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BY THE COMPTROLLER GENERAL

Report To The Congress

OF THE UNITED STATES

Community-Based Correctional Programs Can Do More To Help Offenders

Community-based correctional programs help offenders make the transition between institutional custody and release to the community, and they also function as alternatives to incarceration.

However, the assistance community-based programs have provided to offenders to help them assume job, family, and other community responsibilities has been limited. More could be done if (1) the Bureau of Prisons improved the management of its community programs, (2) probation officers more effectively assisted offenders, and (3) Federal, State, and local agencies better coordinated their efforts.

This report makes recommendations to the Administrative Office of the United States Courts and the Department of Justice.



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FEBRUARY 15, 1980

From the
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COMPTROLLER GENERAL OF THE UNITED STATES
WASHINGTON, D.C. 20548

B-197221

To the President of the Senate and the
Speaker of the House of Representatives

This report discusses inadequacies in community-based correctional programs for offenders and makes certain recommendations for improving the management of such programs.

This review was made because of concern expressed by the Congress and others about the adequacy of programs for assisting offenders reintegrating into the community.

We are sending copies of this report to the Director, Office of Management and Budget; the Attorney General; and the Director of the Administrative Office of the United States Courts.

A handwritten signature in black ink, appearing to read "James A. Stroh".

Comptroller General
of the United States



D I G E S T

Offenders eligible for community-based correctional programs include those who have been released after completing their sentences, are on probation or parole, or are serving part of their sentence under supervised living arrangements. Although many of these offenders need help in order to successfully assume job, family, and other community responsibilities, only limited assistance is provided.

The Bureau of Prisons had no system for determining which offenders would be sent to community facilities or the length of time they should stay. The Bureau had other management deficiencies, such as poor contracting practices and lack of knowledge about the operation of community facilities. Additionally, GAO found that probation officers did not effectively assist offenders, agencies having jurisdiction over offenders did not share information, and, in major metropolitan areas, Federal, State, and local agencies operated programs with unnecessary duplications of services and funding.

More could be done if the management of these programs were improved. Among other things, the Bureau of Prisons should make sure that personnel in community facilities know what offenders' needs are and regularly assess their progress in meeting program goals. It should also improve contracting practices by (1) acquiring qualified personnel to negotiate and monitor halfway house contracts, (2) providing halfway houses with adequate statements of work, and (3) obtaining and fully analyzing cost and pricing data from contractors.

The Federal Probation System needs to develop better guidance for probation officers to use in helping offenders.

Probation and correctional authorities need to work together to insure that improving offenders' employability is a continuous process, starting when probation officers identify needs in preparing presentence reports, and continuing while offenders are incarcerated and in community programs. All too often, information is not shared, and probation and correctional authorities find themselves not knowing what an offender's needs are or what progress has been made toward meeting them.

The Department of Justice and the Administrative Office of the United States Courts generally concurred with the recommendations in this report, but some areas of disagreement existed. Their comments are included as appendix I, and a detailed analysis is presented beginning on pages 31, 45, and 53.

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ABBREVIATIONS

CPO	Community Programs Officer
CTC	Community Treatment Center
GAO	General Accounting Office
HEW	Department of Health, Education, and Welfare
LEAA	Law Enforcement Assistance Administration

CHAPTER 1

INTRODUCTION

We have conducted a series of reviews aimed at determining what is being done to improve the employability of offenders. Our first report examined what was being done within correctional institutions. 1/ This report examines what community-based correctional programs are doing to assist offenders in successfully reintegrating into society, and how such efforts are being coordinated.

COMMUNITY-BASED CORRECTIONAL PROGRAMS ARE EXTENSIVELY USED

In the 1960s, the emerging concept in corrections was the reintegration model, which is based on the premise that isolation from the community is harmful. Under this model, community-based programs are established to provide offenders with basic needs and to lessen pressures on them in making the transition to independent community living. Three major reasons are generally advanced to support the use of community-based programs for criminal offenders:

- Treatment of offenders in the community is regarded as more humane than placement in a traditional penal institution.
- Successful reintegration of the offender into society can most effectively be accomplished in a realistic community setting.
- Reintegration of the offender is less expensive than incarceration.

This new concept in correctional theory contributed to an extraordinary growth in community-based programs for offenders in the 1970s. In addition to serving as a transition between institutional custody and release to the community, these programs are now used as an alternative to incarceration to assist probationers and offenders with short sentences.

Community-based programs are supposed to assist offenders who have been released into the community by providing them with services appropriate to their needs. Many

1/"Correctional Institutions Can Do More To Improve The Employability Of Offenders" (GGD-79-13, Feb. 6, 1979).

of these services, which include employment placement assistance, group and individual counseling, vocational training, academic education, and drug and alcohol treatment, have an impact on an offender's employability. These services are either provided directly or through referrals to available community resources.

Offenders who are eligible for community-based programs include those who have been released after completing their sentences, are on probation or parole, or are serving part of their sentences under supervised living arrangements in community facilities. The community facilities that are operated by State, local, and private organizations are more commonly known as halfway houses. Those operated by the Bureau of Prisons are called Federal Community Treatment Centers (CTCs).

The Bureau operates 9 CTCs and contracts with about 400 halfway houses. Its use of these facilities has risen dramatically over the past 8 years. In fiscal year 1971, 2,076 offenders, or about 19 percent of all offenders released, were returned through community facilities. This figure rose to 46 percent in fiscal year 1978, when the Bureau returned 8,828 offenders through such facilities. Its goal for fiscal year 1979 was 52 percent.

The Bureau's operating costs for its CTCs were about \$5.6 million in fiscal year 1978, and its contracts amounted to an additional \$13 million. A total of about \$28.7 million was programmed for these activities in fiscal year 1979. This funding, however, is only one aspect of the Federal Government's involvement in community-based correctional programs. The Government also

- provides assistance through the Federal Probation System to Federal law violators who are on probation or parole;
- develops model programs supported by the Bureau, the Law Enforcement Assistance Administration (LEAA), the Department of Labor, and the Department of Health, Education, and Welfare (HEW); and
- provides financial and technical assistance to the States through these same Federal agencies.

The legislation under which these efforts are carried out is discussed in appendix II. Certain background information on the Bureau of Prisons and the Federal Probation System is included in appendix III.

THE CONSTRAINTS COMMUNITY ORGANIZATIONS FACE
IN IMPROVING OFFENDER EMPLOYABILITY NEED
TO BE RECOGNIZED

As of December 31, 1978, about 307,400 adult offenders were in the custody of Federal and State correctional authorities. Additionally, the most recent estimates available to us showed that over one million offenders were residing in the community on probation or parole under the supervision of Federal, State, or local authorities. 1/

While the offender population is far from homogeneous, it is nevertheless accurate to say that offenders are among the most disadvantaged members of our society. Because of this and other shortcomings, community organizations face a number of constraints in working with offenders to improve their employability. A discussion of these constraints follows.

Offenders have a history of failure

Most offenders have poor employment histories, possess few marketable skills, lack basic education necessary to develop these skills, possess undesirable character traits, and increasingly find unskilled positions eliminated by technological advances. Many have low self-esteem and are not motivated to pursue legitimate careers. In many ways, their problems are similar to those of the hardcore unemployed, except that offenders carry the additional stigma of having been convicts.

A study for HEW reported that the average educational level for all offenders was grade level 8.5, while it was grade level 9.7 for Federal offenders. The study also reported that offenders typically functioned two or three grades below the actual number of school years completed. Also, up to 90 percent of adult offenders did not have a high school diploma when first incarcerated.

Correctional institutions are not
making offenders more employable

Because correctional institutions do not properly prepare offenders for employment, community organizations are

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E R R A T A

To the recipients of the Comptroller General's report to the Congress entitled "Community-Based Correctional Programs Can Do More To Help Offenders" (GGD-80-25):

Insert the attached page as page 4.

hindered in their efforts to help offenders. In February 1979, we reported to the Congress that the opportunities for offenders to improve their legitimate employment prospects were limited in Federal and State correctional institutions.

- Classification, assignment, counseling, and guidance services neither identified offenders' needs and interests nor encouraged participation in appropriate programs.
- Academic education, occupational training, and work assignments did not prepare offenders for employment.
- Viable transitional programs to assist offenders' reintegration into society were not always available.

Community organizations have problems in helping offenders find jobs

Although an unprecedented effort has been made in the past 5 years to help former offenders find employment, community organizations often do not receive the full cooperation of employers.

This constraint could become more significant as a result of a recent case in Maryland. A moving company was found negligent because an ex-felon employed by the company entered an apartment during duty hours and killed a woman living there. The company had not checked the offender's background or properly supervised him.

The American Bar Association stated that although many employers attest to the fact that offenders they have hired pose no greater risk as employees than persons hired "off the street", and in many instances are even more reliable, the Maryland case and others like it have troubled employers because it raises questions about their potential liability when hiring former offenders.

Some laws limit the employment opportunities of offenders

Because some laws regulating trade and occupational licensing restrict the employment opportunities of offenders, community organizations are sometimes hindered in their efforts to find suitable employment for offenders.

In 1973, the American Bar Association reported that a search of State legislative codes disclosed 1,948 separate statutory provisions that affect the licensing of persons with an arrest or conviction record. The study also concluded that millions of persons, both male and female, were potentially affected by laws that restrict the licensing of persons with a criminal record.

* * * *

Although these constraints must be recognized, we believe that their effect could be minimized if

--the Bureau of Prisons made better use of its community facilities;

--probation officers did more to assist offenders; and

--Federal, State, and local agencies coordinated their efforts to help offenders in the community.

These elements are discussed in subsequent chapters of this report.

CHAPTER 2

BUREAU SHOULD BETTER MANAGE

COMMUNITY PROGRAMS TO IMPROVE OFFENDER SERVICES

Major improvements are needed in programs involving the use of community facilities which provide services to Federal offenders making the transition to community life. First, the resources allocated to community facilities need to be effectively managed. To do this, the Bureau of Prisons must (1) specify services they are required to provide and (2) determine that the facilities actually provide required services at a reasonable rate. Second, the Bureau must make sure that community facilities receive offenders who could best benefit from the services offered.

In the 12 community facilities reviewed, many Federal offenders received only limited assistance and were inadequately prepared to return to the community. Community facilities are supposed to offer a wide range of services to offenders to enhance their chances of successfully assuming job, family, and other community responsibilities.

The Bureau of Prisons has done a poor job of managing its community programs. For example, because the Bureau had not adequately monitored the activities of its community facilities, it was generally unaware that offenders' needs were not being addressed. Moreover, the Bureau had no basis for evaluating contractor performance because it had not adequately specified the services to be provided. The Bureau also sent offenders to community facilities without preparing them for release to the community through gradual reductions in their custody levels, and it has given little attention to the needs and motivation of offenders assigned to community facilities.

OFFENDERS RECEIVED LIMITED ASSISTANCE

The Bureau's policies and the American Correctional Association's Manual of Standards for Adult Community Residential Services state that community facilities should assist offenders in returning to society as law-abiding citizens. To achieve this goal, these facilities are to assist offenders in (1) upgrading their academic and vocational skills, (2) obtaining meaningful employment, (3) dealing with drug and alcohol problems, and (4) increasing their ability to function in the community in a socially acceptable manner.

However, Federal offenders residing in community facilities received only limited assistance. The facilities did not:

--Address offenders' needs.

--Regularly assess offenders' progress in programs.

As a result, many offenders were released to society without being adequately prepared to assume job, family, and other community responsibilities.

Community facilities did not address offenders' needs

We reviewed the records of 265 offenders at 12 community facilities (3 CTCs and 9 halfway houses). The information indicated that these offenders had needs, such as finding a job, dealing with drug problems, or developing a marketable skill. A total of potential needs were identified, but only 154 of them were being addressed.

NEEDS	NUMBER	
	IDENTIFIED BY GAO	ADDRESSED BY COMMUNITY FACILITIES
EMPLOYMENT	201	a/94
VOCATIONAL SKILL	123	3
ACADEMIC EDUCATION	104	5
DRUG TREATMENT	68	27
ALCOHOL TREATMENT	36	12
PSYCHIATRIC TREATMENT	30	13
TOTAL	562	154

a/Many of the offenders who received assistance were employed in low paying jobs, and the staffs at community facilities provided limited assistance in upgrading employment.

The following examples illustrate the seriousness of this problem.

--Offender Lorne, 51 years old, was serving a 10-year sentence for bank robbery. This was his third commitment to a correctional institution. Two prior commitments were related to illegal distribution of drugs. He dropped out of school at the age of 14 while in the 4th grade. The classification material stated that

Lorne needed to upgrade his academic education and vocational skills and overcome a serious drug problem. He did not participate in any programs in the institution. In December 1978, he was transferred to a CTC. The CTC staff prepared a plan to help Lorne which failed to address his 10-year history of heroin addiction and the need for upgrading his education. While at the CTC, Lorne was referred to the State employment service, where he obtained a job.

--Offender Dan, 42 years old, was serving 20 months for the illegal possession of a firearm. He has had numerous encounters with the criminal justice system, including several prior incarcerations. The classification material indicated that Dan should improve his 7th grade education and obtain a marketable skill. While institutionalized, he made no progress to overcome these problems. Also, the caseworker at the institution reported that Dan had a serious alcohol problem, but he failed to participate in a program in the institution. In December 1978, he was transferred to a halfway house, where the staff failed to prepare a plan addressing his needs for academic education, vocational skills, and alcohol aftercare.

--Offender John, 28 years old, was returned to prison for a parole violation. He was previously convicted of possession and illegal distribution of a nonnarcotic controlled substance. This was his fifth incarceration in a correctional institution. He dropped out of high school after the 10th grade and had a poor employment record. The classification material indicated that John needed to upgrade his education and participate in an alcohol program. He did not participate in any programs while incarcerated. In December 1978, he was transferred to a halfway house to assist him in his reintegration to society. The halfway house staff identified John's needs for employment, savings, and transition back to society, but failed to address his needs for an alcohol program, education, and skill training. The counselor's notes showed that John was intoxicated on two occasions at the halfway house. While residing at the halfway house, he jumped from one job to another.

- Offender Dennis, 31 years old, was serving a 12-year sentence for bank robbery. He had dropped out of school after the 10th grade and maintained only sporadic employment. The classification material stated that Dennis needed to upgrade his education and develop a skill. He also needed psychological counseling. He did not improve his skills while incarcerated. In fact, he was dropped from vocational training due to a lack of vocational aptitude. The final progress report prior to his referral to a CTC stated that he needed education, training, employment, savings, and psychological counseling. Upon arrival at the CTC in September 1978, the staff established goals for Dennis to obtain meaningful employment, reestablish a residence, and save some money. The staff failed to address his needs for developing a marketable skill, upgrading his education, or obtaining psychological counseling. Dennis had difficulty obtaining a job and his parole release date was extended 30 days. He finally acquired employment at a car wash in January 1979. He quit this job in May and was unemployed through August 1979.
- Offender Wayne, 25 years old, was returned to prison for parole violation. He was previously sentenced to 6 years for the interstate transportation of a stolen motor vehicle. He dropped out of school after completing the 8th grade and was unemployed when arrested. The pre-sentence report indicated that Wayne needed to upgrade his education, develop a marketable skill, participate in drug aftercare, and obtain psychological treatment. Wayne participated in few programs while incarcerated. His final progress report prior to transfer to a CTC showed a need to (1) improve his education level, (2) obtain a marketable skill, (3) participate in drug therapy, and (4) stabilize his behavior. The CTC staff failed to use the information available to identify his needs. While residing at the CTC, he was terminated from one job because his work was unsatisfactory. He later obtained employment as a dish washer.

- Offender Bill, 22 years old, was serving 22 months for possession of stolen mail. Bill had a college degree but lacked self assurance. He found his own job as a car clean-up man earning \$3.00 per hour. The counselor's notes stated that Bill was certainly under-employed; however, we found no evidence that the halfway house staff made any effort to assist Bill in upgrading his employment.
- Offender Harold, 25 years old, was serving a 5-year sentence for interstate transportation of counterfeit securities and obstruction of justice. This was his first commitment to a correctional institution. He dropped out of school in the 11th grade and had a history of compulsive gambling. As a condition of parole, Harold had to attend Gamblers Anonymous until released from parole supervision. In addition, Harold was assessed by a psychologist as being insecure and having a high level of depression. The depression was primarily due to surgery for cancer, his wife divorcing him, and the termination of his visitation rights to see his son. Although the halfway house staff recognized that Harold was insecure and depressed, his only goals while residing at the halfway house were to work as a carpet installer and strengthen family relations. Harold was not receiving treatment for his depression, and he was not enrolled in Gamblers Anonymous.
- Offender Rich, 28 years old, was serving a 15-year sentence for bank robbery. This was his second commitment to a correctional institution. He dropped out of school after the 8th grade. The classification material stated that Rich needed to upgrade his academic education, obtain a marketable skill, and overcome a serious drug problem. While incarcerated, he enrolled in group counseling and adult basic education. There was no evidence that he completed the adult basic education program, obtained a marketable skill, or participated in a drug program. In August 1978, he was transferred to a halfway house to assist him in his reintegration to the community. The halfway house staff did not prepare a formal program plan that identified all of Rich's needs. An intake summary did not show any

need for Rich to upgrade his academic education or obtain a marketable skill, but it did address his drug problem. During Rich's 4 months of residence at the halfway house, he was enrolled in a drug aftercare program and worked at five different full-time jobs. All were unskilled positions. Rich quit three jobs, was fired from a fourth, and told his counselor that he was dissatisfied with his fifth job. Rich's needs for upgrading his academic education and employment skills were not addressed by the halfway house staff. Also, Rich's need for in-depth vocational counseling went unmet by the staff.

Facilities did not regularly assess offenders' progress

The Bureau's policy requires, and the American Correctional Association's Manual of Standards for Adult Community Residential Services provides, that community facilities prepare individualized program plans and periodically review offender progress in achieving program goals. Program plans should include measurable criteria of expected behavior, accomplishments, and a time schedule for program achievements. Reviews of offender program plans should assure that progress toward reintegration to the community is being made.

None of the 12 community facilities developed program plans which complied with these standards. For example:

--At one halfway house, the staff prepared a brief evaluation of offenders' needs in lieu of an individualized program plan. These evaluations were inadequate because they did not consider the specific needs of individuals. Rather, the staff merely indicated that 14 of the 20 residents at this facility had no other needs than to (1) save money, (2) cope with environmental demands, (3) develop friendships, and (4) avoid negative associations. Instead of preparing a program plan and regularly assessing the offender's progress, the staff made brief notes in the offender's file indicating when he arrived, his employment status, his general adjustment, and his release date.

--At another halfway house, the staff prepared a limited evaluation which covered the offender's status as far as employment, family, medical, education, residence, and immediate and long-term goals. One employee of the halfway house told us that this evaluation was used to identify potential problems the staff could have in dealing with offenders rather than for programming decisions. At least 12 of the 32 evaluations were prepared 1 or more months after the offender arrived at the halfway house. In one case, we found that the evaluation was prepared about 5 months after the offender arrived. Also this was only 6 days before the offender was released from the halfway house. We could not determine when nine of the other evaluations were prepared. When assessments were performed, the staff merely made brief notes in the file concerning an offender's activities.

--One CTC required the staff to prepare an individual program plan within a few days after the offender arrived, but we found that 27 of 35 residents did not have a documented plan. Also, those plans available did not set up any milestones for addressing offenders' needs, and no regular assessments of progress were made.

Bureau officials told us that in the future, they would make sure that CTCs and halfway houses developed adequate plans and routinely assessed offender progress.

BUREAU'S MANAGEMENT OF COMMUNITY RESOURCES HAS BEEN DEFICIENT

To operate an effective program, community facilities need to know what is expected of them, and the Bureau needs to determine that the facilities actually provide required services at a reasonable cost. To the contrary, we found (1) contracts did not contain adequate work specifications, (2) contractor performance was inadequately monitored, and (3) other contracting problems resulted in the inefficient use of Federal funds.

Bureau has not provided contractors with adequate statements of work

The Federal Procurement Regulations require that requests for proposals contain a comprehensive statement of

work so prospective contractors can properly prepare proposals. This statement, which should describe in precise terms the tasks and/or services that the Bureau is purchasing from a halfway house, was missing from contracts awarded to two halfway houses we reviewed. The remaining eight were also inadequate because they cited only the Bureau's policy statement on contract residential services as the work statement. This policy statement gives the contractor general guidance governing the custody and care of offenders, but it does not address the specific services each halfway house should provide.

Many community facilities did not address offenders' needs largely because they placed primary emphasis on offenders being employed, regardless of the quality of the job. Although the Bureau requires community facilities to design a personalized program to meet offenders' needs, community facilities did not generally assist offenders in (1) seeking professional vocational counseling, (2) upgrading academic education and vocational skills, (3) acquiring social skills, or (4) enrolling in drug and alcohol programs.

- Vocational counseling was often not available to offenders residing in community facilities. Only one employed trained vocational counselors, and some did not encourage offenders to use counseling services available in the community. According to Bureau and halfway house personnel, vocational counseling could improve the quality of offender job placements and increase some offenders' chances of avoiding further criminal activity.
- Many offenders residing in community facilities needed to upgrade their vocational and academic skills, but few were receiving such training. Of the 123 offenders in our sample of 265 who needed to learn a marketable skill, only 3 were learning one. Academic education was being provided to only 5 of the 104 who needed it. Staff at community facilities said that these needs were a low priority in comparison to finding the offender some type of employment.
- Community facilities did little to improve the social skills of offenders. The community facilities generally had no staff specifically dedicated to such activities and made few arrangements with community organizations to provide them. In recognition of the importance of social services, one CTC was implementing

a program. All offenders will be required to participate in the program during initial orientation, and those offenders with additional needs will be assisted during their stay.

- Less than 40 percent of the offenders with drug and alcohol problems were receiving assistance. Also, we found inconsistencies in the implementation of Bureau policy pertaining to offender participation in drug aftercare when it is a condition of parole. The Bureau requires enrollment upon arrival at a community facility. In some facilities, this was being done; in others it was not.

Several halfway house officials said they were not aware that the Bureau expected comprehensive services to be provided to offenders. An adequate work statement would have eliminated this confusion. It also would have provided a basis for the Bureau to evaluate contractor performance.

Bureau officials said they expected offenders' needs to be addressed by halfway houses and that they would take corrective action to ensure that all contractors receive a detailed statement of work clearly defining the services to be provided. They also said that they would ensure compliance by their own facilities with Bureau policy.

Bureau has not adequately monitored the activities of community facilities

Halfway houses

Because the Bureau did not adequately monitor halfway house contracts, it was unaware that the houses were not addressing offenders' needs.

- The Bureau employs Community Programs Officers (CPOs), who have a wide range of duties, including the responsibility for negotiating and monitoring halfway house contracts, but these individuals did not monitor contractor activities on a regular basis.
- CPOs did not detect management and program deficiencies at many of the halfway houses monitored.

--CPOs did not notify contractors of major deficiencies, recommend corrective action, or followup on needed corrective action.

The Bureau's community programs contracting manual requires that all contracts be monitored through onsite visits. These visits are to ensure that the contractor manages and uses its resources in a manner that will provide the Government with the quality, timeliness, and economy contracted for. The Bureau's CPOs are responsible for monitoring the performance of halfway house contractors. They must make no less than two onsite monitoring visits annually to each halfway house. Following the visit, the CPO is supposed to summarize all major findings in a letter to the contractor with recommendations for improvement. Several CPOs told us that monitoring contractor performance was low priority when compared to some of their other duties.

The Bureau's records showed that it had 401 contracts with private halfway houses as of May 24, 1979. CPOs did not make regular onsite monitoring visits to these halfway houses. For example, the Bureau's records show that 197 contracts, or 49 percent of the total, had not received a monitoring visit in the last 6 months. Also, 118 contracts, or 29 percent, had not received a monitoring visit in over 1 year. The following table illustrates this deficiency.

REGION	NUMBER OF MONTHS SINCE LAST VISIT				
	TOTAL CONTRACTS	0 TO 6	OVER 6	OVER 12	OVER 24
NORTHEAST	54	33	13	7	1
NORTH-CENTRAL	102	46	13	27	16
SOUTHEAST	107	74	14	15	4
SOUTH-CENTRAL	36	21	15	0	0
WESTERN	102	30	24	30	18
TOTAL	401	204	79	79	39

Also, the monitoring visits made at 8 of the 10 halfway halfway houses included in our review were inadequate. Although monitoring visits were made within the last year, major management and program deficiencies at these halfway houses went undetected. For example:

--In a monitoring visit to a halfway house in August 1978, one CPO reported that he was very satisfied with all the operations at this facility. However, our review of operations at this halfway house a few months later showed several major deficiencies, such as a lack of (1) regular staff training, (2) a drug surveillance program for residents, (3) a budget of anticipated revenues and expenses, (4) identification of offender needs, (5) individualized offender program plans, and (6) proper emphasis on employment placement of offenders. Further, this halfway house had terminated the services of a public accounting firm in July 1977, and all financial records were maintained by an employee who had no training in accounting. No financial statements had been prepared since 1977.

--In a monitoring visit to a halfway house in May 1978, the CPO reported that this facility was one of the finest he had ever seen. Our review of operations at this facility a few months later showed major deficiencies, such as (1) failure to identify and address offender needs, (2) lack of individualized program plans for offenders, (3) lack of regular assessment of offender progress, (4) absence of a counselor and employment placement personnel for up to 9 months in 1978, (5) lack of a regular drug surveillance program for offenders, (6) inaccurate payment vouchers submitted to the Government, and (7) a general lack of accountability for residents.

One of the reasons for inadequate monitoring could be the checklist approach used for monitoring contractor performance. The purpose of the questions on the checklist is to remind the CPO of areas to review in relation to the statement of work and to record his findings. In completing the checklist, the CPO is supposed to review background information, personnel procedures, descriptions of facilities, budgetary information, intake procedures, programming information, discipline procedures, and records management.

The Bureau's community programs contracting manual does not provide any other guidance to assist CPOs in the collection, verification, analysis, and summarization of information on contractor operations. This problem is

compounded because CPOs lacked the skills and training to effectively evaluate contractor performance. Also, the questions in the checklist fail to address management or program deficiencies that could occur. For example:

- The checklist has several questions on personnel procedures at halfway houses, but these questions do not address the qualifications of halfway house staff. In one halfway house we visited, the CPO failed to detect a situation where unqualified personnel were involved in counseling. In another halfway house, a CPO failed to detect a situation where unqualified personnel were maintaining accounting records.
- One of the objectives of referring offenders to halfway houses is to give them the opportunity to accumulate savings. The Bureau's checklist does not include any questions that the CPO should ask to assess how this objective is being met. In one halfway house, we found that none of the nine Federal residents needing to accumulate savings were meeting established savings goals. The halfway house director and the CPO were surprised at this situation and said they would take steps to ensure that offenders save some money for release purposes.

The Bureau's community programs contracting manual requires that the CPO summarize all major findings in a letter to the contractor. This letter should include recommendations for corrective action. Only 4 of 10 halfway houses we visited had received written notifications from CPOs on the results of monitoring visits. Furthermore, three of these four notifications were not comprehensive and failed to give the contractors any deadlines for taking corrective action. CPOs generally did not followup on whether corrective action had been taken.

Bureau officials stated that they recognized these deficiencies and would (1) ensure that regular monitoring visits were made, (2) develop a more comprehensive monitoring instrument, and (3) implement a followup system to ensure that corrective action is taken by contractors.

CTCs

The Bureau implemented a policy in 1974 that required regular management reviews of all activities at Federal facilities, including CTCs. However, the Bureau's Administrator for Community Programs had not formulated any procedures to implement this policy. As a result, no in-depth management reviews have been conducted.

The last management-type reviews done at CTCs we visited occurred in 1973. At that time, the Bureau made 1-day site visits to two of the three Federal CTCs included in our review to conduct a limited management review of operations. These visits identified a number of program deficiencies, including (1) failure to systematically identify offender needs, (2) absence of individualized offender program plans, (3) lack of structured programs for improving offenders' social and living skills, (4) poorly conceived and haphazardly implemented offender job placement programs, and (5) poor use of community resources in addressing offender needs. Over 5 years later, our review at these two facilities showed that these problems had not been corrected.

Bureau officials at headquarters recognize the importance of conducting in-depth management reviews of CTCs. They said that a procedure will be developed to require them. In addition to concurring in the need for management reviews of CTCs, two Regional Community Programs Administrators said that one method for further enhancing the reliability of such reviews would be to use Administrators to review only CTCs outside their respective regions. They also said that this procedure would provide for a more independent assessment of activities at CTCs, help to ensure that problems are fully identified, and ensure that prompt corrective action is taken.

Other matters in need of management attention

At all halfway houses included in our review, the Bureau failed to obtain adequate cost and pricing data or perform an adequate analysis of the proposal. Federal Procurement Regulations provide that contract proposals shall be supported by statements and analyses of estimated costs or other evidence of reasonable prices. Also, these regulations provide that some form of price or cost analysis should be made in connection with every negotiated procurement action. Examples of this problem follow.

- One halfway house submitted a request, supported by a proposed operating budget for 1979, for an increase in the daily compensation rate at its two facilities. We made a limited analysis and found that the contractor underestimated the number of offenders that could be housed during the contract period. We brought this matter to the Bureau's attention. As a result, the Bureau negotiated a reduced compensation rate. We estimate that the Bureau could save about \$34,300 over the remaining life of the contract.
- Another halfway house proposed a 35-percent increase in the daily compensation rate in January 1975. The CPO did not believe that the increase was justified and asked the halfway house to furnish detailed cost statements. During the next year, the contractor supplied several different cost statements, one of which supported a reduction in the daily compensation rate. The CPO still did not believe that an increase was justified, so he referred the matter to the Regional Community Programs Administrator, who visited the halfway house. As a result of this visit, the contractor was given an increase of 17 percent in January 1977, based on the understanding that the halfway house director would retain qualified personnel and submit a statement of current costs supporting the increase. The halfway house never furnished the required cost statement nor did they fill some vacant positions. In March 1979, the contract specialist from the Bureau's regional office and two CPOs visited the halfway house to review the contractor's financial records and program activities. The contract specialist concluded that the Bureau's compensation rate could not be supported by these records. He also recommended that the Bureau make no further referrals to this facility until the contractor could justify the compensation rate. In August 1979, the Bureau terminated its contract with this halfway house because most of the problems identified during the March 1979 visit had not been corrected.

--The third halfway house submitted a request in June 1977 for an increase from \$15 to \$20 per participant in the daily compensation rate. This request was supported by a 1-page proposed operating budget that totalled about \$104,200 for fiscal year 1978. The Bureau did not obtain adequate cost and pricing information and did not perform an analysis of this proposal. The Bureau increased the contractor's daily compensation rate to \$19 in September 1977. We made a limited analysis of expenditures for fiscal year 1978 at this halfway house and found that more offenders were lodged in the facility than planned, and expenses were about \$24,000 under the proposed budget. The Bureau failed to analyze the contractor's operating expenses for fiscal year 1978 and in October 1978 extended the halfway house's contract for 3 years at the \$19 rate.

The Bureau's community programs contracting manual recommends the use of a sliding scale method for compensating halfway houses. This method recognizes a reduction in cost per participant as the number of participants increases. In February 1977 the internal audit staff of the Department of Justice recommended that the Bureau consider using this method of compensation whenever feasible. The Bureau also has a prerelease procedure whereby offenders may reside away from the halfway house--on live-out--but remain under the supervision of the halfway house staff. None of the halfway houses we reviewed had contracts which included a provision for reimbursement on a sliding scale method, and only three provided for a reduced compensation rate for offenders on live-out. As a result, the Bureau has incurred increased costs of at least \$77,300 for 1 year at these halfway houses, because economies of scale and potential cost savings associated with the reduced levels of services resulting from live-out have been ignored.

A major reason for these contracting deficiencies was that the Bureau's Community Programs Administrators and CPOs did not have comprehensive knowledge of contract negotiation procedures or financial analyses. Also, while most of the Bureau's contract specialists had some limited experience in routine purchasing activities, they had little or no knowledge of more complex procedures that must be followed in negotiating and contracting for services. For example:

--All of the Bureau's Regional Community Programs Administrators had prior experience predominantly in case management activities. They had little or

no experience in contract negotiation, contract administration, contract monitoring, or financial analysis. The Bureau has not provided them with adequate training in these disciplines.

--The Bureau employs about 45 CPOs. These individuals have prior experience predominantly in custody and case management activities. They had little or no experience in contract negotiation, contract monitoring, or financial analysis. The Bureau has not provided them with adequate training in these disciplines. One Regional Community Programs Administrator recently analyzed the training needs of all CPOs in his region. In May 1979 he notified the Bureau that CPOs were in need of additional training in contract negotiation and monitoring techniques.

--The Bureau's Regional Contract Specialists had some prior experience in routine purchasing activities. They did not have sufficient knowledge in the more complex procurement practices associated with negotiated contracts. The Bureau has not provided them with adequate training in this discipline. Two contract specialists said that the Bureau's contracting manual did not provide sufficient guidance to negotiate contracts, and they did not feel competent to adequately analyze contractor proposals.

The Bureau informed us that they recognized these problems and would take corrective action. The Bureau said that, in the future, adequate cost and pricing data would be obtained, and some on-site financial analyses of proposals would be performed. Officials also said that new guidelines would be developed to require all regions to use sliding scale and live-out compensation rates in future contract negotiations with halfway houses.

With regard to staff, Bureau officials said that qualified personnel would be hired, and existing personnel would be trained in appropriate disciplines.

THE BUREAU NEEDS A BETTER METHOD FOR ASSIGNING OFFENDERS TO COMMUNITY FACILITIES

The Bureau has no system for determining if offenders sent to community facilities are the ones who could best

benefit from the services to be provided. The Bureau sends offenders to community facilities without preparing them for release to the community through gradual reductions in their custody levels. It has also given little attention to the needs and motivation of offenders being assigned to community facilities.

These and other matters are discussed below.

Bureau did not prepare offenders for gradual release to the community

The Bureau did not prepare offenders for release to the community by gradually reducing their custody levels from more secure to minimum levels. Although the Bureau's policy provides that release planning for an offender should begin upon initial commitment to the correctional institution and thereafter be a continuous process, the Bureau placed little emphasis on planning for the offenders' release until they were generally within about 6 months of their anticipated release date.

In fiscal year 1978, about 2,040 offenders, or about 23 percent of all those released through community facilities, were transferred directly from the Bureau's more secure institutions to community facilities. Many of these offenders were transferred without an orderly reduction in their custody levels. The American Correctional Association's Manual of Standards for Adult Correctional Institutions states that correctional authorities should prepare offenders for release to the community by gradually decreasing their custody level. These same standards also state that direct and sudden release of offenders to the community after close confinement can adversely affect their ability to successfully reintegrate into society.

Bureau officials concurred that offenders should make a gradual transition to the community and said that their procedures will be improved. In this regard, they informed us of recent changes which would assist them in implementing improved release planning procedures. Starting in May 1979, more accurate information on most offenders' projected release dates was available earlier from the U.S. Parole Commission to assist the institutional staff in release planning. Bureau officials also said that one of the reasons offenders were sent from its more secure facilities directly to community facilities was that they might have been overclassified. In this regard, these officials said that the Bureau has recently developed a new security designation and custody classification system. The Bureau believes that it will result in more appropriate determinations of custody levels for offenders.

Offenders were assigned to community facilities with little consideration of their needs, motivation, and length of stay

Offenders were being transferred to community facilities with little consideration given to the length of stay required, their needs, or their willingness to participate in appropriate programs. Thus, the Bureau was using community facilities but did not know whether offenders assigned to them had the most potential for benefiting from the services to be provided.

The Bureau's policy establishes certain eligibility criteria which staff at correctional institutions are to follow in selecting offenders to be released through community facilities. It provides that wardens may transfer offenders to community facilities for a period of up to 6 months, and priority should be given to those offenders who lack employment, a residence, or the necessary self confidence to develop resources on their own. It also states that certain categories of offenders are not eligible or have little need for release through community facilities. Included are those serving a sentence of 6 months or less and those serving a sentence for an offense of an organized, sophisticated nature.

The Bureau's policy does not place sufficient emphasis on considering the needs of offenders in determining how long they should remain in community facilities. As a result, about 33 percent of the 265 offenders were assigned to community facilities for longer or shorter periods of time than appeared to be necessary. For example:

--Offender Dan, 58 years old, was serving a 3-year sentence for mail fraud. He served 21 months of this term prior to being transferred to a CTC. This was his first conviction and incarceration in a correctional institution. He had no adjustment problems in the institution, and his supervisor was very satisfied with his work. Dan had a college degree and previous employment as an accountant. He had a well established residence and supportive family. He obtained employment as an accountant earning \$7.60 per hour before transferring to the CTC. Dan resided at the CTC about 4 months before being released.

--Offender Bob, 40 years old, was serving a 3-year sentence for use of a telephone to facilitate a conspiracy to import and distribute cocaine. He served about 1 year

of this term prior to being transferred to a CTC. Bob was a first offender who made an outstanding adjustment in the institution. He had 2 years of college and previous work experience as an automobile broker. He had a well established and supportive family. He obtained employment before transferring to the CTC as a general manager for an automobile sales firm. He was earning up to \$11,000 per month, including sales commissions. Bob resided at the CTC for about 4 months before being paroled.

--Offender Tom, 52 years old, was serving a 5-year sentence for misapplying bank funds. Tom was a first offender who adjusted very well in the institution by working in the business office. He improved his skills by participating in two education courses. Tom had been the president of a bank prior to his incarceration, and he had a well established and supportive family. Two days after transferring to the CTC, he obtained employment as a business manager for an automobile retail sales firm earning about \$1,500 per month. Tom resided at the CTC for about 4 months before being paroled.

--Offender John, 56 years old, was sentenced to 1 year and 1 day for income tax evasion. This was his first incarceration in a correctional institution. He had a stable marriage, owned his own home, and was the sole proprietor of a profitable liquor store. During initial classification, the staff at the correctional institution made no specific program recommendations for John. After serving approximately 80 days at an institution, John was transferred to a halfway house for 6 months to assist him in his reintegration back to society. Upon transfer to the halfway house, John reunited with his wife and resumed the management of his business. The halfway house director and John both admitted that he had no need for the services offered by the halfway house. During John's 6-month stay at the halfway house, he only spent about 15 or 16 nights at this facility.

- Offender Bill, 36 years old, was serving a 5-year sentence for possession of a firearm by a convicted felon. He completed adult basic education and a vocational training course while incarcerated. Bill still needed to upgrade his education, learn a skill, accumulate release funds, obtain employment, and participate in alcohol aftercare. He was transferred to a halfway house in January 1979 for 81 days before being paroled. Halfway house personnel said that more could have been done to help Bill if he had been sent to the community facility for a longer period of time.
- Offender Karl, 27 years old, was serving an 8-year sentence for bank robbery. He participated in adult secondary education while incarcerated. Karl still needed to upgrade his education, learn a skill, accumulate release funds, and obtain employment. He was transferred to a halfway house in September 1978 for 81 days before being paroled. Halfway house officials told us that more could have been done to help Karl if he had been sent to the community facility for a longer period of time.
- Offender Jack, 37 years old, was serving a 3-year sentence for interference with commerce by threat. Jack completed education and training courses while incarcerated. He still needed to learn a skill, obtain employment, and participate in psychological counseling. He was transferred to a CTC in September 1978 for 59 days before his release on parole. The case manager at the CTC told us that more could have been done to help Jack if he had been sent to the facility for a longer period of time.

Also, the Bureau's policy is silent with respect to whether offenders with little motivation should be sent to community facilities. Thirteen percent of the offenders included in our review were referred to community facilities even though they had been unwilling to participate in appropriate programs while at institutions. This trait continued while the offenders resided in community facilities. For example:

--Offender Norb, 22 years old, was convicted of presenting a fraudulent claim against the Government and sentenced to probation. While on probation, Norb was convicted of burglary, disorderly conduct, and various traffic offenses. Subsequently, Norb's probation was revoked and he was committed to a correctional institution. The institutional and halfway house staffs noted that Norb lacked motivation to overcome a serious alcohol problem, learn a marketable skill, or improve his interpersonal relations. While incarcerated, he was charged with five violations of institutional rules. These violations ranged from fighting to possession of marijuana. The Parole Commission extended Norb's period of incarceration by about 2 years because of the rule infractions. During his last 4 months of incarceration, Norb was transferred to a halfway house to assist him in reintegrating to the community. While at the halfway house, Norb was considered uncooperative by the staff. He was employed in an unskilled job earning the minimum wage. After experiencing problems with Norb for about 2 months, the halfway house staff returned him to a correctional institution to serve the remainder of his sentence.

--Offender Fred, 40 years old, was serving a 15-year sentence with a 10-year special parole term to follow for distribution of heroin. He served approximately 6 years of this sentence before being referred to a halfway house. Fred had a poor institutional adjustment including numerous rule infractions for intoxication, use of heroin, and unexcused absences from work. Fred had drug aftercare as a condition of parole, and alcohol treatment was prescribed after his arrival at the halfway house. Fred did not participate in drug or alcohol programs while incarcerated in a correctional institution, and he demonstrated little interest in seriously pursuing these programs at the halfway house. He was involved in several rule infractions during his stay at the halfway house. The halfway house staff finally returned Fred to a correctional institution after about 2 months because of his use of morphine and cocaine.

--Offender Irwin, 26 years old, was serving an indeterminate sentence in a Federal correctional institution for interstate transportation of a stolen motor vehicle. While serving this sentence, Irwin escaped and received an additional 18-month sentence. Irwin has been exposed to the criminal justice system on many occasions. His institutional adjustment was poor, and he was involved in at least 12 rule infractions, such as possession of contraband, possession of drugs, and intoxication. He refused to participate in any institutional programs, learn a skill, overcome a drug abuse problem, or improve interpersonal relations. Irwin was employed in an unskilled job while residing at the halfway house. While under parole supervision, Irwin has been convicted on seven counts of theft. The District Probation Office has recommended to the Parole Commission that Irwin's parole be revoked.

--Offender Clyde, 35 years old, was serving an 18-year sentence for armed bank robbery. This was his fourth incarceration in a correctional institution. During initial classification, the staff at the institution reported that Clyde needed to upgrade his education, learn a marketable skill, and participate in behavior therapy. A psychological evaluation reported that Clyde possessed a psychopathic schizoid personality. Clyde's participation in programs in the institution was marginal, and his adjustment was poor, including 14 rule infractions. He had served about 6 years when he was transferred to a halfway house. He showed little interest in participating in any programs at the halfway house. During his stay, he was involved in 29 rule infractions. He was employed as a janitor for a short period of time, but he quit this job without informing the halfway house staff. However, he continued to sign out of the halfway house as if he was going to work when in fact he was unemployed. Clyde was arrested for forgery and receiving stolen property. He was terminated from the halfway house program, his parole was revoked, and he was returned to a Federal correctional institution to serve the remainder of his

sentence. The halfway house staff characterized Clyde as a bitter and angry individual in need of professional counseling.

--Offender Stan, 38 years old, was serving a 10-year sentence for distribution of heroin. Stan had poor adjustment, including five incident reports for use of narcotics while in the Bureau's custody. In December 1978, Stan was transferred to a halfway house after serving about 5 years of his sentence. He needed to learn a skill, obtain employment, and participate in a drug program. Stan found employment, but he quit the job without informing the halfway house staff. However, he continued to sign out of the halfway house as if he was going to work when in fact he was unemployed. During the next couple of months, Stan received incident reports for lying about his employment, use of narcotics, and failure to comply with curfew rules. The halfway house placed Stan on live-out in March 1979, and immediately he was cited for use of narcotics. The Parole Commission set back Stan's parole date by 30 days. About a month and a half later, he was again cited for use of drugs. Stan was returned to a correctional institution, and the Parole Commission rescinded his parole date.

Bureau officials concurred that the existing policy does not provide adequate guidance for selecting offenders based on the length of stay required at community facilities, their needs, and their willingness to participate in appropriate programs. In August 1979, the Bureau issued interim guidelines which provided that the length of time an offender stays in a community facility will be primarily determined by needs. The guidelines state that offenders with identifiable needs are to be given priority over offenders with no needs. Also, those offenders with no identifiable needs are eligible for release through community facilities, but their stay will be generally limited to the last 30 days of the confinement portion of their sentence. This time will serve as a transition from the institution to the community.

CPOs need information to plan for community programs

The Bureau does not have a management information system to identify the number of offenders that will be released to each CPO's area of jurisdiction in a given period of time. Such information is necessary for each CPO to effectively plan for the halfway house resources required in the future. Some CPOs have contacted correctional institutions on their own in order to identify the numbers of offenders nearing release. However, this process proved to be very time-consuming and ineffective because the CPOs received little feedback from the institutions.

The Bureau recognized the need for more resource planning data, and in November 1978 it field-tested a "Projected Release Report", which was supposed to provide CPOs with better information for planning. The report contained probable release dates for offenders by city and State. With this information, CPOs could contact the institution to find out whether the offender was going to be sent to a community facility. They could then arrange for housing offenders in advance of their arrival.

This report was of marginal use to the CPOs because it was inaccurate and incomplete. The Bureau relied on its Inmate Information System for sentence and social data. If either piece of information was not in the system, the offender's name would automatically be excluded from the release report. The Bureau estimates that only 75 percent of the records in the system contain sentence data, and only 70 percent contain social data. Also, the Inmate Information System did not identify (1) anticipated parole dates of offenders, and (2) offenders that would be released on detainers to State and local authorities for further prosecution or confinement.

In February 1979, Bureau officials acknowledged the shortcomings of the report and hoped that a new system under development would rectify them.

Better policy needed to ensure full utilization of Federal CTCs

The Bureau has different procedures for referring offenders to CTCs and halfway houses. The staff at the Bureau's correctional institutions make direct contact with the CTC staff when an offender is being referred. However, in referring an offender to a halfway house, the staff contacts the responsible CPO.

The Bureau's procedures do not ensure that referrals are made first to a CTC. As a result, the Bureau has incurred unnecessary costs of about \$109,500 in two cities, because offenders were referred to halfway houses at a time when CTCs were underutilized.

In one city, the Bureau referred offenders to a halfway house 1 mile from a CTC that was underutilized. It could have saved \$105,000 in fiscal year 1978 by fully utilizing the CTC. In another, the Bureau referred offenders to a halfway house that was about 3 miles from an underutilized CTC. It could have saved \$4,500 during the period June 1978 through October 1978.

This problem could be corrected if the Bureau's institutions were required to make all referrals through the CPOs. The CPOs could then be required to ensure that the Federal CTCs were fully utilized before referring offenders elsewhere.

Bureau officials agreed that existing procedures do not ensure maximum utilization of CTCs and issued interim guidelines in August 1979 to correct this problem.

↙ CONCLUSIONS

Community facilities do not provide Federal offenders with the maximum opportunity for successfully assuming job, family, and other community responsibilities.

To improve this situation, the Bureau needs to do a better job of managing its community programs resources. Halfway houses need adequate statements of work, and their performance as well as the performance of the Bureau's CTCs should be monitored. If the Bureau is to have successful community programs, good management is a fundamental necessity.

The Bureau also needs a better system for assigning offenders to community facilities so that they are able to make a gradual transition to the community and receive maximum benefit from the services that are available.

↙ RECOMMENDATIONS

We recommend that the Attorney General require the Director of the Bureau of Prisons to:

- Develop adequate guidance to assist institutional staff in prioritizing the selection of offenders to be released through community facilities. At a

minimum, selections should be made after considering the extent to which an individual is making a gradual transition to the community, the length of stay required, his needs, and his willingness to participate in appropriate programs.

- Place increased emphasis in making sure that community facilities address offenders' needs by providing halfway houses with comprehensive statements of work, monitoring their activities, and performing comprehensive management reviews of the operations of CTCs.
- Improve contracting practices by (1) acquiring qualified personnel to negotiate and monitor halfway house contracts, (2) obtaining cost and pricing data from prospective contractors, and fully analyzing it, and (3) providing better guidance to Bureau personnel for determining contractor reimbursement rates.
- Provide CPOs with reliable information on offenders returning to the community.
- Develop procedures to assure full utilization of CTCs before offenders are sent to halfway houses.

AGENCY COMMENTS

The Department of Justice commented on a draft of this report by letter dated December 20, 1979. (See app. I.) The Department expressed agreement with most of the matters included in this chapter and was very responsive in terms of identifying the corrective measures it would take. Improvements are either planned or underway to strengthen contracting, develop a better method for assigning offenders to community facilities, provide CPOs with information to plan for community programs, and ensure full utilization of CTCs before using contract facilities.

The Department also expressed some disagreement with the draft. Most importantly, the Department believes the report leaves the impression that nothing of value is provided by the CTC program, and implies that community facilities should be expected to solve a universal array of offender problems. A more detailed discussion of these matters follows.

The Department's comments correctly point out that offenders reside in CTCs for relatively short periods of time--certainly not long enough to solve the large number of problems that offenders have. But, since the primary mission of the CTC program is to assist offenders reentering the community at the completion of their sentence, it appears to us that community facilities should provide transitional services to offenders who are interested in them. Community facilities should make use of skills offenders learned while in the institution, arrange for the continuation of services that were begun while the offenders were incarcerated, or begin to address needs that went unmet.

The Department made reference to our tabulation of unmet needs on page 7 and stated that in its judgment, only employment, drug treatment, and alcohol treatment were relevant. The needs not considered relevant were vocational skill training, academic education, and psychiatric treatment. We see nothing wrong with helping offenders find jobs. But to do that without also concentrating on what could be done to improve offender employability results in community facilities not working to their maximum capability. Moreover, efforts by institutions in these areas could very well be wasted if community facilities do nothing to further develop them. These three needs also appear to us to fall within the functions identified as being applicable to community facilities. (See p. 6.)

The Department justified community facility accomplishments by citing a study showing that releaseses from such facilities worked longer and earned more money than a comparable group of offenders who were not released through community facilities. What the Department did not say, however, was that 18 percent of the residents in the sample failed to complete the community facility program and were excluded in computing the study's results. Even then, however, the improvement was only temporary in that one year after release, there was no significant difference. Therefore, the study itself could be used to support our position that community facilities should do more than help offenders find jobs.

We were not attempting to downplay the role or the accomplishments of CTCs, and we hope that the matters discussed in this report will be considered in conjunction with our February 1979 report on employment training in correctional institutions. In our opinion, services to offenders cannot be adequately provided if the time offenders spend in institutions, in community facilities, and under parole supervision are viewed as separate and distinct from one another. Our message is not that community facilities are not helping offenders. What we are saying is that community facilities could do more if they were viewed as a link in an integrated system involving all phases of the correctional process.

The Department's comment stating that our report implies that inmates should not be transferred to CTCs if they do not participate in institution programs also needs to be addressed. Our position is that the Bureau should develop a system for determining who should go to halfway houses, and that offender motivation should be a factor in this determination. The Bureau's position is that rehabilitation cannot be "coerced"--and people can change only if they are motivated. We are suggesting that this philosophy be made part of determining halfway house placements.

CHAPTER 3

PROBATION OFFICERS

CAN DO MORE TO ASSIST OFFENDERS

Presentence reports prepared by probation officers did not fully identify offenders' needs, and probation officers received little guidance on how to assist offenders. Both areas need improvement if probation officers are to adequately carry out their responsibilities.

Probation officers can play an important role in helping offenders reintegrate into the community. They are responsible for preparing presentence reports, which the courts use as a basis for sentencing decisions. These reports are also used by probation officers and correctional authorities to make decisions about the types of services individual offenders need. Probation officers are also responsible for seeing that offenders under their supervision receive the appropriate services.

PRESENTENCE REPORTS SHOULD CONTAIN BETTER INFORMATION ON OFFENDERS' NEEDS

Presentence reports prepared by Federal, State, and local probation officers did not comprehensively identify offender needs or make program recommendations.

The Federal Probation System is responsible for preparing presentence reports to assist judges in determining the appropriate sentence for those persons convicted of Federal offenses. These reports are supposed to provide information on the character and personality of offenders and should fully identify offenders' needs with appropriate recommendations for meeting them. Thirty-two States follow a similar process for preparing presentence reports. In the remaining States, the responsibility for preparing presentence reports is divided between State and local authorities.

Improvements are needed in the preparation of presentence reports for Federal offenders

Our review of 280 presentence reports for Federal offenders in 4 judicial districts showed that only 12, or about 4 percent, were adequately prepared. The following examples illustrate this deficiency.

--Offender Mike, 38 years old, was serving a 15-year sentence with a special parole term of 10 years to follow for possession with intent

to distribute heroin. Although the presentence report noted that Mike had no marketable skills, it made no program recommendations. He did not participate in any education or training programs while incarcerated and was eventually released through a halfway house, where he found his own job earning less than the minimum wage.

--Offender Bob, 27 years old, was completing a 4-year sentence under parole supervision for interstate transportation of a stolen motor vehicle. Although the Bureau of Prisons' classification material on Bob showed that he had no marketable skill, the presentence report did not identify this as a need or make any program recommendations. Bob obtained no marketable skills while incarcerated, and he found his own job earning about the minimum wage after release on parole.

--Offender Elmer, 61 years old, was sentenced to 5 years for interstate transportation of a stolen motor vehicle. The Bureau's classification material showed that Elmer had no marketable skills, poor academic achievement, and a history of alcohol abuse. The presentence report did not specifically state these needs or make any program recommendations to correctional authorities. During parole supervision, Elmer was employed in a job earning about the minimum wage until he was arrested for stealing a car and absconding from parole supervision.

--Offender Pete, 30 years old, was completing a 10-year sentence under parole supervision for possession with intent to distribute marijuana. The classification material prepared by the Bureau showed that Pete needed to upgrade his education and learn a marketable skill, but the presentence report did not identify these as needs or make any program recommendations to correctional authorities. While on parole, he has been employed in a couple of different jobs earning the minimum wage.

--Offender George, 28 years old, was completing a 4-year sentence for bank robbery and receipt

of stolen money. According to the Bureau's classification material, George had no marketable skills and poor academic achievement. The presentence report did not specifically state these needs or make any program recommendations to correctional authorities. During parole supervision, George was employed in a job earning less than the minimum wage until he was again arrested for armed bank robbery.

Recognizing the need for better guidance in preparing presentence reports, the Federal Probation System furnished new guidance to all judicial districts in January 1978. We reviewed 60 of 559 presentence reports prepared in 4 judicial districts during the period January 1979 through March 1979. Although we noted improvement in the quality of presentence reports, only 29, or 48 percent, adequately identified offender needs and made program recommendations.

According to Federal Probation System officials, the five Regional Probation Administrators have started visiting all district offices to improve the quality of presentence reports. Also, the Federal Probation System began a series of training seminars for probation officers in fiscal year 1979. Additional training seminars are planned for fiscal year 1980 to train nearly all probation officers. These training sessions will emphasize the proper procedures to be followed in preparing a presentence report.

More emphasis needed on the identification of State offenders' needs

State and local probation offices have not emphasized identifying offenders' needs and making program recommendations to State correctional authorities. Correctional authorities regularly received presentence reports from State and local probation officers in only two of the four States we visited.

In one State, the Division of Probation and Parole of the State Bureau of Corrections is responsible for preparing presentence reports for the courts. These reports, generally furnished to the correctional institution, discuss an offender's background and experiences in the community. Of 40 presentence reports reviewed at 1 office, only 13 identified offenders' needs. None of the 40 presentence reports made program recommendations to deal with them. The State Commissioner of Corrections, agreeing with the important role that presentence reports could play, stated that corrective action would be taken at once to ensure

that presentence reports (1) fully identify offenders' needs and (2) make program recommendations to deal with those needs.

In another State, presentence reports are the responsibility of the county probation officers. In most urban counties, a presentence report is prepared only when the court considers probation as an alternative to incarceration. In rural counties, a presentence report is rarely prepared under any circumstance. State correctional officials said that they receive presentence reports for less than 25 percent of the offenders committed to the State correctional system. Of 25 offender files reviewed at 1 urban office, only 3 contained presentence reports. None of them identified an offender's needs or made program recommendations.

In a third State, county probation officers prepare presentence reports at the request of the courts. State correctional and parole authorities said that presentence reports which identify offenders' needs and make appropriate program recommendations can be a valuable tool in assisting offenders to improve their employment prospects. However, they rarely obtained presentence reports because many courts did not require them. The data provided to us by the State parole authority for 80 offenders indicated that only 1 presentence report was made available to State correctional and parole authorities. This report did not identify any needs for the offender or make any program recommendations.

PROBATION OFFICERS NEED BETTER GUIDANCE ON HOW TO ASSIST OFFENDERS

Federal, State, and local authorities have not provided adequate guidance to probation officers on how to

- prepare offender program plans,
- effectively address offender needs, or
- regularly assess offender progress in meeting program goals.

As a result, many probation officers did not regularly perform these tasks.

Probation officers should use available information on offenders and discussions with them to develop realistic program plans for meeting their needs. During the period

of parole supervision, the probation officers should provide assistance, counseling, and encouragement to offenders. They are also expected to continuously monitor the offenders' progress in meeting established goals.

Probation officers need more guidance
in developing offender program plans

Until recently, the Federal Probation System provided no guidance to district offices on how to prepare individual program plans. The absence of such guidance resulted in some probation officers failing to develop program plans and others preparing them inadequately. Of 106 case files reviewed at 4 district offices, only 7 had adequate program plans.

In February 1979, the Federal Probation System issued interim instructions to Chief Probation Officers in all judicial districts, calling for more uniform case management practices. Probation officers were instructed to (1) develop program plans that identify offenders' needs, (2) establish a timetable for meeting offenders' needs, and (3) reassess offenders' progress at least every 6 months. Also, the Federal Probation System has formed a special task force to develop standards for identifying offenders' needs, developing program plans addressing offenders' needs, and regularly assessing offenders' progress. The five Regional Probation Administrators plan to make onsite visits to district offices to ensure that these duties are performed.

The States we reviewed provided local probation officers minimal guidance for developing program plans and experienced the same problems encountered by the Federal Probation System.

Probation officers should emphasize
addressing offenders' needs and
regularly assess their progress

Probation officers did not fully address offenders needs and provided them with only limited assistance. In our sample of 106 case files, we identified 168 potential needs, but only 55 were being addressed while the offenders were under supervision of probation officers.

NEEDS	NUMBER	
	IDENTIFIED BY GAO	ADDRESSED BY PROBATION OFFICERS
EMPLOYMENT	45	a/23
VOCATIONAL SKILL	40	4
ACADEMIC EDUCATION	36	4
DRUG TREATMENT	19	11
ALCOHOL TREATMENT	19	8
PSYCHIATRIC TREATMENT	9	5
TOTAL	168	55

a/Many of the parolees who received assistance were employed in low-paying jobs, and probation officers provided little assistance in upgrading employment.

The documentation in the case files showed that although probation officers contacted parolees, the contacts were not used to provide comprehensive counseling and encouragement or to assess the parolee's progress in meeting program goals.

Rather, contacts dealt mainly with day-to-day situations, such as the parolee's current residence, employment status, encounters with law enforcement officials, questionable activities, travel permits, and crisis intervention. For example:

--Offender Ted, 24 years old, was completing a 6-year sentence under parole for theft from an interstate shipment. Ted was never gainfully employed prior to incarceration and needed academic education and vocational training. During the initial office visit with his probation officer, it was noted that Ted needed academic education and desired vocational training. He was advised to contact a job clearinghouse for ex-offenders and the State vocational school. During his next office visit, Ted noted he was working for a construction company earning \$2.50 per hour. Over the next 2 months, there were several contacts between Ted and his probation officer. These contacts only concerned Ted's employment and residence. There was no evidence the probation officer made any further efforts to counsel and encourage Ted to obtain additional academic education or attend the state vocational

school. During Ted's most recent office visit, he mentioned that he needed more steady employment; however, there was no evidence that the probation officer made any effort to help Ted find more suitable employment.

- Offender Tom, 23 years old, was completing a 4- to 6-year sentence under parole supervision for interstate transportation of stolen motor vehicles. Tom had a history of drug abuse, psychological problems, limited education, no skills, and a poor work history. He was released through a halfway house and obtained a job earning about \$125 per week prior to reporting to his probation officer. During Tom's initial months of supervision, he had five contacts with his probation officer. These contacts, however, centered around Tom's current employment status, efforts to find a suitable residence, and continuing domestic problems with his wife. There was no evidence that the probation officer made any effort to address Tom's needs for upgrading his education level, learning a marketable skill, and dealing with his drug and psychological problems.

- Offender Gary, 40 years old, was completing a 4-year sentence for possession with intent to distribute cocaine. Gary had participated in an on-the-job training program in roofing and carpentry but had little education. Gary was released through a halfway house in November 1976, when he obtained a job that paid about the minimum wage. Gary's probation officer made no effort to assist him in improving his employment status until April 1979, or over 2 years after he was released on parole. When Gary expressed an interest in upgrading his employment status, the probation officer told Gary he would give him a few leads. While Gary was on parole, he had numerous contacts with his probation officer. However, these contacts centered around Gary's divorce proceedings, travel requests, and changes in his residence. There was no evidence that the probation officer made any effort to address Gary's needs for upgrading his education level.

--Offender Dick, 49 years old, was completing a 10-year sentence under parole supervision for bank robbery with a special condition of parole that he abstain from the use of alcoholic beverages and participate in an Alcoholics Anonymous program. Dick had a long history of alcoholism. Dick remained under parole supervision for over 5 years and during this time, the file indicated many instances of drunkenness. His participation in Alcoholics Anonymous was at best sporadic. We found that the probation officer did not ensure that Dick enrolled in an alcohol treatment program.

--Offender Al, 28 years old, was completing a 4-year sentence under parole supervision for possession of bank funds and bank robbery. Al had only a 9th grade education, no job skills, and no significant work history. Upon release from the institution, he obtained employment as a photographer's aide earning the minimum wage. In an early case review, the probation officer stated that the subject impressed him as a man who was unwilling to work and would sooner or later be before the court again. There is no evidence in the file to show that the probation officer attempted to persuade Al to improve his education, obtain a job skill, or find a better job. Most entries in the file related to the offender's residential status and attempts by the probation officer to contact him. Al was subsequently arrested and convicted of armed bank robbery. He received a 20-year sentence.

Probation officers in the four States generally did little to address offenders' needs or regularly assess program progress.

Better guidance needed for job placement activities

In March 1977, the Federal Probation System and the Bureau of Prisons agreed that the Federal Probation System would be responsible for job development and placement activities for offenders released on parole from Federal correctional institutions. Since then, the Federal Probation System has provided little guidance to its district offices.

The district offices did not receive implementing instructions until almost 10 months after the Federal Probation System assumed responsibility for the program. The only guidance provided has been a series of training seminars on job placement assistance programs for offenders for about 100 of the System's 1,600 probation officers.

Several probation officers said that better guidance from headquarters would help the district offices to more effectively address offenders' employment placement needs.

Few job placement programs for parolees have been established, and the district offices have done little to establish strategies for helping parolees find employment. For example:

- One district office appointed a probation officer as the employment placement officer. This probation officer maintains a caseload of about 30 offenders and spends about 30 percent of his time on employment placement activities. Because of his caseload duties, he has provided employment assistance to only a few offenders. This probation officer stated that many offenders could benefit from employment counseling and job placement assistance.
- At another district office, the employment placement function was assigned as an additional duty to a probation officer who maintained a full caseload. This probation officer's employment assistance was limited to passing along any information he obtained on employment services or job opportunities to other probation officers. This probation officer did not actively seek employment opportunities for offenders or provide any direct services to them.
- In a third office, employment placement assistance was provided by individual probation officers as needed. Although one officer from this district attended the Federal Probation System's training seminar, the district office has no plans for establishing an employment assistance program.

Many offenders were employed in unskilled and low-paying jobs, and probation officers did little to enhance their employment prospects. Probation officers at four district

offices provided limited employment assistance to the 106 offenders whose files we reviewed. For example:

- Offender Ron, 28 years old, has been under parole supervision for 31 months. He served almost 4 years of an 8-year sentence for bank robbery. While incarcerated, Ron completed a vocational training program in machine shop and worked in the institution's tool and die shop. Since release, Ron has worked as a cook for \$2.00 per hour and a porter for \$3.50 per hour. Ron has received no job placement assistance from his probation officer.
- Offender Steve, 32 years old, received a 5-year sentence for forgery of United States Treasury checks. He was released on parole after serving about 23 months of this sentence. While incarcerated he learned no marketable skills. Steve was unemployed for an extensive period of time while under parole supervision. There was no evidence that Steve received any significant job placement assistance from his probation officer.
- Offender Robert, 25 years old, received a 6-year sentence for receipt of a stolen motor vehicle. He was released on parole after serving about 29 months of this sentence. While incarcerated he did not learn any marketable skills. Robert was only employed part of the time he was under parole supervision in several low-paying jobs. There was no evidence that Robert received any significant job placement assistance from his probation officer.
- Offender Norb, 42 years old, received a 5-year sentence for possession of an illegal firearm. He was released on parole after serving about 39 months of this sentence. While incarcerated, Norb completed a vocational training course in automotive repair. Norb has been employed in a couple of low-paying jobs while under parole supervision. His probation officer did not provide much job placement assistance. There was no evidence that the probation officer made any attempt to find Norb a job which made use of the skills he learned in automotive repair.

Our analysis of case file data at one district office provided additional evidence of why the Federal Probation System should strengthen its job development and placement programs. Offenders with marketable skills who were employed in jobs related to their skills earned an average of \$7.71 per hour, while offenders who possessed skills but were employed in other occupations earned an average of \$3.95 per hour. Those offenders who had no skills earned an average of only \$3.66 per hour.

In the four States reviewed, probation officers were responsible for assisting offenders in finding suitable employment, but they made little effort to address offenders' employment needs.

CONCLUSIONS

The Federal Probation System and State authorities have not assured adequate identification of offenders' needs in presentence reports, development of comprehensive program plans for addressing offenders' needs, or routine reassessment of the offenders' progress in programs. These deficiencies detract from the ability of the agencies to assist those offenders who want to improve their employment prospects voluntarily or who would do so if provided some guidance.

RECOMMENDATIONS

We recommend that the Director, Administrative Office of the United States Courts, require the Chief of the Federal Probation System to

- fully identify offenders' needs in presentence reports,
- prepare individualized offender program plans,
- regularly reassess offender progress in programs, and
- develop better guidance to assist probation officers in job placement activities.

To help State parole and correctional authorities, we recommend that the Attorney General require the Director of the National Institute of Corrections to disseminate information on any actions taken by the Federal Probation System to implement the above recommendations.

Finally, during our review, responsibility for contracting for drug aftercare for Federal offenders on

probation or parole was transferred from the Bureau of Prisons to the Federal Probation System. On the basis of discussions with probation officers, we believe the problems in contracting noted in chapter 2 of this report should be closely scrutinized by the Administrative Office of the Courts to help minimize potential problems the Federal Probation System may have in contracting for drug aftercare services.

AGENCY COMMENTS

The Administrative Office of the United States Courts commented on a draft of this report by letter dated December 4, 1979, and expressed general agreement with its findings and recommendations. (See app. I.)

The Director stated that he will continue to stress the need for improvement in the preparation of presentence reports, and that the office plans to publish further standards on the preparation of program plans. He also recognized the continuing need for addressing the needs of offenders while under parole supervision, but expressed the belief that probation officers should focus their professional attention on identifying needs that are related to offense behavior.

In our analysis of the comments we received from the Department of Justice (ch. 2), we stated that we viewed the various aspects of the correctional system as an integrated process. If linkages are developed, the Federal Probation System should be able to broaden its service delivery capability. In view of the difficulty in determining which of an offender's needs actually relate to offense behavior, we think this development would be beneficial.

CHAPTER 4

FEDERAL, STATE, AND LOCAL AGENCIES

SHOULD COORDINATE THEIR EFFORTS

TO HELP OFFENDERS

Federal, State, and local agencies do not coordinate their efforts to assist offenders. At the Federal level, correctional institutions do not provide community facilities and probation authorities with information developed on offenders during their incarceration. Without such information, community facilities and probation authorities must individually identify offenders' needs and assess progress in meeting them.

At the local level, community programs to help offenders are not coordinated. As a result, unnecessary duplication of services and funding exists.

FEDERAL AGENCIES NEED TO DEVELOP BETTER PROCEDURES FOR SHARING INFORMATION ON OFFENDERS

The opportunity for duplicating efforts in developing information on Federal offenders is great. Probation officers are supposed to identify offenders' needs in presentence reports, the Bureau is supposed to identify the needs of offenders committed to correctional institutions, probation officers must reassess the needs of offenders when they are released on parole, and community facilities need information on offenders assigned to their custody. Unless information is shared, a great deal of effort could be expended developing information that is already available, or the information may not be developed at all.

The Department of Justice has recognized the importance of, and the need for, closer coordination between the Bureau and the Federal Probation System in developing a comprehensive release plan for each offender. In commenting on our report entitled "Probation and Parole Activities Need To Be Better Managed" (GGD-77-55, Oct. 21, 1977), the Department stated that the Bureau and Probation System would give particular attention to developing cooperative plans suited to the individual's needs, consistent with the vocational training received within the institution.

However, the Bureau and the Federal Probation System do not coordinate their efforts to ensure that the information necessary for identifying offenders' needs and assessing their progress is shared between agencies. Institutional

staff and probation officers were not always in a position to make program recommendations for offenders because the necessary information was not available.

Probation officers did not always have complete information on offenders' needs. Of the 106 parolee case files reviewed in 4 judicial districts, the information from the Bureau's institutions was often unavailable, incomplete, and outdated. For example:

- Classification studies were not available in 19 of the 106 case files.
- Classification summaries, when available, failed to fully identify offenders' needs. Only 48 of the 106 case files contained summaries which identified all of the needs shown in available classification material.
- Information on an offender's academic achievement, vocational aptitude, and personality traits was generally absent. Only 61 percent of the files had test scores for academic achievement, 32 percent for vocational aptitude, 70 percent for IQ, and 20 percent for personality traits.
- Current progress reports were not available in 22 of the 106 case files.
- Progress reports, when available, rarely mentioned what the offender had done to meet identified needs. These reports fully discussed offender progress in meeting needs in only 28 of 106 case files. Also, most progress reports failed to make any significant recommendations for future programming.

Federal probation officers said that more complete and current information from the Bureau's institutions would help to fully identify an offender's needs.

Also, the Bureau did not provide community facilities with information on offenders' needs. Prior to the transfer of an offender from a Federal correctional institution to a community facility, a Bureau caseworker is responsible for forwarding a referral package to assist the staff in developing a plan for the offender. The referral package should consist of a classification summary and progress reports and should contain information on the offender's sentence, social background, education and skill levels, employment history, institutional adjustment, and program achievements.

Review of the case files for 265 offenders showed that classification studies were not available in 42 cases, and current progress reports were absent in 132 cases. When this information was available, it often failed to identify offender needs and make recommendations for future programming. Because some progress reports were over a year old, the status of recent program activities was absent. In addition, information was generally absent on an offender's academic achievement, vocational aptitude, and personality traits.

Officials at several halfway houses stated that sufficient information was frequently not received from the Bureau's institutions. They said that an offender's needs could be more comprehensively addressed if the Bureau provided complete classification material and current progress reports.

In our prior report on employment training in correctional institutions, we reported that the Bureau did not (1) identify offender needs, (2) develop program recommendations best suited to fulfill the identified needs, or (3) regularly assess offender progress in programs. Steps to correct these problems are being taken; however, improvements in these areas will not benefit offenders assigned to community facilities unless the Bureau makes sure that the information is disseminated.

The States experienced similar problems

Three of the four State correctional agencies did not routinely furnish information on offenders' needs to State parole authorities. The fourth State--California--had a system for providing comprehensive information to State parole officers.

In two States, the probation officers did not regularly receive comprehensive information on offenders' needs because caseworkers in correctional institutions did not routinely develop this information. Information reviewed in 65 parolee case files was often incomplete or outdated. One State Commissioner of Corrections said that action would be taken to ensure that institutional staff developed the required information on offenders' needs and forwarded it to probation officers.

In a third State, a review of 80 parolee case files in two cities showed that available information was not always adequate to fully assess offender needs. State probation officials said that they did not receive adequate information on offenders' needs because the flow of information between

State correctional and parole authorities was poorly coordinated. They also said that more complete information would help them. In this State, the parole authority was not aware of an automated management information system operated by State correctional authorities since 1973. It contained valuable information on activities of offenders while incarcerated. After we informed parole authorities of the system, they said that they would work with the State correctional authority to obtain access to this system.

In the fourth State--California--the correctional institution forwards a comprehensive case summary to the local parole office responsible for supervising the parolee. The summary includes social, vocational, and psychiatric evaluations in addition to information on academic education and institutional activities. Also, the correctional institution prepares a summary of program recommendations for the probation officer's use.

Two States reviewed placed parolees in halfway houses. In both States, halfway houses experienced problems in identifying offender needs because they received little information from State correctional and parole authorities.

SERVICES SHOULD BE BETTER COORDINATED FOR OFFENDERS IN METROPOLITAN AREAS

The Departments of Justice, Labor, and HEW provide State and local agencies with the bulk of Federal funds for assisting offenders in the community. Federal, State, and local agencies did not coordinate community programs for offenders, thus unnecessary duplication of funding and services existed.

In a March 1977 study, the American Bar Association reported that increased efforts to address offenders' needs had created some inefficiencies in program activities. The study pointed out that needless duplication of services for offenders had occurred because community organizations made little effort to coordinate their activities in major metropolitan areas. The study also pointed out that some of these organizations were unknown to one another, while others operated independently and openly refused to coordinate their activities.

In the seven major metropolitan areas we reviewed, community organizations made little effort to coordinate programs for offenders. In these communities, the lack of coordination contributed to a proliferation of programs for offenders and some unnecessary duplication of services and funding. The following examples illustrate the problem.

- In one city, six programs administered by four separate State agencies received funding from three Federal Departments. These programs all provide similar services to common clients--including offenders--such as education, training, counseling, and job placement assistance. There was no formal coordination at the State or local level, and duplication of services and funding prevailed. The State director of education agreed that these six programs should be consolidated. He said that other cities had consolidated such programs and that better coordination at the State and local level would eliminate unnecessary duplication of funding and services.
- In another city, the local State employment office operated a pilot program to assist offenders to find jobs. This program received funding through the Department of Labor, but it could only serve about half of the applicants because of funding limitations. In the same city, three other organizations that received financial assistance of about \$181,800 from LEAA also tried to provide job placement assistance to offenders. A State employment office official said that these programs had not been coordinated at the State or local level, and services and funding had been duplicated. He also said that the additional funds necessary to fully implement the pilot program would be considerably less than the funds provided by LEAA to the other three organizations.
- In one city, over 100 organizations provided job placement assistance to released offenders. Many of these organizations were within a few blocks of each other. These organizations received their funding from various Federal, State, and private sources. The activities of these organizations were not coordinated at the State or local level. Several officials from these organizations admitted that there was duplication of funding and services.
- Offenders are eligible for residential services under Title XX of the Social

Security Act. Financial support for this program comes primarily from Federal funds supplied by HEW. The program is administered by State and local agencies. One State Department of Correction contracted with halfway houses to provide residential services to its offenders. Two halfway houses in different cities in that State billed the State correctional agency and also Title XX for providing the same services to the same offenders. Poor coordination between the agencies involved contributed to this deficiency. We estimated that at least \$300,000 in duplicate payments had been received by these two halfway houses. This matter has been discussed with HEW and State officials who said that the overpayments will be recovered and coordination improved.

Efforts have been made to coordinate programs for offenders in some communities. For example:

- In 1977, the State of California established an ex-offender office with financial assistance from LEAA. This office was created to act as a link between individuals, programs, organizations, governments, and volunteer groups having substantial involvement with released offenders. Increased emphasis has now been placed on coordinating the activities of community organizations in various parts of the State. Several community organizations in San Francisco were encouraged to coordinate their efforts to overcome funding problems and duplication of services. These organizations agreed to establish a consortium to consolidate their programs. The proposal submitted by the consortium was about \$700,000 less than the funding required by the individual organizations to operate independently.
- Recognizing the need to assist offenders to re-enter society, one county in California established a clearinghouse in 1976 to coordinate the services provided by various community organizations. The primary goal was to share client and employment information and coordinate job placement opportunities for offenders. ACTION

provided initial Federal funding for the clearinghouse. The clearinghouse proved to be highly successful during its first year of operation and grew from an original nucleus of 5 community organizations to 17 member agencies. The county has taken over funding of the clearinghouse through use of revenue-sharing funds.

--Up to 1,000 community organizations, many of which receive Federal funds, assist offenders in the greater Los Angeles area. The lack of coordination among these organizations has contributed to unnecessary duplication of services and funding. However, during a series of meetings in early 1979, Federal, State, and local correctional officials started working together to formalize an organizational structure whereby improvements could be made in the use of agency and community resources.

CONCLUSIONS

The Bureau of Prisons and State correctional authorities have not provided comprehensive information to Federal and State probation officers and community facilities on the progress of offenders while incarcerated. This deficiency hinders these agencies in effectively assisting those offenders who want to improve their employment prospects voluntarily, or who would do so if provided some guidance. Also, unnecessary duplication of services and funding existed because community services for offenders were not adequately coordinated.

RECOMMENDATIONS

We recommend that to make sure that information is available on offenders, the Attorney General and the Director of the Administrative Office of the United States Courts require the Director of the Bureau of Prisons and the Chief of the Federal Probation System to work together to identify the information needed by both agencies and develop procedures for sharing it. We also recommend that to help State parole and correctional authorities, the Attorney General require the Director of the National Institute of Corrections to disseminate information on any positive action taken by the Bureau of Prisons and the Federal Probation System.

Improved coordination will be more difficult to achieve. Since the Bureau of Prisons and LEAA fund programs solely for offenders, we recommend that the Attorney General:

- Require the Director of the Bureau of Prisons to monitor community facilities' use of available community resources to avoid duplication.
- Require the Administrator of LEAA to emphasize the use of existing community resources before approving new LEAA-funded programs.

AGENCY COMMENTS

The Department of Justice and the Administrative Office of the United States Courts concurred in our recommendation to identify information needed by both the Federal Probation System and the Bureau of Prisons and develop procedures for sharing it. A meeting was conducted in December 1979 to begin work in this area.

The Department of Justice did not comment on the other recommendations contained in the chapter.

CHAPTER 5

SCOPE OF REVIEW

We conducted our review between September 1978 and May 1979. We examined the records of community programs operated by the Bureau of Prisons, the Federal Probation System, 4 State parole authorities, and 30 public and private organizations. We also discussed program operating procedures with agency officials.

We conducted our work at the Bureau's headquarters, four of its regional offices, and its CTCs in Long Beach, Dallas, and Houston. We also conducted work at the headquarters of the Federal Probation System and reviewed activities at six of its district offices--Los Angeles, Lexington, Louisville, Cincinnati, Dallas and Houston.

In California, Kentucky, Ohio, and Texas, we reviewed activities of the State parole authorities and 30 public and private organizations.

The States and organizations in our review were selected on the basis of their geographic location and are not considered better or worse than those we did not visit. Because the focus of this report was to identify problems which Federal agencies could address more effectively, the States and organizations have not been identified except to provide background information or to give them credit for making headway in attempting to solve certain problems. This was done so that other States and organizations might be able to contact them to obtain additional information.

We coordinated our work with the Department of Justice's Office of Management and Finance, which is responsible for the Department's internal audit activities. Reference to a report it previously issued on the Bureau's contracting activities has been incorporated into chapter 2 of this report.



UNITED STATES DEPARTMENT OF JUSTICE

WASHINGTON, D.C. 20530

Address Reply to the
Division Indicated
and Refer to Initials and Number

DEC 20 1979

Mr. Allen R. Voss
Director
General Government Division
United States General Accounting Office
Washington, D.C. 20548

Dear Mr. Voss:

This letter is in response to your request for comments on the draft report entitled "Community-Based Correctional Programs Can Do More To Help Offenders."

We have reviewed the General Accounting Office (GAO) draft report and agree that some program and procedural areas need corrective action. We believe, however, that the general tone of the draft report implies that little is being done to assist the offender's return to the community. GAO does not recognize the initiative that the Federal Prison System has taken to address any of the issues presented in the draft report. Specifically, no mention is made of the Federal Prison System's task force on community programs established October 1977, which was prior to the date GAO started its audit. GAO does not refer to the evaluation undertaken by the Federal Prison System's research staff which reached conclusions differing from those listed in the GAO report.

GAO did point out some problem areas which required immediate corrective action. As a result of the reorganization of the Bureau of Prisons (BOP) Central Office, some of GAO's recommendations were accomplished. For example, the headquarters Community Programs Administrator was replaced with a person who has experience with community programs; the contracting responsibility was reassigned to the Comptroller's Office; additional contracting specialist positions were assigned to the regional offices; and the Office of Inspections conducted an extensive series of audits of Community Treatment Centers (CTCs) under contract with BOP in an effort to further define problem areas needing correction.

The following comments address specific issues and procedural problems presented in the report. With respect to the areas of agreement, we state our corrective actions; with respect to the areas of disagreement, we state our objections and the rationale upon which our objections are based.

-2-

GAO states generally that better management of BOP's community programs is needed to improve services to offenders. The overall tone of this statement leaves the impression that CTCs should be expected to solve a universal array of offender problems. We disagree with the implication that nothing of value to the offenders is provided by the CTC program.

The primary mission of the CTC program is to assist offenders re-entering the community at the end of their sentences. Additionally, the CTCs are designed to: (a) assist offenders on probation who need short-term CTC programs, (b) carry out direct commitments regarding offenders designated by the courts, and (c) provide some offenders with unique training needs. Those cases notwithstanding, most CTC clients are offenders serving the final portion of their confinement. By policy, these offenders are transferred to the CTC with less than 6 months to serve. The average stay for fiscal year 1979 was 101 days, with some offenders serving as little as 30 days.

The above time frames are not designed to impact on major elements of a person's personality or behavior. For this reason, BOP has narrowly focused CTC program emphasis on basic economic and living responsibilities--employment, savings, housing, family, and community assimilation. Additionally, for those persons with addiction problems, we emphasize coordination of aftercare programs with the United States Probation Service (USPS).

The direction of this economically focused program is supported by program evaluation. The Federal Prison System, Community Treatment Center Field Study - 1978 indicates that CTC residents and the CTC staff found the most important need of offenders to be economic--finding a job and saving some money. There is evidence that CTCs emphasizing high involvement in adjustment and personality counselling have no better record in reducing post-release criminality than do the CTCs that do not provide such programming. Also, high involvement CTC residents do significantly worse in the post-release employment area.

On page 7, GAO implies that community facilities were not addressing offender needs and that CTC programs should be addressing the entire universe of offenders' needs. Noting the tabulation on page 7, our judgment is that only employment, drug treatment, and alcohol treatment are relevant, with the main thrust being employment. GAO concludes that

-3-

offenders are receiving very little assistance even in the area of employment. We disagree with this general finding. Our most recent follow-up of CTC releases showed that those offenders released through a CTC worked longer and earned more money following release than a comparable group of offenders who were not released through a CTC.

The GAO report also indicates that the quality of assistance provided to offenders is poor and that the CTC staffs do not appear motivated to assist offenders beyond bare minimum requirements. This observation is further highlighted when GAO states that offenders' progress was not regularly addressed. We believe the main point at issue is a complete lack of individualized programming for CTC residents. We agree these are serious program defects and preliminary plans to impact on this area are already in progress. For example, we are initiating a training program for Community Program Officers (CPO) aimed at helping them identify this type of problem and thus provide direct assistance to the CTCs. In addition, BOP has set a goal to upgrade CTC programs and have all CTCs, both Federal and contract-operated, accredited to American Correctional Association standards by 1984.

GAO's section on BOP's management of community resources articulates ineffective management in the CTC contracting process. We agree with this assessment and BOP is completely overhauling its contracting procedures. To assist in this overhaul, we obtained the services and advice of a consultant who is highly experienced in Government service contracting. BOP is in the process of:

- Reassigning the contracting authority from the Regional Community Program Administrator to the Regional Comptroller (Target - February 1980).
- Establishing five Community Programs Contracting Specialist positions, one in each regional office (Target - February 1980).
- Writing a statement of contracting procedures that specifically identifies work flow and delegation of responsibility (Target - January 1980).
- Writing a Community Programs Officer Manual that will cover "cookbook" style procedures for contract development and for contract monitoring (Target - April 1980).

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The GAO report further states that BOP needs a better method for assigning offenders to community facilities. The two issues presented in this section of the report focus on offender programming prior to transfer to a CTC. We agree with the core principles--that it is desirable to provide inmates with a gradual reduction in custody prior to entering a community program, and that inmates should be assigned to community programs by a classification system that will sort offenders by their need as related to type and length of a CTC program. However, we believe GAO should address the complex operational issues involved. For example, Federal prisons are each classified by the level of security, or "custody," they provide. Thus, movement down through several levels of custody could involve several transfers for the inmate. In turn, this could mean interruption of an inmate's program, and, in some cases, due to the geographic location of the facility involved, a transfer farther from home just prior to release to the CTC. The second issue, classification for community programs, is also important and complex. Again, the interaction between the ideal and the workable has to be considered. As an example, on page 24, the GAO report implies that inmates who do not participate in institution programs should not be transferred to CTCs. If this approach were followed, it could be construed as a "punishment."

In an effort to directly pursue the GAO recommendation and give proper consideration to the operational complexities, the Community Programs and Correctional Programs Administrators have been directed to jointly work on policy and procedures that will improve our current practices in this area.

GAO states that CPOs and Community Programs Administrators need information to plan community inmate programs by having accurate, accessible management information. We agree. BOP is aware of the chronic inadequacies of its present information systems and is in the process of installing a BOP-wide on-line system called SENTRY. Single terminals are presently being installed in all institution facilities, with installation in CPO offices scheduled to begin in May 1980. Production of the software that will allow full utilization of the SENTRY terminals is not scheduled due to higher-ranking priorities and limited programming resources. However, this task will be accomplished as soon as our programmers' work loads permit.

-5-

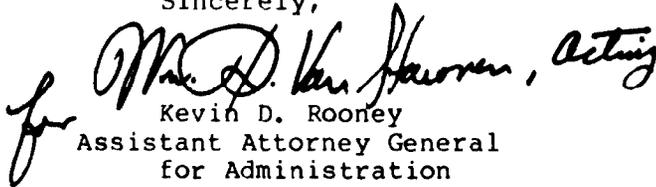
GAO states that better policy is needed to ensure that BOP uses its own CTCs to capacity before contracting for CTC services in the same geographic area. We agree and have implemented the GAO recommendation to have area CPOs regulate all CTC placements. The policy provides that Federal CTCs be used first and contract CTCs be used for the overflow.

GAO states that Federal agencies responsible for offenders need to develop better procedures for sharing information by having lateral communication at the operational level. The points made in the report are well taken. When two separate agencies, such as BOP and the USPS, are involved in a single program at the same time, there is always a tendency for the monitoring to become lax. In response to the recommendations, a meeting has been scheduled between BOP and the USPS administrative staff late in December 1979. At this meeting, BOP and USPS will identify specific problems and develop an initial plan of action.

A second communication problem pointed out by GAO occurs between BOP institutions that are transferring offenders and the CTCs that are receiving them. According to GAO, accurate reports on an inmate's institution-related performance are not consistently forwarded in a timely fashion. This is a perennial problem faced by BOP. We agree that we can, and should improve communication in this area. The Assistant Director, BOP, responsible for this area has been directed to stress the importance of promptly forwarding inmate institution-related performance to CTCs.

We appreciate the opportunity to comment on the report. Should you desire additional information, please feel free to contact us.

Sincerely,

for  *Acting*
Kevin D. Rooney
Assistant Attorney General
for Administration

ADMINISTRATIVE OFFICE OF THE
UNITED STATES COURTS

WASHINGTON, D. C. 20544

WILLIAM E. FOLEY
DIRECTOR

December 4, 1979

JOSEPH F. SPANIOLO JR.
DEPUTY DIRECTOR

Allen R. Voss, Director
General Government Division
United States General Accounting Office
Washington, D. C. 20548

Dear Mr. Voss:

This letter is in response to your request of November 6, 1979, for comments on the draft report of the General Accounting Office entitled, "Community-Based Correctional Programs Can Do More to Help Offenders."

While the scope of the report includes community programs operated by the Bureau of Prisons, the Federal Probation System, and state and private organizations, I shall limit my comments to the contents of Chapter Three and those parts of Chapter Four which deal with the Federal Probation System.

In general the report finds substantial room for improvement in the comprehensive identification of offenders' needs in presentence investigation reports, the preparation of individualized program plans, the evaluation of program progress, and guidance to probation officers in job placement activities. These are basic, important requirements for the Federal Probation System to address and I agree in general with the findings and recommendations of the report.

The following comments are offered for the record. Chapter Three, at page 34, indicates that of a sample of 280 presentence reports only 12, or 4 percent were adequately prepared (emphasis added). Examples following that comment cite cases where the presentence reports did not comprehensively identify offender needs and make program recommendations. The examples cited involved presentence reports completed over an unstated period of time in the past. The report then comments, at page 36, that of the presentence reports reviewed that were written this year, 48 percent adequately identified offender needs and made program recommendations (emphasis added). Without quibbling over what constitutes "adequate," in view of a lack of definition of the term as used in this report, I am pleased to note that the improvement followed issuance by this office of Publication 105, The Presentence Investigation Report, January 1978. I have no question there still remains room for improvement and will continue to call for more attention to this area.

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At page 37, the report states that the Federal Probation System has not provided adequate guidance to probation officers for preparation of offender program plans and assessment of offender progress in meeting program goals (emphasis added). It then continues with the comment that until recently, "no guidance" was provided. This latter comment is a restatement of criticism in an earlier report to which I took exception at the time. For many years the need for proposed treatment plans has been stated in instructions issued by this office, by manual instructions, and during periodic training programs. I cannot agree that "no guidance" was provided before the issuance of our most current manual instructions in February 1979. We do recognize the need for improvement of current instructions and plan to publish further standards in this area.^{1/}

At page 38, the report states that "probation officers were not fully addressing offenders' needs and were only providing them with limited assistance." In 106 case files reviewed your investigation identified 168 potential needs, of which only 55 (32.7%) were addressed during the period of supervision. Probation officers should focus their professional attention on identifying and addressing offenders' needs that are related to the offense behavior. If needs are not related to the likelihood of further criminal behavior they do not receive the same level of attention. Although we would never expect all identified needs to be addressed, we do recognize the continuing need for attention in this area.

The report, starting at page 41, calls for improved guidance for probation officers in their job placement activities. I agree that more needs to be done in this area. As the report mentions we are conducting a series of seminars for probation officers on employment placement and we are working on a further statement of standards for these activities.

We have now trained 160 probation officers in employment placement duties and plan to finish a second round of training in 1980. It was never envisioned that we would train all 1400 probation officers in employment placement since we were developing a level of expertise we expected the officers to take back to their respective districts. This seemed an appropriate response to a training need in the face of training fund limitations.

The report at page 41 states that the probation system in March 1977 entered into an agreement with the Federal Bureau of Prisons to assume responsibility for job placement of offenders released from federal institutions and did not notify the field offices until 10 months later. This statement is incorrect. A copy of the joint statement of understanding was sent to all offices by memorandum of March 31, 1977.^{2/}

^{1/}This matter has been clarified in our report to show that the district offices received no guidance on how to prepare individual program plans.

^{2/}This has been clarified to show that implementing instructions were not sent out until 10 months later.

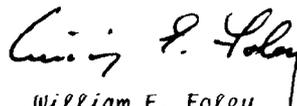
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Chapter 4, in part, reports on the need for improved exchange of offender case file information between the Bureau of Prisons and the probation offices and recommends at page 52 that the Director of the Bureau of Prisons and the Chief of the Division of Probation work together to identify information needed by both agencies and develop procedures for sharing it. We accept this recommendation. The staff of the Probation Division will meet later this month with representatives of the Bureau of Prisons to work toward that goal.

In closing, let me thank you for the discussion of contracting problems noted in Chapter 2, and your suggestion that we closely scrutinize them to minimize problems in contracting for drug aftercare services. Based on briefings your staff has already provided us, we have adopted procedures to deal with these identified problems.

I appreciate having had the opportunity to comment on this report. If I may be of any further help please let me know.

Sincerely,


William E. Foley
Director

GAO note: Page references in agency comments were revised to correspond to pages in the final report.

FEDERAL AGENCIES FUNDINGCOMMUNITY PROGRAMS WHICH ASSIST OFFENDERS

Few Federal education and training programs are specially designed to improve the employability of offenders in the community. Rather, most Federal agencies provide financial support for education and training programs to a target population that is disadvantaged. Offenders in community-based correctional programs are generally eligible to participate in federally funded education and training programs. No comprehensive list is available of all federally supported education and training programs which can assist offenders. Three Federal Departments--Justice, Labor, and HEW--provide most of the Federal funds used by State and local agencies for assisting offenders in the community. Additional information on the three Departments follows.

DEPARTMENT OF JUSTICE

The Department of Justice funds community-based correctional programs for Federal law violators committed to the custody of the Attorney General. Funding for these programs is included as a part of the operating budget of the Bureau of Prisons. During fiscal year 1978, the Bureau spent about \$21.5 million for community correctional facilities. These funds were used to support operations at 9 Federal Community Treatment Centers and to contract with about 400 community halfway houses. Also, offenders residing in these facilities are able to participate in other Federally supported education and training programs in the community.

LEAA provides funds through each State Planning Agency to improve law enforcement activities. It administers block and discretionary grant programs, provides technical assistance, and conducts research and development programs which assist State and local criminal justice agencies. LEAA funds allocated to corrections in the States we reviewed have been used to support the operation of community-based programs for offenders including education, training, job placement services, and clearinghouses for offenders.

The National Institute of Corrections was established by the Juvenile Justice and Delinquency Prevention Act of 1974 (42 U.S.C. §5601 et seq.) as an administrative unit of the Bureau of Prisons. Among its responsibilities, the Institute serves as a clearinghouse and information center for the collection, preparation, and dissemination of information on corrections, including, but not limited to, programs for the prevention of crime and recidivism, training

of corrections personnel, and rehabilitation and treatment of adult and juvenile offenders.

DEPARTMENT OF LABOR

The Department of Labor's major programs which affect offender employability are funded through the Comprehensive Employment and Training Act of 1973 (Public Law 93-203, 87 Stat 839), the National Apprenticeship Act of 1937 (29 U.S.C. §50 et seq.), and the Wagner-Peyser Act of 1933 (29 U.S.C. §49 et seq.).

During fiscal year 1978, State and local governmental entities received about \$10 billion under the provisions of the Comprehensive Employment and Training Act to provide job skill training, public service employment, on-the-job training, work experience, and other employment related programs to disadvantaged individuals, including offenders. This act authorizes special services to offenders, such as vocational training, basic education, drug addiction or dependency rehabilitation, health care, Federal bonding, and other services which will enable the offender to obtain and retain meaningful employment.

The National Apprenticeship Act of 1937 enables the Bureau of Apprenticeship and Training to provide training in approximately 425 apprenticeable occupations. The goal is to assist industry in establishing a combination of classroom and on-the-job training to provide skilled craftsmen and tradesmen. Offenders are generally eligible to participate in apprenticeship training programs in the community.

The Wagner-Peyser Act of 1933 created the United States Employment Service within the Department of Labor. The purpose of this act was to provide employment placement assistance to individuals and employees. This role greatly expanded with the enactment of the Social Security Act of 1935, which established the Federal State Unemployment Insurance program. The United States Employment Service currently provides funding, guidance, and technical assistance to State governments operating employment security agencies. These State employment security agencies are supposed to make available vocational counselling, testing, and other manpower services to job seekers, including offenders. In fact, some State employment security agencies have established separate programs to address the unique employment problems of offenders.

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

HEW provides financial assistance to State and local education agencies to improve and strengthen academic education and vocational training opportunities for the community in general including the handicapped and disadvantaged. Offenders in the community can generally qualify for these programs because they are considered handicapped or disadvantaged. Legislation that assists in the education and training of offenders includes (1) the Elementary and Secondary Education Act of 1965, as amended (20 U.S.C. §236 et seq.), (2) the Higher Education Act of 1965, as amended (20 U.S.C. §1001), (3) the Adult Education Act of 1966 (20 U.S.C. §1201-1213), and (4) the Vocational Education Act of 1963, as amended (20 U.S.C. §2301 et seq.). 1/

The Elementary and Secondary Education Act of 1965, as amended, provides funds to State education agencies and school districts. These funds are used to expand the educational opportunities for the educationally deprived under age 21. These funds have been used to provide additional instructors for elementary and secondary educational programs in the community and in some correctional institutions.

The Higher Education Act of 1965 authorizes Federal funds to colleges and universities for (1) strengthening community service programs, (2) expanding library resources and training programs in librarianship, and (3) improving training and retraining programs for teachers, teacher aides, and other educational personnel. This act also provides financial assistance to individual students to attend college through the Basic Educational Opportunity and Supplemental Educational Opportunity Grant programs. Offenders in the community or in correctional institutions can use these Basic and Supplemental Educational Opportunity Grants to improve their education.

The Adult Education Act of 1966 expanded the educational opportunities of adults. It encouraged them to obtain at least secondary education and training to enable them to become more employable, productive, and responsible citizens. Under the act, funds are generally awarded directly to the States, which reallocate the money to local education agencies. In addition to expanding the adult educational opportunities for offenders in the community, these funds have, on occasion, been used by correctional authorities to expand academic education programs in correctional institutions.

1/Responsibility for administering these programs will be transferred to the newly created Department of Education under the Department of Education Organization Act, Public Law No. 96-88, 93 Stat. 668, 677-678, 696.

The Vocational Education Act of 1963, as amended, authorizes that Federal funds be spent to improve the quality of vocational education and expand vocational education opportunities. Grants are generally provided to State Education Agencies to assist them in maintaining and extending existing programs and in developing new vocational education programs. Special target groups have been identified for particular emphasis in the delivery of these services. These include youths, persons of limited English-speaking ability, handicapped persons, and nonhandicapped persons who have academic, socioeconomic, or other handicaps that prevent them from succeeding in a regular vocational education program. Offenders are eligible for services under the Vocational Education Act of 1963, as amended, since they are members of a group or groups targeted for assistance under the act.

BACKGROUND INFORMATION ON THE BUREAU
OF PRISONS AND FEDERAL PROBATION SYSTEM

BUREAU OF PRISONS

The role of the Bureau of Prisons is to carry out the judgments of the U.S. Courts for Federal law violators committed to the supervision of the Attorney General. The Bureau provides for the custody and care of offenders and offers a wide variety of programs to help offenders improve their employability and prepare for reentering society. In carrying out these activities, the Bureau operates a nationwide system of correctional facilities which include penitentiaries, Federal correctional institutions, prison camps, metropolitan correctional centers, detention centers, a medical center, and Community Treatment Centers. About 23,000 offenders were housed in the Bureau's facilities as of December 31, 1979. The Bureau was authorized to operate on a budget of about \$315 million during fiscal year 1979.

The Bureau recognizes that offenders need assistance to successfully reintegrate into society after a period of incarceration. As a result, the Bureau operates 9 Community Treatment Centers and contracts with about 400 halfway houses for the purpose of housing offenders in the community to enhance their chances of successfully assuming job, family, and other community responsibilities. These facilities are supposed to provide offenders with services, such as employment placement assistance, group and individual counseling, financial assistance, and drug and alcohol treatment. Some of these services are provided by the facilities directly while others are provided through referrals to available community resources. The Bureau has increased the number of offenders released through CTCs and halfway houses. About 19,320 offenders were released by the Bureau in fiscal year 1978 and 8,828, or 46 percent, were released through community facilities. In fiscal year 1978, the Bureau spent about \$18.6 million to house offenders in these facilities. A total of about \$28.7 million was programmed for these activities in fiscal year 1979.

FEDERAL PROBATION SYSTEM

The Federal Probation System, established in 1925, consists of 93 probation offices under the overall administrative direction of the Administrative Office of the U.S. Courts. Chief U.S. Probation officers provide day-to-day operational direction for each of the district probation offices. The Federal Probation System also supervises parolees for the U.S. Parole Commission, but it has no direct organizational affiliation with the Commission.

The Federal Probation System is responsible for the preparation of presentence reports on all persons convicted of Federal offenses and for the day-to-day supervision of about 66,000 Federal offenders, including those who have been granted probation by the courts and those paroled or mandatorily released from Federal correctional institutions. The objective of supervising these individuals is twofold--protecting of society and assisting the offenders to return to productive community life.

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