

# LEGISLATIVE AUDIT DIVISION

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## MEMORANDUM

**TO:** Legislative Audit Committee Members  
**FROM:** Angie Grove, Deputy Legislative Auditor  
**CC:** Gary Hamel, Administrator, Department of Corrections  
**DATE:** September 2009  
**RE:** Performance Audit Follow-up 09SP-22: Chemical Dependency and Sex Offender Treatment Programs (orig. 07P-08)  
**ATTACHMENT:** Original Performance Audit Summary: Chemical Dependency and Sex Offender Treatment Programs

### Introduction

In November 2007, we presented our performance audit of *Chemical Dependency and Sex Offender Treatment Programs*. The audit made three recommendations to the Department of Corrections (DOC). In June 2009, we began gathering preliminary information from the DOC on their progress in implementing the recommendations. Because DOC was still in the process of implementing the audit recommendations, we allowed them additional time before finalizing our follow-up. This memo summarizes the results of our follow-up work, in addition to presenting background information.

### **Overview**

Audit recommendations stressed focusing on the impact of the correctional system overall. The recommendations included strengthening data collection and analysis procedures, as well as measuring program effectiveness. The Department of Corrections has been working to implement audit recommendations. One of the recommendations has been implemented. Other recommendations are planned to be implemented in one year when the new Offender Management Plan (OMP) module is completed within the Offender Management Information System (OMIS).

### Background

DOC is responsible for supervision of adult offenders. The department operates various facilities and programs related to the adult correctional systems. DOC operates two separate facilities: Montana State Prison and the Montana Women's Prison. The primary function of the state's two prisons is to provide for the custody, treatment, training, and rehabilitation of adult criminal offenders. DOC has department goals to reduce the risk of offenders committing more crimes by enhancing treatment programs and increasing dependence on community corrections programs and services.

The facilities treatment programs include: chemical dependency, sex offender, cognitive, educational, and mental health treatment. At both facilities, inmates are initially assessed in order to determine their treatment plan, and are placed on waiting lists for treatment classes based on eligibility dates and recommendations from the Board of Pardons and Parole.

### **Follow-up Audit Findings**

The performance audit report included three recommendations to the department. The recommendations stress focusing on strengthening data collection and analysis procedures, as well as measuring treatment program effectiveness. DOC's development of the OMIS system and the OMP module has created the foundation for data collection. However, until the OMP module becomes operational we are unable to identify how the data will be analyzed to measure treatment program effectiveness. DOC has asked our division to continue our follow-up in one year when the OMP module of OMIS is fully implemented. We would also recommend the committee resume follow-up for these recommendations after the OMP is operable. This will ensure the data being collected by the system is utilized in order to determine treatment program effectiveness. The following summarizes information on the OMIS program and OMP module relating to follow-up audit work and the implementation status of the recommendations.

### **Recommendation #1**

**We recommend the Department of Corrections require Montana State Prison and Montana Women's Prison:**

**A. Identify resource needs for strengthening data analysis and allocate accordingly.**

#### **Implementation Status – Implemented**

DOC developed OMIS in-house in September 2008. The system is operable at both the Montana State Prison and the Women's Prison. OMIS was designed to enhance tracking capabilities related to treatment and education of the offenders. DOC is continuing to enhance the web-based system by developing the OMP module within OMIS. The OMP is being designed to incorporate facility business practices into the module for tracking offender plans and evaluating their progress. The OMP will also be able to calculate answers from assessment tests and generate treatment plans based on the answers and facility business practices. OMP is scheduled to be operable May 29, 2010.

**B. Further develop inmate treatment tracking systems to capture more formal and consistent data.**

#### **Implementation Status – Being Implemented**

As previously mentioned, DOC is in the process of developing the OMP module. For development purposes treatment, educational, and employment subject matter experts began meeting together once a week to discuss information that should be captured in the module. The department expects OMP to be in full operation by July 1, 2010.

The OMP module will provide information on each offender by formulating treatment and program development for the duration of the department's supervision. OMP will also include the following information on each offender:

- ▶ Court Judgments
- ▶ Assessments
- ▶ Offender plan for treatment
- ▶ Classes taken in the treatment program
- ▶ Goals and objectives

Most of this information will be entered into the system by DOC probation and parole officers. There will also be information that is downloaded into the system by interfacing programs. For example, copies of offender judgments can be pulled from another system and placed in OMIS. Read only access will only be given to designated DOC staff, and probation and parole officers will only have the ability to edit the offenders they are responsible for.

**C. Establish a process for ongoing analysis of treatment program operations to identify program needs and address impacts on the correctional system.**

**Implementation Status – Being Implemented**

With the implementation of the OMP, DOC will have the ability to establish a process for ongoing analysis in order to identify program needs. The department is interested in recidivism rates and plans to use the OMP to analyze the data that will be collected in OMP to determine the effectiveness of treatment programs. OMP is being designed to track the success rate of both treatment classes and instructors. This will give the department the information necessary to identify program needs. However, in future follow up work it will be necessary to identify if the data being tracked on success rates of classes and instructors is being used to identify program needs.

**Recommendation #2**

**We recommend the Department of Corrections further develop and implement performance measures for individual prison treatment programs and resources:**

**Implementation Status – Being Implemented**

Treatment professionals at the facilities have been working to develop specific performance goals. Each offender will have goals and objectives for their treatment programs that have been calculated by the system. The objectives will include a plan of classes each offender must take in order to obtain their goal. Facilities will also utilize data gathered in the OMP module to determine whether the goals for the facilities are met. Treatment professionals will also use the information to set future goals related to treatment. However, future follow-up work will be necessary to examine how the department utilizes the data to ensure the development of performance measures for treatment programs and resources.

**Recommendation #3**

**We recommend the Department of Corrections establish a formal system for ongoing evaluation and reporting of treatment program effectiveness:**

**Implementation Status – Being Implemented**

The offender plans located in the OMP will be reviewed every six months during the offender's re-evaluation period. The staff will also be reviewing information located on the OMP that relates to the effectiveness of the classes and instructors of the treatment programs. Additionally, DOC intends to utilize a strategic plan to set consistent department-wide goals and a reporting mechanism through the development of the OMP module of OMIS. During future follow-up work it will be necessary to identify how the department evaluates and reviews treatment program effectiveness.