AGENCY RESPONSES

Appendix 2

- Department of Corrections
- Office of Financial Management

STATE OF WASHINGTON
DEPARTMENT OF CORRECTIONS

RECEIVED
JUL 15 1998
JLARC

July 15, 1998

Ron Perry, Acting Legislative Auditor
Joint Legislative and Audit Review Committee (JLARC)
Post Office Box 40910
Olympia, Washington 98504-0910

Dear Mr. Perry:

Thank you for the opportunity to respond to the preliminary report of the Washington State Department of Corrections performance audit. It is a well-written and comprehensive report that encompasses a variety of areas in the Department. I commend your efforts in working with many individuals in the Department to complete this year-long audit. We have enjoyed working with you and your staff to ensure that the report would be complete. Enclosed is our response to the eight JLARC recommendations.

Please contact Margaret Vonheeder at 753-1500 if you have any questions.

Sincerely,

Joseph D. Lehman
Secretary

JDL:mlw
Enclosure
cc: Dave Savage
Margaret Vonheeder
Patria Robinson-Martin

DOC RESPONSE TO JLARC RECOMMENDATIONS

RECOMMENDATION	AGENCY POSITION	COMMENTS
Recommendation 1: In its updated plan, DOC should: • Develop objectives that will clearly further departmentwide goals. • Choose performance measures that will accurately inform the Legislature and DOC of progress made toward each objective. • Develop a reliable performance measurement system that is used for decision-making.	Concur	The Department is currently updating its Strategic Plan and performance measures for the 1999-01 Biennial Budget. The plan is expected to be completed in September 1998.
Recommendation 2: DOC should incorporate the elements identified in this report to ensure its non-custody staffing model represents cost-effective benchmarks. The elements include: • Identifying workload drivers for each function; • Utilizing internal benchmark operations; and • Justifying variations from the model.	Concur	The Department is currently conducting a workload study related to business staffing. Staff have been identified to complete the other components of the non-custody staffing model. The non-custody staffing model will be completed by June 30, 1999.
Recommendation 3: DOC should improve efficiencies in Food Services by: • Eliminating baking operations that are not cost-effective; • Considering converting regular institutional kitchens into "rethermalization" kitchens, particularly the one at Twin Rivers Corrections Center; and • Eliminating the added cost of institutions purchasing from the CI Food Factory Program.	Concur (where cost effective) Partially concur	A quality team has been established to review food service. The team will review procurement from the food factory to determine if there is a more efficient and effective process. In addition, the Department will request funding in the 1999-01 Capital Budget to contract for a cost/benefit analysis of utilizing rethermalization or other remote kitchen serving methods.
Recommendation 4: In order to determine DOC's performance in carrying out its primary responsibility, the Department shall establish a means for tracking whether conditions of sentencing are being adequately enforced and met for offenders on community supervision.	Concur	Currently, this information is being collected in the offender file; however, it has not been aggregated. The Department is completing a feasibility study of the Offender Based Tracking System (OBTS). Replacement of this system will allow the Department to aggregate and track this information. In addition, a work group has been established to review offender file audits and to develop a method to aggregate information for management to ensure staff are monitoring whether conditions are being met.

Recommendation 5: To provide for future accountability, DOC needs to make available to the Legislature workload and budget assumptions associated with community supervision and should maintain key historical information.	Concur	The Department will continue to make available to the Legislature workload and budget assumptions associated with Community Supervision. The Department will maintain key historical information as requested; however, clarification of the data need is necessary.
Recommendation 6: DOC should "invest wisely in effective offender rehabilitation programs" as legislatively directed. It should do this by developing internal methods of addressing, at a minimum, the limitations listed below that prevent it from fulfilling this mandate: • Knowing what program offerings and needs exist throughout the system, in order to ensure that key curriculums are consistent and needs are prioritized and met; • Ensuring that programs offered are consistent with DOC offender programming goals and the strategic plan, and have methods and criteria for evaluating their success; • Comparing program performance to relative costs; • Ensuring that programs, especially those requiring a major investment of resources, are evaluated for their performance and effectiveness; and • Reviewing research to determine if programs proven to be effective are, or are not, being offered at DOC.	Concur	In the Strategic Plan, the Department is: developing goals for agency programming and performance measures (including costs where appropriate); prioritizing programs for evaluation; and reviewing research to determine if the Department's programs are proven effective. The Resource Program Management system will be expanded to include education and work which will allow the Department to allocate resources based on need and programming objectives.
Recommendation 7: DOC should address the fiscal and operational oversight issues identified in this report by: • Establishing cost standards for educational programs, and allocating resources based on need and DOC programming objectives. • Establishing service delivery expectations for educational providers and conducting contract and service reviews as an ongoing part of the budget process.	Concur	Service delivery expectations will be set as part of the budget development process for the 1999-01 Biennium and the Strategic Plan. The Resource Program Management system will be used to monitor actual service delivery in relation to the contracts throughout the biennium.
Recommendation 8: DOC should complete a program review of its Chemical Dependency Treatment Program to assess the program's purpose, management oversight, and operational efficiency, and report the findings to JLARC.	Concur	This recommendation is being addressed in the agency Strategic Plan.

STATE OF WASHINGTON

OFFICE OF FINANCIAL MANAGEMENT

July 17, 1998

RECEIVED
JUL 21 1998
JLARC

Ron Perry, Acting Legislative Auditor
Joint Legislative Audit and Review Committee
Post Office Box 40910
Olympia, Washington 98504-0910

Dear Mr. Perry:

The Office of Financial Management (OFM) has reviewed the Department of Corrections Performance Audit prepared by your staff. OFM concurs with the recommendations outlined in this report.

Thank you for the opportunity to respond in advance of the final report.

Sincerely,

Dick Thompson
Director

DT:GA:dh

INFORMATION TECHNOLOGY ENVIRONMENT WITHIN DOC

Appendix 6

During the preaudit survey, the audit team learned that DOC received $600,000 to conduct a feasibility study to replace or upgrade the mainframe system OBTS (Offender Based Tracking System). Previous studies of the system had estimated that replacement of OBTS would cost over $18 million.

JLARC contracted with Sterling and Associates to determine, within the constraints of a limited review, if there were compelling issues related to information technology or the feasibility study that needed to be addressed as part of the performance audit.

The consultant's report had many positive things to say about DOC's efforts, however three recommendations for potential legislative follow up were noted in the attached letter from Sterling and Associates. The first recommendation was to put the OBTS feasibility study under Department of Information Services DIS oversight to provide additional insurance that alternatives would be analyzed, time and cost estimates are reasonable and that constraints are fully considered.

In response to the report, the JLARC Executive Committee notified Joe Dear, Chair of the Information Services Board, of the consultant's findings and requested his assistance on project oversight. The attached letter from Mr. Dear dated December 15, 1997, notified JLARC that he and DOC Secretary Joe Lehman concurred with the recommendation and that the study would be put under DIS oversight.

STERLING
ASSOCIATES

RECEIVED
NOV 25 1997
JLARC

November 25, 1997

Ms. Beth Keating
Performance Auditor
Joint Legislative Audit and Review Committee
PO Box 40910
Olympia, WA 98504-0910

Dear Ms. Keating:

Enclosed is the pre-review audit report regarding the information technology (IT) environment within the Department of Corrections (DOC). This report represents our findings and conclusions based upon document reviews and interviews with the DOC Deputy Secretary for the Office of Administrative Services, information systems managers responsible for OBTS and central IT support, and legislative analysts.

We have made three recommendations in the report:

1. *If possible, the OBTS feasibility study should be put under Department of Information Services oversight. The results of the impending feasibility study and subsequent proposal should be carefully reviewed to ensure: 1) all appropriate alternatives were analyzed; 2) costs, time estimates and the technical approach for implementation are reasonable; and 3) the current environmental factors and constraints are fully considered.*
2. *Review the process and outcome of the information technology support reorganization effort.*
3. *If the department's track record for systems implementation is in question, a post implementation review could be conducted on recent IT initiatives. The review should include an assessment of the department's ability: 1) to effectively define business requirements, 2) to choose and implement appropriate technology solutions, and 3) to achieve the benefits that were anticipated.*

Thank you for this opportunity to provide you with assistance on this review. We would be happy to meet with you to discuss the review further or to answer any questions.

Sincerely,

Kimberly Lake

Kimberly Lake

Enclosure

924 Capitol Way South
Olympia Washington 98501
Phone: (360) 956-0064 • FAX (360) 956-0433

STATE OF WASHINGTON

INFORMATION SERVICES BOARD

Olympia, Washington

December 15, 1997

The Honorable Cathy McMorris, Chair
Joint Legislative Audit and Review Committee
506 16th Avenue Southeast
Post Office Box 40910
Olympia, Washington 98501-0910

Dear Representative McMorris:

Thank you for your letter of December 1, 1997, on behalf of the Joint Legislative Audit and Review Committee (JLARC) requesting assistance in the oversight of a technology initiative at the Department of Corrections (DOC).

At your request, and with my concurrence, oversight of the feasibility study related to DOC's Offender Based Tracking System (OBTS) – with specific reference to the replacement or upgrading of its mainframe system -- has been initiated by the Department of Information Services (DIS) under the director's statutory authority to do so (RCW 43.105.052).

A copy of the letter from DIS Director Steve Kolodney to DOC Secretary Joseph Lehman initiating the process is enclosed for your information. Secretary Lehman concurs with this decision.

For more information about the implementation of this decision, please contact the ISB's Chief of Staff, Todd Sander, via e-mail (todds@dis.wa.gov), conventional mail (P.O. Box 42445, Olympia, WA 98504-2445) or telephone ((360) 902-3572)).

Sincerely,

Joe Dear

Joseph A. Dear
Chair

Enclosure

copy: Senator Al Bauer, Vice Chair, JLARC
Representative Val Ogden, Secretary, JLARC
Senator James West, Asst. Secretary, JLARC
Joseph D. Lehman, Secretary, DOC
Steve E. Kolodney, Director, DIS
Marty Brown, Director of Legislative Affairs, Office of the Governor

Appendix 7

WHAT WORKS IN CORRECTIONS? AN EXAMINATION OF THE EFFECTIVENESS OF THE TYPE OF REHABILITATION PROGRAMS OFFERED BY WASHINGTON STATE DEPARTMENT OF CORRECTIONS

ABSTRACT*

In response to a request by the State of Washington Joint Legislative Audit and Review Committee, University of Maryland criminologists reviewed the research examining the effectiveness of twelve correctional program areas offered by the Washington Department of Corrections: programs for chemically-dependent offenders, sex offender treatment, cognitive skills and moral reconation therapy, anger/stress management, victim awareness, life skills training, adult basic education, correctional industries, vocational education and training, and other work programs. The research included in the review examined the impact of correctional programming on recidivism. Conclusions about "What Works, What's Promising, What We Don't Know, and What Doesn't Work" were drawn on the basis of both assessment of the quality of the research design and the significance, direction, and size of the program effects. The report concluded:

What Works:

- In-Prison Therapeutic Communities With Follow-Up Community Treatment
- Cognitive Behavioral Therapy: Moral Reconation Therapy and Reasoning and Rehabilitation
- Non-Prison Based Sex Offender Treatment Programs
- Vocational Education Programs
- Multi-Component Correctional Industry Programs
- Community Employment Programs

What's Promising:

- Prison-Based Sex Offender Treatment
- Adult Basic Education
- Transitional Programs Providing Individualized Employment Preparation and Services For High-Risk Offenders

What We Don't Know:

- Acupuncture Within Outpatient Substance Abuse Treatment Programs
- Intensity and Integrity of Substance Abuse Treatment Programs Receiving Referred Offenders
- Anger/Stress Management Programs
- Victim Awareness Programs
- Community Vocational Training Programs
- Success of Programs With Different Types of Sex Offenders
- Life Skills Training Programs
- Work Ethics, In-Prison Work Programs, Halfway Houses with Enhanced Services

What Doesn't Work:

- Increased Referral, Monitoring, and Management in the Community

*Copies of the full report are available upon request from JLARC or by accessing the University of Maryland's website: www.preventingcrime.org