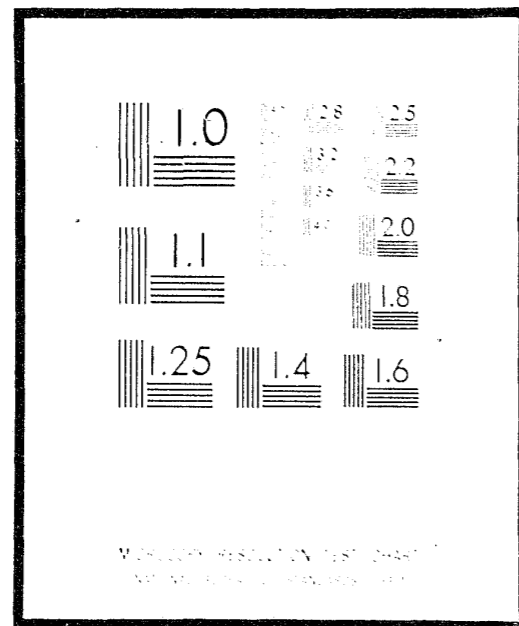


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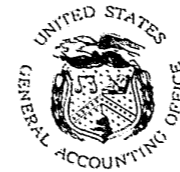
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U.S. DEPARTMENT OF JUSTICE
LAW ENFORCEMENT ASSISTANCE ADMINISTRATION
NATIONAL CRIMINAL JUSTICE REFERENCE SERVICE
WASHINGTON, D.C. 20531

Date filmed

5/12/76



UNITED STATES GENERAL ACCOUNTING OFFICE

Department Of Labor's Past And Future Role In Offender Rehabilitation

For years Labor has tried a wide range of R&D projects to find ways of alleviating the difficult problem of rehabilitating criminal offenders. Labor should assess its experiences with these projects to determine what types or combinations of programs are most effective and warrant continued funding. This is especially needed in view of the decentralized approach to delivering manpower services under the Comprehensive Employment and Training Act of 1973.

MWD-75-91

AUG. 7, 1975

30583



UNITED STATES GENERAL ACCOUNTING OFFICE

WASHINGTON, D.C. 20548

MANPOWER AND WELFARE
DIVISION

B-133223

The Honorable
The Secretary of Labor

Dear Mr. Secretary:

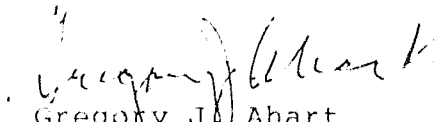
This is our report on the Department of Labor's past and future role in offender rehabilitation.

We want to invite your attention to the fact that this report contains recommendations to you which are set forth on page 38. As you know, section 236 of the Legislative Reorganization Act of 1970 requires the head of a Federal agency to submit a written statement on actions taken on our recommendations to the House and Senate Committees on Government Operations not later than 60 days after the date of the report and the House and Senate Committees on Appropriations with the agency's first request for appropriations made more than 60 days after the date of the report.

Copies of this report are being sent today to the House and Senate Committees on Government Operations and on Appropriations; the House Committee on Education and Labor and its Subcommittee on Manpower, Compensation, and Health and Safety; the Senate Committee on Labor and Public Welfare and its Subcommittees on Education and on Employment, Poverty, and Migratory Labor; and to interested Members of Congress, as well as to the Director, Office of Management and Budget. Copies are also being sent to your Assistant Secretary for Administration and Management for further distribution within the Department.

We wish to acknowledge the courtesy and cooperation extended by your staff to our representatives during our review.

Sincerely yours,


Gregory J. Ahart
Director

C o n t e n t s

		<u>Page</u>
DIGEST		i
CHAPTER		
1	INTRODUCTION	1
	Scope of review	4
2	INMATE TRAINING PROGRAM	5
	Program operations	6
	Recidivism as a measure of program effectiveness	9
	Future training up to States	12
3	MODEL EX-OFFENDER PROGRAM	13
	Program operations	13
	Labor's evaluation efforts	16
	Recidivism as a measure of program effectiveness	19
	Labor to fund future projects	19
4	PRETRIAL INTERVENTION	21
	Program operations	21
	Labor's evaluation efforts	25
	Future projects to be funded	26
5	FEDERAL BONDING PROGRAM	28
	Program operations	28
	Labor to continue bonding program	31
6	COMPREHENSIVE OFFENDER MANPOWER PROGRAM	32
	Illinois program	32
	No future Labor funds	34

CHAPTER		<u>Page</u>
7	COMPREHENSIVE OFFENDER PROGRAM EFFORT	35
	Future depends on States	35
8	CONCLUSIONS AND RECOMMENDATIONS	37
	Conclusions	37
	Recommendations to the Secretary of Labor	38
	Agency comments	38

APPENDIX

I	Letter dated June 18, 1975, from the Assistant Secretary of Labor for Administration and Management	40
II	Research, development, and demonstra- tion projects relating to offender rehabilitation funded by Labor as of November 16, 1974	43
III	GAO reports on offender rehabilitation	47
IV	Principal officials of the Department of Labor responsible for activities discussed in this report	48

ABBREVIATIONS

CETA	Comprehensive Employment and Training Act of 1973, as amended
FBI	Federal Bureau of Investigation
GAO	General Accounting Office
HEW	Department of Health, Education, and Welfare

LEAA	Law Enforcement Assistance Administration
MDTA	Manpower Development and Training Act of 1962, as amended

D I G E S T

Labor programs

For years the Department of Labor has used appropriated funds for research and demonstration pilot projects in various States to try to find ways of rehabilitating criminal offenders in State and county penal institutions. These were programs dealing directly with arrestees, inmates, and ex-offenders and include

- inmate training,
- the model ex-offender program (essentially job placement),
- pretrial intervention, and
- bonding ex-offenders to help them get jobs.

(See pp. 5, 13, 21, and 28.)

Two other programs were designed to improve coordination among Federal, State and community agencies concerned with offender rehabilitation. (See pp. 32 and 35.) For these purposes, Labor spent about \$61.2 million in fiscal years 1969-74. (See p. 2.)

Although programs dealing directly with offender rehabilitation reached sizable numbers of people, many were not reached. (See pp. 6 to 9, 21, and 28.) Some of these programs appeared promising, but GAO could not compare the results of various pilot projects because

of deficiencies in the maintenance of records on what happened to offenders following their release from jail. (See pp. 4 and 37.)

This data is a key element in Labor's present process of evaluation, and if there is no significant improvement in the data, it may be necessary for Labor to revise its evaluation concepts. (See p. 37.)

Decisions need to be made on which types or combinations of programs and components would be most effective in operation, particularly in view of the new approach to delivery of manpower services under the Comprehensive Employment and Training Act of 1973. (See p. 37.)

Many Federal, State, and local agencies are involved in offender rehabilitation, and coordination is an important factor in attempting to alleviate this problem. Two programs developed or participated in by Labor to deal with coordination have evolved slowly and involved only selected States. Additional coordination will be needed. (See p. 37.)

Under the 1973 act, the Secretary of Labor must be sure that as a special target group, offenders are adequately provided for. It appears that pilot projects will again be the primary emphasis, at least at the start, and GAO does not believe that, over the long run, pilot projects will adequately fulfill the Secretary's responsibility. (See p. 38.)

The Secretary of Labor should (1) undertake an assessment of his Department's role in offender rehabilitation over the long run, (2) take steps to further improve coordination of its efforts with other agencies, and (3) improve the data collection to make effective program evaluations. (See p. 38.) Labor concurred with these recommendations. (See pp. 40 to 42.)

CHAPTER 1

INTRODUCTION

Criminal rehabilitation is a national problem. Recognition of the magnitude of the problem at all levels of government was long in coming, but there is no question of the devastating impact of the economic, social, and psychological cost of crime. A Federal Bureau of Investigation (FBI) study shows that 65 percent of persons arrested during 1970-72 had been previously arrested one or more times. An estimated 1.3 million persons are in the Nation's correctional system any given day. About 400,000 are in Federal, State, and local institutions and the remainder are on probation and parole. Annually over 95,000 offenders are released from Federal and State prisons.

Many Federal agencies are involved in reducing crime. Although the Department of Justice and the Federal courts are charged with the broad basic functions relating to reducing crime, other agencies have prevention and suppression functions growing out of their primary program activities, or ability to bring special knowledge and competence to solving crime problems.

Total Federal outlays for reducing crime were estimated to be almost \$2.6 billion in fiscal year 1974 as compared to \$2.4 billion in 1973 and \$1.8 billion in 1972. These outlays cover Federal programs of civilian agencies and civil functions of the Department of Defense directly related to or closely associated with crime reduction. Crime reduction expenditures at Federal, State, and local levels of government totaled an estimated \$18 billion in fiscal year 1974. Included in the Federal Government's outlays are the following estimated amounts for programs directed at offender rehabilitation:

	Fiscal years		
	1972 (note a)	1973	1974
	----- (millions) -----		
Federal programs	\$147	\$190	\$205
State and local programs	<u>126</u>	<u>216</u>	<u>316</u>
Total	<u>\$273</u>	<u>\$406</u>	<u>\$521</u>

^a Actual amounts.

These programs involve custody and rehabilitation of criminal offenders including (1) operation of correctional institutions, (2) inmate training programs, (3) probation and parole services, and (4) construction of buildings and facilities. Estimated outlays during fiscal year 1974 by Federal agency are shown below.

	Fiscal year 1974 (millions)
Department of Justice	\$435.0
Department of Health, Education, and Welfare	61.6
Department of Labor	8.9
The judiciary (Federal court system)	8.8
Department of Housing and Urban Development	5.2
Department of Defense--civil functions	1.0
Department of the Interior	<u>.8</u>
Total	<u>\$521.3</u>

Labor's funding for offender rehabilitation was estimated to total at least \$61.2 million in fiscal years 1969-74.

Over the years, the Congress has considered legislation for offender training and job adjustment as well as juvenile delinquency control, procedures for safeguarding criminal

records, correctional facilities improvement, and manpower development and training programs for correctional institutions. Under the Manpower Development and Training Act of 1962 (42 U.S.C. 2571), as amended (MDTA), and proceeding on the concept that employment and income are critical elements of any comprehensive strategy to rehabilitate offenders, Labor had for years conducted research and demonstration efforts through pilot projects.

The projects, which started as early as 1963, were designed to learn more about the problems in offender training and job adjustments for consideration in future comprehensive programs. The primary thrust of Labor's efforts has been toward inmates in State and county institutions. Appendix II lists other criminal offender research, development, and demonstration projects Labor funded as of November 16, 1974, in addition to programs examined during our review.

The Comprehensive Employment and Training Act of 1973, as amended (CETA) (87 Stat. 839), which repealed MDTA, provides that certain manpower programs Labor had administered may be implemented and administered by prime sponsors at the State or local level under title I. This same title allows State prime sponsors to fund special model training and employment programs similar to the programs authorized for the Secretary of Labor under title III-A of the act. Prime sponsors may also use title II funds (public employment programs) for programs authorized under titles I and III-A.

A survey of many prime sponsor project operating plans-- a financial and statistical summary of the CETA program objectives for a program year in a prime sponsor's area-- conducted by a Labor representative in early November 1974 showed that

--73 of 354 title I prime sponsors planned services to an estimated 9,704 ex-offenders and

--21 of 292 title II prime sponsors planned services to an estimated 603 ex-offenders.

In addition, title III-A of CETA requires the Secretary of Labor to provide additional manpower services to special target groups, such as offenders, having particular

needs and to insure that manpower training and related assistance and supportive services are provided to enable them to obtain meaningful employment.

Title III-B of CETA requires Labor to provide for the continuing evaluation of all programs and activities conducted under the act and to establish experimental and demonstration projects. Labor has a plan for evaluating programs under the act but, as of November 1974, it was too early for the evaluation to produce results.

SCOPE OF REVIEW

Our review was directed toward Labor's efforts to prepare criminal offenders for life outside prison walls and reduce recidivism through educational, vocational, and employment activities. Because of deficiencies in available data and the lack of a common definition of recidivism, we could not effectively compare the results of the pilot projects and components. Since the main thrust of Labor's program was to fund demonstration projects, we also examined its evaluation efforts. We reviewed (1) pertinent legislation, (2) Labor policies and procedures, (3) literature related to offender rehabilitation, and (4) records of various projects in seven States. We also met with officials of the Department of Justice and the Department of Health, Education, and Welfare (HEW) to obtain pertinent data.

During our fieldwork, we obtained preliminary information on offender rehabilitation programs in Georgia and South Carolina in the middle of 1972. Our fieldwork was performed during 1973 on programs in Illinois, Massachusetts, and Oklahoma with some limited work in Maryland and Minnesota. Work at Labor headquarters was performed concurrently with fieldwork and was completed in November 1974. Appendix III lists GAO reports covering some past efforts in offender rehabilitation.

CHAPTER 2

INMATE TRAINING PROGRAM

Inmate training was authorized as an experimental and demonstration effort in 1966 by amendments to MDTA. During fiscal years 1968-74, training was provided primarily in State institutions in 43 States with Labor funding totaling about \$28.7 million.

The purpose of these pilot projects was to gain experience for developing a comprehensive program of training and employment services for all inmates who needed such a program. Completion of the program by an inmate was expected to lead to a suitable, full-time job upon release from prison. There had been little experience with training prisoners under MDTA before the passage of the 1966 amendments. Labor felt that because of gaps in information, needed data, and the legal and physical restrictions peculiar to prisoners, a full-scale effort was not desirable in the early program stages. In later years the program reached a large number of prison inmates, but there were many more who did not participate.

In our opinion, a critical step in measuring the success of inmate training is the evaluating of program results which includes, for the most part, the progress of inmates that completed the program in finding jobs upon release and not returning to prison. Over the years, Labor has contracted for program evaluations, including an extensive one that covered a 2-year period ending in March 1971. This study as well as ours was hampered by inadequate data and difficulty in locating offenders once they have been released from prison and from parole requirements.

Because Labor anticipates that inmate training will be continued by the prime sponsors under CETA, finding effective solutions to evaluation problems would be even more important.

PROGRAM OPERATIONS

State employment service offices were responsible for

- developing preliminary proposals for inmate training programs,
- selecting and referring inmates to training,
- referring program graduates to jobs upon release,
- providing postrelease counseling and followup, and
- maintaining records for evaluation and research.

Under the program, inmates were provided vocational training and some remedial education.

HEW was responsible under MDTA for the inmate training curriculum. Upon its certification that inmate training would be conducted according to its standards and procedures, Labor made funds available to the employment service, HEW, and appropriate agencies to cover the costs of the training projects.

The following shows the results of our study of the program in five States.

Georgia

In Georgia, the program provided vocational training to inmates at a State institution in such occupations as automobile mechanic, welding, and drafting. During 1972, about 3,200 inmates were released from Georgia's institutions.

From April 1971 through March 1972, training project records showed that 215 inmates had enrolled in the program. Of those, 114 had completed training, of whom 29 were still in prison and 85 had been released. Of the remaining 101, there were 65 still in training and 36 had dropped out without completing training.

Project data for the 85 who had been released showed that 20 were employed and 1 was back in prison. Data was unavailable for the remaining 64. Project officials gave the following reasons for the lack of information:

1. The job development and placement position for the project had been vacant for 6 months due to the uncertainty of continued funding by Labor.
2. The project counselor had kept inadequate records.

Illinois

In Illinois, vocational training was given inmates at the State's minimum security institution for adult males in such occupations as office machine repair, farm equipment mechanic, and welding. At a county jail, the program also provided some training which included remedial education. During 1971, about 5,000 inmates were released from the State's adult institutions.

We examined project and employment service records for the 121 inmates who completed training at the minimum security institution from October 1971 through September 1972. Of the 111 released from prison, the status of only 57 could be determined 6 months later: 38 were employed, 6 were unemployed, 6 were students, 3 had died, and 4 had returned to prison.

Massachusetts

In Massachusetts, the program provided vocational training to inmates at both State and county institutions in such occupations as accounting clerk, diesel mechanic, and psychiatric aide. In 1972, about 6,800 inmates were released from these institutions.

Employment service records showed that from January 1972 through July 1973, 94 inmates were enrolled in the program, of which 60 completed training, 23 were still in training, and 11 were terminated without completing training. From the records, we estimated that of the 60 inmates who completed training and were released from prison, at least 12 became employed. The status of the remaining 48 was undeterminable from available records.

Labor's guidelines suggested that State employment service agencies perform 30-, 90-, and 180-day followup of training program graduates. Our review of records in Massachusetts indicated that in some cases followup was not performed, and when it was, some reports could not be located. Further analysis indicated that reports were of questionable reliability as to the job status of the ex-offenders. Employment service officials stated that followup of former inmate trainees was hampered by difficulties in locating them.

Oklahoma

In Oklahoma, the program provided vocational training to inmates at State institutions in such occupations as automobile mechanic, welding, and air-conditioning mechanic. During 1971 and 1972, about 3,700 inmates were released from these institutions.

Employment service records showed that from February 1971 through December 1972, 421 inmates were enrolled in the program. Of these, 260 completed training, 113 were still in training, and 48 terminated without completing training. Employment service 30-day followup records showed that, of the 260 who completed training, 56 were employed, 36 were unemployed, 122 were out of the labor force, and 46 could not be located. State employment service personnel advised us that the majority of persons listed as out of the labor force were still in prison at the time of the 30-day followup.

The 90-day and 180-day followup activities consisted of mailing a questionnaire to the last known address of the former inmate, usually the penal institution. During the 6-month period ending in January 1973, 92 followup questionnaires were mailed resulting in only 13 replies. An employment service official said the primary problem in followup activities was not being able to obtain the correct address once an inmate is released from prison and from parole requirements.

Inmates seeking employment were influenced by parole requirements. In Oklahoma, an inmate must have secured employment as a condition for parole. We analyzed parole records of the 99 inmates who completed inmate training as

of December 31, 1972, and had been released on parole through February 1973. Of these, 19 were holding training-related jobs, 35 were holding non-training-related jobs, 10 were unemployed, and 10 had returned to prison. The status of the other 25 could not be determined from available records, but this group included 14 whose terms of supervision as parolees had expired.

South Carolina

The program here provided vocational training to inmates at State institutions in such occupations as house repair, automobile body repair, and heavy-equipment operator. During 1972, about 1,900 inmates were released from these institutions.

Employment service records showed that from mid-August 1971 through mid-May 1972, 199 inmates were enrolled in the program, of whom 69 had completed training, 104 were still in training, and 26 terminated without completing training. Of the 69 who completed training, 18 were still in prison, of whom 4 were on work release, 36 were employed, and 5 returned to prison. Data was unavailable for the remaining 10.

RECIDIVISM AS A MEASURE OF PROGRAM EFFECTIVENESS

Labor's guidelines for offender rehabilitation programs covering December 1967 through July 1974 required that

"The experience obtained in the pilot program must be recorded and evaluated in a way that will yield optimum usefulness in designing and conducting a comprehensive program. Reporting requirements should make possible an independent evaluation of each project and permit comparisons among alternative methods and approaches. * * *"

Labor established no clear standards that would indicate the success of inmate training projects. We believe one measure of program success is the rate at which inmate participants are returned to prison after release. Other measures include (1) the level of skill developed by the trainee, (2) the

educational level achieved, (3) the type of employment obtained, and (4) wages earned. But all the latter measures become insignificant if the trainee is returned to prison, although lack of achievement in these areas might have led to that return.

The most commonly used term for describing an ex-offender's return to prison is "recidivism," but there is no common definition of the term. Law enforcement agencies discuss repeat offenders in terms of rearrests and the courts define them in terms of reconvictions. This makes it difficult to compare the results of recidivism studies in the criminal justice system.

Its definition varied from State to State in our review. For example, the Massachusetts Department of Corrections defined a recidivist as "a person who was returned to an institution for 30 days or more within a period of 2 years after initial release." As defined, recidivists would include those imprisoned for drunkenness and technical parole violations. Recidivism was used in Massachusetts as a measure of an institution's rehabilitative effectiveness.

In Illinois, the Department of Corrections considered a recidivist to include any ex-offender for whom a warrant is issued. At one Illinois county jail we visited, the definition included anyone arrested or charged who had previously been in jail.

In order to examine recidivism by State for offenders who had participated in inmate training, we selected samples of those who had completed training from October 1971 through September 1972 and submitted our samples to the FBI, and in some cases, to local law enforcement agencies to determine the offenders' status.

Information obtained between June 19 and August 7, 1973, on 123 trainees who had completed inmate training at a county jail in Illinois during the year ended September 30, 1972, is shown below.

	<u>Number</u>	<u>Percent</u>
Returned to jail	33	26.8
Charges pending	22	17.9
Clean record	66	53.7
Insufficient data	<u>2</u>	1.6
Total	<u>123</u>	

Because county jail statistics on recidivism included all those arrested or charged who had previously been in jail, we could not compare our statistics on program completers with those of the total jail population.

Based on information obtained between July 17 and August 1, 1973, the status of the 121 trainees who had completed inmate training during the year ended September 30, 1972, at the Illinois minimum security institution and for all individuals released from the institution during the period October 1, 1971, through March 31, 1973, is shown below.

	<u>Trainee completions</u>		<u>Total inmates released</u>	
	<u>Number</u>	<u>Percent</u>	<u>Number</u>	<u>Percent</u>
Still in prison	3	2.5	-	-
Returned to prison	14	11.6	51	10.4
Charges pending	16	13.2	b/51	10.4
Clean record	74	61.2	338	69.1
Deceased	3	2.5	4	.8
Insufficient data	3	2.5	3	.6
Transferred to maximum security (note a)	<u>8</u>	6.6	<u>42</u>	8.6
Total	<u>121</u>		<u>489</u>	

a/Persons in this category are those who, due to misconduct, are returned to a maximum security facility for the remainder of their sentence.

b/Includes nine persons charged with parole violations.

Based on information obtained between March 2 and April 3, 1973, the status of a sample of 90 from a total of 161 trainees who had completed inmate training in Oklahoma during the year ended September 30, 1972, was as follows.

	<u>Number</u>	<u>Percent</u>
Still in prison	6	6.7
Returned to prison	4	4.4
Charges pending	10	11.1
Clean record	<u>70</u>	77.8
Total	<u>90</u>	

Compared with the data on released training completers in Illinois, the lower rate for those returned to prison in Oklahoma may be due to the shorter time between inmate release and the time when our sample was taken.

Data was not available for studying the status of inmate trainees in Massachusetts.

Because there was no common definition of recidivism, we did not attempt to compare the "clean record" statistics of the State training program completers as evidence of success in combating it.

FUTURE TRAINING UP TO STATES

In fiscal year 1972, Labor began decentralizing the authority for administering and funding inmate training programs to its 10 regional offices. Under decentralization, inmate training had to compete with all institutional training projects funded through Labor's regional offices. Labor's national office ceased funding most of these projects. Total decentralization was accomplished in fiscal year 1973. With the enactment of CETA, Labor anticipated that prime sponsors under title I will assume responsibility for inmate training projects in their respective States. Prime sponsors are to be provided technical assistance materials for planning and implementing correctional training projects.

CHAPTER 3

MODEL EX-OFFENDER PROGRAM

In fiscal year 1971, Labor established the Model Ex-offender Program by funding models in Arizona, Georgia, Massachusetts, Oklahoma, and Pennsylvania. Employment service offices in these States were responsible for their administration. They were an effort to find effective methods of bringing manpower services to offenders.

The program provided services to a large number of offenders, both in and out of prison in the States where it was operated. Of the three States visited, one eventually assumed the program funding, another was still receiving Labor funds, and the third terminated the program for a time due to the absence of Labor funds.

Labor's plans for fiscal year 1975 provided for more demonstration projects. Evaluation of these projects will be important but, based on past experience, even if the employment service becomes more diligent in its followup, evaluation will be difficult because of poor records in some locations and because many ex-offenders frequently move after release, making followup difficult.

PROGRAM OPERATIONS

The program was essentially one of job placement. To provide a continuum of services both before and after release from prison, specialized counselors, job developers, and community aides were stationed in penal institutions and employment service offices in major metropolitan areas of the five States; correctional desks were set up in each State employment service headquarters office and in an employment service office in each State's largest urban area. Labor's funding amounted to about \$3.4 million during fiscal years 1971-74. Program operations in the three States visited are discussed below.

Georgia

The Georgia program began in February 1971. The objectives were to provide prerelease services, including pre-release orientation, aptitude appraisal, and counseling.

With the offender's release, placement services were available at seven program locations throughout Georgia. Labor funded the Georgia program through March 1973 after which the State assumed the funding.

From February 1971 through July 1972, the program reported that 3,792 individuals received services and there were 2,659 job placements. Our tests of 568 reported placements at 3 locations showed that the placements involved 400 different individuals, some of whom were placed more than once. The program reported an average of two job referrals for each placement.

Massachusetts

The Massachusetts program became fully operational in August 1971. Most of its objectives were the same as the Georgia program. In addition, the Massachusetts employment service subcontracted with a nonprofit corporation to provide services that included (1) establishing a manpower residential center for ex-offenders, (2) a supportive service program, and (3) a staff of community workers to give ex-offenders employment assistance.

When the program was first established in Massachusetts, it deployed several teams of two to five people to the penal institutions in the State to contact offenders before release. In March 1972, only one program staff member was regularly assigned to one of the prisons; periodic visits by the teams were made to other prisons. A program official stated that functions at the prisons became impractical mainly because of crises at higher security prisons and the lack of suitable prison counseling space. These conditions, coupled with a reduced staff caused by employee retention problems, resulted in moving the teams to employment service offices in the urban areas where many ex-offenders were expected to return.

In June 1973, the program had 26 employees, including 8 from the public employment program funded under the Emergency Employment Act of 1971, of whom 3 were ex-offenders. The nonprofit corporation had seven employees, including five ex-offenders.

The program considered its target population to include anyone whose criminal record, regardless of offense, presented a barrier to employment. Generally, only offenders with less than 2 years remaining on their sentences were allowed to participate. From August 1971 through June 1972, the number of job placements could not be determined because program data on placements and referrals was combined. From July 1972 through June 1973, employment service records showed that 2,894 ex-offenders were enrolled and that placement services were provided to 1,551. From 2,869 ex-offender referrals, 1,234 were placed and the others were referred to various manpower training programs.

Labor was funding the program as of May 1974.

Oklahoma

This program began in May 1971. Its objectives were similar to those of the Massachusetts and Georgia programs.

The program records showed that from May 1971 through December 1972, services were provided to 3,043 ex-offenders. During 1972, 4,055 job referrals were made resulting in 960 temporary and 944 permanent job placements (those exceeding 3 days in duration), which resulted in an overall referral to placement ratio of 2.1 to 1 and a referral to permanent placement ratio of 4.3 to 1. An official of the Oklahoma Employment Security Commission stated that the overall ratio of job referrals to job placements in the regular employment service activities was 1.75 to 1.

Labor provided funding for the program until its termination in December 1972. Labor officials told us in January 1973 that the State had discontinued the program because Labor was not refunding it. However, a Labor official advised us in March 1974 that, as part of an effort to accelerate the release of offenders from the Oklahoma State prison, Labor's Dallas regional office was providing funds of about \$320,000 from April 1974 through March 1975, for the Oklahoma program.

LABOR'S EVALUATION EFFORTS

Evaluation is an important part of any pilot program and is necessary to (1) determine whether the program is accomplishing the desired results, (2) surface problems that develop during program development, and (3) recommend actions that will accomplish program results. Labor evaluated the program through a series of studies and limited followup of ex-offenders. Our analysis of the information in Georgia and Massachusetts indicated that some of the data was questionable.

Although Labor's program criteria specified that the program should contain followup, Labor did not specify how it should be developed. As a result, the intervals used to follow up on participants varied between the three States, as follows:

- Georgia's Ex-Offender Office attempted to contact those offenders placed in jobs 14, 30, 60, and 90 days after placement.
- Massachusetts had no established standard intervals for following up on ex-offenders' status and left it to the individual counselors to decide when to do it.
- Oklahoma tried to determine whether an individual was still employed at 5, 30, 60, and 90 days after placement.

Interim studies were made by Labor during 1971; a final evaluation study was completed in December 1972. The objectives of the interim studies were to (1) review the strong and weak points of the projects, (2) assess the program effectiveness in providing jobs and reducing recidivism, and (3) determine appropriate costs for services to inmates and ex-offenders. The studies were based on visits to the States and interviews with inmates and State and local officials.

Among the findings of the interim studies were that:

- Three program areas which required strengthening were job development, job placement, and followup.

- Federal guidelines were helpful in structuring what elements the program should contain, but not clear about how particular items should be developed.

- The average placement rate of all projects was 51 percent of ex-offenders receiving services.

The objectives of the final study included (1) assessing program results in relation to job placement and to the reduction in ex-offenders returning to prison, (2) relationships of cost data to accomplishments, and (3) summarizing lessons learned as a result of the program.

Among the benefits cited in the study report were:

- Ex-offenders placed in jobs by the program could expect to earn between \$2.15 and \$2.40 an hour.
- The degree of program benefit to ex-offenders and society was to be partially realized through a reduction in recidivism.
- For every dollar spent by the program, \$7 was gained by a State's Department of Corrections through a reduction in recidivism.

Some data inaccurate

Placement data in Labor's final study differed from the information we obtained from the Massachusetts program. The final study reported that from June 1971 through August 1972, the program served 3,979 ex-offenders resulting in placements for 1,121. The program had become fully operational only in August 1971 and through September 1972 it had served 2,892 ex-offenders. Also, the records on placements and referrals were combined until July 1972, so the number of placements during most of the period was not available.

A Labor official who participated in the final study stated that the differences between the numbers of ex-offenders served by the Massachusetts program are not significant and the data on ex-offenders included in the final study was obtained from program staff and "available records." The

official stated that the Massachusetts record system was the "worst" of the five program States and the data regarding total ex-offenders served by the program may have contained duplications due to an individual being served more than once.

There were also problems with the data on recidivism. The final study compared project enrollee recidivism rates with projected State rates. The project recidivism rates were based on limited followup of ex-offenders (90 days), which included periodic checking of enrollee lists against prison admission rosters by most of the projects coupled with contacts with parole or probation officers. The program recidivism data in each of the five States was adjusted to compensate for any deficiencies in attempts to locate and report on recidivists who participated in the program. Figures on the annual State range of recidivism were reported to have been based on reports from State Departments of Corrections, special prison studies, and interviews with State correction officials.

The recidivism data in the final study had the following problems:

--For Georgia, the study used an adjusted recidivism rate of 25.5 percent for participants. The weighting factor and data were taken from data we had developed early in our review. We did not use the data in this report because it was developed solely to determine whether recidivism data could be obtained and was not of sufficient scope to determine a reliable rate.

--For Massachusetts, the study used an adjusted 24-percent recidivism rate for participants. We question the validity of the rate because program records were in poor condition. As a result, we could not develop a recidivism rate for offenders served by the program and could not identify the individuals in sufficient detail for further processing through the FBI.

There is no question that data problems exist in attempting to develop recidivism rates for measuring one aspect of

program effectiveness, but it is a good measure and efforts should be expanded to further develop this area. Results of our study of recidivism in Oklahoma follow.

RECIDIVISM AS A MEASURE OF PROGRAM EFFECTIVENESS

Similar to our analysis of the results of inmate training, we selected samples of model ex-offender program participants and processed them through the FBI to determine their status. In Oklahoma we selected 110 from 2,763 offenders served by the program from May 1971 through December 1972. Based on information obtained between March 2 and April 3, 1973, the status of the 110 persons is shown below.

<u>Status of participants</u>	<u>Number</u>	<u>Percent</u>
Still in prison	6	5.4
Returned to prison	8	7.3
Charges pending	17	15.4
Clean record	72	65.5
Insufficient data	<u>7</u>	6.4
Total	<u>110</u>	

No systematic studies were available for comparison with our results. However, a fiscal year 1972 annual report of the Oklahoma Department of Corrections showed that 47.7 percent of the offenders received by the State penal system were there for at least their second prison term. This shows the program in a favorable light, but a longer time between serving the ex-offender and a study would result in a better assessment.

LABOR TO FUND FUTURE PROJECTS

Labor's fiscal year 1975 plans indicated that a model ex-offender program demonstration project will be provided

in 1 State in each of its 10 regions. Because the program is statewide, Labor specified that under CETA a State prime sponsor must be selected. Labor provided about \$2.7 million in CETA title III-A funds for these projects. The 10 State prime sponsors will be required to provide an additional matching \$0.9 million, at least half of which must be cash and may represent CETA funds. Funding is to cover 12 to 24 months. Labor's objective is to demonstrate to other State prime sponsors, techniques for delivering manpower services to offenders under CETA. This was being done with the view toward the State prime sponsors' possible inclusion of the model ex-offender program in their future manpower plans.

CHAPTER 4

PRETRIAL INTERVENTION

In fiscal years 1971 and 1972, Labor funded nine pre-trial intervention program projects in the metropolitan areas of Atlanta, Baltimore, Boston, Cleveland, Minneapolis, San Francisco Bay (three projects), and San Antonio. Labor also provided partial funding to a Law Enforcement Assistance Administration (LEAA), Department of Justice, project in Hudson County, New Jersey.

The objectives of the pretrial intervention projects were to (1) give individuals accused of certain crimes the chance to develop productive lifestyles, (2) give the criminal justice system added flexibility in its rehabilitation efforts, and (3) help reduce the rearrest rates of individuals in the community. Labor's funding for the projects totaled about \$4.7 million during fiscal years 1971-73. Under CETA, Labor planned to fund 1 project in each of its 10 regions.

PROGRAM OPERATIONS

The projects in the seven metropolitan areas worked closely with the courts to permit some arrested individuals a continuance of their trials, usually for 90 days, while they participated in the projects. They were offered intensive counseling, education, job development, and other supportive services. If a participant responded positively to the services, a recommendation was made to the courts for dismissal of the pending charge. If the court accepted the recommendation, the charges were dropped. If the court did not accept the recommendation, the participant was returned to court control for further processing. While involved in the project, the accused was provided the incentive to improve his employability and avoid a criminal record.

Project operations in three cities visited are discussed below.

Baltimore

Labor funded the Baltimore pretrial project from September 1971 through April 1973. Additional funds were

provided by Labor, LEAA, and the Department of Housing and Urban Development's Model Cities program, thus extending the project into December 1973. LEAA was funding the project through December 1974.

Primary objectives of the project were to (1) implement, with the cooperation of the local police and court system, local business community, and local community education resources, a process that would divert selected juveniles arrested but not yet tried from the criminal process to employment or job training and (2) determine the extent that such employment assistance could increase the employability of arrestees, reduce their return to crime, and make additional prosecution and imprisonment costs and procedures unnecessary.

Initially, the opportunity to participate was given to arrested males 16 or 17 years old involved in minor offenses. The project was expanded to include 15 year olds and females and those arrested for major offenses except murder, rape, arson, armed robbery, and narcotics. Preference was also given to those persons with two or more previous assault-type major offense charges.

The project centered its efforts toward counseling but did offer job referral services. Counseling consisted of (1) guidance for training and personal goal setting, (2) nonprofessional family counseling, and (3) employment counseling, including sessions on the world of work and employers' needs and standards. The project provided preparation for and administration of the high school equivalency test and remedial training along with referrals for needed dental, eye, and ear care.

A project official said 4,988 complaints or arrests of 15 to 17 year olds were reported from September 1971 through September 1973, that came within the scope of the project. Of 1,492 arrested individuals screened by the project, 672 became participants. Of those who became participants, recommendations were made for dropping criminal charges for 402, and subsequently the charges were dropped by the courts; 109 were returned to the courts for further processing without recommendations after completing the program; 38 were

terminated before completion and returned to the court for further processing; and the remaining 123 were still active in the project.

Boston

Labor funded the Boston pretrial project from May 12, 1971, through February 16, 1973. Additional funds were provided by Labor and LEAA, thus extending the project through February 16, 1974. Labor's funding of the project terminated at that time.

The primary objectives of the project were similar to those of the Baltimore project. The opportunity to participate was provided to arrested persons 17 to 26 years old who were residents of Boston or the area of jurisdiction of the court, if outside Boston. Participants could not (1) be drug addicts, (2) be charged with a felony punishable by over 5 years' imprisonment, or (3) have more than one or two prior convictions exclusive of minor traffic violations. Also, they must have been unemployed or underemployed.

The program provided services, including:

- Group and individual counseling.
- Assessment and testing services.
- Arrangement for supportive services such as housing, education, and utilization of other agencies' services.
- Other manpower services such as stop-gap employment; direct job placement; and institutional, on-the-job, and prevocational training.

From May 1971 through June 1973, project records showed that 894 individuals were screened for project participation and 533 were accepted. The 361 individuals not accepted were classified as follows:

--235 preferred to go to trial or were uncooperative during the screening period.

--102 had severe drug or alcohol problems.

--24 whose requests for 90-day continuances of trial to participate in the project were rejected by the courts or who had extensive criminal histories.

Through June 1973, project records for the 533 participants showed that court dismissals were granted for 244; 6 were not granted dismissals but most received further continuance of their trials; 142 did not complete the required 90-day period because of lack of cooperation, absconding, rearrest, or other reasons and were returned to court control; and 141 were still in the program.

According to program officials, there were 282 direct participant job placements, including some individuals placed more than once. In addition, 103 participants were referred to training programs, 51 were placed in on-the-job training, and 45 were assisted in prevocational areas. Also, 201 participants were given social service assistance, such as housing, education, mental health, and welfare.

Minneapolis

Labor funded the Minneapolis pretrial project from January 18, 1971, through November 30, 1972. Additional funds were provided by Labor, LEAA, and local sources, thus extending the project through December 7, 1973. Labor terminated its funding of the project at that time and LEAA was expected to terminate its funding in July 1974. Project officials said that after July 1974 funding was expected to come from State or local sources.

The project provided counseling and other services, such as aid in seeking training and job placement. After a specific period of time, generally 6 months, and based on the participants' performance in the program, recommendations were made to the courts. Services of the project were initially provided to selected adults arrested on a first offense for nonviolent misdemeanor crimes. The project was subsequently expanded to include those arrested for felonies, juvenile cases, and selected individuals who had previous offenses.

From April 1971 through August 1973, project records showed that about 960 individuals had participated. Another estimated 584 were screened for participation, but not accepted for such reasons as a criminal record, court denial, defendant refusal, or use of drugs or alcohol.

Through August 1973, an estimated 699 participants had been terminated from the project. Of these, the project recommended that the courts dismiss the cases of 452 due to progress in the program. The remaining 247 were returned to the courts due to lack of progress.

Municipal court officials estimated that the project enrolls less than 1 percent of the estimated 65,000 cases arraigned each year in the county. Specific groups of individuals that were not being served by the project include traffic offenders and court cases in the Minneapolis suburbs. A municipal judge advised us that some youth traffic offenders had social problems similar to those of misdemeanants served by the project and that the pretrial intervention concept is suited for those cases. A project official stated that traffic cases were not considered for the project because they were not criminal, and that the suburban court cases, while included in the projects' potential caseload, were not served because the project's caseload capability was more than filled by the downtown court.

LABOR'S EVALUATION EFFORTS

Labor required all the pretrial intervention projects to collect data on project participants and individuals in control groups which consisted of those who had characteristics similar to participants but were not enrolled. The data on both was to be used for comparison purposes in program evaluation. The projects were required to forward the data to a contractor hired by Labor to evaluate the program.

The contractor's final report of July 31, 1974, showed that basic data on project participants after successful completion of the program was provided by all nine projects, while useful data on the control groups was provided only by the Minneapolis project and it could compare the results only in Minneapolis. The report cautioned against generalizing the results of the Minneapolis project with the other

eight. The other eight projects had difficulties in following up on participants unfavorably terminated from the program. Minneapolis was the only project to provide follow-up data.

As a result of the data provided by the Minneapolis project, the contractor concluded that

- there was an insignificant difference in the number of rearrests between participants and nonparticipants during the period following the original arrest;
- the use of the pretrial intervention project as an alternative to the regular criminal justice process did not increase the risk of crime to the community and may have decreased it in the short run; but
- over the long run, individuals unfavorably terminated by the project were rearrested no more often than participants that completed the program; their rearrests just occurred sooner.

Labor's contractor provided periodic reports on the projects, but officials at Minneapolis stated that the reports had not been useful to them because they were merely statistics.

FUTURE PROJECTS TO BE FUNDED

Labor's fiscal year 1975 plans indicated that a pretrial intervention demonstration project will be provided in 1 State in each of its 10 regions. Because pretrial intervention is community oriented Labor specified that under CETA a local prime sponsor must be selected. Labor provided about \$1.8 million in CETA title III-A funds for these projects. The 10 local prime sponsors will be required to provide an additional matching \$1.8 million, at least half of which must be cash and may represent CETA funds. Funding is to cover 12 to 24 months.

Labor's objective is to demonstrate to other local prime sponsors techniques for delivering manpower services to offenders under CETA. This was being done with the view toward the local prime sponsors' possible inclusion of pretrial intervention in their future manpower plans.

CHAPTER 5

FEDERAL BONDING PROGRAM

This program became operational in 10 cities and 4 States in 1966 under 1965 amendments to MDTA. It was set up as a pilot effort, under contract with a bonding company, to build a body of experience with a high-risk group and provide bonding to ex-offenders and certain others who participated in federally assisted manpower programs but could not get jobs because they had police records or other problems unrelated to ability which prevented their being bonded by regular commercial bonds.

Based on the first 3 years of operations, Labor concluded that the pilot effort had been successful. Employment service personnel had been placing workers having criminal records with employers who formerly would not have accepted them. According to Labor, employers had often been led to reexamine their customary hiring and bonding standards and were hiring many persons with criminal records, often without drawing on the available bonding assistance.

In 1971, the program became available in 2,200 local employment service offices. Through fiscal year 1974, it provided bonding for ex-offenders and others who were considered poor employment risks. Maximum bonding coverage for each person was \$10,000. Labor planned to (1) continue funding and monitoring the program through its national office during fiscal year 1975, (2) continue using the bonding company, and (3) make the program available to CETA prime sponsors as well as to employment service offices.

PROGRAM OPERATIONS

Although a bonding company provides the bonds under a contract with Labor, which was to expire in June 1975, employment service offices in each State were responsible for administering the program. The State employment service notifies the bonding company that an individual is eligible to be bonded. The company sends copies of the bond to the individual's employer and to the State employment service. The only individuals the company can refuse to bond are

people who were previously bonded under the program and had bonding claims paid against them.

In Illinois, Massachusetts, and Minnesota, job applicants qualify for the program by being unable to obtain bonding through the employer's commercial bonding company. Generally, the applicant's statement of his inability to get bonding through commercial sources is sufficient to qualify him. We were advised by employment service officials in Illinois and Minnesota that the bond ceiling of \$10,000 has been adequate. In Massachusetts, an official of the State employment service commented that many employers do not believe the \$10,000 coverage is sufficient, and therefore, will not hire ex-offenders.

Oklahoma was the only State reviewed that had not used the program. According to State employment service officials, bonding coverage had not been an obstacle to employment, since many jobs did not require bonding and employers have secured coverage through their bonding companies when needed.

A total of 6,149 persons--both ex-offenders and non-offenders--were bonded under the program from March 1966 through December 1973. Labor does not know how many of the participants were ex-offenders, because the data on whether a bondee is an offender is in the local employment service offices and is not centrally reported. Based on available information, we estimated that

--of the 493 bonds issued in Illinois, 452 were for ex-offenders;

--about half of the 93 bonds in Massachusetts were for ex-offenders; and

--a majority of the 40 bonds in Minnesota were for ex-offenders.

Employment service officials said that the low level of activity in Minnesota, compared to Illinois, was due in part to many ex-offenders filling jobs which did not require bonding and the lack of publicity in Massachusetts contributed to low utilization of the program.

The following table shows the bonding activity in three States reviewed.

	<u>Period</u>	<u>Bonds issued</u>	<u>Coverage</u>	<u>Premiums</u>	<u>Claims paid</u>
Illinois	10/66-3/73	493	\$3,178,000	\$73,300	\$ 6,300
Massachusetts	7/67-8/73	93	673,000	14,700	4,500
Minnesota	1/71-9/73	40	319,500	3,900	-
Total		<u>626</u>	<u>\$4,170,500</u>	<u>\$91,900</u>	<u>\$10,800</u>

Bonding coverage under the contract costs \$20.40 per \$1,000 increment each year. Labor funded the program for fiscal years 1966-74 for about \$851,000. Through March 1974, Labor had paid about \$792,000 of this amount in premiums to the bonding company which had paid only about \$104,000 in claims.

Although the concept needs more study, it appears that the low claims paid rate in relation to the premiums paid indicates that consideration should be given to the Federal Government's paying claims directly during the initial phase of a project rather than providing bond coverage with a commercial bonding company. We understand that a Labor-funded study of the program, discussed later in this chapter, will include an evaluation of this issue.

Program monitoring

Labor monitored the program by reviewing reports and invoices submitted by the bonding company. From July 1972 through March 1974, Labor paid about \$34,898 in premiums in Illinois, Massachusetts, and Minnesota. Our analysis of reports and invoices for bonds terminated during this period showed computation errors in premium charges for 126 of the 191 bonds terminated. This was due to the bonding company's charging a month's premium when a bondee's coverage was terminated before the end of the month, a contract violation, which resulted in Labor paying \$1,500 in unnecessary premiums. We advised a Labor official of the need to adjust this item.

When bondees reached the 18th month of consecutive coverage, the State employment service bonding coordinator was required by Labor to try to convert the coverage to the employer's commercial bonding, thus making the employer responsible for bond premiums. A bonding company official said the 18-month period should provide evidence as to the reliability of the bondee. If a State bonding coordinator was unable to obtain commercial bonding, the bonding company agreed to bond or obtain commercial bonding for the bondee. In either case, the premiums were expected to be paid by the bondee's employer.

From January 1971 through March 1974, Labor's records showed that 131 bonds exceeded the 18-month period in the 3 States reviewed. Of these, 23 were still active at the end of March and had not been converted to commercial bonding, resulting in Labor's paying about \$3,300 in excess premiums. Labor had also paid excess premiums for bonds not active at that date. One individual had been bonded over the life of the program for 77 months. We advised Labor officials of the need for corrective action on these items.

LABOR TO CONTINUE BONDING PROGRAM

Labor's fiscal year 1975 plans indicated that it would (1) administer the program nationally, (2) continue using the bonding company, and (3) make the program available to employment service offices under title III-A of CETA. Also, title I of CETA provides for administration of bonding by prime sponsors. Labor contracted in mid-1974 for an historical evaluation of the bonding program.

CHAPTER 6

COMPREHENSIVE OFFENDER MANPOWER PROGRAM

In 1971, Labor established the Comprehensive Offender Manpower Program on a pilot basis because of apparent problems in coordination among Federal, State, and community agencies involved in offender rehabilitation and Labor's experience in this area. Development of comprehensive offender programs was begun in six States in 1971; two more States were added in 1972. These programs were to shift focus from State manpower agencies to the respective Governors' offices with the view toward alleviating coordination problems.

The comprehensive programs were to emphasize inter-agency coordination and cooperation and involve community groups with a demonstrated commitment toward serving offenders. The programs were to include a full range of services, such as pretrial intervention projects, services for probationers, skill training, and a variety of followup services for ex-offenders.

Labor funded comprehensive programs in Florida, Illinois, Maryland, Michigan, New Jersey, North Carolina, South Carolina, and Texas for about \$14.1 million during fiscal years 1972 and 1973. They were funded in two phases, planning at about \$355,000 and operations at about \$13.7 million. Planning was to last about 6 months, but several programs required additional time. The operational phase was to be funded for 18 months, with no further funding by Labor anticipated. We examined the program in Illinois.

ILLINOIS PROGRAM

Labor contracted with the Office of the Governor for the planning phase. This was originally scheduled for July 1, 1971, through January 14, 1972, but was modified to cover October 18, 1971, through September 14, 1972. Labor provided about \$56,000 for the planning effort.

An interim report by the Illinois program planning group was issued in February 1972. It contained (1) an analysis of the State's criminal justice population, (2) its

problems and needs, and (3) the Federal, State, and local resources available to meet the needs. Information from the report was used to develop the program units making up the Illinois program.

Based upon information from the planning phase, Labor awarded a contract for about \$2 million to the Office of the Governor for the operational phase of the program to cover July 1972 through December 1973. By December 1973, there had been seven modifications to the contract, including a 6-month extension through June 1974, revisions of the budget, and changes in the program units making up the program. By July 1974, there had been an additional four modifications with a fifth pending. With the latest modifications, the contract had been extended another 6 months and the program received an additional \$100,000 to continue certain program units scheduled to expire before December 1974. A Labor official advised us that the Illinois program was under constant modification and Labor should have spent more time reviewing its plans.

The Correctional Manpower Services Project was the State unit operating under the Illinois Law Enforcement Commission that coordinated program activity in the State. It also provided long-range planning, research, and evaluation. In addition, State units were providing (1) vocational counseling, (2) family reintegration for juveniles, (3) planning for a comprehensive automotive curriculum for the State Department of Corrections, (4) fellowships in corrections, (5) job placement, (6) a training academy for correctional officers, and (7) a training program at a county jail.

Labor required the State program to prepare monthly progress reports and statistics on enrollees. Labor also required an evaluation which did not have to directly consider determining whether the program resulted in better coordination at the local level among organizations providing services to offenders.

The first monthly summary of enrollee characteristics, submitted to Labor in May 1973, provided cumulative statistics on the program through April 30, 1973. The report showed 417 enrollees in three program units, but a State

official indicated the figure was misleading because about half the number were served to only some extent by the program.

NO FUTURE LABOR FUNDS

Labor had no plans to continue funding the comprehensive program. A Labor official advised us that, if the program units were to continue, funding from sources other than Labor would be needed.

In June 1975 Labor told us that the Illinois program had had a significant impact and it now appeared that most program components would receive non-Labor funding. The program's central administrative unit had been made a regular part of the Governor's office and the program director was chairman of the Law Offenders' Planning Task Force on the Governor's Advisory Council on Manpower. Represented on the Planning Task Force were 11 State agencies that deal with offender problems. Further, Labor said the key role assigned to the program director seemed to indicate a success in coordination. Labor also said that comprehensive programs in Florida, Maryland, Michigan, and Texas enjoyed similar success in terms of being retained for purposes of coordinating offender rehabilitation activities after Labor funding ceased.

CHAPTER 7

COMPREHENSIVE OFFENDER PROGRAM EFFORT

As a result of discussions in late 1971 between officials of Labor, HEW, and Justice, these three Departments jointly invited the Governors of the 50 States and territories to participate in the Comprehensive Offender Program Effort. The program was designed to coordinate Federal, State, and local resources devoted to offender rehabilitation and to provide funds in addition to those the States had for offender rehabilitation. To accomplish coordination, a national committee was established consisting of representatives from the three Departments to receive and review State offender rehabilitation plans. Based on a review of the State plan, Federal funds would be committed under the program to the State to aid in carrying out the plan.

As of July 1973, 41 State plans had been received and reviewed by the committee which determined that 14 plans, including Illinois, were usable. As of May 1974, the only funding which had been made available was \$4 million by Justice.

A Labor official stated in April 1974 that for "all practical purposes" the program no longer existed. He said it would take additional discussions by the three Departments to bring future national support to the program.

Of the States reviewed, Illinois submitted in early 1973 a program plan to the national committee. An Illinois official indicated in July 1973 that no action had been taken in the State since the planning phase of the program and its future appeared uncertain.

At the time of our review, neither Oklahoma nor Massachusetts had submitted program plans.

FUTURE DEPENDS ON STATES

With the enactment of CETA, Labor's consideration of the program included emphasizing coordination of offender efforts at the State rather than the Federal level. In

fiscal year 1975, this was to be accomplished by encouraging Governors and prime sponsors to use part of the CETA resources allocated to them to achieve effective coordination between manpower programs and offender efforts within the respective States. Labor was considering transmitting the State-developed program plans to the respective State prime sponsors for incorporation into fiscal year 1975 CETA operations.

In June 1975 Labor advised us that six States--Alabama, Michigan, Minnesota, Oregon, Texas, and Wisconsin--had been selected in late April 1975 to participate in the program. The Governors of these States were notified of their selection in late May 1975.

CHAPTER 8

CONCLUSIONS AND RECOMMENDATIONS

CONCLUSIONS

Labor has tried a wide range of research and demonstration projects to find ways of alleviating the difficult problem of criminal offender rehabilitation. Some programs appeared to have promise. Pretrial intervention is a preventive program which seeks to save individuals from having criminal records while putting them on a constructive path to productive lives in society. Inmate training seemed to offer some help to offenders in developing employable skills. The model ex-offender program, as a job placement effort, assisted offenders in finding jobs. After approximately a decade of experimentation with offender rehabilitation, some decisions should be made on which type of program or combination of programs and components would be most effective in an operational mode. Such decisions are particularly needed in view of the new approach to delivery of manpower services under CETA.

Because the objective of any research and development is to determine the best method for solving a problem, evaluation of these efforts is important and they are needed to decide the best courses of action. Labor's past efforts to evaluate criminal rehabilitation programs have been hampered by poor recordkeeping and difficulties in locating ex-offenders after release from prison. Because followup data on ex-offenders who have completed rehabilitation programs is a key element in the present evaluation process, it may be necessary to revise evaluation concepts if there is no significant improvement in obtaining this data.

With the many Federal, State, and local agencies involved in criminal rehabilitation, coordination is an important factor in implementing any approach to alleviating this problem. The two programs developed or participated in by Labor to deal with coordination problems have evolved rather slowly and involved only selected States. One appears to be resulting in some success while the other is just being implemented. Additional coordination will be needed.

Under CETA, the Secretary of Labor is to insure that as a special target group, offenders are adequately provided for. Because it appears that pilot projects will again be the primary emphasis, at least initially under CETA, there is a question as to how effectively the offender target group will be served. We do not believe that, over the long run, pilot projects will adequately fulfill the Secretary's responsibility.

RECOMMENDATIONS TO THE SECRETARY OF LABOR

We recommend that the Secretary:

- Assess in depth what the Department's role in offender rehabilitation ought to be over the long run. Such an assessment should include an evaluation of prior experiences as well as those gained by local sponsors under the pilot demonstrations. The objectives of the assessment should be to determine (1) what and how much guidance the Department should give prime sponsors under CETA about which programs and components are most effective for local use and (2) the types and extent of programs to be funded on a national basis, giving consideration to the level of effort of prime sponsors and other Federal agencies.
- Coordinate the Department's efforts with other Federal and State agencies involved in offender rehabilitation.
- Insure that offender rehabilitation projects maintain adequate records and concentrate additional efforts on locating offenders after participation in the programs to improve program evaluations.

We also suggest that Labor send a copy of this report to each prime sponsor as a summary of its efforts in offender rehabilitation.

AGENCY COMMENTS

Labor concurred with our recommendation for an in-depth assessment of its long-run role in offender rehabilitation, including evaluation of pilot project experience. (See app. I.) It stated that a set of goals and objectives is now

under review and, in addition to already completed evaluations of some programs, others are currently being evaluated.

Concerning our recommendation for coordinating its efforts with other Federal and State agency offender rehabilitation efforts, Labor said it was continuing to take advantage of such opportunities through an interagency council and through a requirement that nationally funded projects demonstrate coordination efforts with other agencies. It believes that the recently funded Comprehensive Offender Program Effort (discussed in chapter 7 of this report) holds promise for coordination at all levels.

On our recommendation for adequate project records and for concentrating additional efforts to locate offenders who participated in projects, Labor said a study would be made to find the best way to make postrelease followup on offenders.

U.S. DEPARTMENT OF LABOR
OFFICE OF THE ASSISTANT SECRETARY
WASHINGTON

JUN 18 1975

Mr. Gregory J. Ahart, Director
Manpower and Welfare Division
U. S. General Accounting Office
Washington, D. C. 20548

Subject: GAO Draft Report on the Department of Labor's
Past and Future Role in Offender Rehabilitation

Dear Mr. Ahart:

Following are our comments on and reaction to recommendations, suggestions and statements contained in your draft report on the Department of Labor's (DOL) past and future role in offender rehabilitation.

Recommendation: The Secretary should undertake an in-depth assessment of what the Department's role in the offender rehabilitation area ought to be over the long run. Such an assessment should include an evaluation of prior experiences as well as those gained by local sponsors under the pilot demonstrations. The objectives of the assessment should be to determine (1) what and how much guidance the Department should provide to prime sponsors under the 1973 act as to which components are most effective for local use, and (2) the types and extent of programs to be funded on a national basis, giving consideration to the level of effort of prime sponsors and other Federal agencies.

Response: We agree with this recommendation and are already in the process of performing all of the suggested actions contained in the recommendation. We have drafted a set of goals and objectives to serve as the basis for the Department's action in this area for several years to come.

The document is in the initial stages of review. The evaluation of prior experiences is a separate task and is being performed now in the form of assessing our Comprehensive Offender Manpower Programs (COMP's) and model projects for special ex-offender target groups. Evaluations were previously completed on our three other offender rehabilitation programs: Inmate Training, Model Ex-Offender Program, and Pretrial Intervention. We fully intend to evaluate the experiences of prime sponsors in the operation of our regional demonstration programs. This should be helpful in determining which programs, components and designs are most effective for local use, as well as help in identifying the national funding needs.

Recommendation: The Secretary should coordinate the Department's efforts with those of other Federal and State agencies in offender rehabilitation.

Response: We will continue to take advantage of all opportunities to effectively coordinate our activities with other agencies. We are using the Interagency Council on Corrections as the main forum for this activity. As a matter of routine, all nationally funded projects are required to demonstrate coordinating efforts with other appropriate agencies. In addition, the Comprehensive Offender Program Effort program was recently funded in six States and promises to be a major step forward in coordination of offender rehabilitation at all levels.

Recommendation: The Secretary should insure that offender rehabilitation projects maintain adequate records and concentrate additional efforts on locating offenders after participation in the program to improve evaluations.

Response: A staff study will be made to determine the best way to conduct followup activities on offenders in our nationally funded operational and research development programs.

We will be glad to send copies of the final report to each prime sponsor.

[See GAO note.]

With the exception of the preceding suggestion, we found the report a fair and accurate appraisal of the program. The members of your staff who studied the program were responsible, diligent, and very cooperative with Manpower personnel during the two years or more of the study.

Sincerely,

Fred G. Clark
 FRED G. CLARK
 Assistant Secretary for
 Administration and Management

GAO note: Deleted material relates to a matter which has been revised in the final report.

RESEARCH, DEVELOPMENT, AND DEMONSTRATION PROJECTS
RELATING TO OFFENDER REHABILITATION FUNDED BY LABOR
AS OF NOVEMBER 16, 1974 (note a)

<u>Contractor</u>	<u>Description of the project</u> <u>Projects which totally serve offenders</u>	<u>Amount of</u> <u>the contract</u>
One America, Incorporated	A model for female offenders in Houston. The model will concentrate upon the needs of female offenders on probation or parole. Women who successfully participate in the program will have their convictions expunged. (June 27, 1974, to Dec. 27, 1975)	\$ 399,371
Sam Harris and Associates, Limited	A model for drug-addicted offenders in Baltimore and Des Moines to explore different approaches to providing manpower services as a part of an ongoing drug treatment program. (Nov. 27, 1973, to May 26, 1975)	440,830
One America, Incorporated	A cooperative effort to assist LEAA in providing training for female offenders in Tennessee and Ohio. (Aug. 31, 1973, to Feb. 28, 1975)	100,000
Juarez and Associates	A model to act as an employment service for Spanish-speaking offenders before and after release from prison in California. (Mar. 5, 1974, to Oct. 5, 1975)	349,957
Learning Systems, Incorporated	A comprehensive model program for juvenile offenders in Pinellas County, Florida, for a medium-sized city. (Feb. 15, 1974, to Aug. 15, 1975)	655,586

Narcotics Addicts Rehabilitation
Center Organization, Incorporated

A model which combines drug treatment with participation in Department of Labor-financed institutional training programs in Atlantic City, New Jersey. (Jan. 18, 1974, to Jan. 18, 1975)

295,596

The B.L.K. Group, Incorporated

A project to develop a manpower model which meets the particular needs of the older, and/or long-term offender in the Phoenix and Tucson areas. The model stresses counseling to help the ex-offender cope with the immediate and long-range problems of reentry into the community upon release from prison. (Apr. 16, 1974 to Dec. 31, 1975)

\$ 349,973

44
National Office for Social
Responsibility

A model which focuses upon provision of service to predelinquent youth and tries to discover methods to overcome institutional barriers to the employment and training of youth in Oakland, California. (June 24, 1974, to Dec. 31, 1975)

691,025

Contract Research Corporation

Provides program support (technical assistance) to Labor's national office staff, regional office personnel, and prime sponsors in the implementation of offender programs. Provides assistance in designing and conducting related training and training materials related to the program. (June 29, 1973, to Jan. 17, 1975)

447,848

U.S. Jaycees Foundation

Promotion and merchandising of correctional programs among CETA prime sponsors nationwide. (Aug. 1, 1974, to July 31, 1975)

353,000

Georgetown University

A planning study on the role of prison industries now and in the future. (July 1, 1972, to Jan. 15, 1975)

20,500

American Correctional Association

A demonstration-research project using a contingency contract to establish a parole date in return for specific behavior in prison. (June 30, 1972 to Feb. 1, 1975)

450,712

National Council on Crime
and Delinquency

To provide information about community-based correctional programs and to develop a handbook to guide developers. (July 1, 1972, to Dec. 31, 1974)

359,500

Battelle Institute

A survey of vocational training in Federal and State correctional institutions. (June 22, 1972, to Dec. 31, 1974)

297,686

45
The Murton Foundation for
Criminal Justice, Incorporated

To develop a model for shared decisionmaking as a treatment tool in prison management and to determine the administrative and practical feasibility of implementing the model. (Mar. 15, 1974, to Mar. 15, 1975)

23,947

Entropy Limited

To develop a model female offenders program demonstrating the viability of alternatives to incarceration. (Aug. 15, 1974, to Aug. 15, 1976)

400,000

Chase Manhattan Bank

To demonstrate the viability of employing female ex-offenders in the banking industry. (Aug. 1, 1974, to Aug. 1, 1975)

100,000

American Bar Association

A national pretrial intervention service center to help promote pretrial intervention projects. (Mar. 1, 1973, to Oct. 31, 1975)

342,025

American Bar Association	Established a national clearinghouse on offender employment restrictions for the purpose of disseminating information on job problems and how to solve them for the ex-offender. (Aug. 9, 1971, to Aug. 30, 1975)	426,971
Contact Research Corporation	An analysis of the evolution and impact of the bonding assistance demonstration program. (Aug. 1, 1974, to July 31, 1975)	87,199
Rehabilitation Research Foundation	An experimental manpower laboratory for corrections to study offenders in and out of prison for job problems. (Mar. 1, 1973, to Mar. 1, 1975)	537,080
Bureau of Social Science Research	Study the effects of financial aid and employment assistance for ex-offenders. (June 27, 1971, to Nov. 1975)	\$ 630,717
Human Resources Development Institute	Projects which partially serve offenders	\$168,642
National Alliance of Businessmen	A \$4,713,544 contract for promotion and development using organized labor in job help nationwide. (Jan. 28, 1974, to Jan. 26, 1975)	\$127,167
	A \$8,089,607 contract for on-the-job training in the private sector. (July 1, 1974, to June 30, 1975)	
	Total	\$8,055,252

aThe listing does not contain areas covered in our review.

bEstimated share of the contract dealing with ex-offenders. The remaining portion is for serving other disadvantaged groups.

cPortion of the funds dealing with ex-offenders.

GAO REPORTS ON
OFFENDER REHABILITATION

"Review to Identify the Various Federal Agencies Operating Programs Designed to Benefit the Criminal Offender"
(B-171019, May 17, 1972)

Letter Report to the Chairman, Subcommittee No. 3, Committee on the Judiciary, House of Representatives, on "Information on Corrections and Pretrial Diversion Projects Funded by Grants From the Law Enforcement Assistance Administration, Department of Justice"
(B-171019, Apr. 4, 1973)

"Rehabilitating Inmates of Federal Prisons: Special Programs Help But Not Enough" - Department of Justice
(B-133223, Nov. 6, 1973)

"Difficulties of Assessing Results of Law Enforcement Assistance Administration Projects to Reduce Crime" - Department of Justice
(B-171019, Mar. 19, 1974)

"Proposals and Actions for Improving the Federal Parole System" - Department of Justice
(B-133223, May 24, 1974)

"Use of Statutory Authority for Providing Inmate Release Funds" - Department of Justice
(B-133223, Aug. 16, 1974)

"Progress in Determining Approaches Which Work in the Criminal Justice System" - Department of Justice
(B-171019, Oct. 21, 1974)

"Federal Guidance Needed if Halfway Houses Are To Be a Viable Alternative to Prison" - Department of Justice
(GGD-75-70, May 28, 1975)

PRINCIPAL OFFICIALS
OF THE DEPARTMENT OF LABOR
RESPONSIBLE FOR ACTIVITIES
DISCUSSED IN THIS REPORT

	<u>Tenure of office</u>	
	<u>From</u>	<u>To</u>
SECRETARY:		
John T. Dunlop	Mar. 1975	Present
Peter J. Brennan	Feb. 1973	Mar. 1975
James D. Hodgson	July 1970	Feb. 1973
George P. Shultz	Jan. 1969	June 1970
W. Willard Wirtz	Sept. 1962	Jan. 1969
ASSISTANT SECRETARY (MANPOWER):		
William H. Kolberg, Jr.	Apr. 1973	Present
Paul J. Fasser, Jr. (acting)	Jan. 1973	Apr. 1973
Malcolm R. Lovell	July 1970	Jan. 1973
Arnold R. Weber	Feb. 1969	July 1970
Stanley H. Ruttenberg	June 1966	Jan. 1969
MANPOWER ADMINISTRATOR:		
Ben Burdetsky (note a)	Aug. 1973	Present
Vacant	Apr. 1973	Aug. 1973
Paul J. Fasser, Jr.	Oct. 1970	Apr. 1973
Malcolm R. Lovell	June 1969	Oct. 1970
J. Nicolas Peet	Feb. 1969	June 1969
William H. Kolberg, Jr. (acting)	Jan. 1969	Feb. 1969
Stanley H. Ruttenberg	Jan. 1965	Jan. 1969

aThe duties of the Manpower Administrator were assigned to the Deputy Assistant Secretary for Manpower in August 1973.

END