

1023

HJ INTERIM FILES, CORRECTIONS

3

CORRECTIONS

## STAFF SERVICES

Although management style and structure are basic to the achievement of correctional goals, maintenance of adequate quality and quantity of staff at all levels of the organization is also essential. In order to attain this objective, corrections staff must receive adequate training for their positions, and they must be encouraged through appropriate career ladders and salary incentives to maintain a professional involvement with the corrections field. In this section, both staff training and career ladders are discussed. As part of the planning process, a survey of corrections staff was conducted by Moyer Associates and the Division of Corrections; results of this survey are summarized as a preface to outlining and evaluating the issues and options which have evolved in regard to training and career ladders.

### Staff Profile

The survey, designed by Moyer Associates, was distributed to all Division staff, excluding clerical and maintenance workers. Of the approximately 400 professional staff, 250 returned the anonymous questionnaires to Moyer Associates' offices. The respondents were distributed across the Division's institutions and field offices as follows:

	<u>Number</u>	<u>Percent</u>
Central Office, Juneau	13	5
Probation/parole offices	51	21
Anchorage CC	21	8
Anchorage Annex	-	-
Eagle River CC	29	12
Palmer CC	15	6
Ridgeview CC	16	6
Fairbanks CC	12	5
Juneau CC	12	5
Ketchikan CC	13	5
Nome CC	6	2
McLaughlin Youth Center	<u>62</u>	<u>25</u>
	250	100%

The survey was distributed during August, 1978; no responses were received from staff of the Anchorage Annex, so that the 250 received actually represent an over 70 percent response rate from the remainder of the Division's staff. Although the MYC staff may be slightly over-represented, responses were received in representative proportions from the remainder of the DOC's offices and institutions.

Further indication of the sample's representativeness is the distribution across position types, represented below in ascending order of frequency (as reported by staff members).

	<u>Number</u>	<u>Percent</u>
Administrative staff, juvenile institution	4	2
Training staff	7	3
Security staff, juvenile institution	10	4
Central administrative staff	11	4
Administrative staff, adult institutions	17	7
Probation/parole staff	53	21
Institutional program staff*	63	25
Security staff, adult institutions	<u>83</u>	<u>34</u>
	250	100%

\* The vast majority of these were staff of McLaughlin Youth Center.

Demographic Characteristics

All of the respondents had at a minimum completed high school, and a distinct majority had at least completed some college-level courses.

<u>Educational level</u>	<u>Number</u>	<u>Percent</u>
High school diploma	34	14
Some college	92	37
Bachelor's degree	47	19
Some graduate or professional school	58	23
Graduate or professional degree	17	7
	<u>248</u>	<u>100%</u>

Of the respondents, 27 percent were female. Although 65 percent of these female staff report having at least a Bachelor's degree (as compared to only 42 percent of males, a difference significant at  $p < .01$ ), and even though nearly equivalent proportions of male and female staff report having more than three years of work experience with the Alaskan DOC (14 and 13 percent, respectively), all of the central administrative staff respondents are male. In terms of staff positions, the following summarizes the proportion of female respondents holding each type of position:

<u>Position</u>	<u>Percent of Total Female Staff</u>	<u>Percent Which Comprise in each position</u>	<u>Number of Females</u>
Central administration	-	-	-
Juvenile institution administration	-	-	-
Adult institution administration	2	6%	1
Training	2	14%	1
Juvenile institution security	3	20%	2
Institution program	27	27%	17
Probation/parole	31	41%	20
Adult institution security	35	27%	22
TOTAL STAFF	<u>100%</u>	<u>27%</u>	<u>64</u>

In fact, the great majority (76 percent) of female respondents were located at Ridgeview CC, McLaughlin Youth Center, or in the probation

and parole field offices ( $p < .001$ ).

The ethnic background of staff is represented in the following table:

	<u>Number</u>	<u>Percent</u>
Caucasian	202	84
Black	17	7
Other	10	4
Indian	8	3
Eskimo	<u>4</u>	<u>2</u>
	241	100

As has been noted by others, this ethnic distribution does not parallel that of the Alaska's offenders, who are much more likely than the staff to be either Native Alaskan or Black, especially if incarcerated. However, this is reflected in the distribution of the relatively few Native Alaskan staff across position types; nearly 60 percent of all Native Alaskan employees responding to the survey were employed as adult institution security staff. In terms of educational background, a significantly higher ( $p < .05$ ) proportion of Caucasians (52 percent) than either Native Alaskans (17 percent) or Blacks (35 percent) had at least a Bachelor's degree. All of the central administrative staff responding were Caucasian.

Corrections staff reported the following age distribution:

<u>Age</u>	<u>Number</u>	<u>Percent</u>
21-25	33	14
26-30	70	29
31-40	71	30
41-50	45	19
51-60	17	7
Over 60	<u>3</u>	<u>1</u>
	239	100%

As might be expected, age is directly and significantly associated ( $p < .001$ ) with length of time employed by the Alaska Division of

Corrections: the older the staff member, the longer has been his or her association with the Division.

The following table summarizes, by age group, the proportions of respondents who: 1) have at least a Bachelor's degree; 2) consider their chances of promotion to be good or very good; and, 3) who feel that their co-workers are either satisfied or very satisfied with their jobs:

<u>Age</u>	<u>Bachelor's Degree</u>	<u>Good/Very Good Promotion Chances</u>	<u>Co-Workers' Satisfaction With Job</u>
21-25	42%	62%	73%
26-30	50%	55%	59%
31-40	56%	40%	50%
41-50	40%	50%	60%
51-60	64%	47%	77%
Over 60	33%	33%	67%

The group from 31 to 40 years of age, which makes up the largest proportion of staff, thus has a relatively higher proportion of well-educated persons the majority of whom feel that their chances of promotion within the Division are poor to very poor; and fully half of whom feel that their co-workers are dissatisfied or very dissatisfied with their jobs. Therefore, it is not surprising that a larger proportion among this age group is considering leaving the Division of Corrections:

<u>Age</u>	<u>Percent in each Group Considering leaving</u>
21-25	31%
26-30	34%
31-40	44%
41-50	27%
51-60	29%
Over 60	67%

of those with preservice training said that it was not at all useful, while only three percent said their on-the-job training was not at all useful.

Staff were asked to evaluate whether the preservice and/or on-the-job training they received in 22 specific areas related to corrections prepared them well, adequately, inadequately or poorly for their present positions. If they had not received training in an area, or did not consider it necessary for their present position, staff could so indicate, and thus not evaluate the training in that area. Following are the results of this evaluation; the subject areas are listed in descending order of the relative proportions of staff who reported receiving no training in the area. The second column summarizes the percent of staff who said training in the area was not needed for their present position. The third column contains the percentages of those receiving needed training in the areas who found that the training prepared them either inadequately or poorly for their present position.

<u>Subject Area</u>	<u>No Training</u>	<u>Training Not Needed</u>	<u>Training Inadequate or Poor</u>
Research and/or Planning	43	14	58
Investigative techniques	41	12	50
Supervision of volunteers	38	18	27
Public relations	37	3	34
Riot control	37	15	47
Crisis intervention	34	3	49
Human relations	33	2	35
First aid	32	5	26
Counseling	31	2	36
Firearms	30	30	27
Organizational management skills	30	9	34
Self defense	29	5	48
Administrative report writing	26	7	28
Interpersonal communications skills	26	1	29
Offender assessment and classification	25	9	27

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<u>Subject Area</u>	<u>No Training</u>	<u>Training Not Needed</u>	<u>Training Inadequate or Poor</u>
Legal rights of inmates	25	5	40
Transportation and movement of inmates outside institutions	22	8	28
Disciplinary procedures for offenders	19	9	18
Search and seizure of contraband	18	2	18
Supervision of offenders	14	2	15
Division policies & procedures	13	1	23
Institutional security	12	6	18

In general, it appears that in those areas where the largest proportion of the staff received training, the highest levels of satisfaction with the training were reported (see the last five subject areas listed). However, in other areas where fewer staff reported receiving training, a higher proportion of those who did receive training evaluated it as inadequate or poor in preparing them for their present position. There are also several subject areas, knowledge of which most staff apparently felt were necessary to their work (see low percentages in second column), but in which a high proportion of staff reported receiving no training. These areas include public relations, crisis intervention and management, human relations, counseling and communications skills; in nearly all of these areas, over one-third of those who did receive training reported it to be inadequate or poor. It must be noted that the question on the survey did not refer only to Division-sponsored training, so this should not be viewed as solely a critique of the Division's training of staff, but rather as a needs assessment by staff outlining areas in which they feel they need more adequate training to function in their present positions.

In fact, the Division has recently acted to begin to increase the amount of training offered in some of these areas, most notably in

communications and institutional organization. Thus, findings of the survey and recommendations offered later should be seen as reinforcing trends already apparent within the Division.

Staff Morale

The final type of questions included on the survey are indications of the attitude of staff toward their jobs and the Division. Some of the results have previously been summarized, but they are here discussed in greater detail.

Staff were asked how often they participated in decision-making which affected their jobs:

	<u>Number</u>	<u>Percent</u>
Never	23	9
Seldom	74	30
Often	79	32
Very often	<u>72</u>	<u>29</u>
	248	100%

They were also asked what they felt their chances for promotion were:

Very poor	62	25
Poor	62	25
Good	80	33
Very Good	41	17

Another question asked respondents to estimate how satisfied their co-workers were with their jobs.

Very dissatisfied	18	7 )	40
Dissatisfied	81	33 )	
Satisfied	141	58 )	60
Very satisfied	6	2 )	

A final attitudinal question asked whether the staff members were considering leaving the Division of Corrections.

Yes	88	36
No	154	64

Other less direct, behavioral indicators of the staff members' morale and commitment to their work were also included on the survey, but results here summarized must be cautiously interpreted due to the highly skewed nature of some of the response distributions.

Staff were asked to estimate how many hours they work in an average week:

	<u>Number</u>	<u>Percent</u>
Less than 40 hours	-	-
40 hours	115	47
45 hours	95	39
50 hours	28	11
55 hours	6	2
60 or more	<u>3</u>	<u>1</u>
	247	100%

This demonstrates that a distinct majority of staff work at or only slightly above the expected level of hours for a full-time employee. Though it is not desirable that employees be required to work overtime (adequate staffing should be provided so that the system can function without employees working overtime on a regular basis), some level of voluntary overtime work can be regarded as an indication of professional career orientation on the part of staff. In fact, fully 85 percent of staff stated that when they do work overtime, they do so voluntarily. However, the career orientation possibly indicated by this is confounded by the fact that nearly 40 percent of the respondents are paid on an hourly basis, so that, for those individuals, the monetary incentive to work overtime may well outweigh any other considerations. Another behavioral indicator of morale often used is absenteeism. Only three

percent of respondents reported that they were absent more than once in an average month due to illness.

The attitudinal indicators of staff morale show associations which might be expected. The crosstabulation of promotion chances with job satisfaction (of co-workers) estimates shows the following pattern, significant at  $p < .001$ . In the table, the upper figure in each cell is the number of staff, and the lower figure is the percent this number is of the total number of respondents.

Job Satisfaction

<u>Promotion Chances</u>	<u>Very Dissatisfied</u>	<u>Dissatisfied</u>	<u>Satisfied</u>	<u>Very Satisfied</u>
Very Poor .....	6 2%	25 10%	28 12%	-
Poor .....	5 2%	29 12%	26 11%	2 1%
Good .....	2 1%	20 8%	56 23%	1 1%
Very Good .....	5 2%	5 2%	28 12%	3 1%

Total N=241

Thus, a total of 26 percent of respondents both felt their promotion chances are poor (at best) and think their co-workers are relatively dissatisfied with their jobs, while 37 percent thought their chances of promotion at at least good and that their co-workers are relatively satisfied.

One factor which may contribute to perceived dissatisfaction is the level of employee participation in decisions affecting their work.

Numbers in the table should be read as in the one immediately preceding.

<u>Frequency of Decision-making Participation</u>	<u>Very Dissatisfied</u>	<u>Dissatisfied</u>	<u>Satisfied</u>	<u>Very Satisfied</u>
Never	3 1%	12 5%	8 3%	- -
Seldom	5 2%	36 15%	31 13%	1 1%
Often	3 1%	19 8%	55 23%	2 1%
Very often	7 3%	14 6%	45 18%	3 1%

Total N=244

Thus, only 16 percent of respondents who never or seldom participated in such decisions thought their co-workers are relatively satisfied, while 43 percent of those who often or very often participate in decisions affecting their work also feel their co-workers to be satisfied (or very satisfied) with their jobs. This association is significant at P .01.

Finally, of course, the majority of staff who are considering leaving the Division also feel their co-workers are dissatisfied (63 percent), while most of those who aren't considering leaving also feel that their co-workers are relatively satisfied (74 percent).

In a December 1978 memorandum to the DHSS Commissioner, the Division of Corrections reports that the staff termination rate of the Correctional Officer series has decreased about 13 percent in the past two years, from 33 to 20 percent. Since staff turnover rates are often used as an indicator of organizational morale, this decrease in terminations, if maintained over a period of several years, logically would seem to indicate a gradual improvement in staff morale. This improvement can in turn be traced to the Division's efforts to:\*

\*Adapted in large part from the aforementioned memorandum.

STATE OF ALASKA

Class Specification

CORRECTIONAL OFFICER I

7650-11

Definition:

Under immediate supervision, learns and performs skills for the custody and security of prisoners in an adult correctional institution. The incumbent, while performing assigned tasks and attending mandatory divisional training programs, prepares to qualify for Correctional Officer II.

Distinguishing Characteristics:

This is a trainee level class providing employees with orientation training, the 240 hour Correctional Officer academy, and Field In-Service Training. Employees must successfully complete this program of training to be considered for further employment. Promotion to Correctional Officer II is automatic, upon satisfactory completion of the training. Because of the nature of the Correctional Officer I class, it will be considered unsatisfactory performance of duties if training is not satisfactorily completed within twelve months.

Examples of Duties:

Satisfactorily completes the Field In-Service Training Manual, Part I portion of the training program.

Attends the 240 hour Correctional Officer's Basic Training program at the Corrections Academy.

Satisfactorily completes the Field In-Service Training Manual, Part II of the Correctional training program.

Learns the procedures, regulations, and objectives of Correctional Security.

Assists in supervising the movement of prisoners to work assignments, meals, recreation, and return to housing units and dormitories.

Assists in maintaining order and discipline, learns techniques of and assists in the handling of unruly and violent prisoners, using minimum force necessary in resolving situations.

Assists in maintaining routine security checks and inspections.

Assists in creating and maintaining an atmosphere conducive to the rehabilitation of prisoners.

Utilizes emergency respiratory equipment (gas mask, forced air respirators) for emergency situations.

Attends divisional training programs as required.

Successfully completes the Division physical agility examination.

Performs other related duties as required.

Knowledges, Skills and Abilities:

Ability to: maintain acceptable physical agility and health standards; learn and apply techniques of self-defense so as to use minimum force necessary to protect oneself and others, and restrain unruly and violent prisoners; learn and apply laws, policies, and administrative procedures affecting institutional operations; meet and maintain cooperative relationships with a variety of individuals; follow oral and written directions; be tactful in a variety of situations; ask questions and elicit required information; think clearly and quickly in emergencies; remember names and faces; use emergency respiratory equipment (gas mask, forced air respirators) for emergency situations.

Minimum Qualifications:

Minimum age 18.

Willingness to learn the skills necessary for Correctional Officer.

Sound health, physical and mental condition as determined by a medical examiner to meet the physical and mental demands of the job.

Special Characteristics:

A part of the examination process an extensive background investigation, including a criminal record check for conviction of felony crimes or serious misdemeanors, will be made to determine fitness of character, reputation, and reliability for corrections work.

Orig: 11/12/71

Rev: 07/01/72

Rev: 11/16/78 Rewrite, including Title change from Correctional Officer Trainee

STATE OF ALASKA

Class Specification

CORRECTIONAL OFFICER II

7653-13

Definition:

Under general supervision performs security work among prisoners in an adult correctional institution.

Distinguishing Characteristics:

This is the working level class performing the full range of security duties in an adult correctional institution. It is distinguished from Correctional Officer I by the latter's role as trainee. It is distinguished from Correctional Officer III by the latter's responsibility as working leader over a shift of Correctional Officer's I and II.

Examples of Duties:

Directs prisoners to work assignments, meals recreation, and return to living units or dormitories.

Maintains order and discipline in dormitories, shops, work details, and recreational activities; reports infractions of rules, handles unruly and violent prisoners using minimum necessary force.

Patrols and inspects grounds, corridors, recreation areas, living units and dormitories; supervises close confinement facilities and quarters for recalcitrants.

Takes periodic counts of prisoners; supervises and observes persons visiting prisoners.

Keeps records of activities; dispenses medications as directed.

Inspects prisoner quarters for cleanliness and orderliness; searches quarters and persons for weapons and other contraband; escorts prisoners on outside trips; searches for and recaptures escapees; carries firearms during searches for escapees and tower duty.

Utilizes emergency respiratory equipment (gas mask, forced air respirators) for emergency situations.

Observes prisoners for unusual or significant behavior; prepares reports to supervisor.

Attends division training programs as required.

Successfully complete semi-annual physical agility examination.

Maintain health standards sufficient to pass an annual physical examination.

Performs other related duties as required.

Knowledge, Skills and Abilities:

Knowledge of: laws, policies, and basic concepts of human behavior; purposes and methods of discipline and security of an adult correctional institution; fundamental self-defense tactics.

Ability to: Control, direct, and instruct individuals and groups; handle violent and unruly prisoners with the minimum force necessary; remember names and faces; interpret and enforce institutional rules and regulations with firmness, tact, and impartiality; promote socially acceptable attitudes and behavior; think and act quickly in emergencies; follow oral and written directions; analyze situations and adopt an effective course of action: use emergency respiratory equipment (gas mask, forced air respirators) for emergency situations.

Minimum Qualifications:

1. Currently employed as a Correctional Officer I. 2. Not less than six (6) months experience as a Correctional Officer I.
3. Successful completion of the Field In-Service Training Manual, Part I (orientation), the 240 hour Correctional Officer Basic Training Academy, and Field In-Service Training Manual, Part II program.

Orig: 03/70

Rev: 08/01/70

Rev: 07/01/72

Rev: 12/16/72

Rev: 08/01/73

Rev: 08/16/73

Rev: 11/16/78 Rewrite, including title change from Correctional Officer I

STATE OF ALASKA

Class Specification

CORRECTIONAL OFFICER III

7654-15

Definition:

Under general supervision, performs lead work over employee engaged in security duties in adult correctional institutions.

Distinguishing Characteristics:

This is the lead level class with responsibility for the work of Correctional Officers I and II on a shift in an adult correctional institution. It is distinguished from Correctional Officer II by the latter's role as the working level. It is distinguished from Assistant Correctional Superintendent by the latter's administrative responsibility for a small institution or as assistant to a Correctional Superintendent in a large institution.

Examples of Duties:

Leads the work of Correctional Officers I and II by making general inspections to see that rules and regulations are being served, and that institutional programs are being carried out in a satisfactory manner.

May be responsible for the operation of the institution on a particular shift when administrative superiors are absent.

Conveys to superiors complaints made by Correctional Officers and prisoners; takes, receives and checks periodic counts of prisoners.

Directs the inspection of prisoner's quarters for contraband, sanitary conditions and orderliness.

Promotes acceptable attitudes and behavior of prisoners; rates prisoner on conduct and productivity.

Reports infractions of rules and regulations and irregular or suspicious occurrences; takes or recommends appropriate action.

Searches for and recaptures escapees; uses firearms during escape searches and tower duty.

Utilizes emergency respiratory equipment (gas mask, forced air respirators) for emergency situations.

Schedules employee shifts, reviews reports submitted by subordinates, and confers with administrative superiors about unusual problems. Compiles and submits daily activity reports to superiors.

Attends divisional training programs as required. Must successfully complete the 120 hour Correctional Officer III Training Academy before completion of the probationary period. Successfully complete semi-annual physical agility examination. Maintain health standards sufficient to pass an annual physical examination.

Performs other related duties as required.

Knowledges, Skills and Abilities:

Knowledge of: Principles and practices of Correctional administration and rehabilitation and purposes methods of discipline as applied to persons under restraint; principles and practices of supervision and training; first aid; laws, policies and basic concepts of human behavior; fundamental selfdefense tactics.

Ability to: Lead and direct the work of others; control, direct and instruct prisoners individually and in groups; interpret and enforce institutional rules and regulations with firmness, tact, and impartiality; handle violent and unruly prisoners with minimum necessary force, promote socially acceptable attitudes and behavior of prisoners or parolees and rate their conduct and productivity accurately and impartially; think and act quickly in emergencies; analyze situations accurately and adopt an effective course of action; keep records and prepare reports; use emergency respiratory equipment (gas mask, forced air respirators) for emergency situations.

Minimum Qualifications:

One year of experience as a Correctional Officer II with the State of Alaska.

OR

Two years of experience as a Probation Officer or Youth Counselor with the State of Alaska.

Orig: 3/70

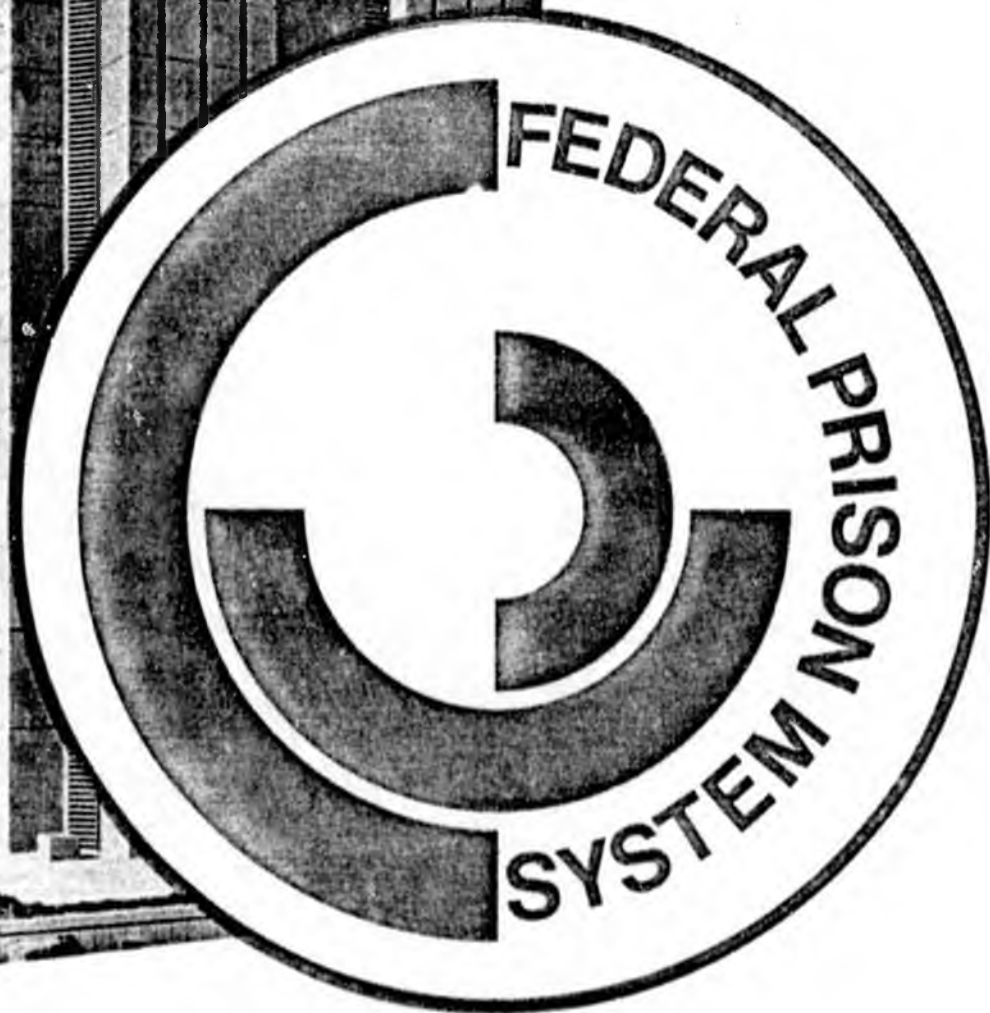
Rev: 08/01/70

Rev: 08-01-72

Rev: 11/16/78 Rewrite, including Title change from Correctional Officer II.

**FEDERAL  
BUREAU  
OF  
PRISONS**

**1975**



**united states department of justice**

# FEDERAL BUREAU OF PRISONS

## 1975



The three "C" logo of the Federal Prison System emphasizes its closely inter-related missions of Care, Custody, and Correction.

United States Department of Justice



## EARLY HISTORY

Before the Bureau of Prisons was established in 1930, there were only seven Federal prisons, less than one-sixth of the number of institutions in the Federal Prison System today.

The seven original prisons were all funded separately by Congress and operated under policies and regulations established individually by the wardens. The Federal Government had over 12,000 offenders in these institutions and an equal number in State and local facilities.

All prisons of that era, Federal as well as State, were little more than human warehouses. They were badly overcrowded, some containing double the population they were built for. Inmates often slept in basements, corridors and makeshift dormitories.

The prevailing philosophy, duly carried out by correctional administrators, was that offenders were sent to prison to be punished for their crimes. Security and discipline were the paramount considerations and were maintained through a system of rigid rules that governed all aspects of an inmate's conduct. Breaking a rule brought swift, frequently harsh and arbitrary punishment.

As might be expected, time hung heavy for offenders in those days. Food, one of the most

important concerns to an inmate, was monotonous, sometimes consisting of only a single dish. Invariably it was served from buckets. After the evening meal, inmates were locked in their cells for the night.

Bathing was a once-a-week affair, with long lines of inmates waiting their turn at the showers. Recreation was limited to weekends and highlighted by the traditional ball game.

Inmates found it extremely difficult to maintain family ties. They could write few letters and rarely were allowed visits from their families. Institutions were remote from population centers, imposing a further hardship on families seeking to visit.

Rehabilitation was a correctional concept whose time had not yet come. Little or no thought was given to education or vocational training. For self-improvement, inmates could turn to a ragged collection of library books.

Federal prison personnel numbered about 650 in the late 1920's, entirely too few to staff the institutions adequately. On the job, employees' lives, like those of the inmates, were austere and regimented. Pay was low, vacations were unheard of, and training was non-existent.

# The Federal Bureau of Prisons is established

In 1929, a Congressional Committee was established to study conditions in Federal prisons.

In the same year, a correctional study group chosen to develop the Federal Prison System outlined a penal philosophy providing practical steps to improve the national prisons.

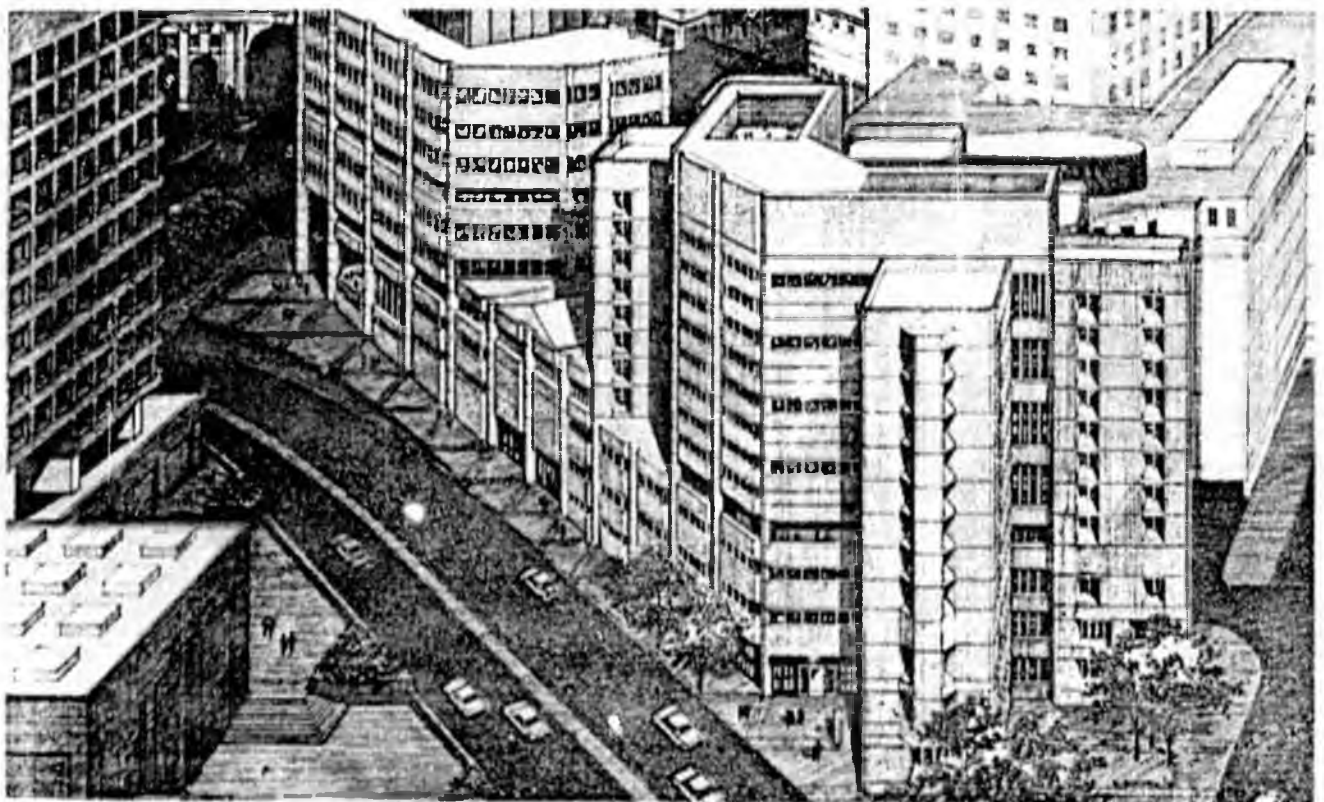
This philosophy recognized that the chief mission of prisons was to protect the public, but that protection could be best achieved by rehabilitation of inmates, almost all of whom would eventually be released from custody and returned to the community.

Based on the recommendations of the Congressional Committee and the correctional study group, legislation was proposed which resulted in an Act of Congress, signed by Presi-

dent Hoover on May 14, 1930. This legislation established the Bureau of Prisons and directed it to develop an integrated system of institutions to provide custody and treatment based on the individual needs of offenders.

Congress gave vigorous support to the new agency. Subsequent legislation approved open camps, the construction of new facilities, and a program of diversified industrial employment within the institutions. An independent three-man Board of Parole also was established, replacing the old system of institution boards.

The young Bureau moved rapidly in planning and constructing the new institutions, improving existing facilities and living conditions, and upgrading and training personnel. As the Bureau grew, so did its goals of developing into a professional, effective service.



# Federal prisons today

The Federal Bureau of Prisons acquired major new responsibilities during Fiscal Year 1975.

The National Institute of Corrections was created by Congress and lodged in the Bureau of Prisons to help local and state corrections agencies upgrade and improve their operations.

The Bureau moved to establish a more balanced system of corrections, one that recognizes that retribution, deterrence and rehabilitation are all important elements in the criminal justice system.

Two new institutions were built and dedicated. They were the nation's first Metropolitan Correctional Centers—high-rise, short-term detention centers mostly housing people awaiting trial—in San Diego and New York.

Regionalization was completed, Functional Unit Management was expanded, and a voluntary surrender program introduced that saved the government money by permitting low-risk offenders convicted of Federal crimes to report for incarceration without the expense of being transported by the marshals.

Equal Employment Opportunity was expanded as more minorities and women were hired and all Bureau jobs were opened to women.

Federal Prison Industries, Inc., was reorganized to focus operational responsibility more sharply.

Education programs continued to grow and a record number of inmates received college degrees.

Inmate rights were expanded through full implementation of the Bureau's Administrative Remedies procedure.

Through all these changes and improvements, the Bureau of Prisons, as an integral part of the Federal criminal justice system, continued to perform its mission of protecting society, safeguarding Federal offenders committed to the custody of the Attorney General and carrying out the judgments of the Federal Courts.

To achieve the Bureau's threefold concerns—care, custody, and corrections—its major objectives remained the same:

—To provide a level of supervision consistent with human dignity and offering maximum protection to the community, staff and inmates.

—To increase the number of Federal offenders achieving a successful adjustment upon their return to the free community.

—To offer a wide variety of program alternatives for offenders, including those that do not require institutional confinement.

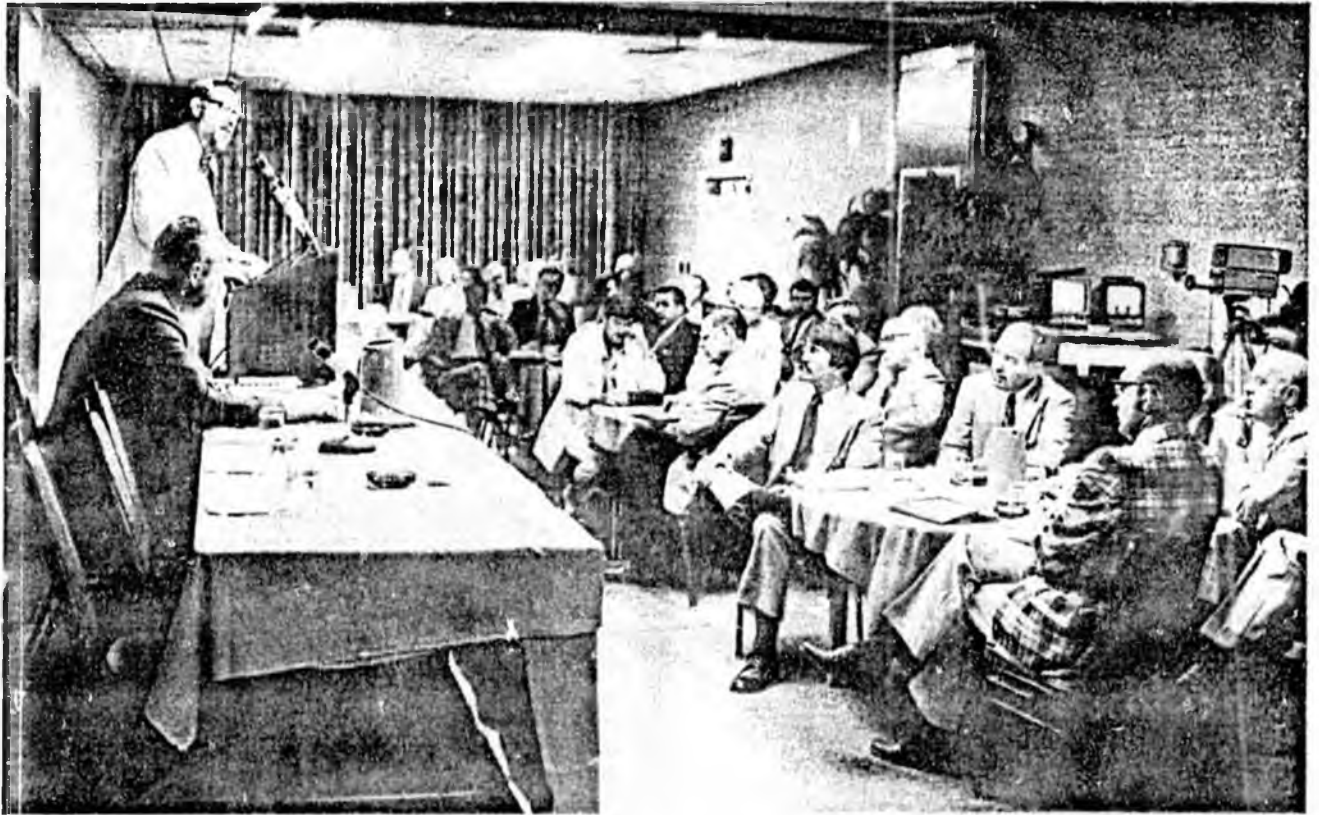
—To maintain institutional environments that minimize the corrosive effects of confinement, and

—To increase the knowledge of correctional technology through systematic evaluation and research.

## National Institute of Corrections

The National Institute of Corrections, established two years earlier, acquired a legislative mandate during Fiscal 1975.

The President on September 7, 1974, signed into law the Juvenile Justice and Delinquency Prevention Act of 1974, Public Law No. 93-415. Title V, Part B of the Act established within the Bureau of Prisons the National Institute of Corrections. Previously the Institute had been operating under authority of the Attorney



Meeting at which wardens and top Bureau executives hear from parole, judicial, and other experts helps make the Bureau a more effective component of the nation's criminal justice system.



General, using Bureau of Prisons personnel and Law Enforcement Assistance Administration funds.

The new act authorizes NIC to carry out a program of technical assistance and training for state and local correctional personnel, as well as for law enforcement officers, judges, judicial, probation and parole personnel, welfare workers and other persons who work with offenders.

NIC is also empowered to carry out correctional research and evaluation programs; to serve as a clearinghouse and information center; to help develop and implement improved corrections programs at state, local and Federal levels; and to help establish correctional policy, goals and standards.

The overall policy and operations of the Institute are under the direction and supervision of an Advisory Board appointed by the Attorney General. This 16-member panel is composed of six Federal officials serving ex-officio, five correctional practitioners and five persons from the private sector.

Dr. Sherman Day, former Associate Dean/Academic Programs, Georgia State University, and former training director for the Bureau of Prisons, was appointed NIC's first director by the Attorney General. The Institute is now seeking an appropriation from Congress to carry out an effective assistance program for state and local correctional agencies.

## A Year of Reexamination

The entire criminal justice systems of the United States during the year became the subject of a debate, prompted by the rapidly increasing rate of crime. According to Federal Bureau of Investigation figures, serious crime in calendar 1974 rose 18 percent over the previous year, the largest increase in 14 years. And in the first half of calendar 1975, the rate went up another 13 percent.

The effectiveness of law enforcement agencies, the Courts, probation, parole, and corrections all came under question and reexamination.

The President in his special message on crime June 19, 1975, asked Congress to enact mandatory prison sentences for Federal offenses committed with dangerous weapons; for hijackers, kidnapers, and hard drug dealers; and for repeat Federal offenders who commit crimes of violence. He also asked the states to establish similar mandatory sentencing systems.

The President also called for a crackdown on white collar crime. At the same time, he asked for the construction of more modern and more humane institutions for the incarceration of criminal offenders.

The President also noted that "grave questions have been raised by qualified experts about the ability of the corrections system to rehabilitate offenders . . . While the problem of criminal rehabilitation is difficult, we must not give up on our efforts to achieve it, especially in dealing with youthful offenders."

One study questioning the effectiveness of rehabilitation showed that 231 projects carried out through 1967 had with few exceptions been unsuccessful in cutting recidivism. Some experts in criminal justice questioned the value of rehabilitation programs as now carried out in most correctional institutions. They contended that while counseling, education, training and similar programs should continue to be made available to inmates, their involvement in such programs should be made voluntary. They also advised against the present use of the medical model in corrections which implies that criminal offenders are sick and can be cured of crime by existing rehabilitation programs.

The debate sparked a reexamination by the Federal Bureau of Prisons of its own philosophy and a review of the medical model and its appropriateness for use in corrections. The use of medical terms where inappropriate was dropped and the Bureau restated its position that a balanced system of corrections was needed, one that recognizes that rehabilitation, deterrence and retribution are all legitimate goals of the criminal justice system.

## Critical Factors

Though the population of the Federal Prison System was 23,566 at the end of Fiscal 1975 compared to 23,690 a year earlier, the figure was on the rise again by year's end. A temporary decline took place in the middle of Fiscal 1975 largely because of such occurrences as the granting of paroles (under P.L. 93-481 of October 26, 1974) to drug offenders not previously eligible and the release of Selective Service violators under the Presidential clemency program. Several indicators suggest that the population will continue to rise and that the crowding of Federal institutions will be worse in the months and years ahead.

Among these indicators are F.B.I. figures showing that serious crime in the United States rose by 18 percent in calendar 1974 over the previous year and the increase continued into 1975. Preliminary figures compiled by the Administrative Office of the U.S. Courts indicate that criminal filings rose nearly 8 percent in Fiscal 1975 over the previous year. Moreover, U.S. Census figures show that the age 20-30 population, the highest risk group in terms of crime, is increasing rapidly and in 1985 will be 50 percent higher than it was in 1970.

Today the total population of Federal prisons is 5.5 percent above operational capacity, and that figure would be double except for the fact that many offenders are being placed in contract non-Federal community-based facilities.

But even these figures do not tell the whole story. The operational capacities of Federal institutions (formerly called "planned capacities") are used as a guide for making daily designations and transfers to various institutions, and to show which institutions can best absorb additional population. Operational capacity figures often include the use of inadequate housing, such as basement areas and old shower facilities, and the placement of more men in a cell than it was originally designed to hold.

Humane standards advocated by the United Nations Standard Minimum Rules for Treatment of Offenders, the American Correctional Association, the National Clearinghouse on Correctional Planning and Architecture, and the National Advisory Commission on Criminal Justice Standards and Goals would provide each inmate with a private room or cell, or 75 to 80 square feet of space, or both.

Newer Federal institutions meet, or nearly meet, these standards. Unfortunately, most do not. Living space per inmate varies from 70 square feet at the Federal Reformatory at Petersburg, Virginia, down to 18 square feet at the U.S. Penitentiary at Leavenworth, Kansas.

Furthermore, the nature of the offenders in Federal prisons is changing. More than 25 percent of all Federal inmates have been convicted of a violent offense compared to only 15 percent 10 years ago.

The best risks are being moved into community-based corrections, some through halfway houses but most through probation. The proportion of convicted Federal offenders placed on probation has increased steadily the past several years and reached 54 percent in the second half of Fiscal 1975. More than one-third of those released from Federal prisons were sent to halfway houses, and the Bureau's goal is to increase this to 65 percent by Fiscal 1979.

The population pressures these programs can relieve, however, are necessarily limited.

More modern and smaller facilities and updated correctional techniques will be needed to meet the needs of a growing and changing population.

Another critical factor was rising costs, particularly in food and energy. The cost of confinement per inmate per day rose from \$13.85 in Fiscal 1973 to \$16.86 in 1974 and to \$20.54 in 1975. More efficient use of energy, improved farm operations and across-the-board cost-cutting (without sacrificing essential programs) have helped to offset price increases.



Some Federal prison inmates have private rooms, which make incarceration more humane, but despite progress, many relics of the past remain.



## Organization

The work of the Federal Bureau of Prisons has been largely decentralized and is now carried out by five divisions and by five regional offices.

The five divisions are Correctional Programs, Planning and Development, Medical and Services, Federal Prison Industries, Inc., and the National Institute of Corrections. The head of each reports to the Director of the Bureau of Prisons. (Federal Prison Industries and the National Institute of Corrections each also have Advisory Boards).

The five regions are headquartered in Atlanta, Georgia, Burlingame (near San Francisco), California, Dallas, Texas, Kansas City, Missouri, and Philadelphia, Pennsylvania. Each is headed by a regional director.

Heads of the Bureau's 50 correctional institutions, ranging from penitentiaries to half-way houses, report to the regional directors, who report to the Director of the Bureau of Prisons.

Regionalization, completed during Fiscal 1975, means that functions truly national in scope have been assigned to appropriate divisions in the Washington Central Office. The rest have been delegated to the field.

Thus, day-by-day administration of such functions as case management, health and drug abuse programs, education, vocational training, and correctional services has been transferred to the regions and to the individual institutions. National headquarters in Washington establishes policy, provides overall supervision, and does planning, development, data-gathering, evaluation and research.

The U.S. Board of Parole has also been regionalized. The two agencies now have common regional boundaries and regional headquarters in adjacent offices in the same cities so services can be shared. The two agencies are therefore able to work more closely together to carry out their joint responsibilities for offenders under sentence by Federal courts.

### *Unit Management*

While decentralization was carried out for the Federal Prison System through regionalization, it was being accomplished within each institution in the system through establishment of functional units.

Organizing an institution around these units means essentially, as in the case of regionalization, giving staff closest to the inmates the responsibility and authority to make operating decisions while reserving for the institution's central staff such management duties as monitoring and general supervision.

Treatment for drug addiction and alcoholism, vocational training and education, and similar functions are decentralized. But many functions, such as those performed by the business office, health and food services, mechanical services and safety and sanitation, remain centralized.

Functional units make it possible for staff to work in a close relationship with inmates. Basically, the units are small, flexible, semi-autonomous sub-groups, operating within the confines of the larger facility. They are made up of from 50 to 100 inmates, housed together, generally for a specific objective—for instance, vocational training or drug addiction treatment.

Units are under supervision of a small, permanently-assigned, multi-disciplinary staff team, working directly in the unit. Typically, the staff team might consist of a unit manager, a caseworker, an education specialist, a vocational training representative, a psychologist, and a correctional counselor. The team has decision-making authority and is responsible for planning and managing correctional programs for all the inmates in the unit.

The new Metropolitan Correctional Centers do not have the steel grilles and stark surroundings of the typical jail. This living room-recreation-dining area at San Diego serves inmates housed in private rooms on two levels (rear center). At right rear are staff offices for this unit, which is semi-autonomous, making it a smaller institution within the larger facility.



Reorganizing the structure of institutions along functional lines began in 1973. There are now 140 functional units in 22 completely unitized institutions.

All of the Bureau's youth and young adult facilities have converted to functional units and all of the adult institutions have at least one such unit in operation.

The functional unit concept is not a panacea for all correctional problems. However, through better use of staff and program resources and improved inmate-staff relationships, preliminary assessments indicate it is a much more effective and humane approach to inmate management.

The Bureau's Office of Research surveyed both staff and inmates at the Federal Correctional Institution at Milan, Michigan, before and after introduction of functional unit management to determine what changes, if any, they perceived.

The staff indicated that after introduction of the system, they were more involved in decision-making than ever before, that maintaining order and providing role models for inmates was more important, and that the institution was more actively involved with the outside community.

Inmates reported more contact with staff and contact of a more positive nature. They found staff fairer, more concerned, friendlier and less inclined to talk down to them than before. They also reported marked improvement in the counseling program and in living conditions, and said they were getting more help in preparing for future jobs.

### **Resources**

The Bureau's operational budget for the year was \$167.8 million, an increase of \$23.8 million over Fiscal 1974 and of \$88.4 million over 1970. These increases reflect a growing concern about correctional improvement on the part of the government and the public.

Authorized employment rose by more than 745 during the year to 8,031. Most of the new positions were earmarked for activation of new facilities.

## **New Institutions**

For years, the Federal Bureau of Prisons had been planning, designing and building Metropolitan Correctional Centers to house convicted Federal offenders serving short sentences as well as persons awaiting Federal trial.

The centers were designed to demonstrate that such offenders could be housed under secure, humane conditions without the stark surroundings of the typical jail.

The first two centers were completed in Fiscal 1975 in San Diego and New York, and a third was under construction in Chicago (and was dedicated in October 1975).

These high-rise short-term detention facilities are located in the downtown areas of their respective cities, near the Federal courts, the U.S. Marshals and other components of the Federal criminal justice system served by the Bureau of Prisons.

The San Diego center, dedicated November 15, 1974, is 22 stories high and can accommodate 500 offenders. The 12-story New York center, also designed to house 500, was dedicated July 1, 1975.

These centers have several features that set them apart from the traditional jail or correctional institution:

—They are free of steel grilles, guard corridors and other typical jail surroundings. Windows have no iron bars, but are designed to withstand escape attempts. Most inmates have private rooms which meet humane standards for privacy, dignity and security.

—Housing areas are divided into semi-autonomous functional units, each with its own visiting area, indoor recreation facilities, and space for casework and food service.

—Since each unit is capable of operating independently, the centers have a functional flexibility which makes them readily adaptable to almost any type of correctional housing, from maximum security to a community setting that permits some inmates to leave during the day to hold jobs or go to school.

The lower floors are devoted to services and administration. The top floors house inmates, both male and female.

The centers can provide a variety of services including education, work and study release, medical care, psychological diagnosis, religious counseling and outdoor physical exercise.

The Centers on the outside resemble office buildings and blend with the surrounding architecture. They are also economical. The lack of steel and concrete so visible in most jails not only relieves the austerity typical of such institutions but permits savings in construction costs of many millions of dollars.

The most important reason for the Centers' modern design, however, is "to enhance the sense of safety and humaneness," said Bureau of Prisons Director Norman A. Carlson. "All of the inmates here will be staying for only a short time. The vast majority of them will be persons awaiting trial—individuals who have not yet been found guilty by the Courts of any offense. Certainly such people are entitled to a humane, safe environment."

## Community-Based Programs

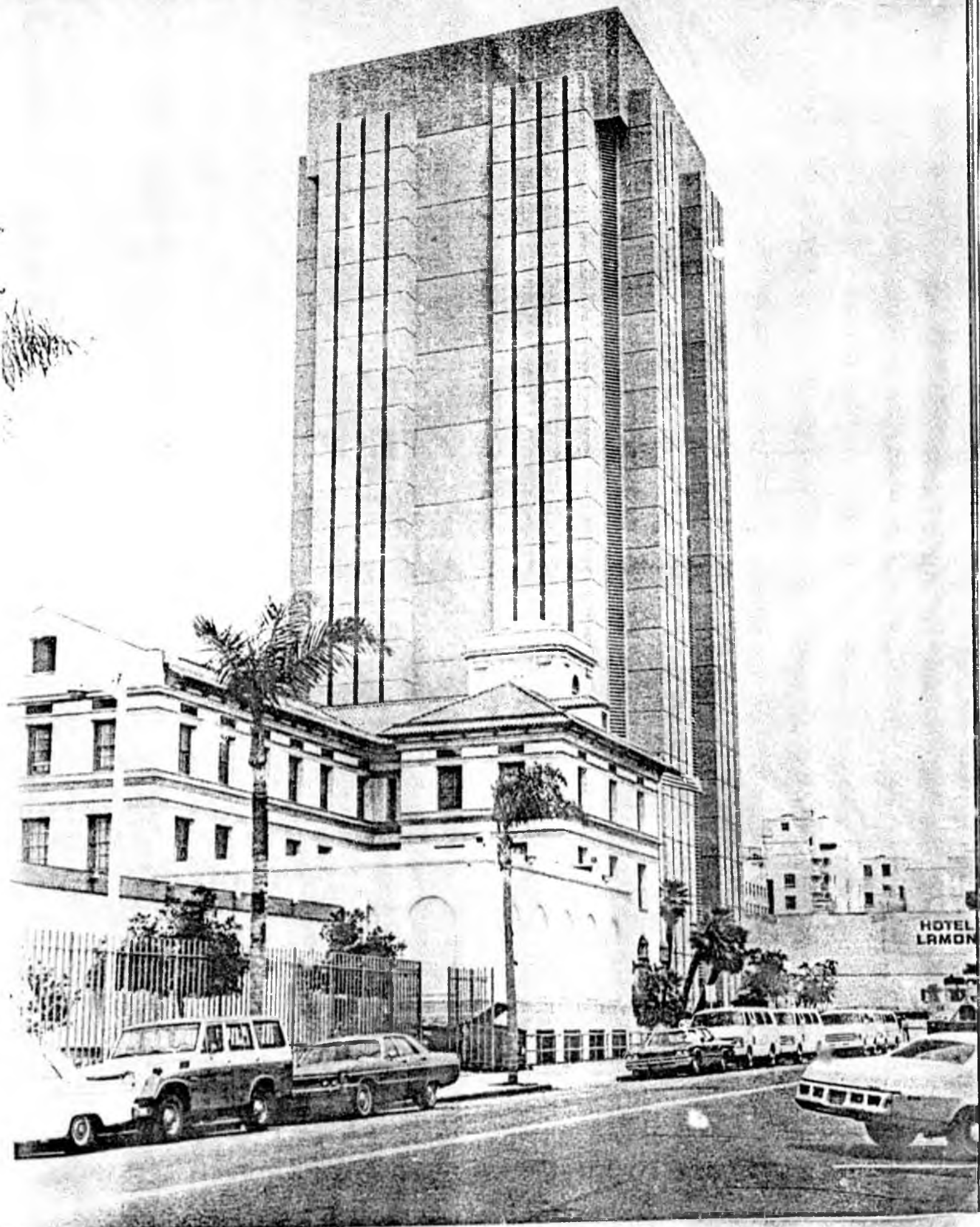
The Bureau of Prisons operates a variety of community-based correctional programs to help ease the transition of inmates back into society. These programs, including halfway houses, furloughs and work and study release, were improved and enlarged during Fiscal 1975.

The Bureau greatly liberalized its furlough policy, which permits inmates to leave the institutions, spend some time with their families and otherwise begin the process of reintegrating themselves into their communities. As a result, a total of 19,810 overnight furloughs were granted in Fiscal 1975 compared to 9,921 the previous year.

A major survey of this program, conducted by the Bureau's Office of Research, revealed that less than one percent (.68 percent) of the furloughs resulted in offenders' escaping or being arrested.

Inmates at the San Diego Metropolitan Correctional Center play volleyball in the exercise area on the roof.





HOTEL  
LAMON

Work and study release programs were also expanded. These programs permit inmates to leave the institution during the day to hold down a regular job or go to school in the outside community. They return to the institutions at night. A total of 821 inmates were enrolled during the year, 459 of them in study release and 362 in work release, an increase overall of more than 40 percent over the previous year.

The use of halfway houses also increased. The Bureau makes use of two kinds of halfway houses—its own, called Community Treatment Centers, and contract facilities, operated by public and private agencies. A typical halfway house might be a wing of a small downtown hotel where inmates live under minimum supervision. During working hours, they are free to hold jobs or go to school. They are also free to spend weekends with their families. The remainder of their time is spent at the halfway house.

The Bureau by year's end had 16 Community Treatment Centers in operation, compared to 14 the previous year, in 12 metropolitan areas. These Centers accommodate 600 offenders who live there during the last 90 to 120 days of their sentences and conduct programs to ease the transition to community life.

During Fiscal Year 1975 the Centers served 2,750 offenders compared to 2,526 the previous year. Of these, 2,250 came from Federal institutions. Others were sent by the courts and the U.S. Board of Parole under the provisions of Public Law 91-492. That law, which authorized the Bureau of Prisons to extend its residential facilities to Federal probationers and parolees, provides an alternative type confinement for these offenders.

Also during the year, the Bureau furnished residential and other pre-release services to another 4,110 Federal offenders (compared to 2,888 the previous year) who were being released to areas not served by a Bureau Community Treatment Center. Their needs were met through the use of over 475 contract facilities.

In addition to its Community Treatment Centers, the Bureau maintains a field staff of 48 Community Program Officers in 43 metropolitan areas across the country. During the year, Community Program Officers, Community Treatment Centers and contract staff provided employment assistance services, school placement or other community service assistance to more than 8,700 offenders (6,230 Federal institution releaseses and 2,470 probationers, court referrals and Board of Parole referrals under the provisions of P.L. 91-492).



In addition to the contract residential and work release facilities, there are more than 5,000 Federal offenders housed daily in over 800 contract jail facilities. Most of these individuals are serving short sentences or are being held pending trial or transfer to a Federal institution for service of sentence.

A computerized information system provides up-to-date profiles on all the non-Federal community resources available by contract for



Men and women work side by side in co-correctional institutions.

Federal offenders prior to or just after release from prison. These resources, located in the releasee's home community, include halfway houses, drug treatment outpatient units and work/study release units. The system also captures population and demographic data on Federal offenders placed in these programs.

This Profile system also provides U.S. Marshals with data on non-Federal detention facilities available by contract for placement of pre-trial detainees, service of sentence commitments, and transfers in route from one Federal prison to another. Population and demographic data on Federal offenders serving their sentences in these facilities is collected to assist in planning for Federal offender population growth.

### **Equal Employment Opportunity**

The proportion of members of minority groups incarcerated in Federal prisons is higher than in the general population. To bal-

ance the proportion between inmates and staff and thus improve communications and the effectiveness of correctional programs, the Bureau of Prisons conducts a vigorous Equal Employment Opportunity Program.

Minorities hold 15.3 percent of the positions in the Federal Prison System compared to 6.6 percent in 1970. Minorities now comprise 27 percent of new hires.

Also during the 1970-75 period, female employment rose from 9.8 percent to 13.5 percent.

Minorities and women are actively recruited through frequent contacts with such Spanish speaking groups as the G.I. Forum and such Black organizations as the Urban League and the National Association for the Advancement of Colored People. Colleges and universities with large numbers of minority students are also visited by Bureau of Prisons officials to recruit likely prospects for careers in corrections.

All field facilities have completed affirmative action plans and most have had their plans ap-

proved by the Civil Service Commission. Bureau EEO training programs have been offered annually for new persons appointed to work with EEO activities.

In January, the executive staff agreed to open all jobs within the Bureau to women, and to get more women aboard as correctional officers.

The Department of Justice recognized the Bureau of Prisons' superior equal employment opportunity record in May. An award "For Outstanding Service in the Equal Employment Opportunity Program in the Department of Justice" was presented to Director Carlson.

Deputy Attorney General Harold Tyler presents an award honoring the Bureau of Prisons' Equal Employment Opportunity program to Bureau Director Norman A. Carlson.



## Federal Prison Industries

Federal Prison Industries is a self-sustaining, wholly-owned government corporation in its 41st year of existence. The Corporation was established by Congress in 1934 with a mandate to employ and train Federal inmates. FPI has 51 industrial operations in 23 Federal correctional institutions across the country, and em-

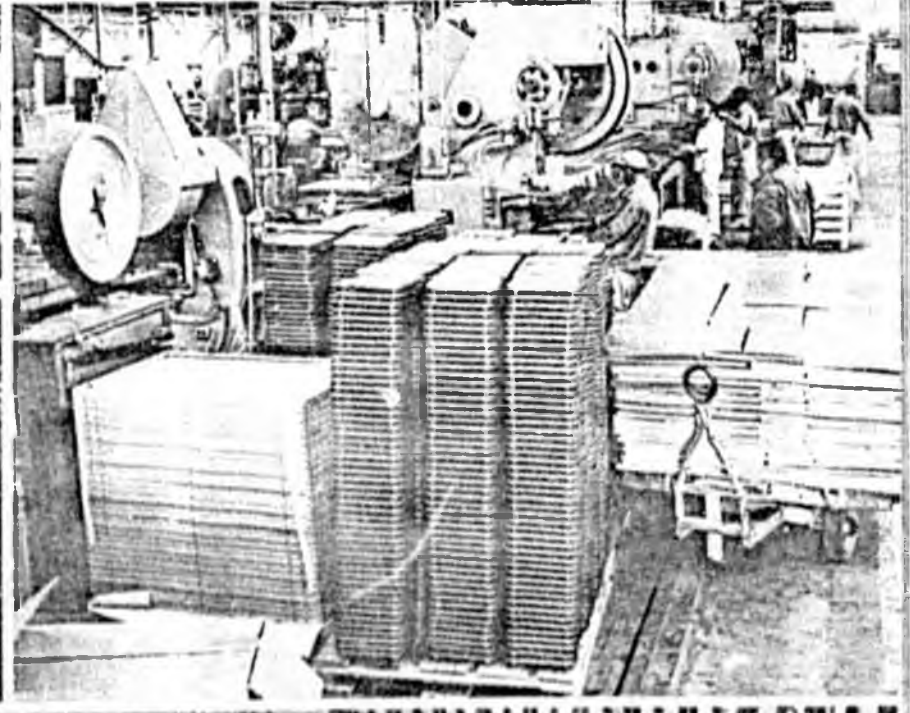
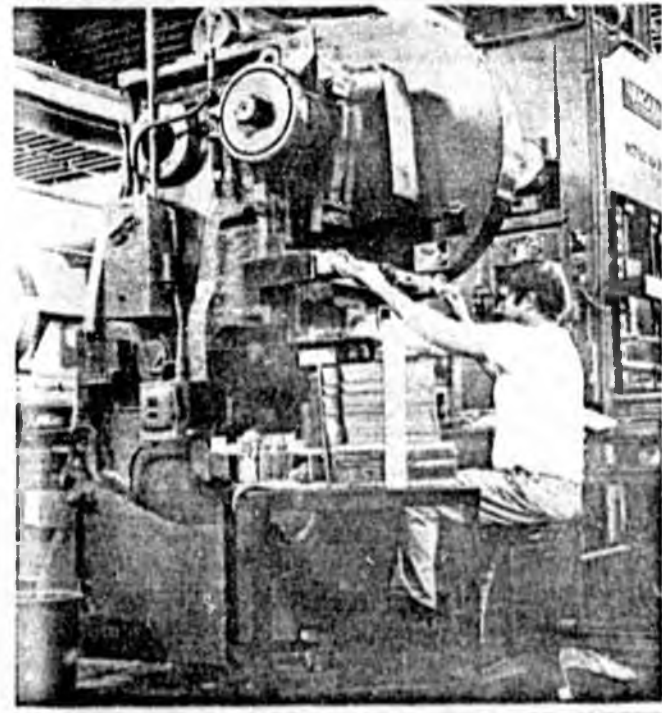
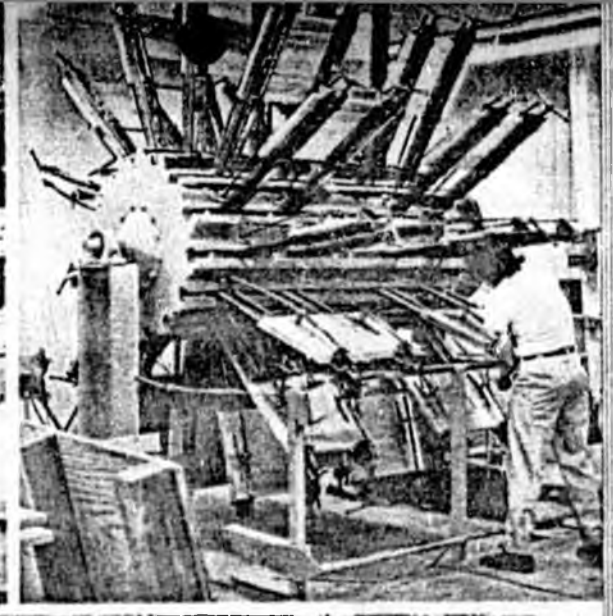
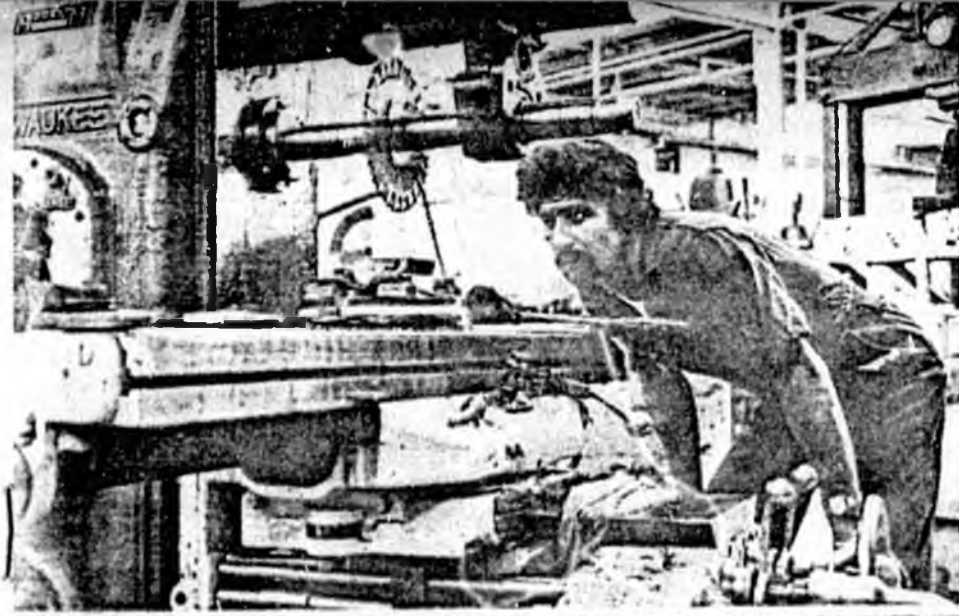
plys approximately 5,000 inmates in providing manufactured goods and services to agencies of the U.S. Government.

During Fiscal 1975, sales by FPI amounted to \$68,838,262, a \$6 million rise over the previous year. Some \$4,563,293 was paid out in inmate workers' wages, and \$1,085,995 to other inmates in the form of Meritorious Service Awards; \$4,833,528 was expended to support vocational training programs throughout the Federal Prison System.

During the year, Federal Prison Industries realigned its functions and established three umbrella groups to oversee the Corporation's activities. They are the Corporate Management Group, which develops and interprets corporate plans and policies and allocates and accounts for corporate resources; the Information Systems Group, which handles information services and data processing for both FPI and the Bureau of Prisons; and the Industrial Operations Group which is made up of seven product divisions. The divisions are: Automated Data Processing, Electronics, Graphics, Metal, Shoe/Brush, Wood/Plastics, and Textiles. Each product division is responsible for all functions from marketing and sales through manufacturing and shipping. Under this arrangement responsibilities are more sharply focused and communications have been improved throughout the Corporation.

FPI operates a number of registered apprenticeship programs for inmate employees and initiated a new concept in FY 1975 called the Production-Training Unit. These industrial units will combine formal training components and industrial work experience to maximize the skills and knowledge that inmates may acquire from employment.

During the coming year, Federal Prison Industries will concentrate on increased productivity, product diversification, development of a more sophisticated materials management system and the establishment of new, training-oriented industries.



## Voluntary Surrender

The new voluntary surrender program, which permits Federal offenders considered good risks to report for incarceration without the expense of being transported by Federal marshals, was introduced during the year. This program not only saves money but makes the whole process of incarceration more humane by sparing the inmate the experience of spending time in jail and then being escorted in handcuffs to prison.

In July, 1969, the Northern District of California began a pilot project that permitted certain sentenced prisoners to surrender themselves voluntarily to specific institutions designated for service of their sentences. The success of that pilot project led to the implementation of voluntary surrender procedures for all U.S. District Courts in October, 1974. The program is administered by a new Population Control Section within the Bureau of Prisons.

Each Court wanting to use voluntary surrender commitment for a specific offender first asks the Bureau for designation of an institution and then orders the surrender at that institution at an agreed-upon date and time.

More than 400 offenders were permitted to surrender under this program during the year and all of them reported as ordered.

## Inmate Rights

The Bureau's Administrative Remedies procedure, which affords inmates the opportunity to raise any type of concern or complaint for review and appropriate corrective action, has been fully implemented following its introduction last year. The remedy, first providing review by the local administrator and then offering appellate review in the regional office and in the Bureau's General Counsel's Office in Washington, has been frequently used. During Fiscal 1975, approximately 4,800 complaints were filed. The relief requested was granted in 950 cases. Appeals were taken in over 700 cases, and relief was granted in a substantial number. Most frequent areas raised by inmates

were disciplinary actions and requests for transfer or other changes in programs or assignments.

There is also some indication that this administrative procedure has led to a reduction of the extremely heavy number of prisoner lawsuits being filed, contesting conditions of confinement and other decisions directly affecting inmates, and has reduced the work load of the Federal Courts.

The 1974 amendments to the Freedom of Information Act became effective February 19, 1975.

Generally, the law requires Federal agencies to honor any request which reasonably describes the records wanted, is made in accordance with the agency's published procedures, and which does not fall within one of the Act's exemptions.

During the year, plans were also made for implementation of the Privacy Act of 1974, which would become effective in September, 1975. While the general purpose of the Freedom of Information Act amendments was to loosen and speed up the flow of information available to the public, the Privacy Act seeks to restrict the unauthorized disclosure of information on individuals, particularly inmates at Federal prison institutions.

### Other legal developments:

—The Supreme Court's decision in *Wolf v. McDonnell*, dealing with the procedures to be followed in inmate disciplinary proceedings, has now been implemented in all Bureau institutions. The Supreme Court decision, handed down the previous Fiscal year, ruled that inmates are entitled to a large measure of due process in a prison disciplinary hearing. The rights granted to an inmate included advance written notice of charges, a written statement as to the evidence and reasons for the disciplinary action, the right to call witnesses and present documentary evidence, help in certain instances by a fellow inmate or staff member in preparing his or her defense, and an impartial disciplinary board.

## Education and Training

The Federal Bureau of Prisons has an education staff of 475 teachers and administrators at 31 major institutions located in 23 states across the country. On any given day of the year about 9,000 inmates were involved in some phase of educational programming compared to 8,300 in 1974. Hundreds of community volunteers and special education contractors associated with schools and other education agencies in the community are also involved in providing instructions in Federal correctional programs.

A staff of three professional educators in the Central Office and five Regional Administrators for Education give the program policy guidance and technical assistance.

The total program is organized around the following key components and objectives:

**Adult basic education (ABE).** Approximately one third of all inmates are involved in adult basic education programs which essentially are remedial activities designed to bring each student, with the need and ability, to a minimum sixth grade level in reading, writing and computation. In 1975 approximately 2,700 residents successfully completed an ABE program prior to release.

**Adult secondary education.** Approximately 4,000 inmates completed Adult Secondary Education programs by earning regular high school diplomas or equivalency certificates during 1975, compared to less than 3,350 the previous year.

**Post secondary education.** An estimated 3,000 inmates were involved in 9,000 college level courses during the year. Of these, 158 earned Associate of Arts degrees, 19 Bachelor of Arts degrees and two Master of Arts degrees, a total of 179 college degrees compared to 134 the previous year.

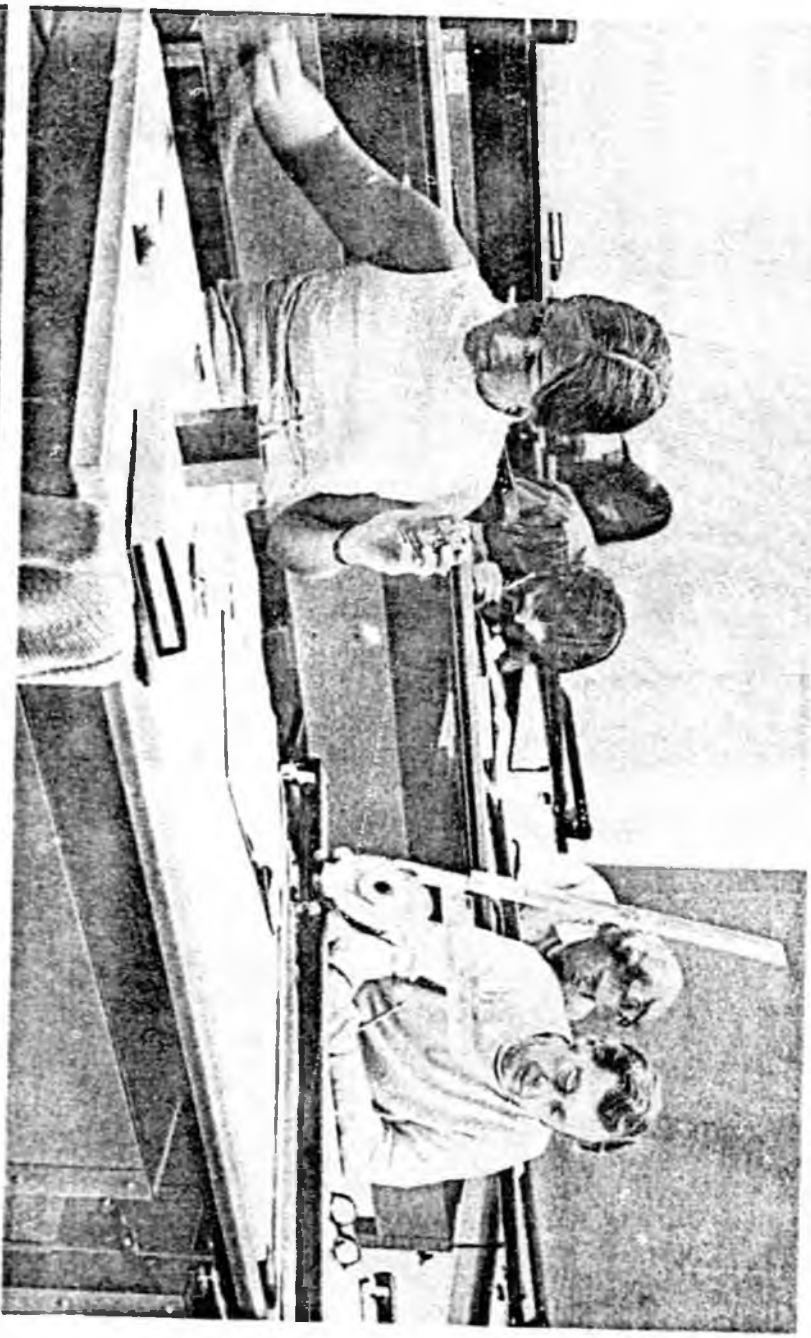
**Vocational training.** Approximately 12,000 trainees (compared to 8,000 in 1974) were enrolled in one or more of the different trades and occupations offered in the institutions and more than 7,000 of that number completed

training. Preparing offenders for employment and assisting them in gaining an understanding of the world of work is a prime objective of Bureau vocational programs. To achieve this objective, institutional education programs provide exploratory and trade training, on-the-job training in maintenance and industrial shops and registered apprenticeship programs. Currently 64 programs in 41 different trades in 17 institutions are registered by the U.S. Department of Labor's Bureau of Apprenticeship and Training and apprenticeship bureaus at the state level.



A variety of skills are taught in Federal prison facilities training classes.

In addition, Joint Apprenticeship Training Committees in local communities, trade advisory committees from local community colleges and vocational-technical schools make their services available to Bureau employees by advising them on training and labor trends, and the potential for new instructional activities either in the institutions or in community school programs on a study-release basis.



**Social education.** This can be described as a process of creating a learning environment composed of experiences by which an individual gains the knowledge, skills and attitudes necessary to shape, support and maintain a worthwhile and positive self-image and to interact in responsible ways with other human beings. It received widespread support during 1975 at Federal institutions.

Upon evaluation of their need to further implement social education throughout their facilities, institutions requested assistance to develop realistic objectives and action plans for their individual situations. Social education coordinators have been designated at each institution.

Education programming in the Federal Prison System provides a variety of instructional styles with particular emphasis on self-paced study, the use of programmed materials in Learning Centers and peer tutors. Multimedia instructional materials are available to reinforce learning experiences. During the year all major institutions were provided with audio visual G.E.D. materials developed by the Kentucky Educational Television System.

Several experimental and innovative programs were designed and implemented during the year. One is being administered on a demonstration basis at two Federal Correctional Institutions in Texas at Seagoville and Ft. Worth and involves the Children's Television Workshop, producer of "Sesame Street." Residents at the two institutions receive occupational training as Child Development Associates. Children of prisoners who come to the institutions on visiting days are involved in these training programs which are also used to strengthen family relationships and to build more positive attitudes within the families of prisoners and toward the broader community.

Through a special appropriation of one million dollars in the 1975 budget, seven Bureau institutions received funds under Project \$1 Million to strengthen their education and occupational training programs. The seven institutions were Alderson, Virginia, Danbury, Con-

necticut, La Tuna, Texas, Leavenworth Kansas, Lewisburg, Pennsylvania, McNeil Island, Washington and Terminal Island, California.

The programs prepare people to enter a variety of occupations including medical lab technology, middle management, dairy processing, consumer electronics and various facets of the graphics and design industries.

To upgrade occupational education programs, the Bureau contracted with the Center for Vocational Education at Ohio State University to assess current occupational education programs and practices, to develop guidelines for improvement and to provide staff development opportunities for vocational teachers and coordinators.

#### *Staff Training*

In the early 1970s the Federal Prison System embarked on a major effort to upgrade the quality, quantity, scope, and job applicability of the training offered its employees.

The Federal Prison System actively endeavors to translate its training programs into improved job performance. These programs range in scope from institutional management topics, such as basic orientation and disciplinary procedures, to specialized job skills such as counseling and conversational Spanish.

The Residential Staff Training Centers at Atlanta, Georgia, and Dallas, Texas, offer two primary programs. All new Bureau employees are required to complete a two-week "Introduction to Correctional Techniques" programs at one of the centers within four months after entry on duty. This program equips the new employee with a broad overview of his role and responsibilities as a member of the correctional team in the Bureau of Prisons.

All career employees are rotated through an "Advanced Correctional Techniques" program every three years. This week-long session attempts to upgrade job skills and knowledge in such areas as legal issues for correctional workers, inmate programming strategies, effective and humane disciplinary procedures, and current objectives and trends in the Bureau.

In addition, the Residential Centers offer support and assistance to specialty programs (Interpersonal Communications Training, Training for Trainers), meetings and workshops, and management training programs. Each faculty member works closely with assigned institution training coordinators to insure compatibility of training efforts and objectives.

The Federal Prison Service maintains two specialty training centers: the Physicians Assistant Technical Training Institute at the Medical Center for Federal Prisoners at Springfield, Missouri, and the Food Service Training Center at Oxford, Wisconsin. The P.A. program enrolls newly hired physicians assistants for one year of intensive clinical and academic training in various aspects of medicine. Food service training is offered on a regularly scheduled basis throughout the fiscal year.

The Wardens' Advisory Group for Personnel and Training meets regularly and reviews all training programs for content, quality, and relevance. In addition, it takes an active role in supporting and maintaining a uniform, comprehensive training effort. The President, Council of Prison Locals, American Federation of Government Employees, is an active member of this Advisory Group, and helps insure that the union has input into, and is supportive of, staff training efforts.

In past years, the Bureau's major training focus has been on the line employee; although a major portion of training resources continues to be directed at line staff programs, the Bureau is increasing its offerings in supervisory, management and executive level training programs.

During Fiscal Year 1975, the Unit Managers Training Program has been strengthened and is offered on a regular basis along with 40-hour programs for mid-level Federal Prison Industries, Inc., managers, correctional executives (Associate Wardens and similar positions), and department heads. Plans for Fiscal 1976 call for strengthening of current programs and development of advanced level management training for experienced managers.

In addition, a number of introductory supervision programs for Federal Prison Industries, Inc., foremen, correctional supervisors, and mechanical services foremen are in the planning stage.

All "in-house" programs are supplemented by a large number of outside training opportunities provided by other agencies, universities, and private firms.

In 1975, 7,605 Bureau employees received 364,788 man-hours of training. This training was distributed over more than 18,540 separate training instances.

### *Personnel*

Public Law 93-350 of July 12, 1974, established a mandatory retirement age of 55 after 20 years' service in a Federal law enforcement position, effective January 1, 1975. All positions in Federal correctional institutions were specifically included by Congress in the law.

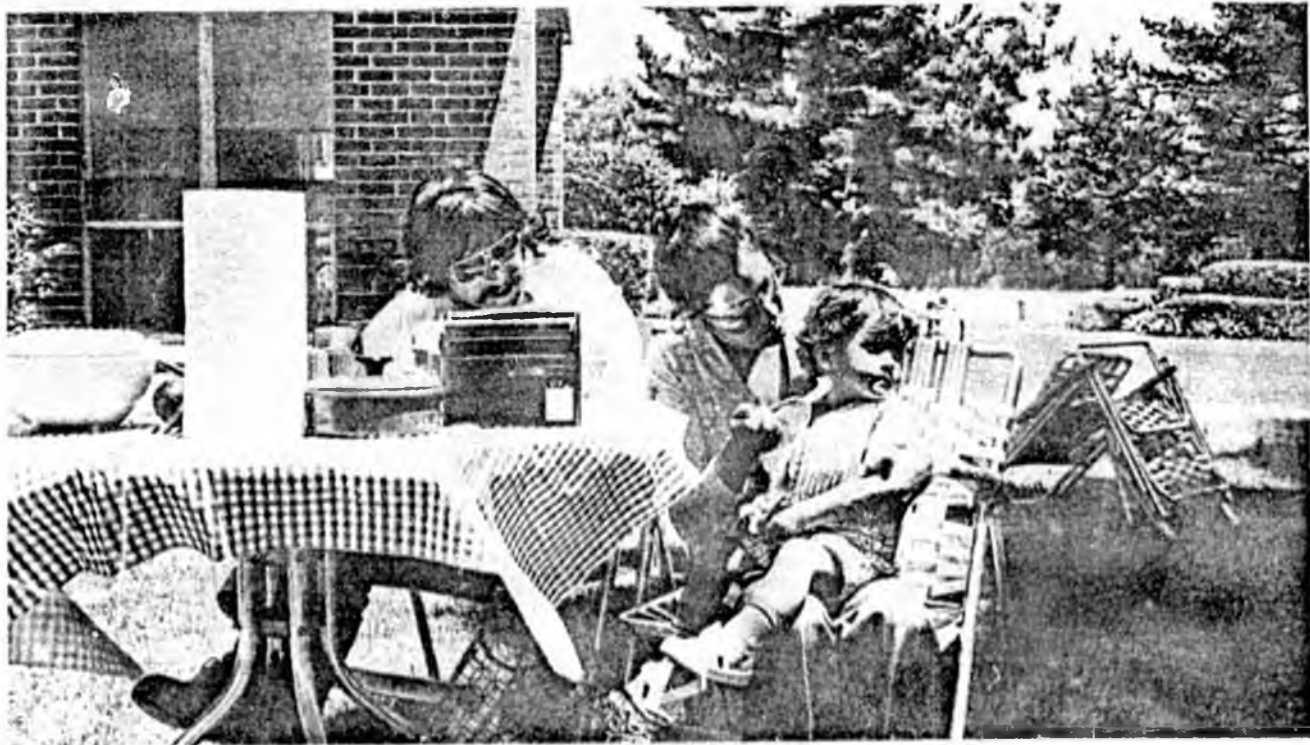
The law also permits heads of agencies to fix minimum and maximum age limits for initial appointment into covered positions with the concurrence of the U.S. Civil Service Commission. In June 1975, the CSC approved the Attorney General's proposal to establish the maximum entry age as the date immediately preceding one's 35th birthday.

Except for entry-level positions, most vacancies in the Federal Prison Service continue to be filled through a strong internal merit promotion plan. Correctional Treatment Specialist and Teacher positions, for example, are being filled through merit promotion of employees who meet the basic educational requirements.

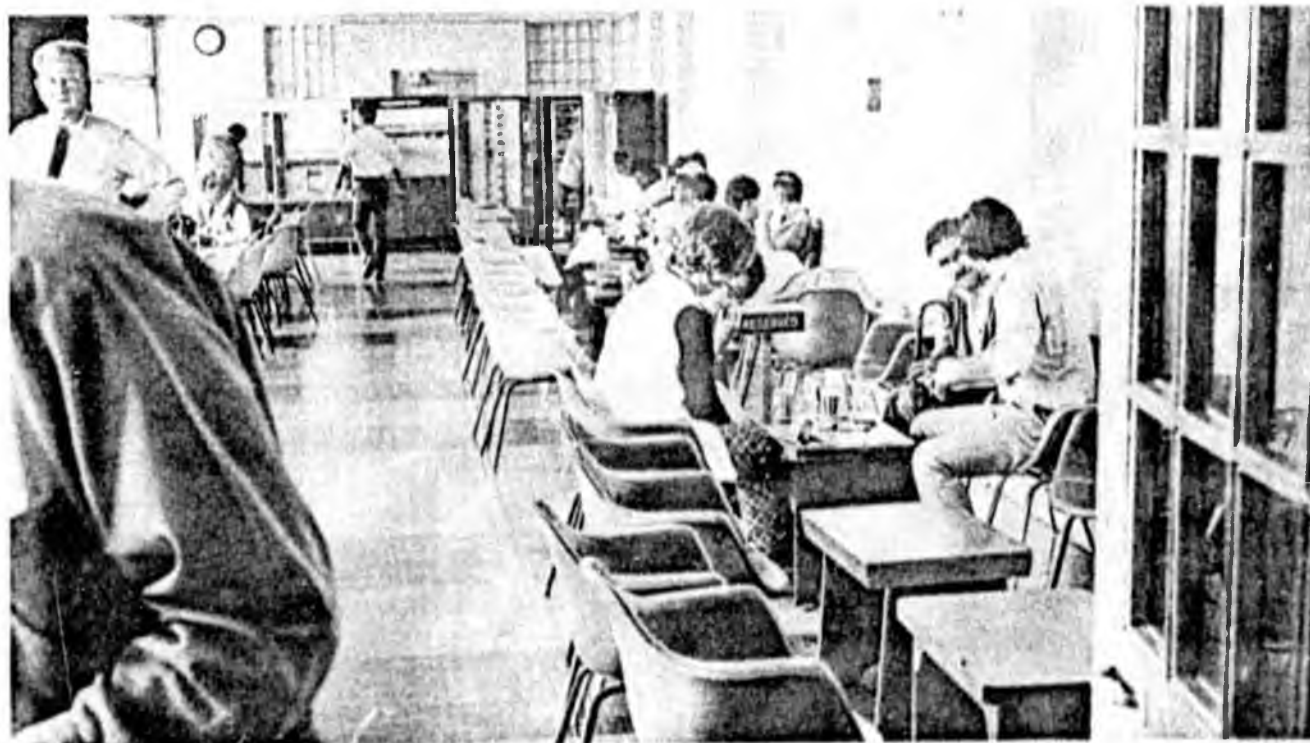
### *Essential Services*

A wide variety of services essential to the functioning of a modern prison system are made available to inmates of Federal institutions. These include counseling, case management, religious worship, mental health, medical, dental and food services.

The role of the correctional officer in Federal prisons has changed substantially in recent years. He or she now functions as a counselor



Family picnics and liberal visitation policies permit an inmate to maintain community and family ties while incarcerated.



as well as an active participant in inmate management. In keeping with his or her new role, these officers now wear colorful blazers and slacks instead of the traditional gray guard's uniform of the past. These changes help relax the traditional tension between inmates and officers.

All Bureau institutions now have formal structured counseling programs. Correctional counselors visit work areas in the daytime and living quarters and recreation areas during inmate off-duty time to listen to inmates and help them resolve problems. These counselors also are members of functional unit management teams (see above).

Case management workers carry out classification and parole assignments and approve community programs for offenders. A total of 300 case management professionals now work in Federal institutions.

Religious freedom is considered a right, not a privilege, and maximum opportunity for pursuing individual religious beliefs is extended to Federal inmates. All major facilities have full-time chaplains. They are aided by outside ministers, working under contract. A total of 57 chaplains now serve Federal prisoners' spiritual needs.

Chaplains not only conduct worship services and provide pastoral care, but also coordinate community-related chapel activity that offers a wide variety of program options for inmates of all faiths. Community volunteers help in the development of religious programs.

The Bureau's mental health programs help inmates with drug abuse and alcoholism problems. More than 100 full-time professionals, including psychiatrists, psychologists and psychiatric nurses, work in these programs.

A large scale psychiatric in-patient service is maintained at the Medical Center for Federal Prisoners, Springfield, Missouri. Two additional psychiatric referral centers were established during the year at the Federal Correctional Institutions at Danbury, Connecticut, and Terminal Island, California. At these centers, care is given to sentenced psychiatric patients

Well-tailored fashionable clothing marks the modern correctional officer. The Bureau's Equal Employment Opportunity policy is making female correctional officers a familiar feature of the prison landscape.



transferred for treatment from other Bureau facilities, and court evaluations are performed for competency hearings.

The Bureau operates 20 drug abuse programs at 16 institutions, under authority of the Narcotics Addicts Rehabilitation Act of 1966 and P.L. 93-292. Community care programs, carried out by contract treatment agencies, are available to all identified releasees and probationers as well.

Alcohol abuse or alcoholism treatment units have been established at three Bureau institutions. Several other institutions have begun treatment units which combine alcohol and drug abuse programs.

The health care facilities in each Federal prison vary in size from small dispensaries to 14 hospitals accredited by the Joint Commission on Hospital Accreditation. Some 483 medical professional, technical and support staff are employed, supplemented by 500 local consultants in medical specialties.

During Fiscal 1975, they provided inmates with 641,500 outpatient visits, performed 543,400 laboratory tests and 63,400 x-rays, and performed 5,284 operations. Some 7,349 patients were confined in Bureau hospitals for a total of 295,300 days.

Since the expiration of the Selective Service inductions June 30, 1973, recruitment of physicians has become difficult. Formerly, most physicians were provided by the Public Health Service. Now the Bureau must rely more on Civil Service recruitment, and retention is less effective. Six physician positions remained unfilled at year's end, and additional psychiatrists are also needed.

During the year, 44 dental officers performed 23,320 patient examinations and 23,000 inmates paid 122,000 visits to dental clinics. The number of dental restorations was 39,300 and inmates received 5,600 dentures, an increase of 10 percent over the previous year. Some 14,000 inmates received preventive dental care.



Medical and dental care are among the essential services available to all inmates.



Sixty percent of the dentures are fabricated at the vocational training Central Dental Laboratory at the U.S. Penitentiary at Lewisburg, Pa., at great savings to the government. Twelve inmates were graduated with Associate of Arts Degrees from Williamsport Community College in Pennsylvania in connection with the dental fabrication program.

A vocational dental laboratory and dental assistant program has been started at the Federal Correctional Institution at Lexington, Ky., for female inmates.

All Bureau facilities have maintained their accreditation as Hospital Dental Clinics by the American Dental Association.

In food service, inmates continue to receive nourishing meals. Much of the food is produced on Federal prison farms, particularly beef, pork and dairy products. Six institutions have installed microwave ovens to provide appetizing meals at significant savings in staff time and energy use.

The commissary program, which employs 75 civilians at 32 institutions, permits each inmate to buy each month \$45 worth of certain amenities, such as candy, cigarettes and hobbycraft items, not provided by the institution. Sales for the year were \$7.4 million. Profits are used to pay civilian and inmate salaries and other operating expenses.

#### *Media Services Center/Staff Library*

To support the management information and training efforts, the Federal Prison System operates a Staff Library and a Media Services Center. The library concentrates on items in the corrections field, but has holdings in other areas of criminal justice. These holdings consist of books, periodicals, journals, and government reports and research papers. A unique feature is a file of papers, articles and other writings that would not be readily available in any other library. This file is continuously updated, and represents much of the current writings in corrections that have not been widely distributed.

The media services center is a production center for media programs and a clearinghouse of media information. The facility has the capability of preparing video tapes, slides, audio tapes, photos, and manuals for use in both communications and training. It has a library of media programs available for loan to employees. The media center provides guidance to institutions in the acquisition and use of media systems. It conducts training for field personnel who need to produce materials for their local programs.

#### *Financial Management*

Reviews of financial management operations were completed in 19 facilities during 1975. These reviews assess the current status of institutional operations, point out deviations from established administrative procedures, and provide training for selected field employees who help with the reviews.

Training was conducted for all Bureau contracting officers to bring them up-to-date on current procedures. Training was also given to all regional office accountants to acquaint them with the procedures necessary to verify accounting reports.

#### *Research*

In addition to its research on functional unit management and furloughs (see above), the Bureau is also evaluating co-corrections and recidivism rates.

A recently completed study of recidivism, done in collaboration with the U.S. Board of Parole, found that despite an increase in the percentage of prisoners classified as high risks, the recidivism rate for Federal prisoners has gone down between 1970 and 1972. The main finding of the study was a sharp rise in the proportion of "high risks" offenders (those most likely to recidivate using the Parole Board Salient Factor scores) in the Bureau of Prisons population. Fewer than 47 percent of all releasees in 1970 were categorized as high risks, as compared to 54.7 percent in 1972. Despite this increase, the recidivism rate after two years for 1972 releasees was 31 percent as

compared to a 33 percent figure for 1970 releases.

Research projects planned for the near future include an evaluation of the impact of Metropolitan Community Centers and a field study of Community Treatment Center releases.

### **Management By Objectives**

During Fiscal 1975, a major effort of the Bureau was to coordinate and systematize the Bureau's planning efforts. Management by Objectives (MBO) has been the primary tool used to focus systematically on field input into the planning process. Balanced program planning requires both general policy direction from an organization's headquarters, as well as more detailed objective and resource identification on the part of field-based operations. The implementation of MBO requires an organization to state in specific terms what it plans to accomplish so that managers can work toward goals and minimize reacting to problems. Specific time frames are established for achieving objectives.

A major effort has been made to keep the process simple, flexible, and useful to managers in the field; therefore, extensive field input was used in the development of the system. A key to successful operation and implementation of MBO is to relate it realistically to the financial management system. The continued implementation of MBO in the Bureau for the first half of Fiscal Year 1976 will be to focus on "long range planning" while the second half of the fiscal year will focus on operational plans to be accomplished during Fiscal Year 1977.

### **Improving the Prisons**

The Fiscal Year 1975 budget included \$12.3 million for improvements at existing institutions, which included rehabilitation of utility systems at seven institutions, and major rehabilitation of existing structures at 18 institutions.

Some of the major line items were to construct new housing at the Federal Correctional Institution, Milan, Michigan, and construct new dormitories at the Federal Prison Camp at Eglin Air Force Base, Eglin, Florida, renovate housing at the Federal Correctional Institution at Fort Worth, Texas, and renovate dining and food preparation areas at the Medical Center for Federal Prisoners at Springfield, Missouri.

### *Assistance to Local and State Governments*

The Bureau of Prisons provides technical assistance to state and local governments who request help in improving their correctional systems. Authorization for the Bureau to undertake these activities is provided by P.L. 90-371 which was enacted July 1, 1968, and by the legislation creating the new National Institute of Corrections (see above). The conduct of this function is closely related to and coordinated with the activities of the Law Enforcement Assistance Administration.

State and local correctional officials are also permitted to attend training sessions held by the Bureau at its Atlanta and Dallas training centers. About 200 a year do so. Training packages are made available to local and state jurisdictions and to other agencies.

The Bureau's regional offices are a primary source of aid to State and local correctional agencies.

The National Institute of Corrections is expected in the years ahead to increase greatly the kinds and amounts of assistance the Federal Bureau of Prisons is able to provide to local and State correctional agencies.

### **Future Plans**

While striving to create a better balance between rehabilitation, punishment and deterrence in corrections, the Federal Bureau of Prisons will continue its efforts to make institutions more humane.

This goal will be pursued by trying to replace present outdated facilities with more modern

institutions; by introducing more voluntarism into inmate decisions on program participation; and by liberalizing rules and enlarging inmate rights, insofar as possible consistent with security and safety, to reduce tensions.

Staff training will be enhanced through establishment of another training center in the western part of the United States.

Inmate programs will be expanded and improved. Two thirds of Federal inmates have not completed high school, and more than one in three function below the sixth grade level. Fewer than one in five have any substantial

work experience. Many have drug and alcoholic addiction problems.

Research will be stepped up through the National Institute of Corrections and through the new Federal Correctional Institution due to open at Butner, North Carolina, in January 1976.

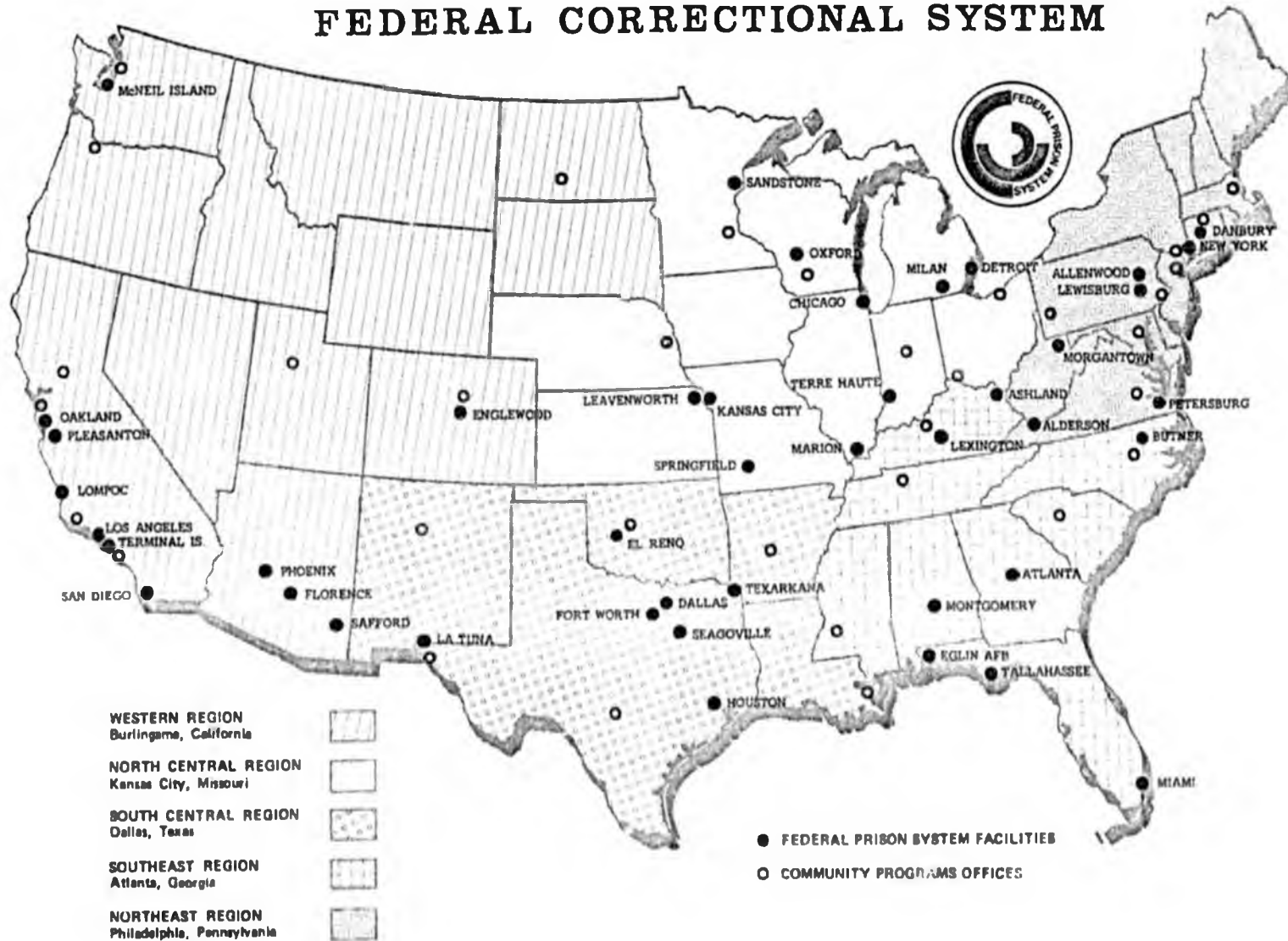
The Bureau of Prisons plans to help create a more effective Criminal Justice System by continued and expanded cooperation with the U.S. Board of Parole, the U.S. Marshals, the Federal Courts and the Probation Officers and other elements of the criminal justice system.



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# FEDERAL CORRECTIONAL SYSTEM



**UNITED STATES DEPARTMENT OF JUSTICE**

**BUREAU OF PRISONS**

Washington, D. C. 20534

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*North Central*—Kansas City, Mo. 64153:  
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*North East*—Philadelphia, Pa. 19113:  
Scott Plaza II,

*Western*—Burlingame, Calif. 94010:  
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816-243 5680

Reg. Director James D. Henderson

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Reg. Director Paul T. Walker

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891-4311

353-6819

662-9130--9

714-232-4311

312-353 6819

212-791-9130--9

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Warden William (Ray) Nelson

Warden Larry F. Taylor

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758-5901

591-3800

391-8770

335-8391

404-622-6241

913-682 8700

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618-993-8183

206-588-5281

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Warden Floyd E. Arnold

Warden Charles E. Fenton

Warden William H. Rauch

Warden Charles L. Benson

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Petersburg, Va. 23804

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736-5521

925-7102

\*304-445 2901

405-262-4875

804-733-7881

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Warden Irl E. Day

Warden Max L. Mustain

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Highway 75 (Spring '76)

Danbury, Conn. 06813

Ft. Worth, Texas 76119

La Tuna, Anthony, Texas 88021

Lexington, Ky. 40507

Lompoc, Calif. 93436

Milan, Mich. 48160

Oxford, Wisconsin 53952

Sandstone, Minn. 55072

Seagoville, Texas 75159

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817-535-2111

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805-736-7574

313-439-1571

608-594-5511/5521

612-245-2263/2264

749-7781--2

946-4243

791-1261

731-3190

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Warden Lee B. Jelt

Warden Royce A. Osborn

\*TO REACH WARDEN ONLY

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 Federal Youth Center, Englewood, Colo. 80110  
 Federal Youth Center, Miami, Fla. 33177  
 15801 S.W. 137th Ave. (Jan. '76)  
 Federal Youth Center, Pleasanton, Calif. 94568  
 Robert F. Kennedy Youth Center, Morgantown, W. Va. 16505

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 327-2881  
  
  
 923-7556

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 Safford, Ariz. 85546

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 534-7578/7459

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 904-882-5391  
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 Superintendent Earl V. Aiken  
 Superintendent Robert W. Grunski  
 Superintendent John T. Hadden

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417-862-7041

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 Los Angeles, Calif. 90006: 1212 S. Alvarado St.  
 New York, N. Y. 10019: 210 West 55th St.  
 Oakland, Calif. 94610: 205 MacArthur Blvd.  
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285-4445  
 353-9678  
 749-3525  
 226-7042  
 527-4933  
 758-3946  
 798-4771  
 536-7231-2  
 261-4176  
 350-5568-9

404-627-4534/526-4445  
 312-353-9678  
 214-749-3525  
 313-226-7042  
 713-226-4934  
 816-374-3946  
 213-688-4770  
 212-826-4728  
 415-273-7231  
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 305-350-5568-9

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 Director William Toney

A PERFORMANCE REVIEW OF  
THE DEPARTMENT OF HEALTH AND  
SOCIAL SERVICES  
JUVENILE CONFINEMENT PROGRAMS

September 28, 1979

Commissioner of the Department  
of Health and Social Services  
Deputy Commissioner of the  
Department of Health and Social  
Services  
Deputy Commissioner of the  
Department of Health and Social  
Services  
Deputy Commissioner of the  
Department of Health and Social  
Services

Dr. Helen D. Beirne

Frederick McGinnis

Allen Korhonen

Catherine M. Lloyd

# STATE OF ALASKA

## THE LEGISLATURE

BUDGET AND AUDIT COMMITTEE

AUDIT DIVISION  
POUCH W—ALASKA OFFICE BUILDING

FINANCE DIVISION  
POUCH WF—STATE CAPITOL

JUNEAU, ALASKA 99811

September 28, 1979

Members of the  
Legislative Budget and Audit Committee:

In accordance with the provisions of Title 24 of the Alaska Statutes, the attached report is submitted for your review:

A PERFORMANCE REVIEW OF  
THE DEPARTMENT OF HEALTH AND  
SOCIAL SERVICES  
JUVENILE CONFINEMENT PROGRAMS

September 28, 1979



Gerald L. Wilkerson, CPA  
Legislative Auditor  
Division of Legislative Audit

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## PURPOSE AND SCOPE OF THE REVIEW

### Purpose

In accordance with the provisions of Title 24 of the Alaska Statutes, a performance review of the Department of Health and Social Services' juvenile confinement programs was requested by the Legislative Budget and Audit Committee. Our review was conducted to determine the Department's operational effectiveness and efficiency in providing services to juveniles committed to the Department's custody.

### Scope

Our review included the juvenile programs of the Division of Corrections (DOC) and the Division of Social Services (DSS). Our analysis and evaluation of the operations of both divisions included the following:

1. We reviewed applicable statutes and regulations promulgated by the Department;
2. Department and division policies and procedures were reviewed;
3. we interviewed DOC and DSS administrative and line staff;
4. the divisions' case files of juveniles in residential child care facilities were reviewed;
5. we interviewed representatives from several residential child care facilities located in urban and rural locations;
6. we reviewed juvenile case files of residential child care facilities;
7. we examined institutional licensing information at DSS and at child care facilities;
8. we sent questionnaires to several groups involved with the juvenile confinement process; and
9. we examined other documents and records as we considered necessary in the circumstances.

## ORGANIZATION AND FUNCTION

Alaska Statute 47.10 charges the Department of Health and Social Services with the responsibility of providing care and protection for juveniles committed to their custody by the Superior Court. The courts may find juveniles to be delinquent as a result of violating a criminal law of the State or a municipality of the State, or the courts may find juveniles to be children in need of aid as a result of abuse or neglect.

Two divisions of the Department are responsible for providing the necessary care and protection of juveniles. Delinquents are the responsibility of the Division of Corrections which has regional probation offices in Juneau, Anchorage and Fairbanks, and field offices in nine communities throughout the State. The Division of Corrections also operates the McLaughlin Youth Center, the only State-operated juvenile institution in Alaska.

The Division of Social Services is responsible for children in need of aid. Division services are provided through six regional offices in Ketchikan, Juneau, Anchorage, Fairbanks, Bethel and Nome, and 25 field offices.

## SUMMARY OF REPORT CONCLUSIONS

Our review of the Department's juvenile confinement programs shows that certain changes and improvements should be made in order for the Department to provide better services to children in need of aid and delinquent juveniles.

All juvenile functions should be combined into a single juvenile services section within the Division of Social Services. Under the current organization, services are provided in a diversified manner (see Recommendation No. 1).

Improvements are needed in several areas of juvenile case management such as supervisory review, treatment plans, evaluations of juveniles and caseworker contact (see Recommendation No. 2). Improvements are also needed in the licensing and treatment program reviews of child care facilities (see Recommendation No. 3 and 4).

Expenditure policies and controls should be developed which provide juveniles the best treatment and care within budgetary limitations. Two department decisions have reduced the availability of treatment and care programs for juveniles and as of September 21, 1979, billings of \$177,045 for Fiscal Year 1979 services were unpaid by the Division of Corrections (see Recommendation No. 5).

In addition, the Department should increase efforts in developing alternatives to institutionalization (see Recommendation No. 6).

## FINDINGS AND RECOMMENDATIONS

### Recommendation No. 1

The Department of Health and Social Services should combine all juvenile functions into a single juvenile services section within the Division of Social Services.

Under the current departmental organization, juvenile services are provided by two divisions. The Division of Corrections (DOC) provides services to minors found delinquent by the courts, while the Division of Social Services (DSS) serves minors found by the courts to be in need of aid. This separation of services corresponds to the statutory distinctions between delinquents and children in need of aid.

However, after completing our review, it is our opinion that combining all juvenile functions within a single division would improve services without conflicting with those statutory distinctions.

The concept of a single juvenile section provides for the separation of juvenile and adult services and allows for a concentration of attention, support, resources and continuity in the delivery of juvenile services.

In June of 1977, the directors of DOC and DSS presented the same concept to the past Commissioner along with a timetable for its implementation. The proposal had an effective date of July 1, 1977, but was not implemented.

Benefits of a combined juvenile services section are presented below, including several contained in the Department's 1977 proposal.

#### A. Improved attention to juveniles and juvenile problems.

Presently, juvenile services are provided in a diversified manner. DSS social workers are responsible for both juvenile and adult services. However, traditionally a majority of their caseload has been juvenile matters. While DOC probation officers in Anchorage and Fairbanks are organized into separate juvenile sections, in all other areas of the State probation officers are responsible for both adult and juvenile cases.

The Division of Corrections is recognized by many as adult and/or criminally oriented. In many cases, there is a fine-line distinction between delinquents and children in need of aid. During our testing, we found cases where, although delinquent acts were committed, the probation officer recommended the court find the minor in need of aid in order to avoid the stigma attached to the Division of Corrections.

A single juvenile section within DSS would allow a concentration of attention on juvenile problems and avoid any associated stigmas.

B. Improved coordination of efforts.

Although some communication exists, DOC and DSS operate their respective programs separately. Each operates under separate divisional administrative direction and procedures.

One of the primary goals of juvenile casework is to strengthen the family unit. Under the current organization it is possible for a family to receive counseling from both divisions concurrently.

A single juvenile section would ensure consistency in the delivery of family services and eliminate the family burden of dealing with two agencies.

Other problems in coordination also exist. All licensing and license studies of foster homes and private care facilities are performed by DSS, with little communication of results to DOC. Each division also has its own foster home recruiting efforts.

A combined juvenile section would improve communication, provide consistency in policies and procedures and reduce any duplication of efforts.

C. A single juvenile services program budget.

Current departmental budgeting does not identify juvenile service resources separately from other programs. DOC's Probation and Parole budget and the DSS Social Services budget include salary and support funds for all probation officers and social workers, respectively. The DOC Juvenile Confinement budget includes funds for McLaughlin Youth Center, local facilities (full cost of care), out-of-state care and foster care. Likewise, the DSS Program Services budget also includes foster care and institutional funds.

A single juvenile services program budget would allow the Department, the Governor and the Legislature to identify the specific objectives of the total program and the total resources needed to accomplish those objectives.

In summary, a single juvenile section should improve the delivery of juvenile services.

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absent from score files and the Department has not made timely application to the courts for extension of custody. Although many court orders expired on August 26, 1979, due to a 1977 statute revision, petitions for extension of departmental custody were not prepared until the first week in August.

Child care facility directors have indicated that the Department has not always supplied them with verification of the Department's legal custody. When verification was received, it was not always in a timely manner. Our testing of the facilities juvenile case files supported these comments. Only 50% of these files contained legal documents indicating the custody or status of the juvenile.

In order to protect the rights of the juveniles and their families, the Department should ensure all legal judgements granting custody have been obtained. Signed copies of all related court orders (detention, adjudication and disposition) should be contained in the case file. In addition, the Department should prepare petitions for custody continuations well in advance to enable proper court review prior to the expiration of the existing court order. The Department should also transmit copies of the relevant legal documents to the child care facility at the time of placement.

D. Juvenile treatment plans.

We found that caseworkers are initially evaluating the juveniles' needs in general terms. Placement of juveniles in a child care facility is subsequently made in hope of meeting those needs.

However, 60% of the Department and child care facility juvenile files tested did not contain a detailed treatment plan for the juveniles.

In order to assure that juvenile needs are met while in institutional care, a thorough evaluation of needs and a method of meeting those needs should be prepared by either the Department's caseworker or the institution's staff. If the plan is developed by the institution, it should be subject to review by the Department's caseworker.

Several institutions do not have treatment programs. The expressed purpose of such facilities is to provide a stable residential setting. Department caseworkers have stated that this is all some juveniles require. In those instances a case plan should still be prepared. It should indicate that only maintenance of the juvenile is necessary.

E. Consideration of placement alternatives.

Although DOC has a formal decision process for placing juveniles in child care facilities, 57% of the DOC files tested did not indicate how the placement decision was reached. At DSS, 54% of the tested files did not indicate the basis for the placement decision.

Thorough consideration of all alternative placements is necessary to assure the best possible care for juveniles. The alternatives considered and the reasons for the final selection should be documented to ensure juveniles receive due process.

The DOC procedure provides for a reasonable evaluation of alternatives and should be adopted statewide. However, the Department must ensure that it is applied to all juvenile placements.

F. Caseworker contact with the juvenile.

Sixty-seven percent of the Department and child care facility files tested indicated the Department's caseworker had very limited, if any, contact with juveniles after placement in institutions. Also, DOC practice precludes probation officer involvement with juveniles placed at McLaughlin Youth Center.

Although care and treatment responsibilities are delegated when an institutional placement is made, it is important that the Department's caseworker maintain contact with the juvenile. The caseworker has the ultimate responsibility of supervising the return of the juvenile to the community. Consequently, the caseworker must be aware of the juvenile's development.

G. Evaluation of juveniles' progress.

Half of the DOC and 30% of the DSS files tested did not contain any institutional evaluation of the juvenile. Additionally, 75% and 37% of the DOC and DSS files, respectively, did not contain an evaluation of the juvenile by the Department's caseworker. Testing of institution files indicated 18% of the juveniles had not been evaluated. Another 44% of the files contained evaluations which did not address the progress of the juvenile. Most of these only addressed the juvenile's status without relating the status to any identifiable problems.

Institutions varied substantially as to the frequency of evaluations. Some were monthly while others were biannual.

In order to ensure proper treatment and care of juveniles and to allow adequate annual court review, juveniles must be adequately evaluated. Evaluations should be frequent enough to allow for necessary changes in goals or treatment methods.

Evaluations should address the problems of the juvenile as defined in the diagnosis and treatment plans (see D). Evaluations should address the current status of the juvenile and their progress in overcoming the problems since the last evaluation. They should also address any necessary revision to the goals or treatment method.

In addition, the Department should ensure that evaluations are prepared by the institution at least on a quarterly basis. A quarterly evaluation would strike a balance between excessive paperwork and the need for a timely review of the juvenile. Furthermore, the Department should require all institutions, including McLaughlin Youth Center, to transmit these evaluations to the Department's probation officer or social worker.

Our testing also found that 76% of the cases reviewed did not indicate regular progress reports were sent to parents. The Department should forward copies of all evaluations to the juveniles' parents including any necessary explanations or comments.

In separate testing of case files for juveniles placed in out-of-state child care facilities, we found case management improvements are needed in most areas discussed above. One exception is that out-of-state facility evaluations of juveniles are usually of better quality and more frequent than evaluations by in-state facilities.

With the addition of 19 new social worker positions in Fiscal Year 1980, it is that much more important that supervision and management of juvenile cases be improved. The Department should remain aware that more service does not necessarily mean better service. These recommended improvements are essential to provide better services for children in need of aid and delinquent juveniles.

### Recommendation No. 3

The Department should ensure that child care facilities conform with State licensing standards.

Our testing shows that the Division of Social Services (DSS) has issued annual licenses to child care facilities which were not in compliance with minimum licensing standards. The most notable instances occurred in the Kodiak and Juneau

regions. DSS licensing staff has also stated that some rural facilities have been licensed although they did not meet minimum standards.

In order to provide reasonable assurance that juveniles are receiving an acceptable level of care, the Department has adopted minimum standards for licensing child care facilities. Licensing facilities which do not meet these standards may result in inappropriate care or treatment of children.

Attention should be directed to the following areas:

A. Verification and follow-up action.

Currently, license specialists in Anchorage and Juneau use a licensing study form which lists the regulations and allows the specialist to indicate if the facility complies with the regulations. This kind of check-off sheet can be a very useful tool and should be adopted for statewide use after determining a format suitable to all regions. It assures all regulations are addressed and provides a systematic documentatic. of why a license was issued or denied. However, the licensing specialists should only indicate that a facility is in compliance based on verifiable evidence. Any standard which has not been verified should be so indicated.

The licensing regulations allow for a provisional license to be issued instead of an annual license if the institution is not in compliance. The facility is advised of the needed improvements and given reasonable time to comply.

DSS should issue provisional licenses when the facilities are not in compliance but the safety and care of the juveniles are not endangered. Institutions should be helped and encouraged to comply with all regulations. Considering the regulations were adopted in 1972, most institutions should be expected to materially comply with the minimum standards.

Licensing specialists have also stated that for some requirements, they are not qualified to determine if the facility is in compliance. In those areas, the specialist should seek assistance in determining compliance. The most common example of this problem relates to financial and accounting requirements. The Department's financial audit section should have the necessary information to properly evaluate the facilities' fiscal operations.

B. More rural facility visits by licensing specialists.

Verification of compliance as well as lending aid to the facility requires a certain amount of personal

contact. Licensing specialists have stated that many rural facilities are infrequently visited. Proper verification of licensing regulations and subsequent follow-up of any noncompliance issues would indicate a minimum of two visits per year to all facilities is necessary. Due to their proximity, specialists will have more contact with urban facilities. However, rural facilities should also be afforded reasonable service.

C. Licensing specialist priorities.

We noted that in smaller regional offices, the licensing specialist also carries a caseload. The primary responsibility of licensing specialists should be ensuring that facilities comply with licensing requirements. Casework should be assigned only to the extent licensing responsibilities are not hindered.

Recommendation No. 4

The Department of Health and Social Services should increase efforts in reviewing child care facility programs.

Presently, the decision to place a juvenile in a particular facility is based primarily on past placement experiences and information provided by the facility. The Division of Social Services (DSS) prepared a directory containing the information submitted by the various facilities. According to discussions with caseworkers, this directory is of little use in making the final placement decision.

DSS also conducts an annual licensing study in connection with license renewal to determine the facility's compliance with applicable regulations. However, this study does not adequately review the resources or quality of treatment available at in-state facilities.

In addition, the Division of Corrections (DOC) prepares an evaluation, twice a year, on out-of-state facilities where DOC has placements at the time of the review. However, this evaluation is based primarily on the progress of the juvenile in placement and interviews with the minor's caseworker. An in-depth review of the facility's treatment program is not conducted. Out-of-state licensing authorities should be utilized for evaluations of those facilities used by the Department in other states.

Thorough program reviews would provide the Department with a documented understanding of the range of treatment programs available to the State, indicate the types of facilities needed in Alaska and provide caseworkers with current and accurate information needed in order to make the best placement decision possible.

The initial reviews should be followed by yearly program evaluations to ensure treatment standards are maintained.

Recommendation No. 5

The Department should develop expenditure policies and controls which afford juveniles the best treatment and care within budgetary limitations.

Two department decisions during Fiscal Year 1979 have reduced the availability of treatment and care programs for juveniles. In addition, as of September 21, 1979, billings of \$177,045 for services rendered in Fiscal Year 1979 by five child care providers were unpaid by the Division of Corrections (DOC). As of August 31, 1979, approximately \$5,000 was available in Fiscal Year 1979 institutional care funds to pay these bills.

- A. During the spring of 1979 the Department began returning to Alaska all out-of-state placed juveniles possible. Additionally, future placements to out-of-state programs were restricted to a few facilities. Services provided by several of the eliminated facilities are presently not available in Alaska.

Over 70% of the probation officers and social workers responding to our questionnaire indicated out-of-state placements could not be reduced without adversely affecting the treatment of juveniles. More than 90% of those responding indicated that Alaska's privately operated programs do not provide a necessary range of treatment (See Appendixes A and B).

Although the Department has indicated that the out-of-state placement reductions have saved money, several department personnel have indicated that the cost of out-of-state placements are often less than in-state placements. A comparison of current daily rates supports these comments.

- B. Beginning in Fiscal Year 1980, the Department has decided to not make any DOC placements with two care providers in Alaska due to their high cost of care.

This decision was made in an attempt to meet budget limitations imposed in the FY '80 Budget Act. However, several eliminated facilities provide less costly services than some facilities retained. The decision has also eliminated certain specialized programs from DOC use. According to DOC personnel, many of the placements which would

have been made in these programs will now be referred to the State-operated institution, McLaughlin Youth Center

In addition, by precluding DOC use of these programs while allowing Division of Social Services (DSS) use, the Department may increase overall costs of placing juveniles. Unless DSS increases placements to the facilities no longer used by DOC, subsequent years' cost-of-care rates may increase.

Effective management secures the best services possible while remaining within budgetary limitations. Because this is a difficult task, the Department should ensure that procedures are implemented which allow management to control program expenditures. However, these controls must be coupled with policies that allow some regional discretion for placing juveniles in any appropriate treatment program.

Well-planned policies and controls should avoid the inappropriate placement of juveniles while providing management control over expenditures.

#### Recommendation No. 6

The Department of Health and Social Services should increase efforts in developing alternatives to institutionalization.

In May of 1974, the Division of Corrections established an Alternative Care Coordinator position with primary responsibility for planning, developing and coordinating a program of alternatives to institutionalization. Except for the hiring of three probation officers in Fiscal Year 1980 to recruit and train foster homes, the Division has done little to develop alternatives.

On September 1, 1979, the Division reclassified the Coordinator position to a Probation Officer IV because "in the past several years, the duties have become administrative and supervisory in nature". For example, the position has served a chairman of the out-of-state classification committee for several years. This committee's function is traveling to institutions in other states in order to evaluate Alaska juveniles. This responsibility has little, if any, relation to the original job description of the Alternative Care Coordinator.

We recommend that the Department reduce the administrative responsibilities and ensure the major emphasis of the position is devoted to developing alternatives to institutionalization.

The combination of limited funding and the increasing costs of traditional institutional placements necessitates a need for alternatives such as the Division's current foster home recruiting efforts. The development of new and existing alternatives will expand the limited range of treatment programs currently available to the Department.

Recommendation No. 7

The Legislature should consider reviewing AS 47.40.010-.050, the full cost-of-care statutes.

During the course of our review, we found that considerable confusion exists as to the proper interpretation of the cost-of-care statutes. For example, several child care providers have argued that the statutes mandate year-end cost settling. A March 25, 1976 Attorney General's opinion advised cost settling could be adopted, and the Department of Health and Social Services contended that while the statutes may permit cost settling, they do not mandate it. A May 31, 1978 court decision stated cost settling is neither mandated nor permitted under the current statutes.

A thorough legislative review and, if determined necessary, any appropriate revisions or additions should eliminate existing confusion and confirm the Legislature's intent of the full cost-of-care statutes.

Recommendation No. 8

The Department of Health and Social Services should improve the auditing of child care facilities in order to determine actual cost-of-care rates.

Currently the Department establishes a daily payment rate for each of the 23 in-state child care facilities used by the Department. The rates are based on unaudited financial information from the previous fiscal year, adjusted for cost of living increases. This provisional rate is subject to an audit which will determine the actual cost-of-care rate. Several of the child care providers have requested the Department to conduct audits. However, the Department has audited the Fiscal Year 1977 expenditures of only four facilities and the Fiscal Year 1978 expenditures of four others. As of mid September 1979, three of the four Fiscal Year 1978 audits had not been finalized and no audits of Fiscal Year 1979 expenditures had been started.

In January of 1978, the Department prepared an allowable cost system which associated costs with the Department's care requirements as permitted by AS 47.40.040(b)(5). Although it has not been adopted, such a system would allow auditors and child care facilities to determine and control costs for specific levels of care.

In a previous Legislative Audit report titled A Review of Program Services, Department of Health and Social Services, July 1, 1974 - June 30, 1975; we recommended the adoption of regulations defining allowable costs under full cost-of-care.

In order to avoid payment for care in excess or below required levels of care, the Department should adopt a system which defines allowable costs.

The Department should also ensure audits of child care facilities are conducted in a timely manner and with a frequency which will ensure the State pays an appropriate rate for services.

APPENDIXES

APPENDIX A

QUESTIONNAIRE TO PROBATION OFFICERS ON JUVENILE CONFINEMENT

1. Division of Corrections employee responses (see Note 1) 23
  
2. Approximate percentage of your time spent on juvenile cases. Average 70 %
  
3. Approximate number of Fiscal Year 1979 juvenile cases for which you were:
 

	<u>Respondents</u>	<u>Total</u>	<u>Average</u>
a. the primary case manager.	<u>18</u>	<u>730</u>	<u>41</u>
b. a supervisor.	<u>10</u>	<u>363</u>	<u>36</u>
c. Your total FY 1979 juvenile caseload (a+b).		<u>1093</u>	
  
4. Please rank the following considerations as to their importance in your juvenile placement process. Please distinguish actual priority rankings from ideal rankings.

<u>Composite Ideal Ranking</u>	<u>Consideration</u>	<u>Composite Actual Ranking</u>
1.	Treatment needs of the juvenile	2.
2.	Protection of the public	1.
3.	Protection of the juvenile	3.
4.	Availability of appropriate treatment programs	7.
5.	Proximity of parents	8.
6.	Availability of in-state placement space	6.
7.	Full utilization of in-state space	5.
8.	Cost of care/fiscal constraints	4.
9.	Other (various considerations)	9.

5. Currently placements are made to the following facilities. In your opinion, are changes in placement emphases needed for any of the following?

% of Responses (See Note 1)

	<u>Facility</u>	<u>More</u>	<u>Same</u>	<u>Less</u>	<u>No Response</u>
a)	Parent or Relative Homes	30%	62%	4%	4%
b)	Foster Homes	74%	22%	-0-%	4%
c)	Group Homes	48%	26%	22%	4%
d)	In-State Private Institutions	48%	22%	30%	-0-%
e)	McLaughlin Youth Center	9%	61%	30%	-0-%
f)	Out-of-State Institutions	39%	22	39%	-0-%
g)	Other (various types)	17%	-0-%	-0-%	83%

		<u>Yes</u>	<u>No</u>	<u>No Response</u>
6.	Are Alaska's privately operated institutions and group home treatment programs adequate to provide a necessary range of treatment?	4%	96%	-0-%
7.	(a) Legislation to establish an adventure based education (ABE) program was passed this last legislative session. Is this a viable alternative to meet the needs of Alaskan juveniles?	39%	57%	4%
	(b) If so, approximately how many of your Fiscal Year 1979 juvenile cases could have been referred to ABE? (Include only those for which you were the <u>primary</u> case manager. Do not include supervised cases).	<i>Total of <u>43</u> juveniles</i>		
8.	(a) Are there any other alternatives to the current juvenile programs which would be appropriate in Alaska but are not being used or are not available in Alaska?	82%	9%	9%

8. (k) If so, what type of alternative treatment programs are needed in Alaska? How many of your fiscal year 1979 juvenile cases cou'd have been referred to such facilities or treatment programs had they been available?

<u>Program (see Note 2)</u>	<u>Number of Referrals</u>
1. Group homes, specialized programs.	<u>49</u>
2. Rural Village Council Programs.	<u>40</u>
3. Education, special and vocational.	<u>20</u>

	<u>% of Responses (See Note 1)</u>		
	<u>Yes</u>	<u>No</u>	<u>No Response</u>
9. Is current information about in-state treatment programs and facilities readily available to you?	78%	22%	-0-%
10. Can out-of-state placements be reduced without adversely affecting the treatment of care of juveniles?	26%	74%	-0-%
11. Have juveniles been placed in inappropriate living and/or treatment situations due to:			
(a) the lack of available placement space?	83%	13%	4%
(b) Department funding constraints?	83%	17%	-0-%
(c) any Departmental or Divisional policies?	61%	35%	4%
12. Can foster homes placements be used rather than institutional placements without adversely affecting services to the juveniles or the safety of the public?	39%	61%	-0-%

		<u>% of Responses (See Note 1)</u>		
		<u>Yes</u>	<u>No</u>	<u>No Response</u>
13.	Does the availability of foster homes prevent more placements?	74%	26%	-0-%
14.	Is your Division's foster home recruitment effort adequate?	13%	87%	-0-%
15.	Are there any statutes or regulations which are obsolete, vague or unduly restrictive? (see Note 3.)	48%	35%	17%
16.	Are any statutory or regulatory additions necessary to ensure the adequate protection of the public and/or treatment of juveniles? (see Note 3.)	35%	43%	22%
17.	Do you know of any discriminatory practices in the placement or treatment of juveniles by:			
	(a) Probation Officers or Social Workers?	9%	87%	4%
	(b) Classification Committees (Division of Corrections)?	13%	83%	4%
	(c) Institutions?	4%	92%	4%
	(d) (see Note 3.)			
18.	Are there any geographic regions within Alaska which do not have adequate Department service? (see Note 3.)	70%	26%	4%
19.	Would juvenile services be more effective if licensing specialists, social workers and probation officers were combined into a single juvenile services division within the Department?	35%	65%	-0-%
20.	(a) Are social workers qualified to perform the duties of a probation officer?	13%	83%	4%
	(b) Are probation officers qualified to perform the duties of a social worker?	52%	44%	4%

	<u>% of Responses (See Note 1)</u>		
	<u>Yes</u>	<u>No</u>	<u>No Response</u>
21. Are you aware of any of your Division's administrative procedures which are not being followed? (see Note 3.)	9%	78%	13%
22. Are there any Divisional administrative policies which impede juvenile case management or are unnecessary? (see Note 3.)	22%	48%	30%
23. In your opinion, is the State-run institutional program at McLaughlin Youth Center more or less effective than programs offered by private child care institutions?			
	<u>More</u>	<u>Same</u>	<u>Less</u>
	39%	13%	35%
			<u>Undecided</u>
			13%
24. Have you served on a regional classification committee during the past two years?	70%	30%	-0-%
25. Are classification committees necessary for the proper placement of juveniles? (see Note 3.)	66%	30%	4%
26. Does the out-of-state classification committee provide an adequate:			
(a) review of individual placement?	52%	44%	4%
(b) review of institutional program?	48%	48%	4%
27. Please note any additional comments regarding juvenile confinement programs. Thanks again.			
			(See Note 3)

Note 1

Number of questionnaires sent to Division of Corrections Probation Officers.	<u>49</u>
Number of responses.	<u>23</u>
Response Rate.	<u>47%</u>

Note 2

These three categories represent the three most common responses. Respondents indicated an additional 93 juveniles could have been appropriately placed in other programs or facilities in Alaska had the programs been available.

Note 3

Following several of the yes/no questions, the respondent was asked to elaborate on the response by providing more specific information or indicating the reason for the response. Due to the wide range of information provided, we have not included a detailed list of those responses.

APPENDIX B

QUESTIONNAIRE TO SOCIAL WORKERS ON JUVENILE CONFINEMENT

1. Division of Social Services employee responses:  
(See Note 1) 38
2. Approximate percentage of your time spent  
on juvenile cases. Average  
66%
3. Approximate number of Fiscal Year 1979  
juvenile cases for which you were:
 

	<u>Respondents</u>	<u>Total</u>	<u>Average</u>
a. the primary case manager.	<u>36</u>	<u>1343</u>	<u>37</u>
b. a supervisor.	<u>5</u>	<u>420</u>	<u>84</u>
c. Your total FY 1979 juvenile caseload (a+b).		<u>1763</u>	
4. Please rank the following considerations as to their  
importance in your juvenile placement process. Please  
distinguish actual priority rankings from ideal rankings.

<u>Composite Ideal Ranking</u>	<u>Consideration</u>	<u>Composite Actual Ranking</u>
1.	Treatment needs of the juvenile	2.
2.	Protection of the juvenile	1.
3.	Availability of appropriate treatment programs	3.
4.	Proximity of parents	5.
5.	Availability of in-state placement space	4.
6.	Protection of the public	8.
7.	Full utilization of in-state space	7.
8.	Cost of care/fiscal con- straints	6.
9.	Other (various considerations)	9.

5. Currently placements are made to the following facilities. In your opinion, are changes in placement emphases needed for any of the following?

% of Responses (See Note 1)

	<u>Facility</u>	<u>More</u>	<u>Same</u>	<u>Less</u>	<u>No Response</u>
a)	Parent or Relative Homes	53%	42%	-0%	5%
b)	Foster Homes	53%	29%	13%	5%
c)	Group Homes	53%	31%	11%	5%
d)	In-State Private Institutions	39%	24%	29%	8%
e)	McLaughlin Youth Center	3%	29%	37%	31%
f)	Out-of-State Institutions	16%	47%	26%	11%
g)	Other (various types)	16%	-0%	-0%	84%

- |    |                                                                                                                                                                                                                      | <u>Yes</u>                      | <u>No</u> | <u>No Response</u> |
|----|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------|-----------|--------------------|
| 6. | Are Alaska's privately operated institutions and group home treatment programs adequate to provide a necessary range of treatment?                                                                                   | 8%                              | 92%       | -0%                |
| 7. | (a) Legislation to establish an adventure based education (ABE) program was passed this last legislative session. Is this a viable alternative to meet the needs of Alaskan juveniles?                               | 34%                             | 42%       | 24%                |
|    | (b) If so, approximately how many of your Fiscal Year 1979 juvenile cases could have been referred to ABE? (Include only those for which you were <u>the primary</u> case manager. Do not include supervised cases). | <i>Total of 87-92 juveniles</i> |           |                    |
| 8. | (a) Are there any other alternatives to the current juvenile programs which would be appropriate in Alaska but are not being used or are not available in Alaska?                                                    | 78%                             | 11%       | 11%                |

8. (b) If so, what type of alternative treatment programs are needed in Alaska? How many of your Fiscal Year 1979 juvenile cases could have been referred to such facilities or treatment programs had they been available?

<u>Program (See Note 2)</u>	<u>Number of Referrals</u>
1. Various <u>treatment</u> oriented residential programs.	<u>117</u>
2. Group homes, specialized treatment programs.	<u>51</u>
3. Out-of-State program models.	<u>48</u>

	<u>% of Responses (See Note 1)</u>		
	<u>Yes</u>	<u>No</u>	<u>No Response</u>
9. Is current information about in-state treatment programs and facilities readily available to you?	73%	16%	11%
10. Can out-of-state placements be reduced without adversely affecting the treatment or care of juveniles?	8%	71%	21%
11. Have juveniles been placed in inappropriate living and/or treatment situations due to:			
(a) the lack of available placement space?	84%	11%	5%
(b) Department funding constraints?	42%	44%	14%
(c) any Departmental or Divisional policies?	53%	36%	11%
12. Can foster homes placements be used rather than institutional placements without adversely affecting services to the juveniles or the safety of the public?	37%	34%	29%

	<u>% of Responses (See Note 1)</u>		
	<u>Yes</u>	<u>No</u>	<u>No Response</u>
13. Does the availability of foster homes prevent more placements?	66%	21%	13%
14. Is your Division's foster home recruitment effort adequate?	47%	45%	8%
15. Are there any statutes or regulations which are obsolete, vague or unduly restrictive? (see Note 3.)	34%	34%	32%
16. Are any statutory or regulatory additions necessary to ensure the adequate protection of the public and/or treatment of juveniles? (See Note 3.)	27%	39%	34%
17. Do you know of any discriminatory practices in the placement or treatment of juveniles by:			
(a) Probation Officers or Social Workers?	11%	84%	5%
(b) Classification Committees (Division of Corrections)?	8%	60%	32%
(c) Institutions?	18%	64%	18%
(d) (See Note 3.)			
18. Are there any geographic regions within Alaska which do not have adequate Department service? (see Note 3)	73%	11%	16%
19. Would juvenile services be more effective if licensing specialists, social workers and probation officers were combined into a single juvenile services division within the Department?	39%	43%	18%
20. (a) Are social workers qualified to perform the duties of a probation officer?	50%	37%	13%
(b) Are probation officers qualified to perform the duties of a social worker?	32%	50%	18%

	<u>% of Responses (See Note 1)</u>		
	<u>Yes</u>	<u>No</u>	<u>No Response</u>
21. Are you aware of any of your Division's administrative procedures which are not being followed? (see Note 3.)	8%	81%	11%
22. Are there any Divisional administrative policies which impede juvenile case management or are unnecessary? (see Note 3.)	21%	48%	26%
23. Please note any additional comments regarding juvenile confinement programs. Thanks again.	(See Note 3)		

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Note 1

Number of questionnaires sent to Division of Social Services social workers.	<u>116</u>
Number of responses.	<u>38</u>
Response Rate.	<u>33%</u>

Note 2

These three categories represent the three most common responses. Respondents indicated an additional 163 juveniles could have been appropriately placed in other programs or facilities in Alaska had the programs been available.

Note 3

Following several of the yes/no questions, the respondent was asked to elaborate on the response by providing more specific information or indicating the reason for the response. Due to the wide range of information provided, we have not included a detailed list of those responses.

APPENDIX C

FOSTER PARENT QUESTIONNAIRE

(See Note 1)

	<u>Currently</u>	<u>Last 12 mo.</u>	
1. Number of juveniles placed in your home:			
a. by the Division of Social Services.	<u>64</u>	<u>169</u>	
b. by the Division of Corrections.	<u>5</u>	<u>24</u>	
	<u>Percent of Responses</u>		
		<u>Yes</u>	<u>No Response</u>
2. Were you recruited as a foster home by:			
a. the Division of Social Services?	57%		
b. the Division of Corrections?	7%		
c. (other) <i>Volunteered</i>	22%		
<i>All Others</i>	14%		
3. When recruited as a foster home, were you asked if you would be willing to take placements from:			
a. the Divisor of Social Services (children in need of aid)?	85%	8%	7%
b. the Division of Corrections (delinquents)?	21%	50%	29%
4. Are the Department's licensing requirements adequate and effective?	86%	6%	8%
5. Was an annual licensing inspection conducted?	89%	6%	5%
6. Was the inspection fair?	88%	1%	11%
7. Were you promptly informed of non-compliance issues, if any existed?	42%	6%	52%
8. In your opinion, are inspections useful?	91%	8%	1%
9. Are you aware of any discriminatory practices involving the licensing of foster homes? (See Note 2.)	11%	88%	1%

	<u>Percent of Responses</u>		
	<u>Yes</u>	<u>No</u>	<u>Response</u>
10. Were you provided a copy of the Department's foster home regulations?	96%	3%	1%
11. Are there any regulations that are obsolete, vague or unduly restrictive? (See Note 2.)	12%	78%	10%
12. Has the Department provided adequate training to foster parents? (see Note 2.)	5%	50%	11%
13. Is there adequate communication between the Department and foster homes? (see Note 2.)	64%	33%	3%
14. Is there adequate contact with juveniles by:			
a. the responsible probation officer (Corrections)?	18%	3%	79%
b. the responsible social worker (Social Services)?	61%	22%	17%
15. Is there a difference in your willingness to accept juveniles found to be delinquent and those found to be children in need of aid? (see Note 2)	54%	29%	17%
16. Additional Comments.	(see Note 2)		

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Note 1

Licensed foster parents.	<u>560</u>
Questionnaires sent.	<u>154</u>
Questionnaires returned (sample).	<u>72</u>
Response Rate.	<u>47%</u>
Sample as percent of Population.	<u>13%</u>