

STATE OF LOUISIANA LEGISLATIVE AUDITOR

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

November 1998



Performance Audit Division

Daniel G. Kyle, Ph.D., CPA, CFE
Legislative Auditor

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

**Daniel G. Kyle, Ph.D., CPA, CFE
Legislative Auditor**

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November 4, 1998

The Honorable Randy L. Ewing,
President of the Senate
The Honorable H. B. "Bud" 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, Public Safety Services and its related boards, commissions, and like entities. 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 the Louisiana Performance Audit Program (Louisiana Revised Statute 24:532).

The report represents our findings, conclusions, and recommendations. We have also identified matters for legislative consideration. Appendix D contains Public Safety Services' response. Appendix E contains the response from 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.

Sincerely,

Daniel G. Kyle, CPA, CFE
Legislative Auditor

DKL:AB

(11/11/98)



Office of Legislative Auditor

November 4, 1998

Executive Summary

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

The Department of Public Safety and Corrections, Public Safety Services was created by Act 87 of 1983. The department has general authority for the security and physical safety of the citizens and property of Louisiana. In addition, the department is generally responsible for enforcement of laws and regulations pertaining to criminal conduct, automobile and highway safety, motor vehicles and drivers, charitable gaming, control, and fire protection. In fiscal year 1998-99, the department's expenditures totaled \$737,108,180. A total of 2,996 positions were authorized during this same time period. We found that:

- All missions and goals identified in the 1997-98 executive budget are generally consistent with legislative intent and legal authority.
- The missions, goals, objectives, and performance indicators reported in the fiscal year 1997-98 executive budget are not consistent with all established criteria. There is no overall mission reported for the department in the 1997-98 or 1998-99 executive budgets. Also, missions and goals are not reported for all budget units and programs in the 1997-98 executive budget. Fewer than half the goals reported in the budget reflect the destination toward which the programs are striving and provide a sense of direction as to how to address the mission. In addition, the majority of reported objectives are not measurable or time-bound. Finally the majority of the performance indicators do not measure progress toward the objectives. Although improvements have been made to the performance data reported in the 1998-99 executive budget, further improvements are needed to make the data more useful for decision-making.
- We also found that the department's strategic plan had not been updated since it was initially prepared in 1991. Thus, the performance data we analyzed were developed without a meaningful and accurate guide. Department officials have, however, recently completed an updated strategic plan to comply with the requirements of Act 1465 of 1997, which amends Louisiana Revised Statute 39:31. The Office of Planning and Budget has determined that this strategic plan generally meets Act 1465 requirements.
- Finally, we identified two potentially duplicative functions within the department collection of information on fire related accidents and determination of supplemental compensation. In addition, the department identified three functions that may be consolidated. These are the Aircraft Registration Program, the Violent Crimes Unit, and the Stock Patrol. These areas require additional study to determine if duplication or consolidation actually exists.

Daniel G. Kyle, Ph.D., CPA, CFE, Legislative Auditor
Phone No. (225) 353-3600

Audit Initiation and Objectives

The Office of the Legislative Auditor conducted this performance audit of the Department of Public Safety and Corrections, Public Safety Services' executive budget program information in response to certain requirements of Louisiana Revised Statute (R.S.) 21:522 (Act 1190 of 1995).

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

- Determine if the department's mission and goals as reported in the fiscal year 1997-98 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 1997-98 executive budget are consistent with established criteria
- Determine if the department's objectives and performance indicators as reported in the fiscal year 1997-98 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

Department Background

The Department of Public Safety and Corrections was created by Act 57 of 1983. The department has general authority for the security and physical safety of the citizens and property of Louisiana. In addition, the department is generally responsible for enforcement of laws and regulations pertaining to criminal conduct, automobile and highway safety, motor vehicles and drivers, sharable gaming control, and fire protection. The department includes two major areas: Public Safety Services and Corrections Services. This report concentrates only on Public Safety Services. In fiscal year 1996-97, Public Safety Services' expenditures totaled \$212,108,183. A total of 2,938 positions were authorized during this same time period.

**Overview of
Budget Units and
Programs
Included in
1997-98
Executive Budget**

For budgetary purposes, Public Safety Services is divided into a total of 19 budget units and 35 programs. The executive budget includes 8 budget units and 14 programs authorized by the General Appropriation Act, which includes Other Requirements. In addition, two budget units and two programs are authorized by the Auxiliary Appropriation Act.

(See pages 21 through 22 of the report.)

**Related Boards,
Commissions,
and Like Entities**

We identified 15 boards, commissions, and like entities that are associated with Public Safety Services. Appendix B shows the purpose, including duties and responsibilities, for each of these entities as described in the revised statistics. Three of these entities are included in the 1997-98 executive budget as budget units of the department. They are the Liquefied Petroleum Gas Commission, the Louisiana Gaming Control Board, and the Louisiana Highway Safety Commission. The analysis of their performance data is included in Chapter 3 of this report.

(See page 28 of the report.)

**Missions and
Goals Are
Generally
Consistent With
Law**

All missions and goals reported in the 1997-98 executive budget for Public Safety Services are generally consistent with legislative intent and legal authority. In addition, all major programs and functions reported in the executive budget have general enabling legislation. As a result, most of the executive budget can be assessed that the major program functions and activities included in the executive budget are grounded in state law.

(See page 29 of the report.)

We identified two potentially duplicative functions. In addition, the department identified three functions that may be outsourced. These areas require additional study to determine if duplication or redundancy actually exists. If duplication exists, the department may be using more resources than necessary to provide and coordinate certain services. If statutes relating to outsourced programs or functions are left in place, they could cause confusion for legislators making funding and programmatic decisions. We did not identify any potential overlap within the department.

(See pages 48 through 49 of the report.)

Recommendations

- 2.1 Public Safety Services' officials should investigate the areas of potential duplication identified in Chapter Two to determine if duplication is occurring unnecessarily. If duplication of effort is occurring unnecessarily, the department should devise strategies to streamline or eliminate duplicative functions. The areas to be further reviewed are as follows:

- Collection of Information on Fire-Related Accidents
- Determination of Supplemental Compensation

Also, the department should determine the actual costs to the state to operate the Firemen's Supplemental Pay Board and Board of Review for Extra Compensation for Municipal Police Officers to determine whether the state's resources are being used efficiently.

- 2.2 Public Safety Services' officials should further investigate the following three areas of potential redundancy to determine if these functions are in fact no longer needed:
- Aircraft Registration Program
 - Violent Crimes Unit
 - Stock Patrol

If any of these functions are no longer needed, department officials should propose legislation to repeal the legislation governing them.

Matters 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 the areas of possible duplication within Public Safety Services.
- 2.2 If Public Safety Services' officials determine that these functions are no longer needed, the legislature may wish to consider repealing the legislation governing the following functions:
- Aircraft Registration Program
 - Violent Crimes Unit
 - State Patrol

These three items appear to be functions that the department is not carrying out and are no longer needed.

Performance Data Reported in the 1997-98 Executive Budget Do Not Meet All Criteria

There is no overall mission reported for the department in the 1997-98 or 1998-99 executive budgets. There is, however, a departmental mission reported in the department's 1998-2003 strategic plan and on the department's Internet home page. In addition, we could not identify missions and goals for all of Public Safety Services' budget units and programs. The majority of missions that are reported meet all aspects of the criteria against which we compared them. However, fewer than half of the reported goals reflect the destination toward which the programs are striving. In addition, they do not provide a sense of direction as to how to address the missions.

In addition, the majority of objectives reported in the 1997-98 executive budget are not measurable or timebound. Although the performance indicators are generally consistent with the objectives and are clear and easily understood, the majority of the indicators do not measure progress toward the objectives. This is because the indicators do not address activities specified in the objectives and/or the corresponding objectives are not measurable. Because of these deficiencies, 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.

(See pages 38 through 77 of the report.)

Recommendations

- 3.1 Public Safety Services should include a departmental mission in its operational plan, which is submitted to OPI each year. The mission should meet all criteria listed for missions in Exhibit 3-1. It may be possible to use the mission reported on the department's home page and in its new strategic plan. OPI should incorporate the departmental mission into future editions of the executive budget. Including a departmental mission in the executive budget would provide useful information on the department's services and clients.
- 3.2 Public Safety Services' staff and OPI staff should work together to expand the mission of the Plan Review Program within the Office of State Fire Marshal budget unit to clearly identify the targeted clientele. Doing this will ensure that users of the executive budget have complete information about the purpose and clientele of the program.
- 3.3 Public Safety Services' staff should discuss its interpretation of Act 1463 with OPI and legislative staffs to ensure that its interpretation is correct. Specifically, if a budget unit has several different programs, individual program missions may be necessary.

- 3.4 Public Safety Services' staff and OPS staff should work together to develop a mission for the Supplemental Payments to Local Law Enforcement Personnel budget unit. This mission should identify the budget unit's purpose and clients and should be organizationally acceptable. In addition, the staffs should ensure that all missions reported in future executive budgets meet all criteria listed for missions in Exhibit 3-1. Implementing this recommendation will ensure that users of the executive budget will be able to determine the budget units' and programs' purposes and the persons who are intended to benefit from them. (Refer to Recommendation 3.1 regarding the need to develop a departmental mission.)
- 3.5 Public Safety Services' staff and OPS's staff should work together to ensure that all goals reported in future editions of the executive budget meet the criteria listed for goals in Exhibit 3-1. This will ensure that users of the executive budget understand what the programs are intended to accomplish and how the department plans to do so.
- 3.6 Public Safety Services' staff should work with OPS's staff to develop goals for the Supplemental Payments to Local Law Enforcement Personnel budget unit. The goals should enable readers to determine what this budget unit is intended to accomplish. All goals should be consistent with the criteria listed in Exhibit 3-1 for goals.
- 3.7 Public Safety Services' staff should work with OPS and legislative staffs to develop specific objectives for all programs within the department. The objectives should be consistent with the goals and set measurable performance standards or targets for accomplishment. The staffs should also ensure that all objectives include specific time frames for accomplishment. It is important to develop specific, measurable, timebound objectives for each program so that targeted levels of accomplishment are communicated.

- 3.8 Public Safety Services and OPI staff should work together with legislative staff in developing individual objectives that each cover only one topic. They should also develop related performance indicators for each objective. Doing this will help ensure that users of the executive budget can determine whether programs are meeting their desired levels of performance.
- 3.9 Public Safety Services should work with OPI and legislative staff to develop performance indicators for each objective under each program that, at a minimum, are consistent with the corresponding objectives, measure progress made toward those objectives, and are clear, easily understood, and non-technical. Providing this information should help legislators make funding decisions by showing whether or not expected results are being achieved.
- 3.10 The department should work with OPI and legislative staff to develop a balanced mix of performance indicators for inclusion in future editions of the executive budget. These indicators should include measures of input, output, outcome, efficiency, and quality. The staff should also ensure that at least one outcome indicator is reported for each objective.
- 3.11 Public Safety Services should define all acronyms and technical terms used in performance indicators. Including this information either in the program descriptions or in footnotes would give users of the executive budget a better understanding of each program's activities.

**1997-98
Operational Plan
Prepared
Without Current
Strategic Plan**

At the time the department prepared its 1997-98 operational plan, Public Safety Services had not updated its strategic plan, which was initially prepared in 1991. Without a current strategic plan, missions, goals, objectives, and performance indicators are more likely to be planned and prepared on a short-term office level basis rather than on a long-term departmentwide basis.

The department recently completed and submitted to COPD an updated strategic plan in accordance with Act 1465 of the 1997 Regular Legislative Session. According to COPD, the department's plan generally meets all criteria in the act. However, the new plan still does not contain performance data for the Supplemental Payments to Local Law Enforcement Personnel budget unit.

Because the strategic plan determines how resources will be prioritized and allocated, it drives the operational plan and the budget process. The operational plan is an annual work plan that draws on the strategic plan and sets out the portion of the strategic plan that is to be achieved during that year. As stated in Chapter 1, COPD uses information from the operational plan to prepare the executive budget. Therefore, the strategic plan should contain complete performance data for all the department's budget units and programs.

(See pages 73 and 74 of the report.)

Recommendation

(Refer to recommendations 3.1 and 3.6 regarding the need to develop a mission and goal for the Supplemental Payments to Local Law Enforcement Personnel budget unit.)

Chapter One: 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, Public Safety Services, in response to certain requirements of Act 1100 of 1995. This act amended the state audit law by adding Louisiana Revised Statute (R.S.) 24:522, which created the Louisiana Performance Audit Program. Although the legislative auditor has been conducting performance audits since 1986, R.S. 24:522 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 executive branch departments addressing the following objectives:

- Determine if the department's missions and goals as reported in the fiscal year 1997-98 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 1997-98 executive budget are consistent with established criteria
- Determine if the department's objectives and performance indicators as reported in the fiscal year 1997-98 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 Public Safety and Corrections was created by Act 97 of 1983. The department has general authority for the security and physical safety of the citizens and property of Louisiana. In addition, the department is generally responsible for enforcement of laws and regulations pertaining to criminal conduct, automobile and highway safety, motor vehicles and drivers, charitable gaming control, and fire protection. The department is administered as two separate entities: Public Safety Services and Corrections Services. This report covers only Public Safety Services. Throughout this report, we refer to this entity as the department or Public Safety Services.

For fiscal year 1996-97, the department's actual expenditures totaled \$172,533,853, excluding the Auxiliary Appropriations and Other Requirements. Expenditures for the programs listed in the Auxiliary Appropriations and Other Requirements sections of the executive budget totaled \$39,338,123 for the same time period. This amounts to a grand total of \$212,188,188 for the entire department. A total of 2,836 positions were authorized for fiscal year 1996-97.

The majority of missions and goals reported in the 1997-98 executive budget for Public Safety Services are generally consistent with legislative intent and legal authority. Furthermore, all major programs and functions reported in the budget can be traced to enabling legislation. However, the reported performance data do not communicate complete information about the performance of the department's programs. This is because the data do not meet all aspects of the criteria against which we compared them. Specifically, we identified the following deficiencies in the performance data:

- There is no overall mission reported for the department in the 1997-98 or 1996-97 executive budgets. Therefore, users of the executive budgets cannot identify the purpose or rationale of the department.
- We could not identify missions and goals for all of Public Safety Services' budget units and programs.
- Fewer than half of the reported goals reflect the destination toward which Public Safety Services' programs are striving. In addition, they do not

provide a sense of direction as to how to address the missions.

- The majority of reported objectives are not measurable or timebound. Therefore, they do not communicate targeted levels of performance or time tables for accomplishment.
- The majority of performance indicators do not measure progress made toward the objectives. This is because the indicators do not clearly address the activities included in the corresponding objectives and/or the corresponding objectives are not measurable.

We noted that some improvements have been made to the performance data reported in the 1998-99 executive budget, but further improvements are warranted.

We also found that the department's strategic plan had not been updated since it was initially prepared in 1991. Thus, the performance data we analyzed were developed without a meaningful and accurate guide. Department officials have, however, recently completed an updated strategic plan to comply with the requirements of Act 1465 of 1997, which meets R.S. 39-28. The Office of Planning and Budget has determined that this strategic plan generally meets Act 1465 requirements.

Finally, we identified two potentially duplicative functions within the department: collection of information on fire related accidents and determination of supplemental compensation. In addition, the department identified three functions that may be outsourced. These are the Aircraft Registration Program, the Violent Crimes Unit, and the Stock Fund. These areas require additional study to determine if duplication or outsourcedness actually exists.

**Accountability
Initiatives**

Article XIV, Section 6 of the 1974 Louisiana Constitution reorganized the executive branch into 26 departments. State law says that the purpose of the executive branch of state government is, in part, to 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 extended programs and activities. Some of these efforts require internal reviews of programs, policies, and services of state agencies while 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 1998, 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 R.S. 24:522, we have issued this report that examines the legal authority for the Department of Public Safety and Corrections, Public Safety Services' programs and services. This report also examines the program information contained in the fiscal year 1997-98 executive budget and builds on the need for better planning. As previously mentioned, similar performance audit reports have been issued on other executive branch departments, with others yet to be issued.

State law (R.S. 49:150 et seq.) also requires agencies to provide the legislature with certain information to justify their existence in order to continue. This is referred to as the sunset

review process. This process allows the legislature an opportunity and members to evaluate the operations of state statutory entities.

Furthermore, state law requires an annual report by department undersecretaries on their department management and program analysis. These reports, required by the provisions of R.S. 38-1, are referred to as Act 160 reports, since Act 160 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.

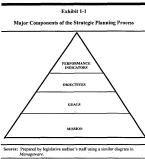
Other performance legislation includes an accountability act for colleges and universities. Also, various agency performance related reports are required to be submitted with the agency budget request. One of these reports is referred to as the "Sunset Review Budget Request Supplement."

Program Budgeting and Strategic Planning Focus on Outcomes

Act 114 of the 1987 Regular Legislative Session, which amended and recast R.S. 39-41 and 43, required the state to adopt a program budgeting system beginning in fiscal year 1988-89. Currently, 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 *Management*, 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. *Management* 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 1403 of the 1997 Regular Legislative Session enacted R.S. 39-11. This law requires each state department to engage in the strategic planning process, produce a strategic plan, and submit it to the commissioner 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 that follows 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.



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 a degree or type of change and a timetable 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 activities carried. 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 effect versus its meaning: 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 streamlined 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 meet unanticipated needs, according to Management.

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 included key performance indicators. For fiscal year 1997-98, this information was presented for informational purposes only. However, in the future, it will serve as a starting point for the full implementation of performance based budgeting.

According to Act 1465 of the 1997 Regular Legislative Session, which amended and renumbered R.S. 35:87, key objectives and key performance indicators that are contained in the General Appropriation Act will be included in the agency's appropriation. In addition, each agency will be required to provide quarterly performance progress reports. The agency's appropriation will be issued conditioned upon the agency preparing and submitting these reports.

Executive Budget Is Basis for General Appropriation Act

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.

Act 1480 of the 1997 Regular Legislative Session amended and reenacted R.S. 29:26 to require the executive budget to be configured in a format that clearly presents and highlights the programs operated by state governments. 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 key objective or objectives of each program;
- (2) clearly defined indicators of the quantity and quality of performance of the key objective or objectives of each program and a listing of the key indicators of performance in achieving program objectives; and
- (3) a description of the major programmatic and financial changes by program or budget unit for the coming fiscal year.

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 below. These packages contain both financial and program information.

1. **Operational plans** describe the various programs within state agencies. Act 1485, which also amended and renumbered other portions of Title 29, requires each budget unit to submit operational plans as a part of its budget request. Operational plans also report program missions, goals, objectives, and performance indicators. Operational plans are derived from long-range strategic

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

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 coming 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. Continuation 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/are 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 documents. These forms are designed to provide summaries of all the requested adjustments made to arrive at the total budget requests.

According to *Managers*, 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 OFPI, the Legislative Fiscal Office, and the Joint Legislative Committee on the Budget.

For the 1997-98 fiscal year, OFPI prepared and published several volumes of the executive budget using the departments' budget request packages. In this executive budget, the financial information was presented along with the 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.

Act 1483 also amended and renumbered R.S. 39:36 to require OFPI to prepare a document known as the supporting document. The supporting document must conform to the executive budget. It must also contain other detailed financial and programmatic information about the programs, budget units, and departments.

According to R.S. 39:37, 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 and then it moves to the Senate Finance Committee. 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. OFPI 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 Appropriations Act. After the governor signs the bill, OFPI 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 1-2 on the following page illustrates the executive budget and appropriation processes.

Exhibit 1-3
Executive Budget and Appropriation Processes

Executive Budget Process

Departments submit total budget request packages to OPB.

OPB processes budget requests and decides what to include in the executive budget.

EXECUTIVE BUDGET

Executive budget submitted to Joint Legislative Committee on the Budget and made available to each member of the legislature.

Governor, through the Division of Administration, prepares general appropriation bill in conformity with executive budget.

Appropriation Process

Governor submits general appropriation bill.

Legislative debate/committee general appropriation bill.

Governor signs general appropriation bill.*

GENERAL APPROPRIATIONS ACT

*The governor has line-item power.

Scope and Methodology

Overview. This performance audit of the Department of Public Safety and Corrections, Public Safety Services' program information was conducted under the provisions of Title 26 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 1993-98 executive budget program information. We also reviewed the department's 1998-99 executive budget and 1998-2000 strategic plan to determine whether there were improvements in the performance data. However, it was not within the scope of our audit to conduct a detailed analysis of the 1998-99 performance data or the strategic plan. We only noted apparent improvements in the performance data over the 1997-98 information.

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

- *Managers* published by the Office of Planning and Budget (1991 and 1996 editions)
- *Research Report - Service Efforts and Accomplishment Reporting: As Time Flies Come, An Overview* published by the Governmental Accounting Standards Board (GASB) (1990)
- *Executive Guide: Effectively Implementing the Government Performance and Results Act* published by the U.S. General Accounting Office (June 1996)
- 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 GAO. 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 OPI and Public Safety Services regarding their budget processes.

Legal Basis for Missions and Goals. We searched state and federal laws to determine whether there was legal authority for missions and goals of the department and its programs. 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 included within the scope of our detailed audit work all related boards, commissions, and like entities for which funding was recommended through a specific line item in the executive budget. We also prepared a listing, which is contained in Appendix B, of all related boards, commissions, and like entities we identified, regardless of whether funding was recommended through a specific line item.

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 1997-98 executive budget. To help develop these criteria, we gathered information from GAO, OMB, the Urban Institute, and HHS. During our criteria development process, we obtained input from GAO. We also obtained concurrence from GAO 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 OPI. 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, Duplicative, or Outmoded Areas. Finally, we reviewed the program descriptions and legal authority for the department's programs and related boards, commissions, and like entities to identify areas that appeared 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, because 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 functions that appear to be duplicative and overlapped should be assessed in more detail to determine whether they are truly duplicative or overlapped. 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 universal program budgeting system. Capturing accurate and meaningful performance data is important, in part, because of the increased emphasis the legislature is placing on program information. Therefore, the capabilities of the department's management information systems as related to program data should be addressed.

Report Organization

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

- **Chapter Two** describes the Department of Public Safety and Corrections, Public Safety Services. This chapter gives the legal authority for the department and its programs as well as other information that describes the department and related boards and commissions. This chapter also compares the missions and goals of the department as reported in the 1997-98 executive budget to their legal authority. In addition, this chapter discusses functions within the department that appear to be duplicative or overlapped. We did not identify any areas of potential overlap.
- **Chapter Three** gives the results of our comparison of the department's missions, goals, objectives, and performance indicators as reported in the 1997-98 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 audit.

- **Appendix B** is a listing of related boards, commissions, and committees that we identified.
- **Appendix C** is a list of all missions, goals, objectives, and performance indicators reported in the 1997-98 executive budget. It also shows a comparison of the performance data to the criteria.
- **Appendix D** is Public Safety Services' response to this report.
- **Appendix E** is the Division of Administration, Office of Planning and Budget's response to this report.

Chapter Two: Department Overview

Chapter Conclusions

The Department of Public Safety and Corrections was created by Act 97 of 1983. The department has general authority for the security and physical safety of the citizens and property of Louisiana. In addition, the department is generally responsible for enforcement of laws and regulations pertaining to criminal conduct, automobile and highway safety, motor vehicles and drivers, charitable gaming control, and fire protection. The department is administered as two separate entities: Public Safety Services and Corrections Services. This report covers only Public Safety Services. Throughout this report, we refer to this entity as the department or Public Safety Services.

For fiscal year 1996-97, the department's actual expenditures including Auxiliary Appropriations and Other Requirements totaled \$172,583,653. Expenditures for the programs listed under the Auxiliary Appropriations and Other Requirements sections of the executive budget totaled \$29,575,127. This amounts to a grand total of \$212,158,780 for the entire department. A total of 2,934 positions were authorized for fiscal year 1996-97.

For budgetary purposes, Public Safety Services is divided into a total of 18 budget units and 16 programs. The executive budget includes 8 budget units and 14 programs authorized by the General Appropriations Act, which includes Other Requirements. In addition, the executive budget includes two budget units and two programs authorized by the Auxiliary Appropriations Act.

The majority of missions and goals reported in the 1997-98 executive budget are generally consistent with legislative intent and legal authority. Furthermore, all major programs and functions reported in the budget can be traced to enabling legislation. 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 identified 15 related boards, commissions, and like entities that are associated with Public Safety Services. Appendix B contains a listing of these entities. Three of these

entities are included in the 1997-98 executive budget as budget units of the department.

We also identified two potentially duplicative functions within the department. In addition, the department identified three functions that may be unneeded. These areas require additional study to determine if duplication or unneededness actually exists. If duplication exists, the department may be using more resources than necessary to provide and coordinate certain services. Leaving the statutory structures of unneeded programs or functions in place could cause confusion for legislators making funding and programmatic decisions. We did not identify any areas of potential overlap.

Department Creation and Purpose

The Department of Public Safety and Corrections was created by Act 97 of 1983. According to R.S. 38:481(R)(1), the department has general authority for the security and physical safety of the citizens and property of Louisiana. In addition, the department is generally responsible for the enforcement of laws and regulations pertaining to criminal conduct, automobile and highway safety, motor vehicles and drivers, charitable gaming control, and fire protection.

The Department of Public Safety and Corrections includes two major areas: Public Safety Services and Corrections Services. They are administered as separate entities. They each have their own payroll, budget, internal audit, and personnel functions as well as their own spending authority. The secretary, who is legally authorized to set policy for the entire department, confines his activities to Corrections Services. The Deputy Secretary of Public Safety Services sets policy for Public Safety Services. This report concentrates only on the Public Safety Services area, which we refer to as Public Safety Services or the department.

**Overview of
Budget Units and
Programs
Included in
1997-98
Executive Budget**

For budgetary purposes, Public Safety Services is divided into a total of 10 budget units and 16 programs. The executive budget includes 8 budget units and 14 programs authorized by the General Appropriations Act, which includes Other Requirements. In addition, the executive budget includes two budget units and two programs authorized by the Ancillary Appropriations Act.

According to the Public Safety Services' budget manager, the Louisiana Gaming Control Board, Liquefied Petroleum Gas Commission, Highway Safety Commission, and auxiliary appropriations are single program appropriations. She said that in cases where only a budget unit and an administrative program are reported, the budget unit and administrative program are synonymous. However, she said these budget units and programs could be counted individually to reflect their presentation in the executive budget.

A complete listing of all budget units and programs included in the fiscal year 1997-98 executive budget is presented in Exhibit 2-1 on the following page. In the two sections following the exhibit, we describe the budget units and the programs contained within these budget units.

Exhibit 3-1 Department of Public Safety and Corrections, Public Safety Services 1997-98 Executive Budget Presentation	
Office of Management and Finance (08-418)	<ul style="list-style-type: none"> • Program A: Legal • Program B: Management and Finance
Office of State Police (08-419)	<ul style="list-style-type: none"> • Program A: Traffic Enforcement • Program B: Criminal Investigation • Program C: Operational Support • Program D: Gaming Enforcement • Program E: Auxiliary
Office of Motor Vehicles (08-420)	<ul style="list-style-type: none"> • Program A: Licensing
Office of State Fire Marshal (08-422)	<ul style="list-style-type: none"> • Program A: Licensing and Inspection • Program B: Arms Enforcement • Program C: Film Review
Louisiana Gaming Control Board (08-423)	<ul style="list-style-type: none"> • Program A: Administrative
Liquefied Petroleum Gas Commission (08-424)	<ul style="list-style-type: none"> • Program A: Administrative
Louisiana Highway Safety Commission (08-425)	<ul style="list-style-type: none"> • Program A: Administrative
Auxiliary Appropriations, Internal Service Fund - State Police Training Academy (21-790) ¹	<ul style="list-style-type: none"> • Program A: Administrative
Auxiliary Appropriations, Internal Service Fund - Public Safety Services Galleria (21-816)	<ul style="list-style-type: none"> • Program A: Administrative
Other Recipitments: Supplemental Payments to Local Law Enforcement Personnel (20-800)	
Source: Developed by legislative auditor's staff using the 1997-98 executive budget.	

¹ In accordance with Act 236 of the 1997 Regular Legislative Session, the name of this facility has been changed to the Donald I. Thibodeaux Training Complex.

**Office of
Management
and Finance
(Budget Unit
08-418)**

The **Office of Management and Finance** budget unit is composed of two programs. According to R.S. 38-406(R)(1), the undersecretary is responsible for functions within this office. These functions include accounting and budget control, procurement and contract management, data processing, management and program analysis, personnel management, and grants management for Public Safety Services and all of its offices. A description of the two programs within this budget unit is as follows:

- **Program A: Legal.** According to the 1997-98 executive budget, the Legal Program is composed of a Litigation Section and an Adjudication Section.

The **Litigation Section** is responsible for giving legal advice, preparing legal documents, handling litigation affecting the department, processing civil service appeals, drafting legislation and regulations, and assisting with administrative hearings.

The **Adjudication Section** provides services guaranteed under the Administrative Procedures Act to citizens who have been subject to department action. According to departmental information, the programs and functions of the Office of Management and Finance are carried out in accordance with R.S. 38-406.

- **Program B: Management and Finance.** The 1997-98 executive budget reports that this office was established to provide administrative and housekeeping services to all budget units of Public Safety Services. This is accomplished through its **Building and Grounds, Human Resources Management, Procurement and Material Management, Finance, Information Services, and Budget** sections.

More specifically, this program is responsible for maintenance and construction activities, human resources management services, procurement and inventory management, financial services, data processing functions, and budget development. According to information we obtained from the department, the programs and functions of the Office of Management and Finance are carried out in accordance with R.S. 38-406. In addition, R.S. 38-401(R)(1) authorizes functions carried out by this program.

**Office of State
Police
(Budget Unit
08-419)**

The Office of State Police budget unit is composed of five programs. According to R.S. 36-488(H)(1), the office of state police is responsible for enforcing the state's criminal and traffic laws and maintaining intelligence and investigative operations. R.S. 40-1779(A) also authorizes the state police to prevent and detect crime, apprehend criminals, enforce the criminal and traffic laws of the state, and keep the peace and good order in the state. The Office of State Police includes the following programs reported in the executive budget:

- **Program A: Traffic Enforcement.** The 1997-98 executive budget reports that this program is responsible for the public's safety on state roads and highways and the enforcement of laws regulating general traffic and motor carriers.

The Traffic Enforcement Program, through its Transportation and Environmental Safety Section (TESS), is responsible for enforcing regulations related to hazardous materials, motor carrier safety, towing and recovery, metal control, and explosive control.

- **Program B: Criminal Investigation.** According to the 1997-98 executive budget, the functions of this program are divided into two areas: Detectives and Specialized Support and Narcotics and Controlled Dangerous Substances.

Through its Intelligence Unit, Internal Affairs Section, and Narcotics and Controlled Dangerous Substances Enforcement activities, the Criminal Investigation Program is responsible for the following:

- (1) developing and processing criminal intelligence;
 - (2) maintaining the integrity of Public Safety Services; and
 - (3) enforcing all local, state, and federal statutes regarding narcotics, dangerous drugs, and prohibited substances.
- **Program C: Operational Support.** The 1997-98 executive budget reports that this program is responsible for providing support services to State Police personnel, Public Safety Services units, and

other public law enforcement agencies. The following sections and units are responsible for the operational support functions and activities of this program: the Executive Section, Crime Laboratory, Applied Technology Unit, Criminal Identification Bureau, Concealed Handgun Permit Section, Support Services Section, Aircraft Unit, and the Operational Development Unit.

The Executive Section is composed of the deputy superintendent and chief of staff. These officials serve under the superintendent, who is also the deputy secretary of Public Safety Services. The executive section is responsible for managing and controlling all resources assigned to the Office of State Police. In addition, this section is responsible for all administrative and logistical functions associated with the office. R.S. 36:485 gives the deputy secretary authority to carry out these activities and functions.

According to the executive budget, the Crime Laboratory is responsible for providing forensic services and court testimony for any government agency that submits evidence for analysis. The Narcotics, Physical Evidence, Toxicology, and Photography Units carry out these functions. The functions are authorized by R.S. 15:578.

The Applied Technology Unit is responsible for training and certifying all law enforcement personnel who utilize the instruments necessary for detecting and measuring the alcoholic content of a person's blood. In addition, this unit is accountable for electronic surveillance activities. R.S. 44:1379.7 and R.S. 15:1362-1363 authorize these activities.

The executive budget reports that the Criminal Identification Bureau serves as the central state depository for criminal records. R.S. 15:577-578 authorizes activities and functions to be carried out by the bureau.

Information contained in the budget states that the Concealed Handgun Permit Section issues permits that allow Louisiana residents to carry concealed handguns. More specifically, the section is responsible

for conducting background investigations, issuing permits, and initiating the revocation process. R.S. 40:1579.3 authorizes these activities.

Fleet Operations, Traffic Records, Property Control, and Police Supply Units are contained within the Support Services Section. This section is responsible for maintaining all departmental vehicles. Support services are authorized by R.S. 36:400(2)(1).

The Aircraft Unit is responsible for providing State Police and local law enforcement with aerial capability. Although traffic patrol is the major duty of this unit, it is also responsible for search, rescue, pursuit, and emergency transportation. R.S. 40:1579.6 authorizes the functions of the Aircraft Unit.

Program information in the executive budget says that the Operational Development Unit is responsible for directing and controlling the development of plans, programs, goals, and objectives of the department. This unit is also charged with participating in the development of the department's budget. In addition, this unit is responsible for inspecting the department's personnel, material resources, and procedures. It also serves as legislative liaison, monitoring bills that affect the department. R.S. 36:406 authorizes the functions of this unit.

R.S. 40:1399 states that the Officer of State Police shall provide and maintain security for the governor, his immediate family, other persons authorized by him, the governor's office and mansion, and the mansion grounds. According to the executive budget, the Operational Support Program is responsible for providing protective services and physical security services for the governor, the lieutenant governor, and buildings that are owned by the department.

- **Program D: Gaming Enforcement.** The Gaming Enforcement Program is responsible for regulating various types of gaming activities. According to the executive budget, this program carries out its duties through the following: the Charitable Gaming Division, the Racing Investigations Unit, the Video

Gaming Division, the Indian Gaming Division, and the Riverboat Gaming Division.

R.S. 36:0480(7) creates a **Division of Charitable Gaming Control** within the Office of State Police. According to this statute, the division is to perform functions related to regulating the conduct of charitable games of chance in the state.

The Office of State Police is also charged with safeguarding the people of the state against corrupt racing practices. The **Racing Investigations Unit** is responsible for focusing on criminal cases involving violations of the law in order to protect the revenue-producing potential of the pari-mutuel industry. R.S. 27:20 authorizes these investigative functions.

According to the executive budget, the **Video Gaming Division** is responsible for regulation, licensing, rulemaking, investigating, and revenue collecting with regard to legal gaming and the use of computerized video draw poker devices. R.S. 27:28 authorizes the functions carried out by the division.

Information in the executive budget says that the **Indian Gaming Division** is responsible for preventing organized crime and other criminal elements from infiltrating and corrupting games of chance on Indian land. More specifically, the division is to approve all types of games and rules of play, certify all gaming employees and casino vendors, and enforce criminal statutes on the gaming floor. R.S. 27:29 authorizes the activities of this division.

The **Riverboat Gaming Enforcement Division** is charged with regulating games of chance on riverboats throughout the state. According to the executive budget, the division is responsible for licensing events and employees, monitoring the integrity of the games, overseeing internal security controls, conducting financial audits of licensors, and ensuring compliance with all rules and regulations. R.S. 27:33 creates this division within the Gaming Enforcement section of the Office of State Police.

- **Program E: Auxiliary.** The Auxiliary Program consists of an expansion of the state's 800 megahertz radio system. According to the executive budget, nine separate systems will merge into one system. Act 18 of the 1997 Regular Legislative Session provides for payment of debt service and maintenance expenses associated with this program.

**Office of Motor
Vehicles
(Budget Unit
08-420)**

The Office of Motor Vehicles budget unit is composed of one program. According to R.S. 38-408(C), the office shall perform the functions of the state relative to examining and licensing drivers of motor vehicles within the state, suspending and revoking such licenses, approving driver education programs, issuing vehicle title and registration certificates, assessing fines against motor vehicles, and collecting appropriate fees and motor vehicle sales tax. The Office of Motor Vehicles carries out these activities through its Licensing Program, which is described in the next paragraph.

- **Program A: Licensing.** According to the executive budget, this program was initiated to regulate and control drivers and their motor vehicles by issuing driver's licenses, motor vehicle licenses, and certificates of title. Information contained in the executive budget also states that this program is to serve people by administering motor vehicle registration and driver licensing laws in a professional manner, while maintaining a high standard of quality through an innovative approach to customer service. R.S. 38-408(C) authorizes the activities of the Licensing Program.

**Office of State
Fire Marshal
(Budget Unit
08-422)**

The Office of State Fire Marshal budget unit is composed of three programs. R.S. 38-408(D) authorizes the Office of State Fire Marshal to protect life and property from the hazards of fire and the panic which may arise from fire, explosion, or the threat of fire and explosion.

More specifically, the office is responsible for supervising and enforcing safety standards and inspections, arresting individuals suspected of violations of criminal laws, examining fires of suspicious origin, and maintaining records and reports on fires in the state. In addition, the office is given authority to investigate and prescribe rules and regulations regarding boilers in the state. The activities of the office are carried out through the following programs reported in the executive budget:

- **Program A: Licensing and Inspections.** According to the executive budget, this program is responsible for minimizing the loss of life and property from fire and explosions, promoting public fire safety education, providing for safe quality manufactured homes, and furnishing necessary support services. In addition, Licensing and Inspection is to maintain a data repository and statistical analysis of all fire and improve the disclosure of this information to fire departments and the public. The activities of the program are carried out in accordance with R.S. 36:408(D), R.S. 40:1563, and R.S. 40:1566.
- **Program B: Arson Enforcement.** The executive budget says that the Arson Enforcement Program is to reduce the incidence of arson fires in the state and resulting fire deaths and property loss. In addition, this program is responsible for maintaining a data repository and improving the communication of these data to fire departments and the public. R.S. 36:408(D), R.S. 40:1566, and R.S. 40:1568 authorize the functions carried out by the Arson Enforcement Program.
- **Program C: Plan Review.** R.S. 40:1574(A) and (D) require the Fire Marshal to review the plans and specifications for every structure, waterfront, or movable constructed or remodeled in Louisiana. The Fire Marshal reviews the plans and specifications for compliance with adopted fire, life safety, and handicapped accessibility laws, rules, regulations, and codes before construction. The Plan Review Program is responsible for performing these functions.

**Louisiana
Gaming
Control Board
(Budget Unit
08-423)**

The Louisiana Gaming Control Board budget unit contains one program. According to R.S. 37:15, the board shall regulate all gaming activities and operations in the state. In addition, the board shall have all regulatory authority, control, and jurisdiction, including investigation, licensing, and enforcement. A description of this budget unit's program is as follows:

- **Program A: Administrative.** According to the information reported for this program in the executive budget, the board is responsible for regulating all gaming activities and operations in the state. More specifically, the board is accountable for investigating, licensing, and enforcing land-based casinos, riverboats, video draw poker gaming, and gaming on Indian lands. R.S. 37:15 authorizes the functions of this program.

**Liquefied
Petroleum Gas
Commission
(Budget Unit
08-424)**

The Liquefied Petroleum Gas Commission budget unit is composed of one program. R.S. 3:1354(A) through (C) give the commission the authority to promulgate rules and regulations governing the storage, utilization, sale or transportation of anhydrous ammonia. In addition, R.S. 40:1846(A) gives the commission the power to make and enforce reasonable rules and regulations governing the storage, sale, and transportation of liquefied petroleum gases over the highways of the state in the interest of public safety. The functions and activities of the commission are carried out through the program described below:

- **Program A: Administrative.** The executive budget says that the Administrative Program is to promulgate and enforce rules that allow for the safest possible distribution, handling, and usage of liquefied petroleum gases and anhydrous ammonia through inspections of storage facilities, equipment, and examination of industry personnel. R.S. 3:1354(A) through (C) and 40:1846(A) authorize the functions of the Administrative Program.

**Louisiana
Highway Safety
Commission
(Budget Unit
08-425)**

The Louisiana Highway Safety Commission budget unit is composed of one program. The Administrative Program is given authority, through R.S. 48:1353, to serve as the public support group for the Highway Safety Act of 1966. This law provides that through the governor, the commission shall cooperate with the federal government or any agency thereof to increase highway safety. In addition, the commission is responsible for preparing comprehensive, long-range highway safety programs for Louisiana. The commission carries out its functions through the Administrative Program, which is described below.

- **Program A: Administrative.** According to the executive budget, this program is responsible for administering the state's Highway Safety Grant Program. The grant program is a formula grant program in which federal funds are provided to states based on their population and road miles. The Administrative Program aims to reduce the number and severity of traffic crashes, deaths, and injuries. R.S. 48:1353 authorizes the functions of this program.

**State Police
Training
Academy
(Budget Unit
21-780)**

The State Police Training Academy budget unit has one program. R.S. 40:1375 requires the department to organize and maintain a training school for employees of the office. In addition, this law directs the department to make available such training facilities to any local government unit within the state by exchanging schools to train police officers at convenient centers. The activities of the State Police Training Academy are carried out through the Administrative Program, which is described below.

- **Program A: Administrative.** According to the executive budget, the mission of the Administrative Program is to maintain a training school for employees of Public Safety Services and to make it available to other employees in the state. The program description in the executive budget says that the following activities are contained within the Academy: U.S. Department of State Anti-Terrorist Assistance Program (ATAP), Academy Federal Marketing Program, Academy General Marketing Program, and Emergency Response Training Center. R.S. 40:1375 authorizes these activities.

**Public Safety
Services
Cafeteria
(Budget Unit
21-818)**

We did not find legislation that specifically addresses the activities of the Public Safety Services Cafeteria budget unit. However, R.S. 36-481 *et seq.* give the secretary broad authority to carry out the functions of the department. Based on this law, the activities of the Public Safety Services Cafeteria are generally authorized. The Public Safety Services Cafeteria budget unit contains the following program:

- **Program A: Administrative.** The executive budget states that the mission of the Administrative Program is to provide on-site facilities for food consumption at the State Police Training Academy and the Holden Training Facility. In addition, the cafeteria serves meals to U.S. Department of State Anti-Terrorist Assistance Program trainees and other personnel being trained. R.S. 36-481 *et seq.* authorize the functions of this program.

**Supplemental
Payments to
Local Law
Enforcement
Personnel
(Budget Unit
20-966)**

The Supplemental Payments to Local Law Enforcement Personnel budget unit is presented in the executive budget under Other Requirements. No programs are reported in the executive budget for this budget unit.

According to the executive budget, this budget unit was established to provide additional compensation for local municipal police officers, deputy sheriffs, firefighters, constables, and justices of the peace. Act 513 of the 1987 Regular Legislative Session, which amends and reorders R.S. 33-2218.2(A), requires extra compensation for every police officer who devotes full working time to law enforcement, has completed and passed a certified training program, and has had one year of service. R.S. 33-2218.8(A) mandates supplemental compensation for every commissioned deputy sheriff employed on a full-time basis. Act 833 of the 1987 Regular Legislative Session, which amends and reorders R.S. 33-2803(A), authorizes extra compensation for firefighters. R.S. 33-2591(A) authorizes extra payments for every justice of the peace and every constable for each justice of the peace court in the state.

**Department
Funding and
Expenditure
Data**

Exhibit 2-2 on the following page provides a summary of the department's expenditure information, including Auxiliary Appropriations and Other Requirements, listed by budget unit and program. The department receives funding through the General Appropriations Act for its ordinary operating expenses, as shown in this exhibit. The department's operations are funded from various revenue sources, including state general fund direct, federal funds, statutory dedications, and fees and self-generated revenues.

Exhibit 2-3 on page 35 provides a summary of the expenditure data for Other Requirements and Auxiliary Appropriations. Other Requirements are also authorized in the General Appropriations Act. Other Requirements fund the department's Supplemental Payments to Local Law Enforcement Personnel budget unit. However, the responsibility for making these payments is split between Public Safety Services and the Department of Treasury. Public Safety Services pays municipal police, firefighters, constables, and justices of the peace, whereas the Department of Treasury makes supplemental payments to deputy sheriffs.

In addition, the department operates two internal service funds established in the Auxiliary Appropriations Act, as shown in Exhibit 2-3. Internal service funds account for the financing of goods or services provided by one department or agency to other departments or agencies of the governmental unit, or to other governmental units. As a result, these programs are funded by fees and self-generated revenues paid by those they serve.

Exhibits 2-2 and 2-3 show the actual expenditures for fiscal year 1996-97, as well as recommended and appropriated amounts for fiscal year 1997-98. As shown in Exhibit 2-2, the department's actual expenditures for 1996-97 for its ordinary operating expenses excluding Other Requirements totaled over \$172 million, and the appropriated amount for 1997-98 totaled over \$295 million. For Other Requirements and Auxiliary Appropriations, the department incurred expenditures of over \$39 million for 1996-97 and was appropriated over \$47 million for 1997-98. Thus, Public Safety Services expended a total of over \$202 million for 1996-97. The Office of State Police budget unit accounted for the largest portion of 1997 expenditures, with over of \$105 million, which is approximately 50% of the total budget.

Exhibit 3-2
Summary of Expenditure Data for Budget Units and Programs
Excluding Ancillary Appropriations and Other Requirements
Public Safety Services

Budget Units (Schedule Numbers) and Programs	Actual Expenditures Fiscal Year 1996-97	Recommended Amounts Fiscal Year 1997-98	Appropriated Amounts Fiscal Year 1997-98
Office of Management and Finance (00-414)			
Program A - Legal	\$1,086,578	\$1,207,659	\$1,200,000
Program B - Management and Finance	\$27,119,511	\$29,509,828	\$29,499,140
Budget Unit Total	\$28,206,089	\$30,717,487	\$30,699,140
Office of State Police (00-415)			
Program A - Traffic Enforcement	\$38,644,431	\$37,568,118	\$37,899,431
Program B - Criminal Investigation	\$6,611,512	\$6,616,715	\$6,616,143
Program C - Operational Support	\$46,464,118	\$41,176,894	\$44,444,741
Program D - Gaming Enforcement	\$16,414,415	\$11,858,198	\$11,800,187
Program E - Auxiliary	\$1,418,810	\$1,801,597	\$1,801,767
Budget Unit Total	\$103,539,306	\$98,929,522	\$102,562,269
Office of Motor Vehicles (00-420)			
Program A - Licensing	\$29,676,099	\$29,391,630	\$28,976,823
Budget Unit Total	\$29,676,099	\$29,391,630	\$28,976,823
Office of State Fire Marshal (00-422)			
Program A - Licensing and Inspection	\$1,973,626	\$1,593,000	\$1,594,000
Program B - Arson Enforcement	\$684,480	\$683,200	\$717,043
Program C - Fire Review	\$1,893,266	\$1,311,778	\$1,317,833
Budget Unit Total	\$4,551,372	\$3,587,978	\$3,628,876
Louisiana Gaming Control Board (00-423)			
Program A - Administration ¹	N/A	\$1,589,700	\$1,589,700
Budget Unit Total		\$1,589,700	\$1,589,700
Liquor and Patrons Tax Commission (00-424)			
Program A - Administration	\$493,483	\$474,700	\$474,700
Budget Unit Total	\$493,483	\$474,700	\$474,700
Louisiana Highway Safety Commission (00-425)			
Program A - Administration	\$2,312,678	\$2,857,827	\$2,858,827
Budget Unit Total	\$2,312,678	\$2,857,827	\$2,858,827
Total	\$171,550,080	\$169,660,000	\$166,660,000

N/A: Not applicable

¹This budget unit did not exist in fiscal year 1996-97. The board was created by Act 7 of the First Extraordinary Session of 1996. Act 13 of the 1996 Regular Session lists \$1,591,200 as the appropriated amount for the Gaming Control Board for the 1996-97 fiscal year.

Source: Prepared by legislative auditor's staff from the following sources: Department of Public Safety and Corrections' Annual Financial Statements (Fiscal Year Ending June 30, 1997); State of Louisiana Executive Budget and Governor's Supplementary Budget Recommendations (Fiscal Year 1997-98); and Office of Planning and Budget's General and Ancillary Appropriation Letters for fiscal year 1997-98.

Exhibit 2-3
Summary of Expenditure Data for
Other Requirements and Auxiliary Appropriations Budget Units and Programs
Public Safety Services

Budget Units (Schedule Function) and Programs	Actual Expenditures Fiscal Year 1996-97	Recommended Amounts Fiscal Year 1997-98	Appropriated Amounts Fiscal Year 1997-98
Other Requirements			
Supplemental Payments to Local Law Enforcement Personnel (20-900)			
Municipal Police	\$18,332,460	\$30,923,588	\$28,922,500
Firefighters	\$14,505,524	\$16,438,588	\$16,418,500
Constables and Justices of the Peace	\$431,770	\$488,000	\$488,000
Deputy Sheriffs ¹	N/A	N/A	N/A
Other Requirements Total	\$23,270,754	\$47,851,088	\$47,851,000
Auxiliary Appropriations			
State Police Training Academy (21-199)			
Program A: Administration	\$2,302,093	\$2,349,609	\$2,609,609
Budget Unit Total	\$2,302,093	\$2,349,609	\$2,609,609
Public Safety Services Centers (21-800)			
Program A: Administration	\$1,188,442	\$1,316,532	\$1,300,532
Budget Unit Total	\$1,188,442	\$1,316,532	\$1,300,532
Auxiliary Appropriations Total	\$6,490,535	\$6,706,134	\$49,096,131
Other Requirements and Auxiliary Total	\$29,761,289	\$54,557,222	\$97,947,131

N/A: Not applicable

¹Supplemental payments to deputy sheriffs are made by the Office of State Treasury, which paid \$26,042,487 in fiscal year 1996-97 and appropriated \$22,166,000 in fiscal year 1997-98.

Source: Prepared by legislative auditor's staff from the following sources: Department of Public Safety and Corrections' Annual Financial Statements Fiscal Year Ending June 30, 1997; State of Louisiana Executive Budget and Governor's Supplementary Budget: Recommendations Fiscal Year 1997-98; and General and Auxiliary Appropriation Letters for fiscal year 1997-98.

Clients and Staffing of the Department

The department's clients primarily include the citizens of the State of Louisiana. Additional users of the department's services are Public Safety Services budget units, other government agencies, the gaming industry, and law enforcement personnel. Exhibit 2-6 on the following page shows the number of staff positions authorized for each budget unit (excluding those under Auxiliary Appropriations and Other Requirements) for fiscal year 1993-94. There are a total of 2,911 such positions.

An additional 25 positions are authorized for the auxiliary programs, as shown on Exhibit 2-5 on page 34. Exhibit 2-5 shows actual client numbers for the Supplemental Payments to Local Law Enforcement Personnel budget unit and the State Police Training Academy. Supplemental payment clients include municipal police, firefighters, constables, justices of the peace, and deputy sheriffs. The State Police Training Academy clients include participants in the state police cadet, in-service training, safety council, and basic police classes.

Exhibit 2-4
Summary of Staffing and Client Information for Budget Units and Programs
Excluding Auxiliary Appropriations and Other Requirements
Fiscal Year 1997-98 - Public Safety Services

Budget Units and Programs	Number of Authorized Staff Positions	Clients
Office of Management and Finance (00-000)		
Program A: Legal	11	Various budget units within the Department Government agencies Citizens of Louisiana
Program B: Management and Finance	135	
Budget Unit Total	146	
Office of State Police (00-000)		
Program A: Traffic Enforcement	831	All citizens of Louisiana
Program B: Criminal Investigations	140	
Program C: Specialized Support	300	
Program D: Training Enforcement	211	
Program E: Auxiliary	104	
Budget Unit Total	1,586	
Office of Motor Vehicles (00-000)		
Program A: Licensing	903	Citizens of Louisiana over the age of 16 There were nearly 5 million registered vehicles and 2.7 million licensed drivers in the state as of January 1, 1997.
Budget Unit Total	903	
Office of State Fire Marshal (00-000)		
Program A: Licensing and Inspection	127	All citizens of Louisiana
Program B: Arms Enforcement	21	
Program C: Fire Review	29	
Budget Unit Total	177	
Louisiana Gaming Control Board (00-000)		
Program A: Administration	2	Serves the state by regulating gaming in Louisiana (riverboat casinos, video/poker, and the first-hand casinos)
Budget Unit Total	2	
Louisiana Parole and Pardon Commission (00-000)		
Program A: Administration	11	All citizens of Louisiana
Budget Unit Total	11	
Louisiana Highway Safety Committee (00-000)		
Program A: Administration	20	All citizens of Louisiana
Budget Unit Total	20	
Total	2911	

FOIA: Not applicable

Source: Prepared by legislative auditor's staff from data supplied by department officials and the General and Auxiliary Appropriations Letters for fiscal year 1997-98.

Exhibit 2-5
Summary of Staffing and Client Information for
Auxiliary Appropriations and Other Requirements - Budget Units and Programs
Fiscal Year 1997-98 - Public Safety Services

Budget Units	Number of Authorized Staff Positions	Clients
Auxiliary Appropriations		
State Police Training Academy (21-790)	1	50,076 ¹ trainees
Public Safety Services Cadets (20-800)	17	State police cadets, United States Department of State Anti-Terrorist Assistance Program trainees, and other personnel being trained at the academy or Holden facility.
Auxiliary Appropriations Total	18	
Other Requirements		
Supplemental Payments to Local Law Enforcement Personnel (20-940)	N/A	
Municipal Police	-	5,400 personnel
Firefighters	-	4,150 personnel
Constables and Justices of the Peace	-	6,015 personnel
Deputy Sheriffs	-	770 personnel
Other Requirements Total	N/A	16,335

N/A: Not applicable

¹ This number is the recommended total attendance for the following classes: State Police Cadet, In-Service Training, Safety Council, and Basic Police.

Source: Prepared by legislative auditor's staff from data supplied by department officials and the General and Auxiliary Appropriation Bill Letter for fiscal year 1997-98.

**Related Boards,
Commissions,
and Like
Entities**

We identified 15 boards, commissions, and like entities that are associated with Public Safety Services. Appendix D shows the purpose, including duties and responsibilities, for each of these entities as described in the revised statutes. Three of these entities are included in the 1997-98 executive budget as budget units of the department. The analysis of their performance data is included in Chapter 5 of this report. These three entities are as follows:

1. **Liquefied Petroleum Gas Commission.** R.S. 40:1841(A) creates the Liquefied Petroleum Gas Commission. As previously stated, the commission is authorized to promulgate rules and regulations governing, storage, utilization, sale or transportation of anhydrous ammonia as well as the fabrication and installation of equipment.
2. **Louisiana Gaming Control Board.** R.S. 27:111(A) creates the Louisiana Gaming Control Board. As previously described, the board has regulatory authority, control, and jurisdiction over all aspects of gaming activities and operations authorized by law. The board is also responsible for establishing a plan of organization to conduct the business of regulating and controlling gaming operations and activities. According to R.S. 27:31, which became effective May 1, 1998, the Riverboat Gaming Commission was abolished. The Louisiana Gaming Control Board assumed all powers, duties, functions, and responsibilities of the Riverboat Gaming Commission, as well as those of the Louisiana Economic Development and Gaming Corporation. Appendix B includes the duties and responsibilities of these two entities.
3. **Louisiana Highway Safety Commission.** R.S. 48:1355(A) creates the Louisiana Highway Safety Commission. Statutorily, the commission is a division within the Office of the Governor, but it is a budget unit of Public Safety Services. As described previously, the commission is responsible for preparing comprehensive, long-range highway safety programs for Louisiana. Other responsibilities include making recommendations related to highway accidents, injuries, and deaths to improve highway safety and reduce highway accidents.

**Missions and
Goals Are
Generally
Consistent With
Law**

All missions and goals reported in the 1997-98 executive budget for Public Safety Services are generally consistent with legislative intent and legal authority. In addition, all major programs and functions reported in the executive budget have general enabling legislation. As a result, users of the executive budget can be assured that the major program functions and activities included in the executive budget are grounded in state law.

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

Some Functions May Be Duplicative or Outmoded

We identified two potentially duplicative functions. In addition, the department identified three functions that may be outmoded. These areas require additional study to determine if duplication or outmodedness actually exists. If duplication exists, the department may be using more resources than necessary to provide and coordinate certain services. If statutes relating to outmoded programs or functions are left in place, they could cause confusion for legislators making funding and programmatic decisions. We did not identify any potential overlap within the department.

We reviewed the 1997-98 executive budget and legal authority for the department's programs and related boards, commissions, and like entities to identify areas that appear to be overlapping, duplicative, or outmoded. We also reviewed the department's 1997-98 BRS forms and spoke with department officials. 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 duplicative or outmoded. We only identified these areas for further review.

Two Functions May Be Duplicative

Based on our review of the executive budget and underlying legal authority, we identified two areas where duplication of effort may exist. These areas involve certain functions within Public Safety Services and certain boards and commissions. The two areas of potential duplication are as follows:

- Collection of Information on Fire-Related Accidents
- Determination of Supplemental Compensation

These areas should be further reviewed to determine if duplication of effort is actually occurring. They are discussed in detail below.

Collection of Information on Fire-Related Accidents.

We found that there may be a potential for duplications between the duties of the Office of the State Fire Marshal and the Liquefied Petroleum Gas Commission (LPGC) regarding the collection of information on fire-related accidents.

According to the 1997-98 executive budget, the Licensing and Inspection Program within the Office of State Fire Marshal collects and analyzes fire data and maintains a data repository and statistical analysis of all fires. However, the LPGC also collects fire data. According to the Louisiana Administrative Code (LAC 55:15.125(A)), any accident involving liquefied petroleum gas must be reported in writing to the director of the LPGC within 48 hours. Therefore, both the State Fire Marshal and the LPGC collect information on fire-related accidents, although LPGC collects only data on fires involving liquefied petroleum gas.

According to the director of the LPGC, the commission requires accidents involving petroleum gas to be reported so that it can investigate the accidents. These investigations are done to determine whether the gas caused the fire and whether faulty equipment was involved. According to the director, LPGC basically serves as a safety commission.

Both entities collect accident information to protect the safety of the public and property. If both of these entities collect some of the same data, this may indicate an inefficient use of resources and a possible duplication of effort. Because of this

possibility, the Office of State Fire Marshal may want to coordinate its efforts with the LPOC to share information.

Determination of Supplemental Compensation. We also found that there may be a potential for duplication between the Board of Review for Extra Compensation for Municipal Police Officers and the Firemen's Supplemental Pay Board regarding the determination of supplemental pay.

R.S. 33:2218.7 creates the Board of Review for Extra Compensation for Municipal Police Officers. The executive budget states that the board determines the eligibility of municipal police officers to receive supplemental pay. This board is composed of three members: the commissioner of administration or his designee, a member of the Louisiana Association of Chiefs of Police, and the secretary of the Department of Public Safety and Corrections or his designee.

Similarly, according to R.S. 33:2009, the Firemen's Supplemental Pay Board determines the eligibility of firefighters to receive additional pay out of state funds. This board is composed of three members of the Professional Firefighters Association of Louisiana and two members of the Louisiana State Firemen's Association.

Since both of these boards determine eligibility for supplemental pay, this may indicate possible duplication of effort. Generally, the only difference in the functions of these two boards is that one determines eligibility for police officers and the other determines eligibility for firemen.

According to the Deputy Undersecretary of Public Safety Services, each board is made up of professionals from their respective areas, which makes them more knowledgeable regarding the profession. He said that when they review the applications for supplemental pay, they know what to look for because they are familiar with the requirements of the profession. He also said that since these board members do not receive a per diem and that they usually meet in Baton Rouge, saving money is not an issue. However, there may be some indirect costs to the state for the operation of these boards. Therefore, this area should be examined to determine the actual fiscal impact. It may be possible for a single board to perform these services more efficiently, provided that the board's collective membership is knowledgeable in both areas.

In summary, if duplication of effort is occurring in the collection of information on fire related accidents or the determination of supplemental compensation, the department may be using more resources than necessary to carry out these activities. The department may be able to provide these services more efficiently and effectively by coordinating service delivery. Therefore, these areas should be further reviewed.

Recommendation

- 2.1 **Public Safety Services'** officials should investigate the areas of potential duplication identified in this section to determine if duplication is occurring unnecessarily. If duplication of effort is occurring unnecessarily, the department should devise strategies to streamline or eliminate duplicative functions. The areas to be further reviewed are as follows:

- **Collection of Information on Fire Related Accidents**
- **Determination of Supplemental Compensation**

Also, the department should determine the actual costs to the state to operate the Fireman's Supplemental Pay Board and Board of Review for Extra Compensation for Municipal Police Officers in order to determine whether the state's resources are being used efficiently.

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 the areas of possible duplication within Public Safety Services.

Three Outmoded Functions Identified by the Department

Department officials identified the following functions as outmoded. These areas should be further reviewed. They are as follows:

- Aircraft Registration Program
- Violent Crimes Unit
- Stock Patrol

Aircraft Registration Program. The statutory authority for this program is R.S. 2:1 and 2:2. According to R.S. 2:2, except as otherwise provided, an aircraft based in the state of Louisiana shall register with the aircraft registrar. In R.S. 2:1, the aircraft registrar is named as the deputy secretary of the Department of Public Safety and Corrections, Public Safety Services, or his designee. According to a department official, this program never was established and is no longer needed.

Violent Crimes Unit. The statutory authority for this unit is R.S. 40:1379.5. R.S. 40:1379.5(A) creates the violent crimes unit in the Office of State Police. According to this provision, the unit shall make investigations or perform other law enforcement duties in any municipality or parish on the request of the chief law enforcement officer of that municipality or parish or at the request of the governor. According to a department official, this legislation came about so that State Police could go into violent crime areas and assist local police. However, he said that this law is not necessary because State Police can assist anywhere inside and outside the state with the governor's approval. For example, state police assist New Orleans city police during Mardi Gras.

Article IV, Section 5 of the 1974 Louisiana Constitution names the governor as the chief executive officer of the state. This provision says that the governor shall faithfully support the laws of the state and see that they are faithfully executed. In addition, R.S. 40:1383 describes the control of police officers within municipalities. Although an exception applies, these provisions generally authorize the governor to order state police to assist within municipalities for the purpose of enforcing state laws.

Stock Patrol. The statutory authority for this activity is R.S. 1:304. This statute permits state police (as well as sheriffs, deputy sheriffs, constables, or justices of the peace) to take possession of and impound any livestock found at large on any public highway. According to a department official, this program is no longer functioning.

Recommendation

- 2.2 Public Safety Services' officials should further investigate the following three areas of potential outmodedness to determine if these functions are in fact no longer needed:
- Aircraft Registration Program
 - Violent Crimes Unit
 - Stock Patrol

If any of these functions are no longer needed, department officials should propose legislation to repeal the legislation governing them.

Matter for Legislative Consideration

- 2.2 If Public Safety Services' officials determine that these functions are no longer needed, the legislature may wish to consider repealing the legislation governing the following functions:
- Aircraft Registration Program
 - Violent Crimes Unit
 - Stock Patrol

These three items appear to be functions that the department is not carrying out and are no longer needed.

Chapter Three: Analysis of Performance Data

Chapter Conclusions

The performance data reported in the 1997-98 executive budget for Public Safety Services do not communicate complete information about the performance of the department's programs. This is because the data do not meet all aspects of the criteria against which we compared them.

There is an overall mission reported for the department in the 1997-98 or 1998-99 executive budgets. Therefore, most of the executive budgets cannot identify the purpose or clientele of the department. There is, however, a departmental mission listed on Public Safety Services' Internet home page, which could possibly be incorporated into the budget. In addition, we could not identify missions and goals for all of Public Safety Services' programs. The majority of missions that are reported meet all aspects of the criteria against which we compared them, but fewer than half of the reported goals reflect the destination toward which Public Safety Services' programs are striving. In addition, they do not provide a sense of direction as to how to address the missions. Although the 1998-99 executive budget contains missions and goals for most programs, there is still no departmental mission reported. However, there is a departmental mission reported in the department's 1998-2003 strategic plan.

In addition, the majority of objectives reported in the 1997-98 executive budget are not measurable or timebound. Although the performance indicators are generally consistent with the objectives and are clear and easily understood, the majority of them do not measure progress toward the objectives. This is because the indicators do not address activities specified in the objectives and/or the corresponding objectives are not measurable. Because of these deficiencies, 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.

We also found that the department's strategic plan had not been updated since it was initially prepared in 1991. Thus, the performance data we analyzed were developed without a meaningful and accurate guide. Department officials have,

however, completed an updated strategic plan to comply with the requirements of Act 1465 of 1997, which amends R.S. 38:31. The Office of Planning and Budget has determined that this strategic plan generally meets Act 1465 requirements.

Analysis Conducted

We analyzed the performance data reported in the 1997-98 executive budget for Public Safety Services. The performance data consist of missions, goals, objectives, and performance indicators. The Division of Administration's Office of Planning and Budget (OPB) compiled the data using Public Safety Services' 1997-98 operational plan and its 1994 strategic plan.

As stated in Chapter Two, we identified a total of 10 budget units and 16 programs in the executive budget. We analyzed 14 missions and 14 goals included in the executive budget for these budget units and programs. We also analyzed 39 objectives and 398 performance indicators. Appendix C provides a list of all performance data reported in the executive budget for Public Safety Services.

We evaluated the missions, goals, objectives, and performance indicators against a set of established criteria. We used Monaghan and consulted with various experts to develop these criteria. The criteria used in our evaluation are described in Exhibit 3-1 on the following page. The results of our analysis are described in the findings that follow the exhibit.

Our evaluation included determining whether the objectives and performance indicators effectively provide information suitable for external reporting and budgetary decision making. It 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 reported performance data compare to the criteria in Exhibit 3-1.

The department made improvements to the performance data reported in the 1998-99 executive budget. We have noted these improvements where applicable in this chapter. However, it was not within the scope of this audit to conduct a detailed analysis of the 1998-99 performance data. We noted only apparent improvements in the performance data over the 1997-98 data.

Exhibit 3-1
Criteria Used to Evaluate Performance Data Reported in
1997-98 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

GOALS: The general end purpose toward which effort is directed

- ✓ Consistent with department, program, and office missions
- ✓ Provides a sense of direction as 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, GAOB, the Federal Office of Management and Budget, and the Urban Institute.

**Performance
Data Reported in
1997-98
Executive Budget
Do Not Meet All
Criteria**

The missions, goals, objectives, and performance indicators reported in the 1997-98 executive budget for Public Safety Services do not meet all aspects of the criteria listed in Exhibit 3-1. Because the data do not include all of these key components, the performance data are incomplete. That is, they do not communicate complete information about the performance of Public Safety Services' programs. Consequently, the performance data may not be as useful as they could be to legislators and other users of the executive budget.

The executive budget should include missions, goals, objectives, and performance indicators that meet the criteria in Exhibit 3-1. By including missions that meet the criteria, users of the executive budget will be able to identify the purpose and customers of the department and its programs. Properly constructed goals will provide useful information on how each program plans to meet its mission. Including specific, measurable, timebound objectives will provide users of the executive budget with target levels of performance against which to measure the program's progress. Performance indicators that meet the criteria will allow users to see whether those desired levels of accomplishment are being achieved. When reported performance data are not complete, it is difficult for users of the executive budget to determine actual performance of Public Safety Services' programs.

A summary of the results of our comparison of the reported performance data to the established criteria is shown in Exhibit 3-2 on the following page. Following the exhibit are our narrative findings on the results of our analysis. The exhibit and the findings encompass all budget units and programs related to Public Safety Services, including those in the Ancillary Appropriations and the Other Requirements sections of the executive budget.

Exhibit 3-2
Performance Data Reported in 1997-98 Executive Budget
Compared to Criteria in Exhibit 3-1
Public Safety Services

<i>Missions meet the criteria as follows (14 reported):</i>	Yes	No
<i>1. Identify overall purpose for the existence of the organization, department, office, institution, or program as established by constitution, statute, or executive order</i>	14 (100%)	0 (0%)
<i>2. Identify stakeholders of the organization or external and internal users of the organization's products or services</i>	13 (93%)	1 (7%)
<i>3. Organizationally acceptable</i>	14 (100%)	0 (0%)
<i>Goals meet the criteria as follows (14 reported):</i>	Yes	No
<i>1. Consistent with department, program, and office mission</i>	13 (93%)	1 (7%)
<i>2. Provide a sense of direction as to how to address the mission; reflect the destination toward which the entity is striving</i>	0 (0%)	0 (0%)
<i>Objectives meet the criteria as follows (29 reported):</i>	Yes	No
<i>1. Consistent with goals</i>	22 (76%)	7 (24%)*
<i>2. Measurable</i>	13 (45%)	16 (55%)
<i>3. Timebound</i>	12 (41%)	17 (59%)
<i>4. Specify desired end result</i>	29 (100%)	0 (0%)
<i>Performance Indicators meet the criteria as follows (80 reported):</i>	Yes	No
<i>1. Measure progress toward objective or contribute toward the overall measurement of progress toward objective</i>	37 (46%)	43 (54%)
<i>2. Consistent with objective</i>	36 (45%)	44 (55%)
<i>3. Clear, easily understood, and non-redundant</i>	37 (46%)	43 (54%)

*We chose 17 objectives, there were no corresponding goals reported in the executive budget.

Source: Developed by legislative audit's staff from comparison of 1997-98 executive budget performance data against criteria listed in Exhibit 3-1.

**Mission Data
Reported in
1997-98
Executive Budget
Is Incomplete**

No Departmental Mission Reported

There is no comprehensive mission reported for the department as a whole in the 1997-98 executive budget. Without a departmental mission, users of the executive budget cannot determine the overall purpose of the department, the customers it is intended to serve, or whether the budget unit and program missions are consistent with the overall departmental focus.

There is a departmental mission listed on Public Safety Services' Internet home page. This mission could possibly be incorporated into the department's operational plan and included in future editions of the executive budget. The departmental mission listed on the department's Internet home page is as follows:

To uphold the law and provide for the safety and security of lives and property. This mission includes providing courteous and professional assistance in the areas of state police functions (such as traffic enforcement, criminal and narcotics investigations, crime analysis, criminal records recordkeeping, and gaming regulation activities) as well as functions related to the licensing and registration of motor vehicles and drivers, promotion of highway and fire safety, and regulation of licensed petroleum gas handling and distribution.

According to *Management*, the mission identifies what an organization does and for whom it does it. That is, it describes an organization's products or services and its customers. *Management* also says that the mission is part of an organization's identity. The mission is the ultimate rationale for the existence of the organization, according to *Management*. This definition implies that there should be a mission for Public Safety Services.

We reviewed the 1998-99 executive budget to determine if a departmental mission had been added, but it had not. We also asked Public Safety Services' officials about the lack of a departmental mission. They said that they did not think they were required to include a departmental mission in their operational plan. However, they said that they were developing a departmental mission for their new strategic plan. We reviewed the 1998-2003 strategic plan after it was released and found that an overall mission is included. It is identical to the mission on the department's Internet home page. If this mission meets the criteria listed in Exhibit 3-1, including this mission in the executive budget

would provide users of the budget with information on the purpose and customers of the department and its programs.

Recommendation

- 3.1 Public Safety Services should include a departmental mission in its operational plan, which is submitted to OPR each year. The mission should meet all criteria listed for missions in Exhibit 3-1. It may be possible to use the mission reported on the department's home page and in its new strategic plan. OPR should incorporate the departmental mission into future editions of the executive budget. Including a departmental mission in the executive budget would provide useful information on the department's services and clients.

Majority of Reported Missions Meet Established Criteria

As previously stated, 14 missions are reported in the 1997-98 executive budget for various budget units and programs. We found that the majority of these missions meet all aspects of the criteria listed in Exhibit 3-1. As shown in Exhibit 3-2 on page 51, of the 14 missions that are reported:

- (1) all 14 (100%) identify the overall purpose for the existence of the budget unit or program as established by constitution or statute;
- (2) 13 of 14 (93%) identify the clients or customers of the budget unit or program or external and internal users of the budget unit or program's products or services; and
- (3) all 14 (100%) are organizationally acceptable. That is, Public Safety Services agrees that these missions, as stated, are accurate and acceptable to the department.

The only mission that does not identify the program's clients is the mission for Program C, the Plan Review Program within the Office of State Fire Marshal budget unit. This mission is as follows:

To minimize the loss of life and property from fire and explosion.

This mission identifies the overall purpose for the existence of the program: to minimize the loss of life and property from fire and explosion. We concluded that the mission is organizationally acceptable because the same mission is included in the department's operational plan. However, the mission does not identify the users of the program's services. Although the implied customers would be the citizens of the state, the mission does not specifically identify the persons who benefit from these services. All other missions reported in the executive budget clearly identify the budget units' or programs' clients or customers.

In contrast, the mission reported for the Office of State Police budget unit is an example of a mission that meets all three of the established criteria. It therefore provides complete and useful information to users of the executive budget. The mission for the Office of State Police is as follows:

To ensure the safety and security of the people in the state through enforcement, education, and provision of other essential public safety services.

This mission is consistent with the overall purpose of the Office of State Police set forth in R.S. 16-406(1)(g) and R.S. 40:1379(A). The users of this budget unit's services are identified as the people of the state. We determined that the mission is organizationally acceptable because it is the same mission reported in the department's operational plan.

Because the vast majority of the missions reported for Public Safety Services include all elements of the criteria, they generally provide useful information about the purpose and clientele of the department's budget units and programs. However, the mission for the Plan Review Program needs to be expanded to include the targeted clientele.

Recommendation

- 1.2 Public Safety Services' staff and OPE staff should work together to expand the mission of the Plan Review Program within the Office of State Fire Marshal budget unit to clearly identify the targeted clientele. Doing this will ensure that users of the executive budget have complete information about the purpose and clientele of the program.

No Missions Reported for Several Budget Units and Programs

Although the 14 missions that are reported in the 1997-98 executive budget generally provide useful information, several budget units and programs do not have missions reported. For the 19 budget units and 19 programs listed in the executive budget, only 14 missions are reported. Three of these missions are reported at the budget unit level. The other 11 missions are for individual programs. Thus, seven budget units and five programs do not have missions reported. Without missions for each budget unit and program, users of the executive budget may not be able to determine the individual budget units' and programs' purposes or the persons who are intended to benefit from their services. The following budget units and programs have no missions reported in the 1997-98 executive budget:

1. Legal Program under the Office of Management and Finance budget unit
2. Criminal Investigation, Claming Enforcement, and Auxiliary³ Programs under the Office of State Police budget unit
3. Office of Motor Vehicles budget unit
4. Louisiana Gaming Control Board budget unit and its Administrative Program

³ Beginning with the fiscal year 1998-99 executive budget, Auxiliary Programs will be called Auxiliary Accounts and will therefore not be required to report performance data under Act 1588 of the 1997 Regular Session.

5. Liquefied Petroleum Gas Commission budget unit
6. Louisiana Highway Safety Commission budget unit
7. State Police Training Academy budget unit
8. Public Safety Services Cafeteria budget unit
9. Supplemental Payments to Local Law Enforcement Personnel Budget unit

Act 1403 of 1997, which enacts R.S. 39:1203, states that each budget unit shall include a current statement of its mission in the operational plan. The act also says that the information included in the operational plan shall be used to develop the executive budget. In addition, Act 1405 of 1997, which enacts R.S. 39:11(C)(2), requires that each strategic plan contain a brief statement identifying the principal clients and users of each program and the specific service or benefit derived by each person. Also, according to an October 1997 memorandum from the director of OPS regarding operational plan preparation, each agency/budget unit and each program must have a mission and goal. The memorandum also says that these missions and goals must be clearly labeled.

Although these requirements evolved after Public Safety Services submitted its 1997-98 operational plan, the department needs to address them. We asked department officials about the lack of missions for the budget units and programs in the executive budget. They said that they were planning to develop a mission for each budget unit and goals for the programs. They said that the program missions should be the same as the budget unit's mission, therefore they will not develop a separate mission for each program. This is the way they have interpreted Act 1403 of 1997.

Recommendation

- 3.3 **Public Safety Services' staff should discuss its interpretation of Act 1403 with OPS and legislative staffs to ensure that its interpretation is correct. Specifically, if a budget unit has several different programs, individual program missions may be necessary.**

More Missions Are Reported in 1998-99 Executive Budget

We reviewed the 1998-99 executive budget to see if additional missions had been reported. The 1998-99 executive budget contains clearly labeled missions for every budget unit and program within Public Safety Services except the Supplemental Payments to Local Law Enforcement Personnel budget unit. This additional information should help users of the executive budget to identify the individual budget units' and programs' purposes and clients.

It was not within the scope of this audit to compare the missions included in the 1998-99 executive budget to the established criteria. However, as previously stated, the majority of missions reported in the previous year's executive budget (1997-98) meet the established criteria. If the new missions included in the 1998-99 budget were developed using the same guidelines as those in the 1997-98 executive budget, they should also provide complete and useful information.

Recommendation

- 3.4 Public Safety Services' staff and OPI staff should work together to develop a mission for the Supplemental Payments to Local Law Enforcement Personnel budget unit. This mission should identify the budget unit's purpose and clients and should be organizationally acceptable. In addition, the staff should ensure that all missions reported in future executive budgets meet all criteria listed for missions in Exhibit 3-1. Implementing this recommendation will ensure that users of the executive budget will be able to determine the budget units' and programs' purposes and the persons who are intended to benefit from them. (Refer to Recommendation 3.1 on page 53 regarding the need to develop a departmental mission.)

**Goals Reported
in 1997-98
Executive Budget
Need
Improvement**

Few Reported Goals Meet All Criteria

As previously stated, there are 14 goals reported in the 1997-98 executive budget for various budget units and programs. The majority of these goals are consistent with the missions we assessed. However, fewer than half of the goals provide a sense of direction on how to address the mission and reflect the destination toward which the budget units and programs are striving. As a result, users of the executive budget may not be able to determine the ultimate aim of these budget units and programs.

As shown in Exhibit 3-2 on page 30, of the 14 goals we assessed, we found that:

- 13 (93%) are consistent with the corresponding mission. For the remaining goal (7%), it is not clear how the goal relates to the corresponding mission.
- Only 4 goals (29%) provide a sense of direction on how to address the corresponding mission and reflect the destination toward which the entity is striving. The remaining 8 goals (57%) do not contain enough information to enable a reader to identify a clear office or program destination and determine how the mission will be addressed.

As stated above, all but one of the 14 goals are consistent with the missions. The exception is a goal for Program A, the Administrative Program under the Liquefied Petroleum Gas Commission budget unit. The third goal for this program is to "increase support for the Liquefied Petroleum Gas Commission." It is not clear how this goal relates to the mission of the Administrative Program, which is as follows:

To promulgate and enforce rules that will allow for the safest possible distribution, handling, and usage of liquefied petroleum gases and anhydrous ammonia, necessary for the protection, safety and security of the public, through inspections of storage facilities, equipment, and examination of personnel engaged in the industry.

In contrast, another goal reported for this program is to "reduce loss of life and property through diligent enforcement of Louisiana law and rules and regulations and national standards as adopted by the Liquefied Petroleum Gas Commission." In this

case, the goal clearly relates to the mission. That is, it is consistent with the promulgation and enforcement of rules governing liquefied petroleum gases and amblycous ammonia to protect public safety.

We also found that five of the reported goals provide a sense of direction on how to address the mission and reflect the destination toward which the office or program is striving. For example, the first goal of the Arson Enforcement Program within the Office of State Fire Marshal budget unit is to "fight the crime of arson." Although this goal reflects a destination (fighting crime), it does not provide a sense of direction on how the Arson Enforcement Program will address the mission of the Office of State Fire Marshal. If the goal included language explaining how the program plans to fight arson, it would meet both components of the criterion.

One of the six goals that does meet both aspects of this criterion is a goal reported for the Office of State Police budget unit. That goal is to "provide for the protection of lives and property through effective enforcement of laws." This goal shows the destination of the program: the protection of lives and property. The goal also provides a sense of direction on how to address the mission: through effective enforcement of laws. Therefore, this goal meets both aspects of the destination/direction criterion.

Recommendation

- 3.5 Public Safety Services' staff and OPE's staff should work together to ensure that all goals reported in future editions of the executive budget meet the criteria listed for goals in Exhibit 3-1. This will ensure that users of the executive budget understand what the programs are intended to accomplish and how the department plans to do so.

No Goals Reported for Some Budget Units and Programs

Overall, only 1 of the 10 budget units (10%) and 3 of the 16 programs (21%) have goals reported. Without goals for each of the department's budget units and programs, users of the executive budget may not be able to determine the strategic direction of the department and its programs. The following budget units and programs do not have any goals reported in the 1997-98 executive budget:

1. Office of Management and Finance budget unit and its two programs, Legal and Management and Finance
2. Traffic Enforcement, Criminal Investigation, Operational Support, Gaming, Enforcement, and Auxiliary² Programs under the Office of State Police budget unit
3. Office of Motor Vehicles budget unit and its Licensing Program
4. Office of State Fire Marshal budget unit
5. Louisiana Gaming Control Board budget unit and its Administrative Program
6. Liquefied Petroleum Gas Commission budget unit
7. Louisiana Highway Safety Commission budget unit
8. State Police Training Academy budget unit and its Administrative Program
9. Public Safety Services Cafeteria budget unit and its Administrative Program
10. Supplemental Payments to Local Law Enforcement Personnel budget unit

² Beginning with the fiscal year 1998-99 executive budget, Auxiliary Programs will be called Auxiliary Accounts and will therefore not be required to report performance data under Act 1985 of the 1997 Regular Session.

According to Management, the department should develop goals for each of its programs. In addition, instructions from OPI to the department on operational plan preparation state that each agency/budget unit and each program must have goals. The instructions also state that these goals must be clearly labeled.

We discussed the lack of goals with Public Safety Services' officials. They said that they plan to develop goals for each program and include them in their new strategic plan. We reviewed the strategic plan after it was published and found that all budget units and programs contain goals except the Supplemental Payments to Local Law Enforcement Personnel budget unit.

1998-99 Executive Budget Reports More Goals

We also reviewed the 1998-99 executive budget to see if more goals had been reported. We found that the 1998-99 executive budget contains clearly labeled goals for every budget unit and program within Public Safety Services except the Supplemental Payments to Local Law Enforcement Personnel budget unit. Thus, the department and OPI have almost completely addressed the problem of reporting too few goals. However, since it was not within the scope of our audit to examine the 1998-99 executive budget performance data in detail, we did not determine whether these additional goals provide complete and useful information. The fact that additional goals have been added, however, is an improvement from the 1997-98 executive budget.

Recommendation

- 3.6 Public Safety Services' staff should work with OPI's staff to develop goals for the Supplemental Payments to Local Law Enforcement Personnel budget unit. The goals should enable readers to determine what this budget unit is intended to accomplish. All goals should be consistent with the criteria listed in Exhibit 3-3 for goals.**

**Most Objectives
Reported in
1997-98
Executive Budget
Do Not Meet All
Criteria**

**Majority of Reported Objectives Not Measurable or
Timebound**

As shown in Exhibit 3-2 on page 51, the majority of objectives included in the 1997-98 executive budget are not measurable or timebound. Most objectives are, however, generally consistent with the reported goals, and all are result-oriented. Objectives that are not measurable and timebound do not specify desired levels of performance or target dates for accomplishment. Consequently, a legislature making budgetary decisions may not be able to tell exactly what the program is supposed to accomplish by when.

As previously stated, a total of 39 objectives are reported for the department's programs. We compared these objectives to the criteria listed in Exhibit 3-1 and found that:

- 22 of the objectives (56%) are consistent with the corresponding goals. 17 (44%) of the objectives are not consistent with the goals because there are no corresponding goals reported for those objectives.
- Only 13 of the objectives (33%) include measurable performance standards.
- Only 12 of the objectives (31%) set time frames for accomplishment of desired results.
- All of the objectives (100%) specify one or more desired end results.

According to *Management*, objectives should describe the exact results that are sought. Since the majority of objectives reported for Public Safety Services do not set performance standards, it is difficult for a reader to determine what the desired level of performance are. Instead of providing target measurements, these objectives stress ongoing activities without describing the expected increase or decrease in the level of activities. It is important for each objective to specify the desired level of achievement because that would show exactly what the program is expected to accomplish.

Also, according to *Management*, time frames for meeting objectives should be specified. Each objective should be attainable within a reasonable time period. When time frame referents are not included in objectives, users of this information may not be able to determine whether the program's accomplishments are achieved in a timely manner.

We discussed the issue of timebinding with the CPE analyst for Public Safety Services. She said that the objectives reported in the executive budget are timebound because the executive budget is a one-year planning document, similar to the appropriation bill. However, several of the department's objectives extend beyond a one-year time period. Therefore, we believe it is important to clearly state the timeframes for accomplishment for each objective. For example, the first objective under the Traffic Enforcement Program within the Office of State Police states, in part, the Traffic Enforcement Program will "continually review advanced technology and institute computerized reports/citations by the year 2008." The planning analyst said that the 1998-99 executive budget would state that the time period for accomplishment of the objectives is one year unless otherwise stated. If some objectives are to be accomplished within time periods that are greater than one year, it is important that a specific time period be reported in the objective. If this is done, it will satisfy our concern about timebinding of objectives.

We reviewed the 1998-99 executive budget to determine whether the objectives include time frames for accomplishment. Although it was not within the scope of this audit to conduct a detailed analysis on the 1998-99 performance data, we did note that all objectives reported appear to specify time periods for accomplishment.

All Programs Do Not Report Objectives

We also found that two programs do not report any objectives at all. They are:

1. The Administrative Program under the Louisiana Gaming Control Board budget unit
2. The Administrative Program under the Public Safety Services California budget unit

Without objectives for these programs, users of the executive budget cannot determine the results that are sought by the programs. R.S. 24:522(D)(2) requires all state agencies to develop specific objectives for each of their programs.

Recommendation

- 3.7 Public Safety Services' staff should work with OPR and legislative staffs to develop specific objectives for all programs within the department. The objectives should be consistent with the goals and set measurable performance standards or targets for accomplishment. The staffs should also ensure that all objectives include specific time frames for accomplishment. It is important to develop specific, measurable, time-bound objectives for each program so that targeted levels of accomplishment are communicated.

Some Objectives Have Multiple Parts and Do Not Have Corresponding Performance Indicators for Each Part

We found that 15 of the 39 reported objectives (38%) are composed of multiple parts that address different topics. The number of parts in each objective ranges from 2 to 11. Only 3 of these 15 objectives (20%) have indicators for each part of the objective. When objectives include multiple topics, users of the executive budget may not be able to determine which of the target areas are being addressed. In addition, they may not be able to tell to which parts of the objective corresponding performance indicators relate or whether there are indicators reported for each part.

For example, the first objective for the Legal Program under the Office of Management and Finance budget unit contains seven parts. This objective is as follows:

The Litigation Section of the Legal Program will: (1) timely serve 4,000 judgments per month, process false arrest suits, answer garnishments and wage assignments, and prepare disciplinary letters; (2) strive to educate department employees to distinguish legal issues from administrative duties; (3) increase collections and convictions in the Transportation/Environmental Safety Section of the Louisiana State Police (LSP); (4) minimize liability exposure of the department; (5) handle litigation anticipated from Commercial Driver's License Law (with commencement of license suspensions in April 1992); (6) develop rules and policies for implementation of Americans with Disabilities Act (which became effective July 26, 1992); and (7) continue development of new LSP Civil Service rules and procedures.

Following this objective is a list of 12 performance indicators. The 12 indicators are grouped together and not reported under the individual parts of the objective. Therefore, it is difficult to determine toward which part of the objective each individual indicator is intended to measure progress.

Another example is the second objective for the Licensing and Inspection Program under the Office of State Fire Marshal budget unit. This objective contains four parts. The objective is as follows:

The Licensing and Inspection Program will: (1) enhance communications and public relations with the public who interface with the State Fire Marshal's Office, (2) reduce fire deaths and injuries in residential properties by 10% by January 1, 1998, (3) attain 100% participation in the state's fire reporting system by January 1, 1998, and (4) attain professional level inspection, thereby reducing arrest rates.

The performance indicators reported for the objective are: (1) total number of fires, (2) total number of deaths, (3) total losses (in millions), and (4) total number of records. The total number of fires, deaths, and losses addresses the reduction of fire deaths and injuries in residential property, which is part (2) of the objective. Also, the total number of records addresses the attainment of 100% participation in the state's fire reporting system, which is part (3) of the objective. However, none of the indicators address parts (1) or (4) of the objective. Without performance indicators to

address each part of the objective, it is not possible to measure the progress made toward accomplishing these parts.

According to a OASB official, multiple ideas or topics should not be linked together in one objective unless the final objective is not too long and is supported by meaningful performance indicators. He stated that, as a general rule, objectives should cover only one topic area, be brief, and be measurable and timebound. Finally, he stated that objectives should have corresponding performance indicators that measure progress made toward those objectives.

Recommendation

- 3.8 Public Safety Services and OPR staff should work together with legislative staff to develop individual objectives that each cover only one topic. They should also develop related performance indicators for each objective. Doing this will help ensure that users of the executive budget can determine whether programs are meeting their desired levels of performance.**

Performance Indicators Reported in 1997-98 Executive Budget Generally Provide Useful Information

We assessed 368 performance indicators reported for Public Safety Services. The performance indicators generally provide useful information. As shown in Exhibit 3-3, we found that 52% of the indicators broadly relate to and are consistent with the objectives. Also, 94% of the indicators are clear and easily understood. However, the majority of the performance indicators (68%) do not measure progress toward the objectives. This is because the indicators do not address activities specified in the objectives (17%) and/or because the corresponding objectives are not measurable (51%). When performance indicators do not measure progress toward objectives, they do not communicate how well a program did what it was supposed to do.

We also found that not all programs report indicators. Without performance indicators for each program's objective, users of the executive budget may not be able to determine whether the programs are achieving their objectives.

Many Indicators Do Not Measure Progress Toward Objectives Because Objectives Are Not Measurable

As previously stated, 51% of the reported indicators do not measure progress toward the corresponding objectives because those objectives are not measurable. Had the objectives specified quantitative targets for accomplishment, the indicators may have measured progress toward those targets.

For example, the Criminal Investigation Program within the Office of State Police budget unit has one objective. This objective states, "The Criminal Investigation Program will increase the effectiveness of detectives and narcotics agents." One of the indicators under this objective is "LSP Detectives: Number of Criminal Investigations Cases Opened." If the objective were measurable, this performance indicator could possibly be used to measure progress toward it. However, the objective does not set standards or targets for what constitutes "effectiveness"; therefore, the indicator cannot measure progress toward its accomplishment.

In contrast, the Administrative Program within the Louisiana Highway Safety Commission budget unit has an objective to "reduce alcohol-related traffic fatalities in Louisiana to 42% by 1990." This objective is measurable because it quantifies the amount of reduction in fatalities desired (42%). One of the indicators reported for this objective is the "percentage of traffic deaths that are alcohol-related." This indicator contains a measurable component that is quantified as a percentage amount. Also, the indicator communicates how well the objective has been met. Therefore, the performance indicator measures progress toward the objective.

Some Indicators Do Not Measure Progress Toward Objectives Because the Indicators Do Not Address Specified Activities

Also as previously stated, 17% of the reported indicators do not measure progress toward the corresponding objectives because the indicators do not clearly address the activities specified in the objectives. As a result, users of the executive budget may not be able to determine whether the objectives have been achieved.

For example, the Operational Support Program within the Office of State Police budget unit has one objective. This objective is as follows:

The Operational Support Program will (1) monitor and revise policies and operations according to legislation, rules, and court decisions on a continuing basis; and (2) review and revise crime laboratory operations annually to optimize mandated services to the Louisiana State Police (LSP) and all other law enforcement agencies.

As shown, this objective contains two parts. The objective is not measurable—neither part of the objective contains a degree or type of change desired that could allow a reader to determine when the objective has been met. Forty-one performance indicators are reported under this objective. Some of these indicators are:

1. Laboratory Services: Number of Narcotics Unit Cases
2. Applied Technological Services: 40 Hr. Intoxilyser Class-Number of Classes Held
3. Criminal Records/Means of Identification: Number of Criminal Cards Received
4. Traffic Records and Criminal ID: Number of Accident Reports Received
5. Backlog of Fingerprint Cards Resulting from APIS

Although these indicators provide some meaningful information, they do not measure progress toward the objective because they do not specifically address the activities included in the objective. Of the 41 indicators reported for this objective, 40 of them do not measure progress made toward the objective for this reason. As a result, these indicators cannot communicate whether the objective has been achieved.

Even if the objective had been measurable, only one of these 41 indicators could possibly have measured progress toward it. That indicator is as follows:

The State Police Crime Laboratory is pursuing accreditation through the American Society of Crime Laboratory Directors (estimated completion date for fourth quarter of 1997)

This performance indicator specifically addresses the second part of the objective. If that part of the objective had been measurable, this indicator could possibly be used to measure progress toward "reviewing and revising current lab operations," and "optimizing regulated services."

According to the program description in the executive budget for the Operational Support Program, this program is responsible for many different activities and functions. However, the objective reported for the program is very broad and does not address all those activities and functions. If specific, measurable objectives addressing those activities and functions were developed, and if the indicators clearly addressed those activities and functions, then the indicators might measure progress toward them.

Performance Indicators Are Not Reported for Every Program

We found that all programs do not report performance indicators for each objective. Some programs do not report any indicators at all. The following objectives and programs do not have performance indicators reported in the 1997-98 executive budget:

1. Objective #2 of the Management and Finance Program under the Office of Management and Finance (OMF) budget unit
2. The Auxiliary Program under the Office of State Police budget unit
3. The Administrative Program under the Louisiana Gaming Control Board budget unit
4. Objectives #8, 9, and 10 of the Administrative Program under the Louisiana Highway Safety Commission budget unit
5. The Administrative Program under the Public Safety Services Criteria budget unit

Without performance indicators for each objective under each program, users of the executive budget cannot determine whether the programs are achieving their objectives.

Recommendation

- 3.9 Public Safety Services should work with OPI and legislative staff to develop performance indicators for each objective under each program that, at a minimum, are consistent with the corresponding objectives, measure progress made toward those objectives, and are clear, easily understood, and non-technical. Providing this information should help legislators make funding decisions by showing whether or not expected results are being achieved.

Few Performance Indicators Measure Outcome

The majority of performance indicators reported in the 1997-98 executive budget measure output. Only 8.8% of the indicators are outcome measures, and few are input, efficiency, or quality measures. When programs do not have a balanced mix of outcome, output, efficiency, quality, and input indicators, users of the executive budget cannot determine how well the programs did what they were supposed to do, how much it cost to produce those results, and the total resources consumed in producing those results.

As shown in Exhibit 3-3 on the following page, we analyzed 398 performance indicators. In addition to the indicators shown, another four items were reported in the executive budget as indicators. However, we did not compare these items to the criteria in Exhibit 3-1. This is because we determined that three of these items are actually explanatory information, and one is a strategy instead of an indicator.

Exhibit 3-3 shows that output indicators account for 76.6% of the total number of indicators reported in the executive budget. Of 398 performance indicators, only 8.8% are outcome indicators. Also, for the 39 objectives reported, only 17 have at least one corresponding outcome indicator. According to Management, outcome indicators are the most important performance measures because they show whether or not expected results are being achieved. They provide information that helps users of the executive budget determine how effectively programs are performing.

Exhibit 3-3 Types of Performance Indicators Reported in 1997-98 Executive Budget for Public Safety Services		
Type of Indicator	Number of Indicators Reported	Percentage of Total
Input	33	8.3%
Output	305	76.6%
Outcome	35	8.8%
Efficiency	21	5.3%
Quality	4	1%
Total Number of Indicators Analyzed	398	100%
Source: Prepared by legislative auditor's staff based on information from 1997-98 executive budget.		

According to GAO and *Management*, programs should develop a mix of the different types of performance indicators. What this mix should contain may be different for each program. Act 1465 of 1997, which amends R.S. 39:31, requires specific and measurable performance indicators for each objective, which, at a minimum, include indicators of input, output, outcome, and efficiency. When such a rule is properly developed and reported, the indicators communicate more complete information on program performance, which can be used for budgetary decision making.

Recommendation

- 3.10** The department should work with OPD and legislative staff to develop a balanced mix of performance indicators for inclusion in future editions of the executive budget. These indicators should include measures of input, output, outcome, efficiency, and quality. The staff should also ensure that at least one outcome indicator is reported for each objective.

**Some Indicators
Contain****Acronyms and
Technical Terms****Additional Information Needed To Define Some
Indicators**

As previously stated, we found that 94% of the indicators are clear and easily understood. However, 52 indicators (55%) are unclear. In these cases, the indicators contain acronyms or technical terms that are undefined. Including additional information in the program description or in footnotes would help to make these indicators clear.

The majority of these unclear indicators are under the Office of Management and Finance (OMF) and Office of State Police (OSP) budget units. For example, under the OMF budget unit, objective #3 of the Management and Finance Program contains 6 performance indicators that are unclear. They are:

1. The federal SAFETYNET system was upgraded to level 7.0
2. Number of Units: 622 TIP transactions
3. Number of Units: 622 MAPPER transactions
4. Number of IBM 8031 transactions
5. Completion of Project: Convert to 516-style tape cartridge system
6. Completion of Project: COVERS

These indicators contain acronyms and technical terms that are not defined in the program description preceding the objective or in footnotes following the indicators. According to Management, good performance indicators are clear and can be easily understood by everyone. Professional or technical terms should be defined when used in relation to performance indicators in order to avoid misinterpretation.

Recommendation

- 3.11 Public Safety Services should define all acronyms and technical terms used in performance indicators. Including this information either in the program descriptions or in footnotes would give users of the narrative budget a better understanding of each program's activities.

**1997-98
Operational Plan
Prepared
Without Current
Strategic Plan**

At the time the department prepared its 1997-98 operational plan, Public Safety Services had not updated its strategic plan, which was initially prepared in 1993. Without a current strategic plan, missions, goals, objectives, and performance indicators are more likely to be planned and prepared on a short-term or fire level basis rather than on a long-term departmentwide basis. Consequently, there is no future vision for the department.

As stated in Chapter One, program budgeting includes the development of missions, goals, objectives, and performance indicators. These factors are components of the strategic planning process, which sets goals for the future and strategies for achieving those goals. Strategic planning aids in determining where resources should be allocated to achieve the best results. It also helps the departments to determine how goals and objectives will be prioritized.

Department officials told us that the Office of Management and Finance within Public Safety Services is responsible for compiling the operational plan for the department. It provides guidance to the other offices on how to prepare their operational plans, reviews and collects these plans, and then submits them to OPM as part of the total budget request package. However, the department did not have a strategic plan to guide the development of the 1997-98 operational plan.

According to an OPM planning analyst, OPM requested that the department update its strategic plan each time there was a change in administration. However, she said that Public Safety Services has not done so. She stated that the previous Deputy Secretary of Public Safety Services was not interested in revising the strategic plan.

Department Has Completed Its 1998-2003 Strategic Plan, Which Generally Meets Act 1465 Requirements

The department recently completed and submitted to OPM an updated strategic plan in accordance with Act 1465 of the 1997 Regular Legislative Session. According to OPM, the department's plan generally meets all criteria in the act. However, we found that the new plan still does not contain performance data for the Supplemental Payments to Local Law Enforcement Personnel budget unit.

According to OPB, the new strategic plan will be used to develop the agency's 1999-2000 operational plan. Therefore, the strategic plan should contain complete performance data for all the department's budget units and programs. This will assure that when the annual or budget is developed using the operational plan as a basis, the legislature has complete information with which to make informed budgetary decisions.

We asked a department official about the link of performance data for the Supplemental Payments to Local Law Enforcement Personnel budget unit. According to this official, there are no administrative costs for this budget unit, and there is nothing to measure—the budget unit is set up only to issue payments. However, as stated previously, Act 1485 of 1997, which amends R.S. 39:12(f), states that each budget unit shall include a current statement of its mission in the operational plan. Also, according to an October 1997 memorandum from the director of OPB regarding operational plan preparation, each agency/budget unit and each program must have a mission and goal. Therefore, the budget unit should report at least a mission and goal.

Because the strategic plan determines how resources will be prioritized and allocated, it drives the operational plan and the budget process. The operational plan is an annual work plan that flows in the strategic plan and sets out the portion of the strategic plan that is to be achieved during that year. As stated in Chapter 3, OPB uses information from the operational plan to prepare the executive budget. Therefore, the strategic plan should contain complete performance data for all the department's budget units and programs.

Recommendation

(Refer to recommendations 3.1 on page 53 and 3.6 on page 61 regarding the need to develop a mission and goal for the Supplemental Payments to Local Law Enforcement Personnel budget unit.)

Appendix A

List of Publications Used

Appendix A: List of Publications Used

- California, State of—California State Auditor. *California Conservation Corps: Further Revisions Would Improve Its Performance-Based Budgeting Plan*. October 1996.
- Canadian Comprehensive Auditing Foundation. *Effectiveness: Reporting and Auditing in the Public Sector*. 1997.
- Canadian Comprehensive Auditing Foundation. *Effectiveness: Putting Theory Into Practice*. 1993.
- Cragner, Dale E. and Albert Hawkins. *Texas Tomorrow: Strategic Planning and Performance Auditing*. October 1993.
- Government Accounting Standards Board. *Research Report - Service Efforts and Accomplishments Reporting: As Time Has Come—An Overview*. September 1999.
- Louisiana, State of—Office of Legislative Analysis. *Louisiana's Planning, Budgeting, and Program Evaluation System*. February 1992.
- 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. *Management: A Practical Guide to Managing for Results*. January 1996.
- Office of Planning and Budget, Division of Administration. *Management: Strategic Management Manual for the State of Louisiana*. November 1991.
- Oregon, State of—Secretary of State Analysis Division. *Service Efforts and Accomplishments*. (Report No. 95-13) 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, 1991 - Executive, Administrative, Human Service 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 1996.

Appendix B

Related Boards, Commissions, and Like Entities - Public Safety Services

Appendix B: Related Boards, Commissions, and Like Entities Public - Safety Services

Name of Board, Commission, or Like Entity	Legal Authority	Purpose/Function
1. Alarm Systems Advisory Board	R.S. 40-1662.2 R.S. 40-1662.5(b) R.S. 40-1662.11	<ul style="list-style-type: none"> • To advise the State Fire Marshal's Office with respect to administration and enforcement of the provisions for individuals and companies which offer electronic protective systems, burglar alarms or alarm systems, certain fire alarms or alarm systems, or services relating to such alarms or systems to the general public by establishing statewide uniform procedures and qualifications for the licensure of such individuals and companies. • Has the authority to approve written training programs as acceptable equivalents for meeting the training requirements and establish continuing education requirements.
2. Board of Review for Excess Compensation for Municipal Police Officers	R.S. 33-2216.7 (a)(2)	<ul style="list-style-type: none"> • To determine the eligibility of municipal police officers and deputy sheriffs to receive additional pay from their funds.
3. Certified Toxic Analysts Board	R.S. 37-2865 R.S. 37-2862	<ul style="list-style-type: none"> • To regulate all persons who are certified to test emotional toxic detectors for the purpose of detecting, detecting or verifying truth-of-statements.
4. Emergency Response Commission	R.S. 38-2064	<ul style="list-style-type: none"> • To establish emergency planning districts, to appoint local emergency planning committees, and to supervise and coordinate the activities of the local planning committees. • To provide the administrators of the Federal Environmental Protection Agency with information concerning notification received at certain instances of hazardous substances. • To recommend, as necessary, additional substances which should be defined as hazardous materials, based on location, toxicology, knowledge and long term health effects, and other characteristics. • To act as the central advisory body for coordinating the state and Federal activities concerning community "Right to Know" legislation with regard to hazardous substances.

Name of Board, Commission, or Like Entity	Legal Authority	Purpose/Function
5. Fire Prevention Board of Review	R.S. 40:1732.1	<ul style="list-style-type: none"> • To evaluate alternatives in the protection or prevention laws and regulations established by the law enacted when a request of review is properly submitted. • To determine whether the suggested alternative provides equivalent or better protection within the context of the intent of the law.
6. Fireman's Supplemental Pay Board	R.S. 33:2084 et seq.	<ul style="list-style-type: none"> • To determine questions of eligibility of firemen to receive additional pay from their funds.
7. Liquefied Petroleum Gas Commission	R.S. 3:1104 R.S. 40:1841	<ul style="list-style-type: none"> • To promulgate rules and regulations governing the: <ul style="list-style-type: none"> (a) Storage, utilization, sale or transportation of anhydrous ammonia; (b) Fabrication and installation of systems for the storage and utilization of anhydrous ammonia; and (c) Installation of all other anhydrous ammonia equipment as the commission may deem necessary in the interest of public safety.
8. Louisiana Gaming Control Board ¹	R.S. 27:21 et seq. R.S. 27:21 R.S. 27:230	<ul style="list-style-type: none"> • To have regulatory authority, control and jurisdiction over all aspects of gaming activities and operations as authorized by law. • To organize and conduct hearings. • To establish, and from time to time amend, a plan of organization to conduct the business of regulating and controlling the gaming operations and activities under its jurisdiction. The plan of organization shall provide for the capacity to: <ul style="list-style-type: none"> (a) Administer the granting of contracts, licenses, and permits; (b) Analyze and review investigative and audit reports and findings; and (c) Provide for enforcement of board regulations.

¹ The Louisiana Gaming Control Board Hearing Officer is created as a division of the board by R.S. 27:25(A)(7).

Name of Board, Commission, or Like Entity	Legal Authority	Purpose/Mission
		<p data-bbox="542 177 909 329">According to R.S. 27:31, which became effective May 1, 1996, the Riverboat Gaming Commission was abolished. The Louisiana Gaming Control Board is to assume all powers, duties, functions, and responsibilities of the Riverboat Gaming Commission, as well as those of the Louisiana Economic Development and Gaming Corporation.⁷ These are described below.</p> <p data-bbox="588 368 820 387" style="text-align: center;">Riverboat Gaming Commission</p> <ul style="list-style-type: none"> <li data-bbox="520 409 872 464">• To hear and determine all appeals relative to the gaming, suspension, re-creation, violation, or renewal of all licenses, permits and applications. <li data-bbox="520 484 893 503">• To promulgate rules providing for and determining: <ul style="list-style-type: none"> <li data-bbox="551 522 909 593">(a) Authorized routes of a riverboat upon designated rivers or waterways, duration of riverboat excursions, and stops which a riverboat may make. <li data-bbox="551 613 909 651">(b) To determine minimum levels of insurance to be maintained by the licensee. <li data-bbox="551 671 909 748">(c) To execute emergency orders regarding the navigability of rivers in the event of major weather conditions, acts of God, or other extreme circumstances. <li data-bbox="551 767 909 844">(d) To determine specifications for the design, appearance, accommodations, and construction of river boats, except for designated gaming area surveillance facilities and systems. <li data-bbox="551 864 909 902">(e) To develop procedures for acceptable investment transactions involving patents. <li data-bbox="520 922 909 960">• To conduct mandatory periodic inspections to assure that riverboats are of new construction.

⁷ We did not find any evidence that the Louisiana Economic Development and Gaming Corporation has been abolished. LR 72 and 78 JJ of the 1998 Regular Legislative Session contained provisions that would have repealed R.S. 27:218, which is the statute that created the corporation. However, these bills did not pass.

Name of Board, Commission, or Other Entity	Legal Authority	Purpose/Function
		<ul style="list-style-type: none"> • To ensure that preferential treatment is given to Louisiana firms and residents in the extent allowed by law in the procurement of all materials and goods used in government operations and in the awarding of contracts for services and entertainment to the extent allowed by law. <p style="text-align: center;">Louisiana Economic Development Gaming Corporation</p> <ul style="list-style-type: none"> • The board of directors shall provide the president with private sector perspectives on the operation of a large gaming enterprise. The board shall also: <ul style="list-style-type: none"> • Approve or disapprove the budget for the operation of the corporation. • Approve or disapprove the terms of major procurements. • Serve as a board of appeal for any denial, revocation, or cancellation by the president of a contract, license, or permit. • Adopt rules for the conduct of sports games and gaming operations.
9. Louisiana Highway Safety Commission	R.S. 48:1051 et seq.	<ul style="list-style-type: none"> • To adopt, promulgate, and amend rules and regulations to govern its actions and also for the carrying out of highway safety programs within the state, including the adoption of highway safety standards. • To prepare comprehensive, long-range highway safety programs for Louisiana. • To study and evaluate, gather information, propose and distribute statistical compilations, and make recommendations with respect to highway accidents and injuries and deaths and the problems in connection therewith and steps being taken through research, enforcement and otherwise to improve highway safety and reduce highway accidents.

Name of Board, Commission, or Like Entity	Legal Authority	Purpose/Function
		<ul style="list-style-type: none"> • To serve as a central clearinghouse for information and as a coordinating agency for all boards, commissions, departments and agencies of the state and of its political subdivisions as to activities relating to highway safety.
10. Louisiana Medical Advisory Board	R.S. 40:1151 et seq.	<ul style="list-style-type: none"> • To advise the Department of Public Safety and Corrections with respect to the visual ability or physical condition of an applicant for a vehicle operator's license or of a licensed driver insofar as any impairment or disability that may hinder the person's ability to exercise ordinary and reasonable control in the operation of a motor vehicle.
11. Louisiana Motor Carrier Advisory Committee	R.S. 40:1486.J	<ul style="list-style-type: none"> • To provide advice, consultation, and recommendations to those state agencies authorized to regulate, license, and tax the motor carrier industry. • To provide to the state an efficient and effective motor carrier program by proposing needed legislation and promoting simplification of forms and procedures. • To file an annual report with the governor and with the legislature outlining any recommendations and suggestions.
12. Louisiana Motor Vehicle Theft Prevention Authority	R.S. 32:0900 et seq.	<ul style="list-style-type: none"> • To develop and implement a plan of operation upon the recommendations of the administrator which includes: <ol style="list-style-type: none"> (a) An assessment of the scope of the problem of motor vehicle theft, (b) A determination of particular areas of the state where the problem is most serious, and (c) An analysis of various methods of reducing the problem of motor vehicle theft and economic motor vehicle theft. • To develop a plan for providing financial support to combat motor vehicle theft and economic vehicle theft.
13. Louisiana State Board of Private Investigator Examiners	R.S. 37:1584 et seq.	<ul style="list-style-type: none"> • To examine all applicants desiring to be licensed as private investigators or private investigator businesses in the state.

Name of Board, Commission, or Like Entity	Legal Authority	Purpose/Function
		<ul style="list-style-type: none"> • To administer a written examination for prospective licensees at least twice a year in the city of Baton Rouge. • To adopt rules and regulations to govern the practice of a private investigator in the state. • To issue, suspend, modify, or revoke license credentials to practice as a private investigator or apprentice in the state. • To maintain a current list of licensed private investigators. • To employ clerical assistance necessary to carry out the administrative work of the board.
14. Louisiana State Board of Private Security Examiners	R.S. 50:1279 et seq	<ul style="list-style-type: none"> • To examine all applicants to be licensed and regulated. • To administer a written examination for prospective licensees. • To adopt rules and regulations to govern the practice of private security in the state. • To issue, suspend, modify, and revoke licenses or registration cards to provide private security in the state. • To investigate alleged violations of the provisions of this Chapter (Private Contract Security Companies) and any rules and regulations adopted by the board. • To report annually, no later than March 1, to the governor, the secretary of the department, and the legislature on its activities.
15. State Licensing Board for Locksmiths	Act 1583 of the 1997 Regular Session, which reads R.S. 50:1190	<ul style="list-style-type: none"> • To process applications (forms for original and renewal licenses). • To set application, examination, and license fees in amounts which are reasonable and necessary to defray administration costs. • To promulgate reasonable rules and regulations.

Name of Board, Commission, or Like Entity	Legal Authority	Purpose/Function
		<ul style="list-style-type: none"> • To receive complaints concerning the conduct of any person whose activities are regulated by the board and take appropriate disciplinary action if warranted. • To promulgate canons of ethics by which the professional activities of persons regulated shall be conducted.
Board of Review to the Fire Marshal¹	R.S. 33:911.42	To conduct hearings relative to any license application, denial, suspension, termination, or renewal by the fire marshal.
Motor Vehicle Advisory Board²	R.S. 32:700.3	To advise the secretary of the Department of Public Safety and Corrections concerning the administration of the vehicle certificate of title law and the other responsibilities of the secretary with respect to motor vehicles.
<p>Source: Prepared by legislative auditor's staff using the 1997-98 executive budget, Louisiana Revised Statutes, and information obtained from the Department of Public Safety and Corrections, Public Safety Services.</p>		

¹ Act 1294 of the 1997 Regular Session repealed R.S. 33:911.42, which established this board. This board is also referred to as the Board of Review of Mobile Homes and Manufacturing.

² Act 1036 of the 1997 Regular Legislative Session repealed the statute that created this board.

Appendix C

Analysis of Performance Data Reported in 1997-98 Executive Budget - Public Safety Services

Appendix C: Analysis of Performance Data Reported in 1997-98 Executive Budget - Public Safety Services

Department of Public Safety and Corrections, Public Safety Services	C.2
Budget Unit: Office of Management and Finance (08-010)	C.3
Program A: Legal.....	C.4
Program B: Management and Finance.....	C.6
Budget Unit: Office of State Police (08-015)	C.11
Program A: Traffic Enforcement.....	C.12
Program B: Criminal Investigation.....	C.13
Program C: Operational Support.....	C.17
Program D: Gaming Enforcement.....	C.20
Program E: Auxiliary.....	C.23
Budget Unit: Office of Motor Vehicles (08-016)	C.24
Program A: Licensing.....	C.25
Budget Unit: Office of State Fire Marshal (08-017)	C.28
Program A: Licensing and Inspection.....	C.28
Program B: Arson Enforcement.....	C.35
Program C: Plan Review.....	C.37
Budget Unit: Louisiana Gaming Control Board (08-020)	C.39
Program A: Administrative.....	C.40
Budget Unit: Liquefied Petroleum Gas Commission (08-024)	C.41
Program A: Administrative.....	C.42
Budget Unit: Louisiana Highway Safety Commission (08-025)	C.44
Program A: Administrative.....	C.45
Budget Unit: Auxiliary Appropriations, Internal Service Fund:	
State Police Training Academy (21-790)	C.48
Program A: Administrative.....	C.49
Budget Unit: Auxiliary Appropriations, Internal Service Fund:	
Public Safety Services Cafeteria (20-800)	C.51
Program A: Administrative.....	C.52
Budget Unit: Other Requirements: Supplemental Payments	
to Local Law Enforcement Personnel (20-966)	C.53

Department of Public Safety and Corrections, Public Safety Services**(If applicable, if goals)****Mission:**

No mission is reported for the department as a whole.

Goals:

No goals are reported for the department as a whole.

Conclusion: With no mission or goals reported, it is difficult to identify the department's programs and activities.**Notes:** Objectives and Performance Indicators are reported only at the program level.**Source:** Prepared by Legislative Auditor's staff from comparison of 1999-01's executive budget performance data with criteria listed in Exhibit 1-5.

Budget Unit: Office of Management and Finance (08-108)

(1 mission, 8 goals)

Mission:

To provide administrative support to the various offices within Public Safety Services.

- Maintain secure 1-911 crisis centering. Achieve program objectives through a organizationally compatible

Goals:

No goals are reported for the budget unit.

Conclusion: The mission provides useful information about the budget unit's purpose and objective. However, without goals, it is difficult to tell how the mission will be achieved.

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

Source: Prepared by legislative auditor's staff from completion of 1997-98 executive budget performance data self-audit form listed in Exhibit 1.1.

Budget Unit: Office of Management and Finance (08-478)

Program A: Legal
(0) missions, 8 goals, 2 objectives, 23 performance indicators)

Mission:

 No mission is reported for this program.

Goal:

 No goals are reported for this program.

Objectives and Performance Indicators:
Objective #1:

The Louisiana Bureau of the Legal Program will (1) timely notify 4,000 taxpayers per month, process their gross bills, survey practitioners and wage assignments, and prepare disciplinary letters; (2) strive to reduce department employees to through legal issues from administrative duties;

(3) increase collection and contributions to the Transportation Environmental Safety System of the Louisiana State Police (LSP); (4) maintain liability insurance of the department; (5) handle litigation submitted from Commercial Driver's License Law (with commencement of license suspension in April 1993); (6) develop rules and policies for implementation of Americans with Disabilities Act (which became effective July 26, 1993); and (7) continue development of new LSP Civil Service rules and procedures.

Performance Indicators:

1. Number of Police Arrest Suits Processed
2. Number of Subpoenas Served (Per Month)
3. Number of Disciplinary Letters Prepared
4. Number of Civil Service Appeals
5. Number of Transportation Environmental Safety Suits Filed
6. Civil Penalties Collected (TESS)
7. Number of Driver's License Suits Defeated
8. Number of Fire Marshal Suits Defeated
9. Number of Police Police Suits Defeated
10. Number of Divulgence Suits Defeated
11. Number of Motor Vehicle Suits Defeated
12. Total Number of Suits Defeated

Budget Unit: Office of Management and Finance (88-418)**Program A: Legal (Covered)**

0 missions, 0 goals, 2 objectives, 21 performance indicators

Objectives and Performance Indicators (Covered)**Objective 00:**

The Administrative Section of the Legal Program will ensure that justice is administered within the scope of the law and governmental policy.

Performance Indicators:

1. Number of Compulsory Executive Hearings
2. Number of Motor Vehicle Suspension Hearings
3. Number of Unpaid/Contest Hearings
4. Number of Financial Responsibility Hearings
5. Number of Taxation/Miscable Hearings
6. Number of Charitable Gaming Hearings
7. Number of Video Poker Hearings
8. Number of Motor Vehicle Hearings
9. Number of Unlawful Hearings
10. Number of Training and Recovery Hearings
11. Number of Right-to-Know Hearings

- Objective 00 meet the criteria as follows:
 - 0 (0%) is consistent with the goal
 - 0 (0%) is measurable
 - 0 (0%) is directional
 - 0 (00%) are multi-oriented
- Performance Indicator 00 meet the criteria as follows:
 - 11 (100%) measures or help to measure progress toward the objective
 - 20 (95%) are consistent with the objective
 - 20 (100%) are clear, easily understandable, and measurable

Conclusion: While no mission or goal reported, it is difficult to identify the program's purpose and objectives. In addition, the objective and performance indicators generally do not provide useful information about progress made by the program toward specific targeted results of performance.

Source: Provided by legislative and/or staff from comparison of 1997 to executive budget performance data with criteria listed in Exhibit 3-4.

Budget Unit: Office of Management and Finance (00-408)
Program 6: Management and Finance
(1 mission, 6 goals, 6 objectives, 76 performance indicators)

Situation:

To provide support services (including administrative and bookkeeping services) in an efficient, expeditious and professional manner to all budget units of Public Safety Services and other governmental agencies that will allow them to deliver the people of Louisiana services of the highest quality.

- **Mission:** meet 3 of 3 criteria (score) above the program, identify others, if operationally acceptable

Goals:

No goals are reported for this program.

Objectives and Performance Indicators
Objective 1:

The Buildings and Grounds Division of the Management and Finance Program will (1) continue efforts to establish a formal preventive maintenance program; (2) estimate annual buildings and grounds operations; and (3) meet all of Building and Grounds Maintenance (headquarters operations) in the Independence Park site.

Performance Indicators:

1. Number of Square Feet Maintained
2. Number of Square Feet Maintained per Employee
3. Number of Employees
4. Square Footage Constructed
5. Square Footage Restored
6. Square Footage Demolished
7. Square Footage Moved
8. Number of Work Orders Completed

Objective 02:

The Human Resources Management Division of the Management and Finance Program will (1) ensure that the principle of equal pay for substantially equal work is followed and that related positions are grouped and classified by classes in accordance with their duties, responsibilities, and qualifications requirements; (2) continue to establish a comprehensive human resources management program; (3) improve the management of HRM resources, maintain employee productivity, provide information to employees on job expectations and job performance; and (4) provide expeditious and transparent self-claim compensation method for making work-related or administrative decisions.

**Budget Unit: Office of Management and Finance (88-018)
Program B: Management and Finance (Continued)**

(1) missions, 8 goals, 8 objectives, 76 performance indicators)

Objective and Performance Indicators (Cont.)

Objective 06: (Cont.)

Performance Indicators:

There are no performance indicators reported for this objective. According to the executive budget, this phase of the program is developing new indicators, by activity, to include in next year's Operational Plan.

Objective 07:

The Procurement and Material Management Section of the Management and Finance Program will (1) minimize the cost by submitting a purchasing list less than 60 days before the end of FY 1997-98 in order to increase the capacity of Central Warehouse upon the inventory projects; (2) increase the efficiency and accuracy of processing supply requisitions and inventory documentation by 30% by the end of FY 1997-98 in order to reduce duplication of data key entries by 25% and reduce inventory errors; and (3) increase the efficiency and accuracy of physical property inventories by 10% by the end of FY 1997-98.

Performance Indicators:

1. The BRS ACPS Has Been Implemented in the Department Central Purchasing Office
2. Expendable Supply Inventory - Number of Items
3. Expendable Supply Inventory - Order Value
4. Number of Month-End Property Tagged Items
5. Dollar Value of Month-End Property Tagged Items
6. Average Time Required to Reconcile Inventories
7. Number of Purchase Requisitions

Objectives:

The Finance Section of the Management and Finance Program will achieve specific policy uniformity regarding multiple subledger subtotals and electronic transmission and mapping of various documents between agency offices, including both headquarters and field offices.

Performance Indicators:

Number of Checks Issued

1. PMS System
2. CHECK System
3. Supplemental Pay
4. Supplemental Pay - Direct Deposits
5. BALSOPFS
6. Total Number of Checks Issued
7. Number of Plans of Total Personnel

Budget Unit: Office of Management and Finance (B0-011)**Program B: Management and Finance (Continually)****(1) mission, 0 goals, 8 objectives, 36 performance indicators)****Objectives and Performance Indicators: (Cost)****Objective 05**

The Information Services Section of the Management and Finance Program will (1) research and evaluate document handling and processing; (2) develop and maintain the required degree of expertise and professional knowledge in processing; (3) utilize the latest technology in business communications; (4) continue implementation and development of tracking systems (including ribbon printers, overhead printing, and bubble printing); (5) verify the statewide communications network (see a later, more efficient, more capable network); (6) conduct the receipt of received data entry in the department; (7) upgrade the law enforcement communications to the latest technology; (8) improve the Automated Plate Digitization Imaging System in the State Police Manual Office; (9) enhance the technological capabilities of the Louisiana State Police in the criminal history and fingerprint areas; (10) upgrade the International Registration Plan, and (11) make the department's data storage methods faster and more efficient.

Performance Indicators:

- Many enhancements concerning files, email alerts, and regulations have been applied to the Vehicle Plate System to comply with new legislation.
- MidRange (MRTS) and IBM hardware and software were upgraded.
- CRCP 1 software in computer and printer documents that are needed but has been implemented in the Drivers License Mobile Renewal System.
- An Automated Payment System has been implemented.
- An Automated Inland System for the Office of Motor Vehicles has been written and tested.
- Imaging capability was designed, created, and implemented for the Motor Vehicle Registration System.
- The capability of handling year 2000 data was implemented for the Motor Vehicle Registration System.
- A system to fully automate the listing, renewal, and accounting of dealer type license plates was designed.
- A Problem Driver License System linked to other states was completed and pending implementation.
- Programming to support legislative changes for compulsory insurance was implemented.
- A system to track LSP daily activity was enhanced.
- A system to replace automated handling was designed.
- The Inland MARSNET system was upgraded to level 1.0.
- Development of the Laboratory Information Management System for the State Police Crime Lab was initiated.
- Programming to support legislative changes for ribbon printer and overhead printing format was implemented.
- Programming was initiated to flag the driving records of persons who fail to pay child support.
- A system to track violation data for the LSP was implemented.
- A new Law Enforcement Message Switching system for State Police Communications was tested on.
- The capability of handling multiple vehicles on a single police notice was initiated.
- Imaging capability was created for the Motor Vehicle Registration Print system.

Budget Unit: Office of Management and Finance (06-418)**Program B: Management and Finance (Continued)**

7 activities, 8 goals, 6 objectives, 76 performance indicators

Objective and Performance Indicators (Cont.)**Objectives (Cont.)****Performance Indicators (Cont.)**

21. A *Survey on the World Wide Web* was established for Public Safety Services.

22. Number of IBM images used

23. Number of Wide Area Networks (WANs) established/active/in

24. Number of WWW locations

25. Number of Training Classes (BBS and Onsite)

26. Number of Employees Trained (BBS) and Utilized

27. Number of Other Technological Training Classes

28. Number of Employees Trained to Other Classes

29. Number of Unsup-622 TSP Transactions

30. Number of Unsup-622 M/MPRO Transactions

31. Number of LDDO Transactions

32. Number of BBS 9011 Transactions

33. Number of Colonial History Server Transactions

34. Number of Divison Loaner Server Transactions

35. Number of ATR Server Transactions

36. Number of Highstar Server Transactions

37. Number of Reviews of Intergration Server Transactions

38. Number of Curricula Revised/Scout

39. Number of Video Public Notices Committed

40. Number of Keyword Querying Sites Required

41. Number of Video Querying Sites Supported

42. Number of ATR Sites Supported

43. Number of LMS Sites Supported

Budget Unit: Office of Management and Finance (00-418)**Program B: Management and Finance (Continued)**

(1) includes 0 goals, 0 objectives, 0 subobjectives, 0 performance indicators)

Objectives and Performance Indicators (Cont.)**Objective #9 – (Continued)****Performance Indicators (Cont.)****Completion of Program:**

- 44. Recycled Gaming
- 45. Indian Gaming
- 46. AFB
- 47. LEAS
- Completion of Program:
- 48. Maine Wildlife Field Office (Gardner)
- 49. Current to Manage Tiger Cameridge System
- 50. Upgrade Optical Disk Storage
- 51. COT-ERS
- 52. Architectural Plan Imaging
- 53. Teleconferencing

Objective #10:

The Budget Section of the Management and Finance Program will ensure that agencies operate within appropriated expenditures and revenues.

Performance Indicators:

- 1. The primary measure of program effectiveness is the fact that no agency within Public Safety Services has experienced any AG's spending.
 - **Objective #10 meet the criteria as follows:**
 - Performance Indicators (PI) meet the criteria as follows:
 - PI (00%) measures to help ensure program covered the objective
 - PI (00%) are consistent with the objective
 - PI (00%) are clear, easily understandable, and measurable

Comments: This indicator provides useful information about the program's progress and efficacy. However, without goals, it is difficult to tell how the mission will be addressed. In addition, the objectives and performance indicators generally do not provide useful information about program needs by the program demand specific targeted levels of performance.

Source: Prepared by legislative auditor's staff. From inspection of 00-418-001 report; budget performance data with client's input in Exhibit 14.

Budget Unit: Office of State Police (00-619)

(1 mission, 4 goals)

Mission:

The mission of the Office of State Police is to ensure the safety and security of the people in the state through enforcement, education, and provision of other essential public safety services.

- Mission meets 2 of 3 criteria (100%); identifies purpose, describes whom it organizationally accountable

Goals:

1. To provide for the protection of lives and property through effective enforcement of laws
 2. To improve education, development, and utilization of personnel
 3. To develop, implement, and improve programs required by statute, policy, rules, and regulations
 4. To provide support and assistance to other agencies, both public and private
- Goals (4) meet the criteria as follows:
 - 4 (100%) are consistent with the criteria
 - 1 (25%) gives education and development

Conclusion: The mission provides useful information about the budget unit's purpose and citizens. However, the goals provided do not provide a sense of direction on how to address the mission and reflect the quantitative measure within the budget unit is striking.

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

Source: Prepared by legislative auditor's staff from comparison of 1999-01 executive budget performance data with criteria listed in Exhibit 2-1.

Budget Unit: Office of State Police (018-018)
Program A: Traffic Enforcement
(1 million, 6 goals, 3 objectives, 41 performance indicators)

Mission:

The mission of the Traffic Enforcement Program is to provide for the public's safety on state roads and highways and reduce loss due to traffic-related traffic and motor crimes.

- a. **Mission starts 1/01/2000, expires program authorization, is continuously renewable**

Goals:

No goals are received for this program.

Objectives and Performance Indicators
Objective #1:

The Traffic Enforcement Program, through the General Traffic Enforcement and Safety Enforcement Division, will (1) reduce traffic accidents,

(2) increase compliance with comparative liability laws; (3) make property "per se" transactions with other state police agencies in this region; (4) increase the scope of in-service training; and (5) consistently receive advanced technology and hardware computerized reports/inquiries by the year 2000.

Performance Indicators:

Annual Patrol Activity on Regular Duty:

1. Number of Highway Miles Patrolled by State Police
 2. Total Number of Contacts
 3. Miles Patrolled per Contact
 4. Number of Accidents Investigated
 5. Number of Criminal Arrests
- Arrests Investigated by State Program on Regular Duty:
6. Number of Total Arrests Investigated
 7. Number of Traffic Arrests Investigated
 8. Number of Property Damage Arrests Investigated
 9. Number of Accidents Resulting in Arrests
 10. Number of Persons Killed
 11. Number of Persons Injured

Total Licensure (All-Ohio-County Basis):

12. Number of Motor Vehicle Traffic Deaths Statewide
13. Number of Total Criminal Statewide
14. Vehicle Miles Traveled in Location (in 100,000,000)

Budget Unit: Office of State Police (BS-418)
Program A: Traffic Enforcement (Continued)

 (1) missions, 4 goals, 2 objectives, 4) performance indicators)

Objective and Performance Indicators (Cont.)
Objective (Cont.)
Performance Indicators (Cont.)

- 19. Total Louisiana Highway Death Rate (Cont.)
- 15. Statewide Highway Death Rate
- 16. Statewide Fatal Accident Rate per 100,000,000 Vehicle Miles
- 17. 1999 Safety Comparison: Injury Level Injuries in Southern States
- 18. Number of Louisiana Tag Physical Pickup Delays Worked
- 19. Number of Churners Processed
- 20. Number of Membership of Title Cases Worked
- 21. Number of Court Appearances Made
- 22. Number of Patrol Investigations Completed
- 23. Number of Motor Vehicle Inspection Stations Inspected

Objective (2)

The Traffic Enforcement Program, through the Transportation Environmental Safety Section (TESSS), will (1) reduce the number of commercial vehicle accidents; (2) routinely review the motorist's readiness to properly respond to incidents; and (3) establish the Emergency Response Training Center as a nationally recognized facility.

Performance Indicators:

- 1. Number of Transportation Incidents
- 2. Number of Patrol for Incidents
- 3. Number of Incidents Involving Facilities
- 4. Number of Motor Vehicle Safety Vehicle Inspections Made
- 5. Number of Motor Vehicle Safety Violations Cited
- 6. Amount of Motor Vehicle Safety Card Penalties Collected
- 7. Dollar Amount of Night-to-Know (Nigto Know)
- 8. Dollar Amount of Night-to-Know Civil Penalties Collected
- 9. Advanced Training Number of People
- 10. Advanced Training Number of Hours
- 11. Number of Workers Registered
- 12. Number of Safety Reviews/Compliance Reviews Completed
- 13. Number of Explosive Inspections Inspected

Budget Unit: Office of State Police (BS-418)**Program A: Traffic Enforcement (Concluded)**

(1) activities, 0 goals, 2 objectives, 4 performance indicators)

Objectives and Performance Indicators (Cont.)**Objective #2 (Cont.)****Performance Indicators (Cont.)**

- 14. Number of Explosive Investigations Conducted
- 15. Number of Explosive Incidents Reported
- 16. Number of Responses Made to Explosive Incidents
- 17. Number of Cases Filed at the New Jersey Emergency Response Training Center
- 18. Total Number of Deaths

Conditions (1) meet the criteria as follows:

- 3 (100%) are consistent with the budget unit goals
- 4 (100%) are measurable
- 4 (100%) are meaningful
- 2 (100%) are results oriented
- Performance Indicators (4) meet the criteria as follows
 - 4 (100%) measures or helps to measure progress toward the objective
 - 4 (100%) are consistent with the objective
 - 2 (100%) are clear, easily understandable, and measurable

Conditions: The unit provides useful information about the program's progress and objectives. However, without goals, it is difficult to tell how the unit will be addressed. In addition, the objective and performance indicators generally do not provide useful information about program needs by the program beyond specific targeted areas of performance.

Source: Prepared by legislative monitor's staff from comparison of current executive budget performance data with criteria listed in Exhibit 1.1.

Budget Unit: Office of State Police (88-418)
Program B: Criminal Investigation
(9 missions, 6 goals, 1 objective, 17 performance indicators)

Mission

No action reported in this program.

Goal

No goals are reported for this program.

Objective and Performance Indicators**Objective (PI)**

The Criminal Investigation Program will increase the effectiveness of detectives and monitor agents.
 Performance Indicators:

Lawrence San-Pedro Detectors:

1. Number of Criminal Investigation Cases Solved
2. Number of Criminal Investigation Cases Closed
3. Number of Felony Arrests (includes unsolved arrests)
4. Number of Other Agency Arrests
5. Value of stolen Property Recovered
6. Number of Polygraph Tests Administered

Arrested Agents:

7. Number of Internal Investigations
8. Number of Background Checks (RFP status)
9. Number of Background Checks (other agencies)
10. Number of Promotional Candidate Interviews
11. Number of Files/Reporting Services

Arrests:

12. Number of Arrests Made by Monitor Agents
13. Number of Arrests Made by Criminal Patrol Unit
14. Total Number of Arrests Made

Budget Unit: Office of State Police (00-419)
Program B: Criminal Investigation (Continued)
(8 activities, 8 goals, 1 objective, 17 performance indicators)
Objective and Performance Indicators (Cont.)
Objective 1 (O1):
Performance Indicators (Cont.)
Value of Narcotics Seized

- H. Value of Narcotics Seized by Narcotics Agents
- M. Value of Narcotics Seized by Criminal Patrol Unit
- T. Total Value of Narcotics Seized

Objective (O) meets 2 of 4 criteria (2/4):

- It conforms with the program or department goal
- It is measurable
- It is not redundant
- It is not obsolete
- It is cost-effective
- Performance Indicators (PI) meet the criteria as follows:
 - If (PIs) measure or judge to measure progress toward the objective
 - If (PIs) are consistent with the objective
 - If (PIs) are clear, easily understandable, and measurable

Comments: With six activities or goals reported, it is difficult to identify the program's purpose and objectives. In addition, the objective and performance indicators generally do not provide useful information about progress made by the program (most of specific targeted levels of performance).

Source: Prepared by Legislative Auditor's staff from comparison of 1997-98 actuals budget performance data with criteria listed in Exhibit 3-1.

Budget Unit: Office of State Police (05-019)
Program C: Operational Support
(1) mission, 0 goals, 1 objective, 4 performance indicators

Mission:

The mission of the Operational Support Program is to provide support services (guidance and technical support) required by the personnel in the Office of State Police and other Public Safety Service units. In addition, the Operational Support Program has a secondary mission of providing similar services to other public law enforcement agencies.

- **Major area 1 of 1 activity (0000): absolute expense, dollar basis, is organizationally acceptable.**

Goals:

No goals are reported for this program.

Objective and Performance Indicators:
Objective 01:

The Operational Support Program will (1) monitor and make policies and operations according to regulations, rules, and court decisions in a continuing, fair and equitable and provide other laboratory operations annually to update outdated services or the Louisiana State Police (LSP) and all other law enforcement agencies.

Performance Indicators:
Laboratory Services:

1. Number of Narcotics Unit Calls
2. Number of Physical Evidence Unit Calls
3. Number of Toxicology Unit Calls
4. Total Calls

Applied/Technological Services:

5. 48-Hour Analytical Case-Number of Cases (RQ)
6. 48-Hour Analytical Case-Number of Submits
7. 48-Hour Analytical Reinvestigation Case-Number (H4)
8. 48-Hour Analytical Reinvestigation Case-Number of Backlogs
9. Number of Testimony Certified
10. Number of Testimony Reports Prepared

11. Number of Other Equipment Reports Prepared
12. The State Police Crime Laboratory is providing reanalysis through the American Society of Crime Laboratory Directors-published computer

data in the fourth quarter of 1997

Budget Unit: Office of State Police (08-419)**Program C: Operational Support (Continued)**

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

Objectives and Performance Indicators (C-2)**Objective B1 (Costs)****Performance Indicators (KPIs):****Current Annual Review of Identification:**

13. Number of Criminal Cards Received
14. Number of Criminal Cards Processed
15. Number of Engagements Received
16. Number of Engagements Processed
17. Number of Latent Cards Received
18. Number of Latent Suspense Checked
19. Number of Criminal Identifiers Added
20. Number of Cards Added to APTS Traffic Reports and Criminal I.D. Traffic Reports and Criminal I.D.
21. Number of Archived Reports Received
22. Traffic Reports and Criminal I.D.: Number of Accidents Reported Filed
23. Archived Report Rate
24. Number of Criminal I.D. Applicants Entered
25. Number of Applicants Processed
26. I.D. Fee Collected
27. Number of Chees Arrives Made Through Automated Fingerprint Identification System (AFIS)
28. Identity of Fingerprint Cards Scanning from APTS
29. Criminal Search Average Number of Annual Arrest Records
30. Average Amount of Time to Respond to Criminal Inquiry Reports (Development/Number of applications for licensing or employment is similar area)
31. Number of Reports for Application Forms Received
32. Number of Applications Received
33. Number of Permits Issued
34. Number of Permits Closed
35. Number of Permits Renewed
36. Number of Permits Suspended
37. Number of Deaths Reviewed

Budget Unit: Office of State Policy (08-419)
Program C: Operational Support (Covered)
(1) mission, 0 goals, 1 objectives, 4 performance indicators)

Objective and Performance Indicators: (Covered)
Objective 1 (Covered)
Performance Indicators: (Covered)

- 38. Number of Loan Flow
- 39. Number of Sponsors/Co-sponsor
- 40. Number of Participants/Panel/Lecturer
- 41. Number of America Made

Objective 11: (Covered) 11: mission (08-419)

- is consistent with the budget unit goals
 - is not measurable
 - is not threshold
 - is results-oriented
- Performance Indicators: (All) most the items as follows:
 - 0 (0%) accurate or helps to measure progress toward the objective
 - 12 (100%) are consistent with the objective
 - 31 (100%) are clear, easily understandable, and non-redundant

Comments: The objective provides useful information about the program's purpose and direction. However, without goals, it is difficult to tell how the objective will be addressed. In addition, the objective and performance indicators probably do not provide useful information about program results by the program toward specific targeted levels of performance.

Source: Prepared by Legislative and/or staff from comparison of 1997-98 executive budget performance data with criteria listed in Exhibit C-1.

Budget Unit: Office of State Trials (88-079)
Program B: Gaming Enforcement

 (0) missions, 6 goals, 1 objective, 35 performance indicators)

Mission

 No mission is reported for this program.

Goals

 No goals are reported for this program.

Objective and Performance Indicators
Objective #1:

The Gaming Enforcement Program will (1) maintain the integrity of the gaming industry by enforcing gaming laws and conducting criminal investigations in serious violations; (2) monitor, evaluate, and revise all gaming regulatory functions; and (3) coordinate licensing activities with the Louisiana Gaming Control Board.

Performance Indicators
Charitable Gaming:

1. Number of Investigations Performed
2. Number of Audits Completed
3. Number of Inspections Performed
4. Number of Licenses Issued
5. Number of Training Sessions Conducted
6. Number of Individuals Trained

Racing Investigations:

7. Number of Criminal Investigations Conducted
8. Number of Criminal Arrests
9. Number of Administrative Investigations
10. Number of Administrative Charges Filed

Public Gaming:

11. Number of Establishments Licenses Issued
12. Number of Dealer Licenses Issued
13. Number of Service Entity Licenses Issued
14. Number of Distributor Licenses Issued
15. Number of Manufacturers Licenses Issued

Budget Unit: Office of State Police (88-419)**Program D: Gaming Enforcement (Continued)****(0 missions, 0 goals, 1 objective, 25 performance indicators)****Objective and Performance Indicators (Cont.)****Objective: (Cont.)****Performance Indicators (Cont.)****Fido-Gaming - (Cont.)**

H. Number of Derby Licenses Issued

Adult Gaming:

17. Number of Tables Open in Operations

18. Number of Background Investigations Conducted

19. Number of Applicants Denied/Revoked

20. Number of Criminal Investigations Conducted

21. Number of Casino Inspections Conducted

22. Number of Slot Machines Checked

Raffle/Gaming Division:

23. Number of Background Investigations Performed

24. Number of Criminal Investigations Conducted

25. Number of Compliance Audit Conducted

26. Number of Prismatic Audit Conducted

27. Number of Audit Inspections Conducted

28. Number of Enforcement Inspections Conducted

29. Number of Licenses Issued

30. Number of "Preval Report/Study" Tax Reimburse

31. Number of Services Licensed

32. Total Number of Authorized Commissioned Troopers for this Program

33. Number of these Positions Actually Filled

34. Number of Troopers in Operations

35. Ratio of Troop/active Positions to Employees

Budget Unit: Office of State Police (08-409)
Program D: Gaming Enforcement (Continued)
31 missions, 9 goals, 1 objective, 33 performance indicators

- **Mission (D) 31-1: 04-01-01 (004)**
 - It coincides with the program or department goal
 - It is measurable
 - It is not measurable
 - It is not measurable
 - It is non-quantifiable
- **Performance Indicator (00) 31-1-01-01 (004)**
 - 01 (004) assists in help to maintain program toward the objective
 - 10 (1004) are consistent with the objective
 - 20 (1004) are clear, easily understandable, and non-technical

Conclusion: With no mission or goal repeated, it is difficult to identify the program's progress and identify. In addition, the objective and performance indicators generally do not provide useful information about progress made by the program toward specific targeted levels of performance.

Source: Prepared by legislative auditor's staff from comparison of fiscal 04 mission budget performance data with criteria listed in Exhibit 1-3.

Budget Units: Office of State Police (88-419)
Program E: Auxiliary
19 missions, 9 goals, 1 objectives, 8 performance indicators

Mission:

 No mission is reported for this program.

Goal:

 No goal is reported for this program.

Objectives and Performance Indicators
Objective 1:

 The Statewide Communication System will expand coverage area of the radio system and increase coordination with other agencies.

Performance Indicators:

 No performance indicators are reported for this program.

 • **Objective 1 (total: 8 of 8 missions)**

- 8 missions with no program or departmental goals
- 0 not measurable
- 0 not monitored
- 0 not evaluated

Comments:

 With no mission or goal reported, it is difficult to identify the program's purpose and outcome. In addition, the objective does not provide useful information about the specific targeted level of performance. Furthermore, without performance indicators, it is impossible to determine progress made by the program toward the specific targeted level of performance.

 Sources: Reported by legislative auditor's staff from comparison of 1997-98 executive budget performance data with criteria listed in Exhibit B-1.

Budget Unit: Office of State Vehicles (08-426)
00 millions, 0 cents

Mission:

No mission is reported for this budget unit.

Goals:

No goals are reported for this budget unit.

Conclusion: With no mission or goals reported, it is difficult to identify the budget unit's purpose and efforts.

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

Source: Prepared by Legislative Auditor's staff from comparison of 1 year of executive budget performance data with criteria listed in Exhibit J-1.

Budget Unit: Office of Motor Vehicles (BM-428)
Program A: Licensing
(1) mission, 6 goals, 8 objectives, 34 performance indicators)

Mission

The program's mission is to serve people through the administration of motor vehicle registration and driver licensing laws in a professional, courteous, and responsive manner, while maintaining a high standard of quality through an innovative approach to customer service today and in the future.

- **Mission needs 1 of 7 criteria (100%): identify purpose, identify clients, is organizationally acceptable.**

Goals

No goals are reported for this program.

Objectives and Performance Indicators
Objective #1:

The Licensing Program will develop a process for review and establishment of programs and policy/procedures.

Performance Indicators

1. Number of Program Activities Reviewed
2. Number of Program Activities Revised
3. Number of Program Activities Established

Objective #2:

The Licensing Program will implement program activities mandated by legislation by the dates specified in the legislation.

Performance Indicators

1. Number of Program Activities Enacted by the Legislature
2. Number of Program Activities Implemented by Specified Date

Objective #3:

The Licensing Program will develop a positive relationship between the department and the public, developing, this cooperation, and financial inducement through joint, cooperative efforts.

Performance Indicators

1. Service rating comments cards are provided to customers in each motor vehicle office. Formal observations by management indicate a significant reduction in negative comments received. Negative comments have decreased from a high of 800-100 weekly in 1990 to 20-30 weekly in 1995.
2. In a December 1994 statewide poll conducted for the State Budget Administration, 51% of those surveyed indicated that their experience in getting driver's licenses and records was "satisfactory" or "good."

Budget Unit: Office of Motor Vehicles (05-010)**Program A: Licensing (Continued)**

(1) includes 0 goals, 8 objectives, 24 performance indicators)

Objective and Performance Indicators (OAI)**Objective 04**

The Licensing Program will provide for the efficient and cost-effective use of resources.

Performance Indicator

1. The state is providing better services for public at a reduced cost. Automated indexing and processing have allowed large increases of digit documents without a parallel increase in input personnel. The immediate benefits to the overall operations have been the ability to make a more efficient directly into the database without the potential of human error and repetitive key entry. Immediate access has proven to be a cost-benefit in time enhancement in maintaining values and expediting violations into almost driver's license at vehicle. The increased utilization of the image (year, state documents operation has resulted in greater benefits.

Objective 05

The Licensing Program will provide for the maximum development and utilization of fiscal and management personnel by focusing training opportunities and development of employees.

Performance Indicators

1. Basic computer course and management course are offered through the state's Comprehensive Public Training Program; however, statistics are not available regarding the number/percentage of DMV employees who take advantage of such opportunities.
2. A Study Desk Unit has been established to assist field office managers. This Study Desk primarily works with problems associated in the handling of personal and commercial driver's licenses. In addition to these duties, this Desk processed certain limited drivers license waiting for field personnel materials. It is the office's plan to broaden the training responsibilities to include basic orientation to DMV, driver's license issues, processing of vehicle registration, and driver's management (working with suspensions, revocations, etc.).

Objective 06

The Licensing Program will minimize the fines processed by means (regarding primarily financial responsibility, driver improvement, driver's license suspension, and compulsory insurance) set forth by the Office of Motor Vehicles.

Performance Indicators

1. Number of Accident-Cost Processed
2. Number of Vehicle Birthdays by Title Abandonment
3. Number of DMV's (1st, 2nd, 3rd, etc.)
4. Number of Resolutions of Revocations
5. Number of Medical Cases in Review
6. Number of Healthy Licensees Issued
7. Number of Insurance Qualification Notices Processed
8. Number of Notices of Violation Processed
9. Number of Insurance Records on File

Budget Units Office of Motor Vehicles (08-420)
Program A: Licensing (Continued)
11 activities, 9 goals, 8 objectives, 24 performance indicators

Objective 6a (Cost)
Performance Indicators (Cost)

18. Total Number of Driving Records Maintained

11. Number of DV-sets Records Issued to Licensee Computer

Objective 6b

The Licensing Program will grant reciprocity to those driving licenses and ensure the collection of fees assessed to Louisiana citizens as well as those participating in the International Registration Plan (IRP)

Performance Indicators:

1. Number of IRP Payments
2. Number of IRP Fees

Objective 6c

The Licensing Program will provide the returns of Louisiana auto-licenses, suspension services by maintaining driver's license licenses and vehicle registration capabilities in local motor vehicle-owners records.

Performance Indicators:

1. Number of Title Offices Maintained
2. Number of Driver's License Transactions
3. Number of Multi-Driver's License Payments (New Program)
4. Percentage of Driver's License Renewals Issued via Mail
5. Number of Vehicle Registration Transactions
6. Average Number of Transactions Per Employee

1. Number of License Registered through Motor Vehicle Office (Motor Vehicle Program)

1. Percentage of All Year Registrations that were Submitted through Motor Vehicle Program

1. In-compliance with the National Year Registration Act, consumers may now register in one step of the motor vehicle industry.

10. Inquiries providing information on vehicle registration and driver's license requirements are now available to motor vehicle-owners statewide.
11. Effective November 21, 1998, the DMV is an effort to better accommodate the public, announced a biweekly-Friday workweek with extended hours (9:00 a.m. to 6:00 p.m.) in 18 different offices. "Downtown" and "rural" have been placed in the large volume motor vehicle offices to ensure that customers are referred to the proper area of the office for the most efficient service possible.

Budget Unit: Office of Motor Vehicles (00-414)
Program A: Licensing (C-included)
(1 mission, 8 goals, 8 objectives, 34 performance indicators)

- **Mission (1):** meet the public as follows:
 - 0100% is consistent with the program or departmental goal
 - 2 (21%) are measurable
 - 1 (11%) is shared
 - 4 (100%) are qualitative
- **Performance Indicators (34)** meet the criteria as follows:
 - 2 (15%) measure or help to measure progress toward the objective
 - 24 (100%) are consistent with the objective
 - 24 (100%) are clear, easily understandable, and measurable

Conclusion: This mission provides useful information about the program's progress and climate. However, without goals, it is difficult to tell how the mission will be achieved. In addition, the objectives and performance indicators generally do not provide useful information about program needs by the program toward specific targeted levels of performance.

Source: Program by Legislative Auditor staff from comparison of 1995-96 executive budget performance data with criteria listed in Exhibit C-1.

Budget Unit: Office of State Fire Marshal (R-002)**(1 mission, 0 goals)**

Mission:

The Office of State Fire Marshal is charged with the responsibility of protecting the life and property of the citizens of this state from fire explosion and related hazards through the enforcement of legislative mandates and administrative rules or directives.

- Mission score 1 of 7 reflects 100% legislative progress, although efforts in legislatively acceptable.

Goals:

No goals are reported for this budget unit.

Conclusion: The mission provides useful information about the budget unit's purpose and climate. However, without goals, it is difficult to tell how the mission will be advanced.**Note:** Objective and Performance Indicators are reported only at the program level.**Source:** Prepared by Legislative Auditor's staff from comparison of 1991-92 executive budget performance data with estimates listed in Exhibit 5.1.

Budget Unit: Office of State Fire Marshal (88-422)
Program 4: Licensing and Inspection
(1 mission, 3 goals, 3 objectives, 85 performance indicators)

Mission:

To maintain the fire code and property from fire and explosion, promote public fire safety education, provide for safe quality manufactured homes, and furnish the support services subsequent thereto.

- **Mission Goals:** 3 of 3 missions (100%); **Objective:** Identify clients; **3 organizationally acceptable**

Goals:

1. To prevent fire and property loss fire, prevent injury, death and property damage from fire, explosion of facilities and promote research and improve the quality and safety of manufactured homes
2. To maintain a fire repository and statistical analysis of all fires, improve the imparting of fire information to fire departments and the public, and employ strategic management to assure a cost-effective operation

- **Goal(1) meet the criteria as follows:**
- 2(1)88(1) law committees with the mission
- 8(2)50 grant a division and distribution

Objective and Performance Indicators
Objective(1):

The Licensing and Inspection Program will (1) enforce 100% of the laws, rules, and regulations pertaining to the responsibility and duties of the Fire Marshal; (2) reduce fire deaths in commercial properties by 2% and reduce property loss by 2% in commercial properties by 2% by January 1, 2001; (3) improve all State Fire Marshal advisory services to provide the most responsive and cost-effective protection to the public; (4) establish and maintain an inspection frequency of all inspections relative to the hazard with the highest degree of accountability for quality; and (5) reduce the deaths, reduce the minimum level of compliance with both state and federal regulations, and reduce operational costs in the state by January 1, 1999.

Performance Indicators
Number of Building Approvals Required Annually/Number Actually Implemented

1. Public and Nonpublic Schools
2. Day Care Centers
3. Family First Day Care Homes
4. Conventional Detention Facilities
5. State-Owned Buildings
6. State-Owned Organizations
7. Built Post Facilities
8. Group/Community Homes

Budget Unit: Office of State Fire Marshal (98-421)**Program A: Licensing and Inspection (Continued)**

(1) activities, 3 goals, 3 objectives, 63 performance indicators

Objectives and Performance Indicators (Cont.)**Objective 6: (Cont.)****Performance Indicators (Cont.)****Number of Building Inspections Reported Annually/Number Annually Performed (Cont.)**

9. Mental Health and Substance Abuse Treatment Facilities
10. High-Rise Buildings (Not Reported Prior to FY 19-98)
11. Non-Construction
12. Universities (Not Reported Prior to FY 19-98)
13. Total Inspections Performed
14. Percentage Change from Prior Year in Number of Inspections Performed

Fireworks Permits:

15. Number of Licenses Issued
16. Number of Licenses Renewed
17. Number of Licenses Abused
18. Number of Licenses Denial/Year
19. Total Number of Licenses
20. Total Revenue Collected
21. Number of Fireworks Search Inspections

Allegations/Abuse:

22. Number of Complaints Completely Opened
23. Number of Complaints Completely Closed
24. Number of In-Place Inspections Performed
25. Number of Dealer Lic. Inspections (for resale damage)
26. Total Number of Merchandise Heavy Inspections
27. Number of Licenses Issued, Renewed/Year
28. Number of Licenses Issued, Renewed
29. Number of Licenses Issued, Renewed
30. Number of Licenses Issued, Abandoned
31. Total Number of Licenses Issued
32. Revenue Collected From Licensing

Badge Unit: Office of State Fire Marshal (08-421)**Program A: Licensing and Inspection (Continued)**

(0 missions, 2 goals, 3 objectives, 6 performance indicators)

Objectives and Performance Indicators (Cont.)**Objective 03: (Cont.)****Performance Indicators (Cont.)****Health Care Facilities****Number of Health Care Facility Inspections Conducted By Type:**

35. Ambulatory Care

36. Hospital

37. Nursing Home

38. Residential Board and Care

39. Other Buildings

40. New Construction Visits

41. Total Number of Inspections Conducted

Specialty Construction Licensing

42. Number of Applicants/Contractors Licensed

43. Total Revenue Collected by Licensing

Fire Engineers and Fire Detectors and Alarm Systems

44. Number of Fire Detectors and Fire Detectors and Alarm Firms Licensed

45. Number of Employees and Apprentices Licensed

46. Number of Apprentices Licensed

47. Number of Examinations Given

48. Number of Mandatories/Examiners

49. Total Transactions

50. Total Revenue Collected from Licensing

Single Alarm Systems

51. Total Number of Firms Licensed

52. Total Number of Employees Licensed

53. Total Revenue Collected from Licensing

Mobile Apparatus

54. Number of Portable and Aerial Inspections Conducted By Authorized Inspection Agencies (Revenue computed)

55. Number of Portable and Aerial Inspections Conducted by State Inspectors

Budget Unit: Office of State Fire Marshal (89-412)
Program A: Licensing and Inspection (Continued)
Objective 2: 2 goals, 2 objectives, 65 performance indicators
Objective 01: (Cont.)
Objective 01: (Cont.)
Performance Indicators (Cont.)

51. Total Number of Possible and Actual (State) Inspections Conducted
52. Number of Possible Inspections Not Done by Authorized Inspection Agencies
53. Number of Possible Inspections Not Done by State Inspectors
54. Total Number of Possible Inspections Not Done
55. Total Fees From Boiler Inspections
56. The Licensing and Inspection Program implemented the rules and regulations pertaining to boiler and the other installations per legislation enacted in 1983. This has enabled the state to license and regulate persons working in this field.
65. The boiler inspection service continues to expand, moving to a totally electronic reporting system. Inspections in the field are now spreading over inspecting boilers and hot water heaters and not doing days of paperwork. Inspectors continue to average 20 per day, five days per week. This accomplishment helped account for the record number of completed inspections and the record 2001 2002 to reflect this in FY 2001-02. This will ensure the safety of those in their heating facilities and hot water heaters, such as schools, hospitals, and places of assembly.
66. The licensing and inspection program has added permanent and changed job assignments within civil service rules and has increased the percentage of time spent inspecting from an average of 12% to 40%. This produced an increase in the number of inspections performed from 31,283 in FY 1999-00 to 76,658 in FY 2002-03 -- an increase of almost 100%.

Objective 02:

The Licensing and Inspection Program will (1) enhance communication and public relations with public who interact with the State Fire Marshal's office; (2) reduce fire deaths and injuries in residential properties by 50% by January 1, 2005; (3) attain 100% participation in the state's fire reporting system by January 1, 2004; and (4) attain professional level inspection, thereby reducing error rate.

Performance Indicators:

1. Total Number of Fires
2. Total Number of Deaths
3. Total Losses (in millions)
4. Total Number of Reports

Budget Unit: Office of State Fire Marshal (08-402)
Program A: Licensing and Inspection (Consolidated)
(1) missions, 3 goals, 3 objectives, 45 performance indicators)

- **Objective (O)** meet the criteria as follows:
 - 21(0894) are consistent with the program or departmental goals
 - 8(094) is measurable
 - 8(090) is benchmarked
 - 21(0894) are results-oriented
- **Performance Indicator (PI)** meet the criteria as follows:
 - 48 (0894) measures are able to measure progress toward the objective
 - 48 (0894) are consistent with the objective
 - 48 (0894) are either: easily measurable, and non-technical

Conclusion: The mission provides useful information about the program's purpose and objectives. However, the goals do not provide a sense of direction on how to address the mission and define the objectives of the program. Although the objectives are not measurable as a whole, the majority of performance indicators do measure progress toward the purpose of the objectives that are measurable.

Source: Prepared by legislative auditor's staff from comparison of 1997-98 narrative budget performance data with criteria listed in Exhibit 2-1.

Budget Unit: Office of State Fire Marshal (06-02)

Program 06: Arson Enforcement

(3) initiatives, 2 goals, 1 objective, 13 performance indicators

Mission

The mission of the Arson Enforcement Program is to reduce the incidence of arson fires in the state so as to reduce the number of the deaths and amount of property loss as a result of such fires by investigating all fires within the state that are suspected of being caused by criminal arson or human negligence and otherwise there is more than one known death.

- Initiative meets 3 of 3 criteria (000-0): identifiable program, identifiable objectives, it is organizationally appropriate

Goals

1. To fight the cause of fires
2. To maintain a data repository and statistical analysis of all fires, improve the reporting of this information to the Departments and the public, and use strategic management to attain a cost-effective operation of this office
 - 2 (000%) are consistent with the mission
 - 0 (0%) meet all the criteria and distribution
3. Goals (2) meet the criteria as follows:

Objective and Key Performance Indicators

Objective #1:

The Arson Program will (1) respond to and investigate 99% of all reported incendiary and suspicious fires not covered by a recognized fire protection bureau by 1998 (2) maintain, by 1998, a comprehensive continuing education program for field personnel in fire/arson investigation techniques and related fields (3) increase efficiency within budget limits by conducting the R-4 program designed to direct financially inept at the worst (4) increase interaction and cooperation between Enforcement Division personnel and local fire and police agencies through the use of arson task forces and arson discussion training programs to be in place by 1997 (5) improve management and supervision of all aspects of the Enforcement Division by 1997 (6) equip and certify an arson investigator as a polygraph operator, and (7) establish a juvenile fire police program statewide for law enforcement of property and theft.

Key Performance Indicators

1. Number of Incendiary Fires
2. Number of Suspicious Fires
3. Total Number of Incendiary and Suspicious Fires
4. Number of Fire Marshal Investigations
5. Number of Fire Marshal Investigations
6. Number of Arson Investigations
7. Number of Arson Arrests

Budget Unit: Office of State Fire Marshal (88-412)
Program 88: Arson Enforcement (Consolidated)

 (1 mission, 2 goals, 1 objective, 11 performance indicators)

Objective and Performance Indicators (Cost)
Objective #1: (Cost)
Performance Indicators (Cost)

1. Percentage of Investigations Resulting in Arrest
2. Number of Arson Convictions
3. Percentage of Investigations Resulting in Convictions
11. Weighted-Average Number of Investigations per Investigation

Objective (1) meets 2 of 4 criteria (20%)

- It is consistent with the program goals
 - 11 (200%) measures or help to measure progress toward the objective
- It is measurable
 - 11 (200%) are consistent with the objective
 - 11 (200%) are clearly understood, verifiable, and measurable

Conclusion: This mission provides useful information about the program's progress and direction. However, only one goal provides a source of direction on how to address the mission and reflects the direction toward which the program is moving. Although the objective is not measurable as a whole, the majority of performance indicators do measure progress toward the parts of the objective that are measurable.

Source: Prepared by legislative auditor's staff from compilation of 1995-96 executive budget performance data with criteria listed in Exhibit 3-1.

Budget Unit: Office of State Fire Marshal (08-02)
Program C: Fire Review
(1 mission, 1 goal, 3 objectives, 3 performance indicators)

Mission

The Fire Review Program is to minimize the loss of life and property from fire and explosions.

- **Mission result 2 of 3 attained (80%):** *Minimize property loss and/or identify flaws in expenditures as appropriate*

Goal:

1. To protect life and property from fire and explosions. To prevent/reduce injuries, deaths, and property damage from fires in buildings and structures while at the same time encouraging economic development by reducing regulatory burden to construction and ultimate occupancy.

Objectives and Performance Indicators:
Objective #1:

The Fire Review Program will, by the year 2001, reduce the time required to review and process a set of building plans, specifications, and submissions in no more than five to seven working days, thus encouraging economic development by reducing regulatory obyrts while maintaining a high level of safety.

Performance Indicators:

1. Number of Proposals Submitted
2. Project Construction Costs (in billions)
3. Number of Fire Prevention Systems Reviewed
4. Number of Proposals Found Not in Compliance
5. Percentage of Proposals Submitted that were Found Not in Compliance
6. Average Time Required to Review Project (in working days)
7. Amount of Fees Collected

Objective #2:

The Fire Review Program will, by the year 2001, reduce the number of fire deaths by 15% and reduce the amount of property loss by 10% in commercial properties.

Performance Indicators:

1. Number of Fire Deaths Per Year
2. Property Losses Per Year (in millions)

Budget Unit: Office of State Fire Marshal (08-021)
Program C: Fire Services (Continued)
(1) in line, 1, part, 2 objectives, 5 performance indicators

- Objectives (O) meet the criteria as follows:
 - 210004) are consistent with the program or department goal
 - 210004) are measurable
 - 210004) are immediate
 - 210004) are results-oriented
- Performance Indicators (PI) meet the criteria as follows:
 - 910004) measure or help to measure progress toward the objective
 - 910004) are consistent with the objective
 - 910004) are clear, easily understandable, and measurable

Conclusion: The mission provides useful information about the program's purpose, but does not identify the climate. The goal, provides a means of direction for how to address the mission and reflects the foundation toward which the program is striving. The objective and performance indicators provide useful information about progress made by the program toward specific targeted levels of performance.

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

Budget Unit: Louisiana Gaming Control Board (88-422)

(# missions, # goals)

Mission

No mission is reported for this budget unit.

Goals

No goals are reported for this budget unit.

Conclusions: With no missions or goals reported, it is difficult to identify the budget unit's purposes and objectives.

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

Source: Prepared by Legislative Auditor's staff from comparisons of 1991-92 executive budget performance data with criteria listed in Exhibit C-1.

Budget Unit: Louisiana Gaming Control Board (00-423)**Program A: Administration****(0 missions, 0 goals, 0 objectives, 0 performance indicators)****Mission**

No mission is reported for this program.

Goal

No goals are reported for this program.

Objective

No objectives are reported for this program.

Performance Indicators

No performance indicators are reported for this program.

Conclusion: Without a mission or goal it is difficult to identify the purpose and details of the program. In addition, without objectives or performance indicators, it is impossible to determine progress made by the program toward specific targeted levels of performance.

Source: Prepared by Legislative Auditor's staff from comparison of FY00-01 revenue budget performance data with criteria listed in Exhibit 1-4.

Budget Unit: Liquidated Petroleum Gas Comminution (20-424)
Primitives: 4 goals

Measures:

No activities are reported for this budget unit.

Goals:

No goals are reported for this budget unit.

Comments: With no activity or goals reported, it is difficult to identify the budget unit's purposes and activities.

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

Source: Prepared by Legislative Auditor's staff from compilation of 1997-98 executive budget performance data with criteria listed in Exhibit 3-1.

Budget Unit Lippell Personnel Gas Commission (08-424)

Program A: Administrative

(1 initiative, 3 goals, 1 objective, 39 performance indicators)

Mission:

The mission of the Administrative Program is to promote and enforce rules that will allow for the safest possible distribution, handling and usage of Lippell petroleum gas and related products, necessary for the protection, safety and security of the public, through inspection of storage facilities, equipment, and maintenance of personnel engaged in the industry.

- **Mission meets 1 of 3 criteria (0000):** *Administer program, effectively enforce, in organizationally acceptable*

Goals:

1. Reduce loss of life and property through diligent enforcement of Licenses (list and regulations and national standards is adopted by the Lippell Petroleum Gas Commission)
2. Manage the Lippell Petroleum Gas Commission in an efficient, effective, and professional manner
3. Increase respect for the Lippell Petroleum Gas Commission

- **Goal(1) meet the criteria as follows:**
 - 2 (10%) are consistent with the mission
 - 2 (10%) are a violation per department

Objective and Performance Indicators:

Objective #1:

The Administrative Program will enforce the national standards as adopted by the Lippell Petroleum Gas Commission so as to visibly improve the safe use and handling, delivery, and usage of Lippell petroleum gas and subsequent accidents.

Performance Indicators:

1. Number of Escalations Closed
2. Number of Hearings Conducted as Applications
3. Number of Hearings Conducted as Violations
4. Number of Violations Praised
5. Number of Accidents Inspected Performed
6. Number of Lippell Petroleum Gas Trucks Inspected and Tagged
7. Number of Trucks Enforced
8. Number of Fines and Accidents
9. Number of Trucks and/or Inspections Modifications Required
10. Total Number of Commission Inspections/Actions

Budget Unit: Dependent Persons Care Commission (98-424)
Program A: Administrative (Continued)
(1) mission, 3 goals, 3 objectives, 10 performance indicators

- **Objective (1):** meet 3 of 4 criteria (100%)
 - it is consistent with the program or departmental goals
 - it is measurable
 - it is not divided
 - it is readily achieved
- **Performance Indicators (1):** meet the criteria as follows:
 - 1 (10%) measures or helps to measure progress toward the objective
 - 10 (100%) are consistent with the objective
 - 10 (100%) are clear, easily understandable, and measurable

Conclusion: This mission and two goals provide useful information about the program's progress and results. However, the objectives and performance indicators generally do not provide useful information about progress made by the program toward specific legislative goals of performance.

Source: Prepared by legislative author's staff from comparison of 1997-98 executive budget performance data with criteria listed in Exhibit 3.1.

Budget Unit: Louisiana Highway Safety Commission (88-015)
(If relevant, if applicable)

Mission

No mission is reported for this budget unit.

Goals

No goals are reported for this budget unit.

Conclusion: With no mission or goals reported, it is difficult to identify the budget unit's purpose and objectives.

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

Source: Prepared by Legislative Auditor's staff from comparison of 1993-94 executive budget performance data with articles listed in Exhibit 3.1.

Budget Unit: Louisiana Highway Safety Commission (05-412)
Program A: Administrative
1) activities, 2 goals, 10 objectives, 27 performance indicators

Measures:

The mission of the Administrative Program is to administer the state's highway safety grant program in accordance with the provisions of the Highway Safety Act of 1966 (Public Law 89-564) and federal rules and regulations.

- **Major areas 3 of 3 criteria (100%):** *always progress, always above, is organizationally-acceptable*

Goals:

1. To review the number and severity of traffic crashes, deaths, and injuries
2. To improve the fiscal regulations through policy, events, and communication

Goal 1) meet the criteria as follows:

- 2 (100%) are consistent with the mission
- 1 (00%) grant a objective and alternative

Objective and Performance Indicators

Objective 1)

The Administrative Program will establish the legislative framework for the Highway Safety Program for the 1997 Regular Session of the Louisiana Legislature.

Performance Indicators

1. During the 1997 legislative session, Louisiana's secondary safety bill was not approved as a primary law.

Objective 2):

The Administrative Program will obtain federal funding over an annual basis for an ongoing, successful multi-faceted highway safety program, based upon problem identification and objective assessment reflecting state-of-the-art transportation technology.

Performance Indicators

1. Submission of Highway Safety Plan by August 1
2. Implementation of Programs and Projects by October 1

Objective 3):

The Administrative Program will reduce alcohol-related traffic fatalities in Louisiana to 62% by 1997.

Performance Indicators:

1. Percentage of Traffic Deaths That are Alcohol-Related
 2. Number of Deaths Avoided
 3. Number of Officers Trained in Alcohol Detection (SAT)
-

Budget Unit: Louisiana Highway Safety Commission (08-472)

Program A: Administrative (Continued)

(1 initial, 1 goal, 10 objectives, 27 performance indicators)

Objectives and Performance Indicators (Cont.)

Objective 03 (Cont.)

Performance Indicators (Cont.)

4. Number of Officers Trained in Drug Detection (DRD)
5. Number of Prosecutors Trained
6. Number of Investigators Trained in SEPT and SSI
7. Number of Officers Trained

Objective 04

The Administrative Program will (1) increase safety belt and child safety seat usage statewide to 75% by 1998 and (2) maintain 100% motorcyclist helmet usage rate through 1998.

Performance Indicators:

1. Safety Belt Usage Rate
2. Child Safety Seat Usage Rate
3. Motorcycle Helmet Usage Rate
4. Number of Grants Awarded
5. Number of Occupant Protection Usage and Enforcement Training Activities
6. Number of Individuals Trained
7. Number of Child Safety Seat Loaner Programs (Discontinued in 1997)

Objective 05

The Administrative Program will reduce, by 1997, the number of traffic crashes that to good involvement by 1.5% from the 1994 level.

Performance Indicators:

1. Number of Fatal and Injury Crashes With Speed Involved
2. Percent of Fatal and Injury Crashes With Speed Involved
3. Number of Fatal Crashes With Speed Involved
4. Percentage of Fatal Crashes With Speed Involved
5. Number of Grants Awarded

Budget Unit: Louisiana Highway Safety Commission (88-415)**Program A: Administrative (Continued)**

(1) mission, 2 goals, 18 objectives, 21 performance indicators)

Objective and Performance Indicators (Cont.)**Objective 16:**

The Administrative Program will upgrade signage on the roadways in five local communities in FY 1998-99.

Performance Indicators:

1. Number of Communities Fined for Sign Inventory
2. Number of Communities Fined for Sign Purchase and Installation
3. Number of Other Courts Awarded
4. Number of Individuals Trained in Traffic Safety

Objective 17:

The Administrative Program will reduce the number and severity of fatal and injury traffic crashes by 1% by 1998 through participation in the development, establishment, and implementation of Louisiana's Safety Management System (SMS).

Performance Indicator:

1. Number of Fatal and Injury Crashes

Objective 18, 19, and 20:

Objective 18: The Administrative Program will continue the "Study and Judge" statewide public information and education campaign during 1998.

Objective 19: The Administrative Program will gather, analyze, and interpret Louisiana's latest fatal accident data in the National Fatal Accident Reporting System (NFARS) by May 1998.

Objective 20: The Administrative Program will establish an ongoing management review process to evaluate current personnel and physical facilities.

Performance Indicators:

For performance indicators not reported for objectives 18, 19, and 20:

Performance Indicators (20) were the criteria as follows:

- If 100% are consistent with the program or department goal
 - If 100% are measurable
 - If 100% are checked
 - If 100% are results-oriented
- Performance Indicators (20) were the criteria as follows:
- 5-137% measures or help to measure progress toward the objective
 - 21-100% are consistent with the objective
 - 37-100% are clear, easily understandable, and measurable

Conditions: The mission and two goals provide useful information about the program's purpose and focus. In addition, the objective and performance indicators provide some useful information about progress made by the program toward specific targeted levels of performance.

Source: Prepared by Legislative Auditor's staff from compilation of 1997-98 executive budget performance data with criteria found in Exhibit C-1.

Auxiliary Appropriations - Internal Service Fund
State Police Training Academy (22-786)

(If nonzero, if possible)

Minuses

No minuses reported for this budget unit.

Goals

No goals are reported for this budget unit.

Comments: With no minuses or goals reported, it is difficult to identify the budget unit's purpose and activities.

Source: Prepared by legislative auditor's staff from comparison of 1997-98 executive budget performance data with amounts listed in Exhibit 1.1.

Auxiliary Appropriations - Internal Services Fund:
State Police Training Academy (21-790)
Program A: Administrative
(1) mission, 9 goals, 1 objective, 9 performance indicators)

Mission:

The mission of the Louisiana State Police Training Academy Administration Program is to maintain a training school for employees of Public Safety Services and also make it available to the other employees in the state. In addition, the program administers and develops various training programs on a contractual basis.

• *Strategic goal 1 of 7 mission (100%):* *Academy program, objectives shown, is organizationally acceptable*

Goals:

No goals are reported for this budget unit.

Objective and Performance Indicators:
Objective B1:

(1) The State Police Training Academy Administration Program will continue to provide basic training for Louisiana State Police officers and a special Basic Police Academy program for other state and local agencies. (2) The academy will continue to provide a complete program of in-service education for all required topics for the Office of State Police; and (3) the academy will continue to offer training services on a contractual basis.

Performance Indicators:

1. State Police Cadet Class
2. In-Service Training
3. Safety Council Classes
4. Basic Police Classes
5. Total attendance, all Classes
6. Auxiliary Occupancy (each unit of auxiliary occupancy represents one person in the auxiliary for one night)
7. Number of Law Enforcement Courses
8. Number of U.S. Department of State RCMP Courses
9. Number of Other Contract Courses

Auxiliary Appropriations- Internal Services Fund:
State Police Training Academy (21-799)
Program A: Administrative (Continued)
(1) mission, 8 goals, 1 objective, 9 performance indicators)
Indicator (1) meets 1 of 4 criteria (50%):

- it is consistent with the program or departmental goal
- it is measurable
- it is not duplicated
- it is results-oriented

Performance Indicator (9) meet the criteria as follows:

- 9 (100%) measures to help measure progress toward the objective
- 9 (100%) are consistent with the objective
- 9 (100%) are clear, easily understandable, and measurable

Conclusion: The mission provides useful information about the program's purpose and outcome. However, without goals, it is difficult to tell how the mission will be achieved. Although the objective is measurable, it does not contain information for accomplishment of the objective. However, the performance indicators do provide useful information about progress made by the program toward specific targeted levels of performance.

Source: Prepared by legislative auditor's staff from comparison of 1997-98 executive budget performance plan with criteria listed in Exhibit 2-1.

**Auxiliary Appropriation - Judicial Services Fund:
Public Safety Services California (21-400)**
(0 in billions, 0 cents)

Situation:

No mission is reported for this budget unit.

Goals:

No goals are reported for this budget unit.

Comments: With no mission or goals reported, it is difficult to identify the budget unit's purpose and objectives.

Source: Prepared by Legislative Auditor's staff from comparison of 1997-98 executive budget performance data with criteria listed in Exhibit C-1.

**Auxiliary Appropriations - Internal Service Fund:
Public Safety Services Contracts (21-800)**

Program A: Administration

(1 million, 0 goals, 0 objectives, 0 performance indicators)

Mission:

The mission of the Administrative Program of the Public Safety Services Contracts is to provide on-site facilities for food consumption at the State Police Training Academy and the Prisoner Training Facility.

- a. **Mission (over 1 of Targets):** 100%; *Identify purpose, identify vision, is organizationally acceptable*
-
-

Goals:

No goals are reported for this program.

Objectives and Performance Indicators:

No objective performance indicators are reported for this program.

Conclusion: The mission provides useful information about the program's purpose and objectives. However, without goals, it is difficult to tell how the mission will be addressed. In addition, without objectives and performance indicators, it is impossible to determine program needs by the program time and specific targeted levels of performance.

Source: Prepared by Legislative Auditor's staff from comparison of 1991-92 legislative budget performance data with critical items in Exhibit D-1.

Other Requirements: Supplemental Payments to Local Law Enforcement Personnel (20-966)
(Funds: 0, goals)

Minibus

No minibus reported for this budget year.

Goals

No goals are reported for this budget year.

Comments: With no minibus or goal reported, it is difficult to identify the budget unit's purpose and results.

Source: Prepared by Legislative Auditor's staff from comparison of fiscal-year executive budget performance data with efforts listed in Exhibit J-4.

Appendix D

Public Safety Services' Response



Department of Public Safety and Corrections
Public Safety Services

BY J. MARK FOSTER, JR.
ADMINISTRATOR

October 1, 1998
HQ-3-1892
0123401803910018

BY A. TONY PASTRICKSON, CHIEF
REPORT MANAGER

Dr. Daniel G. Kyle, CPA, CFE
Legislative Auditor
State of Louisiana
P.O. Box 94387
Hutson House, Louisiana 70804-0387

Dear Dr. Kyle:

I have received the amended report entitled "Analysis of Program Authority and Performance Data" for Department of Public Safety & Corrections, Public Safety Services.

A review by Public Safety Services staff, as well as myself, indicates a comprehensive, objective report that will prove useful in future planning and performance based budgeting applications. As noted in the report, most areas of concern have been addressed and/or corrected with the implementation of A-13465 and improvements are reflected in the 1998-1999 Executive Budget and Operational Plans. We will continue to work closely with the Office of Planning and Budget to enhance our performance data in an effort to provide the legislature with valuable information critical to the decision making process.

We appreciate the opportunity to work with your staff members during this audit process. Their knowledge in performance accountability will be an asset to our planning staff. As previously stated, a formal exit conference is not required at this time.

Sincerely,


Colonel W.R. "But" Williams
Deputy Secretary

WRW:jpb

c: Lt. Colonel Ronnie B. Jones, Acting Undersecretary
JBI Resources, Administrative Division

Appendix E

Division of Administration,
Office of Planning and Budget's
Response



State of Louisiana
DIVISION OF ADMINISTRATION
OFFICE OF PLANNING AND BUDGET

H. J. "BOB" FOSTER, JR.
COMMISSIONER

MARK E. BREWER
COMMISSIONER OF ADMINISTRATION

October 6, 1998

Daniel G. Kyle, Ph.D., CPA, CFE
Legislative Auditor
Post Office Box 90397
Baton Rouge, LA 70804-0397

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

Dear Dr. Kyle:

Thank you for including members of our staff in the process of your office's performance audit of the Department of Public Safety and Corrections, Public Safety Services.

Our office generally agrees with audit recommendations regarding ways to enhance planning and performance accountability for Public Safety Services. As your audit noted, many improvements have already been included in the executive budget discussions prepared for FY 1998-99. Further improvements were made as a result of the department's recently completed five-year strategic plan.

We appreciate the role your office contributes to the success of the Louisiana Government Performance and Accountability Act. Among our recommendations to agencies is the suggestion that they consider the information presented in your performance audits during their strategic and operational planning efforts.

Sincerely,

Stephen R. Wiseman
State Director of Planning and Budget

SRW/ysh