

Data Management at the Commission of Pardons and Parole and the Department of Correction

Follow-up Review
February 2003

Office of Performance Evaluations
Idaho State Legislature



Report 03-03F

Created in 1994, the Legislative Office of Performance Evaluations operates under the authority of Idaho Code § 67-457 through 67-464.

Its mission is to promote confidence and accountability in state government through professional and independent assessment of state agencies and activities, consistent with Legislative intent.

The eight-member, bipartisan Joint Legislative Oversight Committee approves evaluation topics and receives completed reports. Evaluations are conducted by Office of Performance Evaluations staff. The findings, conclusions, and recommendations in the reports do not necessarily reflect the views of the committee or its individual members.

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John C. Andreason
Bert C. Marley
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Rakesh Mohan
Director

**Joint Legislative
Oversight Committee**

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February 25, 2003

Members
Joint Legislative Oversight Committee
Idaho State Legislature

At the direction of the Joint Legislative Oversight Committee, we have completed the second follow-up of data management at the Commission of Pardons and Parole and the Department of Correction. We reviewed the commission's and department's progress on the implementation of nine recommendations resulting from our May 2001 evaluation. Currently, four of the nine recommendations have been implemented and the remaining five are in process.

Paul Headlee and Lewissa Swanson of the Office of Performance Evaluations completed this follow-up review.

Sincerely,

A handwritten signature in black ink that reads "Rakesh Mohan".

Rakesh Mohan

Data Management at the Commission of Pardons and Parole and the Department of Correction

Follow-up Review February 2003

Abstract

Both the Commission of Pardons and Parole and the Department of Correction have made progress on implementing all nine recommendations resulting from our May 2001 performance evaluation of their data management. In addition, the Department of Correction is close to finalizing the acquisition of Utah's offender management system at no cost to Idaho, which is a substantial saving over the department's request of \$700,000 for such a system.

Background

This is the second follow-up review of the recommendations made in our May 2001 evaluation of data management at the Commission of Pardons and Parole and the Department of Correction.¹

The evaluation found that the commission managed its parole data in a tedious and inefficient manner that was prone to error. We suggested that the commission could improve management of its data by better communication with the Department of Correction, with whom it shares much information. We also reported that the department's proposed acquisition of new offender management software and technology was not thoroughly researched and had risks of cost overruns and problems with purchasing requirements.

¹ The first follow-up review was completed in June 2002.

To address these concerns, the Office of Performance Evaluations made nine recommendations. Appendix A lists the implementation status of each of the nine recommendations. Appendix B includes the commission's and the department's status report on the implementation of these recommendations.

Implementation Status of Recommendations

The first six recommendations are specific to the Commission of Pardons and Parole's management of information and its communication of technology needs. The last three recommendations concern the Department of Correction's proposed acquisition of Utah's offender management system.

Commission of Pardons and Parole

The Commission of Pardons and Parole has made progress towards implementing all six recommendations. Four recommendations that have been implemented include:

- adding data into the Department of Correction's Offender Tracking System
- seeking information technology support from the Department of Correction
- increasing participation in information management meetings
- communicating data and technology needs to the Department of Correction

The other two recommendations regarding data management and shared use of the Department of Correction's information system are in process. The commission has automated much of its hand-kept data and has begun to utilize the department's offender information system for electronic transfer of information. According to the commission, these efforts have saved the commission 86 hours of employee time each month. Full implementation of these recommendations is in part contingent upon the department's acquisition of a new offender management system.

Department of Correction—Acquisition of Utah's Offender Management System

The last three recommendations concern the department's proposed acquisition of Utah's offender management system. We had many questions about the provisions of this acquisition,

including Idaho's payment of up to \$700,000 to a third-party (IBM) rather than to the State of Utah. Therefore, we recommended that the department:

- fully research the system costs and inter-state sharing agreements
- work through Idaho's Division of Purchasing to ensure adherence to requirements
- receive a Utah Attorney General's opinion that Utah has authority to enter the transaction

The department reports that it has made progress on each of these recommendations. It has more thoroughly researched system requirements, and Utah initially reduced the cost to \$100,000. The department has worked through the Division of Purchasing to receive an exception to competitive bidding. Recently, the department has sought a Utah Attorney General opinion as to whether Utah can enter into this transaction. According to the department, the Utah Legislature held a special hearing that resulted in Utah offering the software and technology to **Idaho at no cost**.

The Utah Attorney General is currently preparing a memorandum of agreement for the transfer of this system to the Idaho Department of Correction at no cost. When this transfer is complete, it will be a cost savings of \$100,000 to \$700,000,² and all three of the department's recommendations will be implemented.

The Office of Performance Evaluations will continue to monitor progress on all remaining recommendations and report those results to the Joint Legislative Oversight Committee.

² Several cost estimates have been calculated ranging from the \$700,000 FY03 budget request to \$100,000 in the December 16, 2002, purchase requisition developed by the Department of Administration's Division of Purchasing (Requisition No. PR 02-016).

Appendix A: Data Management at the Commission of Pardons and Parole and the Department of Correction

Implementation Status as of February 2003

Recommendations from May 2001 Report	Implemented or Resolved	In Process	Not Implemented	Comments
1. The Commission of Pardons and Parole should use the unpopulated parole hearing data fields in the Department of Correction's offender information system to store and retrieve data.	X			The commission has worked with the department to add commission data into the Offender Tracking System, and added new data fields to the system. These data fields include commissioner's decisions and the conditions of parole. (February 2003)
2. The Commission of Pardons and Parole should obtain electronic downloads of needed data from the Department of Correction's offender information system.		X		The commission received electronic information from the offender information system, and automated some of the forms previously kept by hand. (June 2002) Although the commission and the department report that much information has been added, there are still some reports that need to be automated, such as the hand-kept monthly information sheets that include counts of parolees in different circumstances. (February 2003)
3. The Idaho Commission of Pardons and Parole should hire an information technology professional.	X			The commission requested an information technology professional in its FY03 budget request, but this request was not approved. Consequently, the department and the commission have worked informally to meet the commission's automation needs. (February 2003)
4. The Commission of Pardons and Parole should automate the remaining data it maintains by hand in a manner consistent with downloaded data from the Department of Correction.		X		The commission is working with department staff to incorporate its data into the offender information system. The commission director intends to have the remaining information in electronic form as soon as possible. (June 2002) The commission reports that some parole hearing information still needs to be automated, such as hearing minutes and monthly and annual information sheets. (February 2003)
5. The Commission of Pardons and Parole should improve participation in the End User Steering Committee and the Management Information System Committee.	X			The commission representative has become the chair of the End User Steering Committee and there has been regular attendance at both committees. (February 2003)

Appendix A (continued): Data Management at the Commission of Pardons and Parole and the Department of Correction

Implementation Status as of February 2003

Recommendations from May 2001 Report	Implemented or Resolved	In Process	Not Implemented	Comments
<p>6. The Commission of Pardons and Parole and the Department of Correction should improve communication about data needs to allow for improved system integration.</p>	X			<p>End User Steering Committee meeting minutes continue to reflect communication regarding the commission's data needs. (February 2003)</p>
<p>7. The Department of Correction should more fully identify all system-related costs, system capabilities, and related inter-state sharing agreements.</p>		X		<p>The Department of Correction has better information on system-related costs and system capabilities, and is working with other states on an agreement on how software will be shared. The agreement also calls for the states to jointly seek federal funds. (June 2002)</p> <p>The department reports that the Utah Attorney General is drafting a memorandum of understanding that will better define software sharing agreements. (February 2003)</p>
<p>8. The Department of Correction should work closely with the Division of Purchasing to ensure all purchasing requirements are adhered to.</p>		X		<p>The Department of Correction reported it has had preliminary discussions with the Division of Purchasing, but had not proceeded further because funding has not been authorized to purchase Utah's system. (June 2002)</p> <p>The department has worked with the Division of Purchasing throughout the process. (February 2003)</p>
<p>9. The Department of Correction should confirm, through receipt of a Utah Attorney General's opinion, that the State of Utah has full authority to enter into the proposed transaction.</p>		X		<p>The Department of Correction had not yet asked for the Utah Attorney General's opinion to determine whether the State of Utah has full authority to enter into the proposed transaction. The department referenced an informal Utah Attorney General opinion issued in 1985. This opinion deals only with state developed software and does not appear to be applicable in this case, since the proposed transaction includes payment to a third party. (June 2002)</p> <p>The department recently contacted the Utah Attorney General and reports that an official memorandum of agreement is being developed to transfer the software to Idaho at no cost. (February 2003)</p>

Appendix B

The attachments referred to in the Department of Correction letter are available from the Office of Performance Evaluations upon request.



STATE OF IDAHO

COMMISSION OF PARDONS AND PAROLE

Dirk Kempthorne
Governor

Olivia Craven
Executive Director

RECEIVED

January 6, 2003

JAN 6 2003

Joint Legislative Oversight Committee
Lower Level, Suite 10
P.O. Box 83720
Boise, Idaho 83720-0055

PERFORMANCE EVALUATIONS
IDAHO STATE LEGISLATURE

RE: Status of Recommendations- Data Management

Director Rakesh Mohan:

The Committee has requested an update on the recommendations of the Committee regarding the Commission's data management needs. I have attached my responses as to the status of each item.

I can provide much more detail if the Committee so desires. I was fairly brief in my responses, but could provide additional detail.

Please advise me if you have questions or require additional information.

Sincerely,

A handwritten signature in cursive script, appearing to read "Olivia Craven".

Olivia Craven
Executive Director

legislat/lcgislat.2003/jloc.statusrec.010603

JLCC Status Report
January 6, 2003

Joint Legislative Oversight Committee

Status Report: Improvements in Data Management
Commission of Pardons and Parole

1. We recommend the Commission of Pardons and Parole use the unpopulated parole hearing data fields in the Department of Correction's offender information system to store and retrieve data.

The Department of Correction (IDOC) has worked with the Commission staff in addressing our needs to use unpopulated fields. However, as IDOC has been working on the purchase of a new offender system. We will continue to work with IDOC regarding this new system. As the system is brought on on-line, we will be adding things that we would like captured.

2. We recommend the Commission of Pardons and Parole obtain electronic downloads of needed data from the Department of Correction's offender information system.

This work is still in progress. As stated above, a new offender system will be brought on line. IDOC as made requested information available to us. We have implemented automation of many notices, lists, etc. that previously took a lot of time to do manually.

3. We recommend the Idaho Commission of Pardons and Parole hire an information technology professional.

The Commission presented a decision unit in the FY 2002 budget request for an information technology position. The Legislature denied this request. The IDOC has committed to providing all support services. Brad Alvaro has been very attentive to our needs.

4. We recommend the Commission of Pardons and Parole automate the remaining data it maintains by hand in a manner consistent with downloaded data from the Department of Correction.

We have worked with IDOC and work is still in process. The statistical information is a "work in progress" at this time. We have completed many of the items, and the statistical data was held until the last. We intend to have everything automated.

5. We recommend the Commission of Pardons and Parole improve participation in the End User Steering Committee and the Management Information system Committee.

JLOC Status Report
January 6, 2003

We have always participated in the End User Steering Committee. We have made certain that the records are reflective of our participation. One of the Commission staff is the Chairman of the Committee.

We have worked with IDOC to make certain Management Information System Committee meetings involve the Commission. We receive notice of the meetings. There are usually two Commission staff members who can attend the meetings.

6. We recommend the Commission of Pardons and Parole and the Department of Correction improve communication about data to allow for improved system integration.

Both Commission and IDOC staff have worked closely about Commission data needs.

7. We recommend the Department of Correction more fully identify all system-related costs, system capabilities, and related inter-state sharing agreements.

This is IDOC's project.

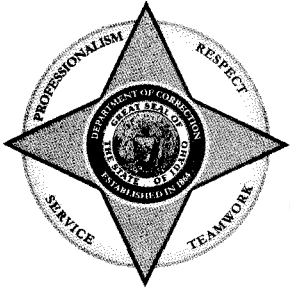
8. We recommend the Department of Correction work closely with the Division of Purchasing to ensure all purchasing requirements are adhered to.

This is IDOC's project.

9. We recommend the Department of Correction confirm, through receipt of a Utah Attorney General's opinion, that the State of Utah has full authority to enter into the proposed transaction.

This is IDOC's project.

legislat/legislat.2003/jloc.statusreport.010603



IDAHO DEPARTMENT OF CORRECTION

"Protecting You and Your Community"

DIRK KEMPTHORNE
Governor

THOMAS J. BEAUCLAIR
Director

January 10, 2003

RECEIVED

Rakesh Mohan
Office of Performance Evaluations
PO Box 83720
Boise ID 83702-0055

JAN 10 2003

PERFORMANCE EVALUATIONS
IDAHO STATE LEGISLATURE

RE: Data Management for Commission of Pardons and Parole

Dear Mr. Mohan:

Our Department has continued with efforts to partner with and to provide support to the Commission of Pardons and Parole. We have worked with the Commission staff since your report to develop the following reports.

Reports:

- Parole Hearing Report
- Parole Hearing Update Report
- Inmate Request to be Passed to Full Term
- Primary Review report
- Notice of Action Taken Report

Other Data:

- Action Taken Letters
- Notice of Primary Review
- Preliminary Minutes of Hearings
- Probation/Parole Violation Type Collection - Reports will be available quarterly.

A Commission staff member also acts as the chair of our End User Steering Committee. He and/or another Commission staff attend each MIS Committee meeting.

We have continued to assess the Utah System. We have developed a comprehensive assessment of the conversion needs and associated costs (see attached).

Our staff have, and continue to, work with the State Division of Purchasing on the procurement of the system. Mark Little at the Division of Purchasing has been a great resource. We also have worked the process through the Department of Financial Management (see attached Email).

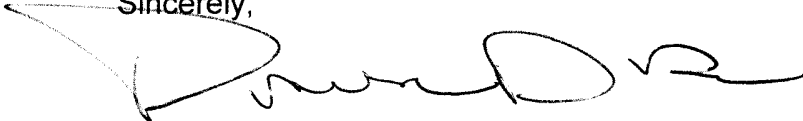
Page 2

We asked the Director of the Department of Correction in Utah to provide a letter authorizing the sale of the source code. Utah provided the letter and a copy of their administrative code, which enables them to release the source code.

We appreciate your interest in our project and your staffs' input regarding issues we should address as we proceed with the project.

If you have any other questions, please feel free to contact me at 658-2104.

Sincerely,

A handwritten signature in black ink, appearing to read "Donald D. Drum". The signature is fluid and cursive, with a large initial "D" and a long horizontal stroke.

Donald D. Drum
Administrator of Support

Performance Evaluations Completed 1999–Present

<u>Pub. #</u>	<u>Report Title</u>	<u>Date Released</u>
99-01	The State Board of Pharmacy's Regulation of Prescription Controlled Substances	June 1999
99-02	The State Board of Medicine's Resolution of Complaints Against Physicians and Physician Assistants	October 1999
99-03	Employee Morale and Turnover at the Department of Correction	October 1999
00-01	A Limited Scope Evaluation of Issues Related to the Department of Fish and Game	March 2000
00-02	The Department of Fish and Game's Automated Licensing System Acquisition and Oversight	June 2000
00-03	Passenger Vehicle Purchase Authority and Practice in Selected State Agencies, Fiscal Years 1999–2000	September 2000
00-04	A Review of Selected Wildlife Programs at the Department of Fish and Game	November 2000
00-05	Idaho's Medicaid Program: The Department of Health and Welfare Has Many Opportunities for Cost Savings	November 2000
01-01	Inmate Collect Call Rates and Telephone Access: Opportunities to Address High Phone Rates	January 2001
01-02	Idaho Department of Fish and Game: Opportunities Exist to Improve Lands Program and Strengthen Public Participation Efforts	January 2001
01-03	Improvements in Data Management Needed at the Commission of Pardons and Parole: Collaboration With the Department of Correction Could Significantly Advance Efforts	May 2001
01-04	The State Board of Medicine: A Review of Complaint Investigation and Adjudication	June 2001
01-05	A Review of the Public Works Contractor Licensing Function in Idaho	November 2001
01-06	A Descriptive Summary of State Agency Fees	November 2001
02-01	The Department of Environmental Quality: Timeliness and Funding of Air Quality Permitting Programs	June 2002
02-02	Management of State Agency Passenger Vehicles: A Follow-up Review	November 2002
02-03	A Review of the Idaho Child Care Program	November 2002
03-01F	Agency Response to <i>Management of State Agency Passenger Vehicles: A Follow-up Review</i>	February 2003
03-01	Programs for Incarcerated Mothers	February 2003
03-02F	The Department of Environmental Quality: Timeliness and Funding of Air Quality Permitting Program	February 2003
03-03F	Data Management at the Commission of Pardons and Parole and the Department of Correction	February 2003

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