Performance Plan Evaluation – July 1, 2014 Submission

Department of Corrections

Strategic Policy Initiatives

Initiative criteria[1]:

- Outcome oriented: The initiative reflects the results the Department seeks to achieve, rather than the products of a process or activity.
- Measureable & Time-specific: The initiative includes quantifiable parameters and a timeframe within which the parameters will be met.
- Specific, Directional, & Understandable – The reader should be able to define the problem or solution from the goal statement, i.e. directional verbs such as "increase" or "decrease/reduce".
- The Department has identified 3-5 strategic policy initiatives that either directly reflect the work of specific divisions or span the overall functions of the Department.

Strategic Policy Initiative (SPI)	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Function	Strategy/action steps identified
Administration Segregation Reform	Yes- the outcome is broadly defined in the initiative itself. However, OSPB recommends the Department identify the "why" of Administrative Segregation Reform to improve clarity.	The performance goal is to implement administrative segregation reform by June 30, 2015. The Department identified four outcome measures with one- and three-year goals to measure the effectiveness of implementation.	The SPI is not directional, neither is it specific.	It is not clear which programs are explicitly involved in driving progress for this initiative.	The Department provided a list of general action steps required to ensure implementation of administrative segregation reform.
Intensive Supervision Program Contact Standards for Parolees	The outcome is broadly defined in the initiative itself. However, OSPB recommends the Department identify the "why" to improve clarity.	The Dept. identified three performance goals, along with four outcome measures (with one- and three-year goals) to assess progress.	The SPI is specific, but is not directional, nor is it understandable to outside audiences.	Parole	The Department provided a list of general action steps required to ensure implementation of the initiative.

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[1] These parameters are from OSPB's instructions; wording is more specifically from the "Performance Management Toolkit: A Step-by-Step Guide for Leaders & Managers", p. 19

Strategic Policy Initiative (SPI)	Outcome oriented	Measureable & Time-specific	Specific, Directional, & Understandable	Connected to Major Program Area/Function	Strategy/action steps identified
Program Consistency and Case Planning	Yes- the outcome is broadly defined in the initiative itself. However, OSPB recommends the Department identify the "why" to improve clarity.	The Department identified five performance goals, along with two outcome measures (with one- and three-year goals) to assess progress.	The SPI is not directional, or specific, which may make it more difficult for the Department to assess progress. What is the end goal of improving program consistency and case planning?	It is unclear which programs are explicitly driving progress for this initiative.	The Department provided a list of general action steps required to ensure implementation of the initiative.
Use of Electric Monitoring for Parolees	Yes- the outcome is broadly defined in the initiative itself. However, OSPB recommends the Department identify the "why" to improve clarity.	The Department identified a performance goal, along with two outcome measures (with one- and three-year goals) to assess progress.	The SPI is not directional, or specific, which may make it more difficult for the Department to assess progress. What is the end goal of improving program consistency and case planning?	Parole? The Department does not specifically identify which programs are driving progress for this initiative.	The Department provided a list of general action steps required to ensure implementation of the initiative.
National Institute of Corrections (NIC) System Mapping Analysis	Yes- the outcome is broadly defined in the initiative itself. However, OSPB recommends the Department identify the "why" to improve clarity.	The Department identified four performance goals, along with three outcome measures (with one- and three-year goals) to assess progress.	The SPI is not directional, although the majority of the performance goals associated with the initiative are.	It is unclear which programs are explicitly driving progress for this initiative.	The Department provided a list of general action steps required to ensure implementation of the initiative.

Additional Feedback: For the next iteration of the plan, OSPB recommends the Department adjust the Strategic Policy Initiatives to reflect the phrasing of many of the performance goals (e.g. Implement Administrative Segregation Reform in order to reduce X by Y in 20XX). By making this shift, the Department will be able to more easily assess progress made on the initiatives themselves; additionally, the more quantifiable and directional approach will enable the Department to identify measures that help the Department assess the effectiveness with which various initiatives are implemented.

Additionally, OSPB recommends the Department continue to seek opportunities to coordinate with other agencies over similar areas of focus areas – e.g. there may be opportunities to coordinate with the Division of Youth Corrections within the Department of Human Services and the Youth Offender System.

Major Program Areas

Major Program Area criteria:

- Major Program Areas identified; may be actual Department divisions or functions.
- The Major Program Area description outlines at least one customer.

Major Program Area	Defined	Customer identified
Housing and Security	Defined within the strategic component. The description includes a list of major processes and/or services.	Public , staff, offenders
Offender Programs	Defined within the strategic component. The description includes a list of major processes and/or services.	Offenders
Youthful Offender System (YOS)	Defined within the strategic component. The description includes a list of major processes and/or services.	Youth Offenders
Medical/Dental	Defined within the strategic component. The description includes a list of major processes and/or services.	Offenders with medical and dental needs
Behavioral Health	Defined within the strategic component. The description includes a list of major processes and/or services.	Offenders with mental health needs
Parole	Defined within the strategic component. The description includes a list of major processes and/or services.	Parolees, community corrections programs,
Pre-Release/ Community Re-Entry Continuum	Defined within the strategic component. The description includes a list of major processes and/or services.	Offenders preparing to transition back into the community
Community Corrections	Defined within the strategic component. The description includes a list of major processes and/or services.	Offenders preparing to transition back into the community
Colorado Correctional Industries (CCi)	Defined within the strategic component. The description includes a list of major processes and/or services.	Customers of CCi products, Colorado State Forestry Service, among others
Facility Management Services	Defined within the strategic component. The description includes a list of major processes and/or services.	Staff, offenders
Employee Development and Support Services	Defined within the strategic component. The description includes a list of major processes and/or services.	DOC staff

Major Program Area	Defined	Customer identified
Financial Services	Defined within the strategic component. The description includes a list of major processes and/or services.	DOC staff
Inspector General	Defined within the strategic component. The description includes a list of major processes and/or services.	DOC staff, offenders, law enforcement community

Additional Feedback: OSPB recommends the Department explicitly identify customers for each major program area – perhaps in a table form – to provide additional clarity for the role and processes of the various programs. OSPB also recommends the Department begin to identify common function areas, or common problems, customers, etc. across the Department to continue improving the leveraging of resources throughout the Department to achieve significant outcomes.

Critical Processes

Critical Process criteria:

- The Department has identified at least one critical process per Major Program Area.
- Each process is defined by at least one input, output, and one informational output.
  - Input: workload demand, FTE, operating budget, etc.
  - Output: number of goods provided (inspections made, technical assistance visits, licenses/permits processed, etc.)
  - Informational output: quality with which the output was generated (timeliness, accuracy, customer satisfaction, etc.)

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Housing and Security	Manage offenders in private prison facilities	Appropriation, salaries for staff	Number of critical issues in the Kit Carson Correctional Facility, Number of critical issues in the Bent County Correctional Facility, Number of critical issues in the Crowley County Correctional Facility, Number of critical issues in the Cheyenne Mountain Re-Entry Facility	
	Provide appropriate security measures	FTE, salaries, number of offenders housed in state facilities, appropriation		Percentage of dangerous contraband versus total contraband discovered.
	Assess and program offenders	Total offenders in facilities and on parole, number of offenders with assessments in CTAP.		Percent of state offender population with risk score and case plan in CTAP

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Offender Programs	Assess and deliver pre-high school GED classes	Workload demand, salaries, FTE	Number of GED individual tests administered, Number of GED Ready tests administered	Ratio of offenders successfully completing GED
	Assess and deliver post-high school career classes	Workload demand, salaries, FTE	Number of individuals completing CTE courses	Ratio of CTE course enrollees who successfully complete CTE certificates
	Deliver Volunteer Programs	Number of volunteers, volunteer applications, approved volunteer programs, workload demand, FTE	Number of volunteer background checks completed, Number of basic and update volunteer training classes Conducted, Number of volunteer hours delivering programs to offenders	Average percent of offender participation in a volunteer program
Youthful Offender System	Manage the needs of the YOS population	FTE, salary level, funding, number of offenders sentenced to YOS	Number of YOS offenders assigned to academic educational programs, Number of assessments administered upon intake	Percent of offenders who discharge with vocational training, Percent of offenders with a successful discharge.
	Supervise YOS offenders	FTE, salary level, funding, contract funding	Number of Phase I/II drug tests administered to YOS Offenders, Number of Phase III drug tests administered to YOS Offenders, Number of offenders receiving Phase II 90-day reentry classes and/or support services.	Percent of YOS offenders who achieve/maintain highest status level during 28-day multidisciplinary review.
	Revocations	FTE, salary level, funding, Number of code of penal discipline convictions for Phase I/II, Number of code of penal discipline convictions for Phase III, Number of new charges/criminal filings.	Number of suitability hearings for Phase I/II, Number of suitability hearings for Phase III, Number of revocation hearings for Phase I/II, Number of revocation hearings for Phase III, Number of offender revocations for Phase I/II.	Percent of offenders who are revocated due to new criminal charge.
	Restoration	Workload demand	Number of remediation plans completed, Number of wells plugged and abandoned by the OGCC	
Medical/Dental	Provide prescription medicine	FTE	Number of prescription drugs dispensed	Number of prescription drugs dispensed.
	Provide chronic care	Catastrophic care appropriation	Clinic appointments completed (related to chronic illness).	Rate of outside consults approved.

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Behavioral Health	Addiction treatment	Funding, workload demand	Number of offenders who participated in substance treatment (excluding YOS)	Percentage of successful treatment completions (excluding YOS), Percentage of successful treatment completions for YOS only.
	Sex Offender Treatment	Funding, Number of eligible offenders on the referral list for sex offender treatment at end of month.	Number of participants in sex offender treatment	Number of successful treatment completions per sex offender treatment criteria.
	Mental Health Treatment	Funding, workload demand	Number of offenders with Psychological Codes P3,4,5 with ""M"" qualifiers receiving mental health treatment to include group, individual and psychiatric.	Percentage of offenders with M qualifiers receiving group therapy.
Parole and Parole ISP	Parolee assessments	Workload demand, FTE, salaries, contract dollars, funding		Percent of new parolee Level of Service Inventory-Revised (LSI-R) assessments completed within 30 days of release, Percent of parolee Level of Service Inventory-Revised (LSI-R) re-assessments completed every six months.
	Respond to parolee violations	Workload demand, FTE, salaries, contract dollars, funding		Rate of intermediate sanctions as compared to revocations back to prison.
	Parolee services	Workload demand, FTE, salaries, contract dollars, funding		Percent of offenders receiving ISP support services, Percent of offenders receiving ATP support services, Percent of offenders receiving TASC support services, Percent of offenders receiving Psychotropic medication support services, Percent of offenders receiving Housing support services.

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Pre-Release and Community Re-Entry	Pre-release services	Workload demand, FTE	Number of inmates who have completed the pre-release Class, Number of inmates who participated in pre-release program	Percent increase of those inmates who completed the Pre-Release Program who are medium to high risk according to the DOC's assessment tool
	Stabilization services	Workload demand, FTE	Number of total parole population accessing stabilization services	Percent increase of those parolees who received Community Re-Entry Services who are medium to high risk according to the DOC's assessment tool
Community Corrections	Referrals to community correction facilities	Workload demand, FTE, contract dollars, funding	Number of primary community corrections transition referrals, Number of alternate community corrections transition referrals	Total number of referrals processed
	Community Corrections supervision	Workload demand, FTE, contract dollars, funding (electronic monitoring, psychotropic medications, etc.)		Percent of offenders on electronic monitoring in a six month period; July 1 to December 31, January 1 to June 30.
Colorado Correctional Industries	Business operations	FTE, salaries, expenses, workload demand	Total CCi sales revenue	Percentage of furniture sales in relation to total sales, Percentage of furniture sales from higher education.
	Employment skills	Workload demand	Total number of offenders employed in CCi on June 30.	Percent of state offenders employed in CCi on December 31 and June 30 annually.
	Canteen operations	FTE, operating budget, workload demand	Total Canteen sales, Number of offenders employed through the Canteen program.	

Major Program Area	Process	Inputs identified	Outputs identified	Informational Output identified
Facility Management	Utilities	GF appropriation, CF appropriation	Number of technical energy audits (TEAs) awarded or completed, Number of performance contracts (PCs) awarded or completed.	Percent of completed preventative maintenance work orders to scheduled work orders.
	Infrastructure	Controlled Maintenance funding, funding, FTE	Number of controlled maintenance projects progressing on schedule, Number of controlled maintenance projects completed on budget.	Percent of closed corrective work orders to open corrective work orders.
Development and Support	New employee training	New hire referrals from Human Resources to Corrections Training Academy	Number of successful basic training completions.	The rate of new hires who successfully complete basic training.
	On-going staff training	Training assessments completed, percentage of completed annual training assessments, salaries, budget	Career development program participation numbers, Number of annual refresher training completions	The rate of in service staff who successfully completed annual training by March 31.
	Hiring and promotions	HR salaries, FTE	Number of new hires and promotions, Number of exams given (new hires & promotions)	
Financial Services	Procurement	FTE, salaries, purchase requisitions	Number of purchase orders, Number of executed contracts.	
	Offender transactions	FTE, salaries	Inmate bank transactions, Recorded DOC financial transactions.	
Inspector General	Data entry	Number of criminal investigations entered into OIG case management system, FTE, salaries		Completion rate of accurate data entry for criminal prosecution referrals.
	Title VII Investigations	Number of complaints, FTE, salaries		Average processing time to complete all Title VII investigations conducted by the PS unit, in days.
	Background Checks	Number of background checks, FTE, salaries		The average processing time from date of entry to date of completion of the background process for applicants.
Parole Board	Hearings	Number of offenders, Parole Board salaries, budget	Consistency of board member release decision making	

Additional Feedback: The Department has identified a number of processes and a range of inputs, outputs and informational outputs. For the next iteration, OSPB recommends the Department continue to evolve the processes and measures by unpacking those processes and measures to identify additional informational outputs that evaluate the quality of the services provided or the outcome that the process is intended to influence. Additionally, OSPB recommends the Department begin to incorporate the use of lead measures that influence the number of offenders participating in programs or the number of hearings held, etc.