware Project.
- Goal #4: Institute information systems.
- Goal #5: Increase utilization of vegetable produce.
- Goal #6: Complete Wellness Center for employees.
- Goal #7: Provide administrative support for Unit 5.
- Goal #8: Expand education programs to include implementation of the Job Skills Educational Program (JSEP) with emphasis placed on JSEP/ACT.
- Goal #9: Enhance staff development, especially in supervisory personnel, through inservice training and self-development.

1. Goal #9: need criteria as follows:

1. 1 (year) for completion with the solution
1. 1 (year) given a determination of distribution

Note: Objectives and Performance Indicators are reported only at the program level.

Source: Prepared by legislative auditor's staff from comparison of 1994-95 executive budget performance data to other's listed in Exhibit 1-1.

Budget Unit: State Board Correctional Center (66-103)

Program A: Administration

(8 missions, 6 goals, 1 objective, 7 performance indicators)

Mission:

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators

Objective: State Board Correctional Center will maintain accreditation through the American Correctional Association while continuing to provide services in the most economical, efficient, and effective way possible.

- a. Indicator #1: ACA certification
- b. Indicator #2: Average cost per day per inmate bed
- c. Indicator #3: Percentage of total institutional budget that is administration

- 1. **Objective:** Goal 1 of 4 items (80%)
 - a. **Indicator:** ACA certification
 - b. **Indicator:** Average cost per day per inmate bed
 - c. **Indicator:** Percentage of total institutional budget that is administration

- 2. **Objective:** Goal 2 of 4 items (80%)
 - a. **Indicator:** ACA certification
 - b. **Indicator:** Average cost per day per inmate bed
 - c. **Indicator:** Percentage of total institutional budget that is administration

Source: Prepared by Legislative Auditor's staff from comparisons of 1994-95 operating budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Elgin Heat Conversion Clinic (BL-012)

Program 03: Installation

00 missions, 8 goals, 3 objectives, 14 performance indicators

Mission:

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objectives and Performance Indicators

Objective 01: Elgin Heat Conversion Center will continue to provide for the secure confinement and support of offenders committed to that institution while maintaining a safe working environment for staff.

- Indicator 01: Prison capacity
- Indicator 02: Number of inmates per correctional security officer
- Indicator 03: Percentage of total institutional budget that is incarceration
- Indicator 04: Number of escapes
- Indicator 05: Number of apprehensions
- Indicator 06: Number of major disturbances
- Indicator 07: Number of minor disturbances
- Indicator 08: Number of assaults by inmates on staff
- Indicator 09: Number of assaults by inmates on inmates
- Indicator 010: Number of sex offenses

Objective 02: Elgin Heat Conversion Center will continue to operate the IMPACT Program as an effective alternative to long-term incarceration of certain first and second offenders.

- Indicator 01: Capacity
- Indicator 02: Number entering the program
- Indicator 03: Number completing the program
- Indicator 04: Average number of days in complete program
- Indicator 05: Recidivism in IMPACT program: number released
- Indicator 06: Recidivism in IMPACT program: number returned

Budget Unit: Elays Hunt Correctional Centre (06-412)

Program C: Rehabilitation

(6 missions, 8 goals, 1 objectives, 6 performance indicators)

Mission:

No mission is specified for this program.

Goals:

No goals are identified for this program.

Objective and Performance Indicators:

Objective: Elays Hunt Correctional Centre will continue to provide rehabilitation opportunities to offenders in order to enable offenders to enhance their mental and physical development and realize its worthy open door release.

- ▶ **Indicator A1:** Percentage of total institutional budget that is rehabilitation
 - ▶ **Indicator E:** Average monthly enrollment in adult basic education program
 - ▶ **Indicator F:** Number working (00)
 - ▶ **Indicator H:** Average monthly enrollment in vocational program
 - ▶ **Indicator I:** Number working in each province
 - ▶ **Indicator K:** Average monthly enrollment in literacy program
- A. Quality: least 3 of 4 stars (only)**
- ▶ **1:** In compliance with program or departmental goal
 - ▶ **2:** Strongly satisfactory
 - ▶ **3:** Good (satisfactory)
 - ▶ **4:** In-need-of-improvement
- B. Performance Indicators (0) and Indicators (0) (000)**
- ▶ **1:** (000) maximum is total institutional program budget (in dollars)
 - ▶ **2:** (00000) per indicator with all objectives
 - ▶ **3:** (0000) per indicator with all objectives
 - ▶ **4:** (0000) per indicator with all objectives

Source: Prepared by Legislative Auditor's staff from comparison of 1998-99 executive budget performance data in criteria listed in Exhibit C-1.

Budget Unit: Elara Youth Correctional Center (64-41)

Program B: Diagnostic

(8 missions, 9 goals, 1 objective, 3 performance indicators)

Mission

No mission is identified for this program.

Goals

No goals are identified for this program.

Objective and Performance Indicators

Objective: Elara Youth Correctional Center will continue to operate the Adult Reception and Diagnostic Center in order to provide efficient and effective diagnosis, evaluation, and placement of offenders committed to the Department of Public Safety and Corrections.

- Indicator #1: Percentage of total institutional budget that is ARDC
- Indicator #2: Number of persons processed annually
- Indicator #3: Average occupancy

2) Objectives meet a set of criteria (only)

It measures only program or departmental goals.

It is not measurable.

It is not institutional.

It is not behavioral.

3) Performance Indicators (PI) and Goals in Budget

■ 1 (PI) measures PI that is actually present in budget

■ 2 (PI) are consistent with all criteria

■ 3 (PI) are fully measurable by the organization

Source: Prepared by Legislative Auditor's staff from comparison of 1996-97 executive budget performance data to criteria listed in Exhibit 3-1.

Budget Unit: Elays Best Correctional Center (88-403)**Program(s): Health Services****(3) missions, 0 goals, 1 objective, 7 performance indicators)****Mission:**

No mission is identified for this program.

Goal:

No goals are identified for this program.

Objective and Performance Indicators**Objective:** Elays Best Correctional Center will continue to provide and increase the medical, dental, and mental health services necessary to maintain the best health.

- Indicator #1: Percentage of total institutional budget that is health services

- Indicator #2: Deaths by suicide

- Indicator #3: Deaths by violence

- Indicator #4: Deaths by illness

- Indicator #5: Positive tests: tuberculosis

- Indicator #6: Cases of HIV

- Indicator #7: Cases of AIDS

Indicator notes (1 of 4 criteria (MAY))

- 1. In compliance with program or departmental goals.

- 2. If not measurable

- 3. In total institutional

- 4. If health oriented

Performance Indicators (P) Data Criteria (MAY)

- 1. Policy indicator or target to achieve program goal(s) (not applicable)

- 2. (MAY) are performance indicators

- 3. (MAY) are other entity responsibilities. All responsibilities

Source: Prepared by legislative auditor's staff from comparison of FY08-09 executive budget performance data to criteria listed in Exhibit 1-1.