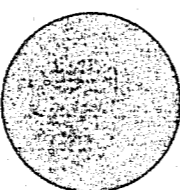


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BUREAU OF PRISONS AND THE  
U.S. PAROLE COMMISSION

MF-1



OVERSIGHT HEARING  
BEFORE THE  
SUBCOMMITTEE ON COURTS, CIVIL LIBERTIES,  
AND THE ADMINISTRATION OF JUSTICE  
OF THE  
COMMITTEE ON THE JUDICIARY  
HOUSE OF REPRESENTATIVES  
NINETY-SEVENTH CONGRESS  
FIRST SESSION  
ON  
OF PRISONS AND THE U.S. PAROLE COMMISSION

MARCH 5, 1981

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ACQUISITIONS

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**BUREAU OF PRISONS AND THE U.S. PAROLE  
COMMISSION**

**THURSDAY, MARCH 5, 1981**

**HOUSE OF REPRESENTATIVES,  
SUBCOMMITTEE ON COURTS, CIVIL LIBERTIES,  
AND THE ADMINISTRATION OF JUSTICE,  
COMMITTEE ON THE JUDICIARY,  
Washington, D.C.**

The subcommittee met, pursuant to call, at 10 a.m., in room 2237, Rayburn House Office Building, Hon. Robert W. Kastenmeier (chairman of the subcommittee) presiding.

Present: Representatives Kastenmeier, Butler, and Sawyer.

Staff present: Timothy A. Boggs, professional staff member; Gail Higgins Fogarty, counsel; Thomas E. Mooney, associate counsel; Joseph V. Wolfe, associate counsel; Audrey Marcus, subcommittee clerk.

Mr. KASTENMEIER. The subcommittee will come to order.

Today is our third day of oversight hearings this session. Today's hearings involve the Bureau of Prisons and the U.S. Parole Commission.

As our first witness today we are very pleased to greet a person very well known to this committee and other committees in Congress. He has been the Director of the Federal Bureau of Prisons since 1970, and has a very distinguished record in corrections, and we have always found him to be an able witness and an individual who is worthy and sets the highest standards for service to his Government.

Mr. Carlson, you may proceed as you wish. We have your statement here. Your statement is not particularly long. You might want to proceed from it directly or in any other respect.

**TESTIMONY OF NORMAN A. CARLSON, DIRECTOR, FEDERAL  
BUREAU OF PRISONS**

Mr. CARLSON. Thank you, Mr. Chairman, and Congressman Butler. With your permission, I would like to just summarize, if I may, the statement and introduce it into the record.

Mr. KASTENMEIER. Your statement will be received.

[The statement of Mr. Carlson follows:]

## Statement

of

Norman A. Carlson

Director, Federal Bureau of Prisons

Mr. Chairman, and members of the Subcommittee, I appreciate the opportunity to appear before you once again, to discuss the Federal Prison System, our present programs and plans for the future.

Unlike the prison population in most of the states, the Federal Prison population has decreased during the past three years. Since reaching an all time high of 30,400 in August 1977, the inmate population has declined and now stands at 24,300. Included in the current total are 1,700 Cuban detainees who have been identified by the Immigration and Naturalization Service as having significant criminal records. The physical capacity of the 43 existing federal institutions is 24,500. While we are not experiencing the system-wide overcrowding we did a few years ago, we do have several institutions which remain above capacity. We are actively working to correct this imbalance.

The past problem of overcrowding was significantly diminished through the efforts of members of this Subcommittee who authorized the establishment of two new camps on the sites of deactivated military installations in Big Spring, Texas and Boron, California. These facilities enable us to place nearly 500 minimum security inmates closer to their homes.

The principal reason, however, for the decline in population was a shift in the Department's prosecution policy emphasizing white collar and organized crime, public corruption, and major narcotic violations. The number of offenders committed for armed bank robbery, traditionally the largest offense category, declined during this period.

While projecting future populations is extremely difficult because of the many variables involved, we note that criminal filings by United States Attorneys have begun to show an increase during recent months. If this trend continues, we anticipate that the federal prison population will begin to expand once again. Any significant change in prosecution policy, particularly as it relates to bank robbery, will result in an even more dramatic increase.

Staff Development

The Bureau of Prisons, traditionally a career service, has attempted to significantly upgrade staff through the recruitment and training of correctional officers. Since the maximum entry age of recruitment is 35 and the mandatory retirement age is 55 (Public Law 93-350), most new employees are young. Approximately 70 percent of recent recruits have college backgrounds.

Subsequent to the tragedy at the New York State facility at Attica in 1971, high priority was placed on recruiting minorities and women into the System, so as to better balance the racial and ethnic composition of staff with the inmate population. The number of minority staff has increased from 6.6 percent in 1970 to 22 percent today and accounts for 28 percent of the correctional officer force as compared to 8 percent in 1971. Women now constitute 18 percent of all Bureau employees, compared to 9.8 percent in 1970.

Inmate Programs

The mission of the Federal Prison System is to provide a safe and humane environment for individuals committed to custody, while at the same time, giving them opportunities, through a variety

of programs, for positive, personal change. We have shifted our thinking concerning rehabilitation and have concluded that the "medical model" of diagnosis and treatment is no longer appropriate. Correctional administrators and inmates alike agree that "rehabilitation" is something that cannot be coerced and that change must come from within the individual. As such, with the exception of work, each offender is responsible for program participation. We attempt to provide a wide variety of correctional programs from which inmates can choose.

While some expressed concern that inmate involvement in programs would diminish when we moved into voluntary inmate programming in 1974, there has actually been an increase in enrollments throughout the Federal Prison System since that time.

At the Federal Correctional Institution, Butner, North Carolina, a model of imprisonment proposed by Professor Norval Morris in his book, "The Future of Imprisonment," has been tested and evaluated by independent researchers at the University of North Carolina. The general design of the Morris Model calls for providing an environment in which offenders, aware of their release date and of a graduated release program, can focus attention on acquiring self-knowledge and self-control through voluntary rather than coerced program participation.

Results from that study indicate that between 1976 and 1979, the program had a positive effect on the randomly selected repetitive and violent offenders committed there. The overall number of program enrollments and completions at Butner, exceeded the numbers in the control population.

Traditionally, the most significant institutional program has been education, both academic and vocational. We provide educational programs in all institutions, ranging from basic literacy training through high school and college courses. A number of vocational and apprenticeship training programs are also available. Two hundred and forty nine apprenticeship programs in thirty one institutions provide training in seventy five trades including auto mechanics, welding, medical and dental technology, computer programming and masonry. Each program was recently approved and registered by the Department of Labor's Bureau of Apprenticeship and Training. A variety of religious, recreational and leisure time activities are also provided at each institution.

#### Federal Prison Industries

Additionally, Federal Prison Industries continues to provide employment to all offenders desiring industrial work. Currently, 5600 inmates are assigned to industrial assignments, which is 24 percent of the total Bureau of Prisons population and 32 percent of the population actually available for work assignments. Offenders working in industries are paid up to 95 cents an hour. In 1980, inmate workers produced \$117 million in goods and services which were sold to other government agencies. These sales produced \$13 million in income, over half of which was spent in support of other inmate benefits including meritorious service awards and vocational training programs.

Federal Prison Industries is currently working toward establishing certified apprenticeship programs at all locations; maintaining state-of-the-art in machinery, equipment and processes; exceeding the energy consumption reduction target established by the Department of Energy; maintaining sales and earnings objectives to

continue to meet financial needs for self-sufficiency; further implementing its improved quality assurance program adopted in 1978; establishing a modern management information system; and expanding inmate incentive programs.

#### Community Treatment Centers

The Bureau of Prisons has made extensive use of Community Treatment Centers (halfway houses) since they were first established in 1961. There are currently eight federal centers and over 400 contract facilities located throughout the United States. Offenders are transferred to a Community Treatment Center prior to their release in order to facilitate reintegration to the community. U. S. District Court Judges also use the facilities as alternatives to traditional incarceration by committing offenders directly to a center for short sentences.

The Bureau of Prisons has established a goal that 47 percent of all inmates will be transferred to a Community Treatment Center for an average of 120 days prior to release. The 47 percent figure was arrived at by excluding inmates who had detainers pending for additional prosecution, those considered extremely violent, and offenders serving very short sentences.

#### McNeil Island

During the past five years, the Bureau of Prisons has been actively pursuing plans to close the antiquated U. S. Penitentiary, McNeil Island, Washington. The institution, which was constructed in 1965, is located on an island in Puget Sound. Because of its

size, isolated location and deteriorating physical plant, the Congress agreed with our plans and mandated the closing of the institution by January 1, 1982.

In response to the Congressional mandate, the Bureau of Prisons was planning to terminate activities at the institution on October 1, 1980. Those plans were delayed when the U. S. District Court for the Western District of Washington issued a restraining order preventing the transfer of approximately 175 Cuban detainees from the institution until their exclusionary hearings were completed by the Immigration and Naturalization Service. That order was recently lifted following completion of the hearings and we transferred the Cubans to Atlanta.

The State of Washington, like all other states, is experiencing severe problems with prison overcrowding. The U. S. District Court has issued an order directing that state authorities immediately reduce the population of the state penitentiary. The recently elected Governor expressed an interest in leasing the McNeil Island facility for use as a state prison during the next two to three years until a new state institution can be completed. After working closely with state officials, we signed a Memorandum of Understanding with the state on February 11, 1981.

Under the Memorandum of Understanding, the Bureau of Prisons has agreed to accept up to 300 medium and minimum security state prisoners on a cost reimbursable basis until June 30, 1981. By that time, the state intends to negotiate an interim lease agreement to use the institution as a state prison and will operate the institution until December 31, 1981, when it is anticipated that a long term lease can

be completed by the General Services Administration.

#### Financial Management

A recent General Accounting Office (GAO) audit report commented on weaknesses within the Bureau of Prisons in the management of resources in institutional operations. Specifically, GAO was critical of the Bureau's failure to respond to institutional needs both in the development and execution of the budget process and the management and control of property.

To alleviate the weaknesses mentioned by GAO, as well as to be more responsive to the needs of management at all levels, we have developed an on-line Financial Management Information System and are in the process of developing an on-line Property Accountability Management System.

The new Financial Management Information System enables us to more effectively track and monitor the utilization of resources, identify and correct problem areas, project savings and analyze future needs. In addition, the system will enable the Bureau to monitor position movement and personnel ceilings.

#### Female Offenders

Included in the House Judiciary Committee's Authorization Bill for Fiscal Year 1981 was a requirement to provide a report to Congress concerning possible alternative uses for the Federal Correctional Institution, Alderson, West Virginia. The report has been submitted and we have concluded that Alderson is, and should continue to be, a vital and integral part of the Federal Prison System. However, after reviewing our needs nationwide, we decided that Alderson

should become a minimum security co-correctional facility. At the same time, we plan to obtain the Addiction Research Center at Lexington from the Public Health Service and convert it to a secure facility for 150 females. That facility is part of the Federal Correctional Institution at Lexington and program needs for women could be met there with minimal expenditures. An additional minimum security facility for 100 females will be established at Danbury, Connecticut by changing the planned mission of the new Camp currently under construction adjacent to the Federal Correctional Institution. We anticipate that we will be able to effect these changes by mid 1982.

Those modifications will enable us to confine more female inmates in less secure facilities, improve visiting accessibility and place more women closer to their families.

#### Future Planning

In an attempt to improve operations, we have developed a new long-range planning system. Because it is largely decentralized, this new process represents the efforts of staff not only in the Central Office but also at the Regional and the institutional level. We have established a mechanism that establishes goals for the system, reports on progress towards meeting those goals, and enables us to prepare annual budget requests with greater precision. Institutional, Regional and Central Office staff are required to demonstrate how their own plans contribute to, and are consistent with, the Bureau's overall plan. Staff at each level submit progress reports every six months and the plan is updated annually.

We believe the implementation of this system -- which includes

integrated planning, budgeting, allocating and evaluating -- will lead to continued effective and efficient management of the Federal Prison System.

In our first long-range plan under the new process, we established major goals in 15 areas of operations for the 1981-1985 period. The first of these is correctional standards. By 1985, long-range plans call for all Federal Prison System facilities to meet the new Department of Justice Federal Standards for Prisons and Jails, issued by the Attorney General on December 16, 1980.

The timetable also calls for all facilities to be fully accredited by the Commission on Accreditation for Corrections. I might add, 18 facilities, including eight Community Treatment Centers, have already been accredited and five more are in the accreditation process.

We have also established goals to improve Federal Prison Industries, management information systems, inmate classification, and programs at the unit level. We have spelled out objectives to improve the quality and training of staff, and to promote employment of more minorities and females. Other priorities are better safety and housing for inmates and improved community programs.

#### National Institute of Corrections

Before concluding, Mr. Chairman, I want to comment on the work being done by the National Institute of Corrections. This small but vital organization was established in 1974 to strengthen and improve state and local correctional agencies and programs through training, technical assistance, clearinghouse services and program development. It is governed by the policies of a non-partisan 16 person advisory board (appointed by the Attorney General) consisting of five practitioners,

five citizens and six ex-officio federal agency administrators. Characterized by the field as non-bureaucratic, responsive and practical, NIC takes considerable pride in addressing those problems and issues that are deemed critical to correctional practitioners. Its services are direct, problem focused, and immediate.

Training is targeted to correctional managers and trainers, those persons responsible for positive change and leadership; technical assistance can be offered in virtually any area, but increasingly focuses on classification, security, resource management, overcrowding and compliance with standards and court orders. Problems currently of critical importance to the field include: overcrowding of jails and prisons; developing alternative community sanctions; diminishing resources; the absence of national policy; lack of public understanding about corrections; implementation of standards; the need for trained correctional managers; gross over-representation of minorities in our Nation's prisons and jails; excessive litigation; and the decline of a federal interest in corrections and crime control.

The Institute is engaged in major programs that focus on:

- 1) working with jurisdictions to alleviate institutional overcrowding and unconstitutional conditions;
- 2) developing and implementing mechanisms by which inmate complaints about conditions of confinement can be equitably resolved without litigation;
- 3) assisting special masters appointed by the courts to oversee improvements in correctional systems;
- 4) developing and implementing effective and sound probation and prison classification systems; and
- 5) upgrading state and local jails.

NIC is also developing a strategy to create a national training center for correctional professionals within its existing budget.

Working with the state of New Mexico for more than a year now, the Institute provided substantial assistance in the development of a master plan for corrections and is presently assisting the Department of Corrections in implementing the consent decree in the Duran v. Apodaca case. Idaho, which also experienced a prison riot in 1980, is receiving continued assistance from the Institute.

This concludes my formal statement, Mr. Chairman. I would be pleased to answer any questions you or your colleagues may have.



Mr. CARLSON. Thank you, Mr. Chairman.

As you can see in the statement, the population in the Federal prison system declined during the past 3½ years.

As you will recall, back in August of 1977, the population reached an all-time record high of 30,400. The population today is 24,300, a decline of nearly 6,000 inmates during the past 3½ years.

Mr. Chairman, the present population includes 1,744 Cuban detainees who were totally unanticipated at the time of our planning effort for this year's budget authorization process. This was something that we did not foresee the last time we testified before the committee.

The capacity of the 43 institutions that now comprise the Federal prison system is 24,500, so we are slightly below our rated capacity. It is very different from the situation 2 years ago when I testified, as you will recall. We were very much overcrowded at that time and the population was nearly 30,000.

There have been two principle reasons for the decline in population. First of all, the prosecution policy of the Department of Justice has shifted over these past 3 years. The Department is now giving emphasis to white collar crime, public corruption, organized crime, and major narcotics trafficking. As a result of that shift in prosecution policy, there have been fewer cases sentenced in Federal court for bank robbery, which traditionally has been the largest single offense category in the Federal prison system.

Mr. KASTENMEIER. May I interrupt at this point?

Mr. CARLSON. Yes, sir.

Mr. KASTENMEIER. Does this mean that the prosecution of these particular areas is not resulting in incarceration?

Mr. CARLSON. I think there are two factors, Mr. Chairman. First of all, as I understand the prosecution of offenders, it takes longer to make cases when you are dealing with organized crime, white collar, or public corruption cases than it does in the traditional bank robber, involving an offender who frequently pleads guilty.

In addition, the sentence is generally less than it would be for an armed bank robbery, for example. So, the net result is there are less cases coming in. Also they are serving shorter periods of time because sentences imposed by the Federal courts are substantially less than they were in the past.

Mr. KASTENMEIER. May we also conclude that notwithstanding the fact there are not as many prosecutions for traditional or violent crime in the Federal system that that does not necessarily mean that these people are going unapprehended, but rather, that we are shifting the burden for arrest and prosecution over to the States.

Mr. CARLSON. That is correct. Especially in the area of bank robbery, which, as I mentioned, has traditionally been our largest offense category. Many of those prosecutions are now being shifted to State and local courts and as a result, the State prisons are beginning to feel the surge of that particular type of offender. This is something they had not felt in the past. So, what we have is a displacement of offenders from the Federal system into State and local correctional systems rather than their going free in the community.

I might also, Mr. Chairman, comment that we have expanded the use of community treatment centers or half-way houses for inmates nearing release.

Most offenders spend the last 3 to 4 months of their sentences in the community in an attempt to help them find jobs and become reestablished prior to their return to society.

So, the two factors together, the prosecution shift by the Department of Justice and our expanded use of community treatment centers have resulted in the decline in the Federal prison population.

It is very difficult to predict what the future population holds in store. There are a great many variables that have to be taken into consideration when forecasting future prison populations. We believe, however, we will begin to see an increase in the next few months. I say that because there has recently been an increase in filings in criminal cases by U.S. attorneys across the country. As those cases work their way through the courts, we anticipate we will see and upward shift in the population so that we will, in all likelihood have an increase rather than decrease in population, at least in the short run.

Mr. KASTENMEIER. If I may interrupt again, I would say that at least for the past several years the increase in both the sheer number of Federal judges and in magistrates and presumably at least the staffs of U.S. attorneys, would indicate that criminal prosecutions would be increased rather than decreased. And also the speedy trial legislation places a priority of some sort on criminal prosecution. That would result in an expeditious processing of cases and would suggest probably some sort of increase for institutionalization rather than decrease.

Mr. CARLSON. I think the phenomena we have noticed during the past 6 months is a good indication of that. I think a shift in the prosecution policy is tending to show more criminal filings than there were in the past. I would anticipate we will begin to see that in our prison population during the next 6 months, because it generally, takes about a year to work a case all the way through the court and the appellate process.

The Department's prosecution policy of course, will have a tremendous influence, and if the Department decides to reverse the policy in respect to bank robbery, for example, that alone could have a dramatic effect on our prison population. I do not believe there has been any announcement at this point in time, but I have understood that the Department is undertaking a study of its prosecution policy, particularly as it relates to violent crimes. So that alone could have a rather substantial impact on our prison population during the next several years.

Corrections is frequently confronted by the unanticipated which is one of the difficulties we have in terms of long-range planning.

As I commented, we now have 1,744 Cuban detainees incarcerated in the Federal prison systems. These were Cubans who came over on the flotilla in May and in the early part of last summer. They were identified by the Immigration and Naturalization Service as having substantial criminal records. And, as a result, they have been found to be deportable by the Immigration and Naturalization Service.

Initially we placed these 1,700 Cubans in 13 different institutions. That presented many problems to us. The cultural and language barriers, of course, are very obvious. But in addition, we were forced to keep them totally separate, in those institutions, from other inmates because they have not been tried or even charged with a crime in this country.

In order to better manage the situation, we have decided to move all the Cuban detainees to one institution and concentrate them at the U.S. penitentiary in Atlanta, Ga. The majority are now there, and by the end of March we will have all of the Cuban detainees, except the females, at the U.S. penitentiary in Atlanta. We believe this will be to our advantage. It will also allow us to provide additional freedom and movement around the system for the Cuban detainees.

The problem, of course, is what the long-range result will be regarding the Cuban detainees. At this point in time we do not know how long we will be holding them. It certainly has compounded our plans to eventually close the U.S. penitentiary in Atlanta.

I must say if the Cubans are still in custody several years hence, we will probably have to keep Atlanta open because we simply do not have other facilities that can accommodate that large a number of individuals.

Mr. BUTLER. May I interrupt here?

Mr. KASTENMEIER. Yes. I yield to the gentleman from Virginia.

Mr. BUTLER. Mr. Carlson, I assume you are getting ready to move to another subject, and I would like to chat with you a little bit about the Cuban situation.

Have those incarcerated or held for further purposes by the Immigration Service, that has always been a responsibility of the Bureau of Prisons.

Mr. CARLSON. No, it has been shared with the Immigration Service. They have limited detention facilities in the southwestern part of the country. But in areas where they do not have detention facilities, we do assume that responsibility.

Mr. BUTLER. Is there any formal procedure that they go through when they move from the custody of the Immigration Service to the custody of the Bureau of Prisons?

Mr. CARLSON. No, there is none. We are merely serving as a custodian for the Immigration Service when we house the detainees that they ask us to take.

Mr. BUTLER. Can you give me some cost figures on what 1,700 Cuban prisoners are costing us?

Mr. CARLSON. It is substantial. I will be glad to provide that for you.

[The information follows:]

#### CUBAN DETAINEE COSTS

The cost of housing the Cuban detainees at Atlanta, on an annualized basis, is \$13.3 million. This reflects a daily per capita cost of \$22.80 (based on an average daily population of 1,600).

Monthly costs would be approximately \$1.1 million.

Mr. BUTLER. I think I would like to have a monthly, since there does not seem to be much shift from the first to the end of the

month, just a representative month would give me a good idea of what it is costing.

Are you under any instructions as to anything other than just custody of these people? Are you working? Have you got any instructions about training programs, testing programs?

Mr. CARLSON. Yes, Congressman Butler, we have developed with the Immigration Service a procedure where we will review each of these Cuban detainees on a case-by-case basis. Eventually the Commissioner of the Immigration Service will make a determination how long they will be held in custody.

Thus far, however, very few have been released.

Mr. BUTLER. Is their status as illegal aliens undocumented?

Mr. CARLSON. Deportable.

Mr. KASTENMEIER. Which is different from illegal alien, I take it.

Mr. CARLSON. Yes.

Mr. BUTLER. Well, they are illegal aliens. We have eliminated that term, for some reason.

Mr. KASTENMEIER. Unfortunately, I think much of the implication of this is a policy question issue that goes beyond the mere custody of these 1,700-some people, and have to be resolved by others. But is there a standard of maintenance for these individuals that differs from that of the sentenced prisoners or anyone?

Mr. CARLSON. No. We have handled them exactly the way we would any other offender committed to our custody. They have the same privileges and responsibilities as any other offender would have. They are in a very large, old institution, however.

As you know, the Atlanta institution is one we have targeted for eventual closure, but it is the only facility we have with sufficient space to incarcerate these individuals together. We think it is more desirable to have them together than scattered out in a number of institutions which were all disrupted by their presence.

Mr. KASTENMEIER. I should think that likely would be true.

Mr. CARLSON. If I may, Mr. Chairman, I would like to now turn to the area of staff recruitment and training. With this committee's support, we have placed considerable emphasis on trying to improve the caliber and training of our line staff during the past years. I am pleased to report over 70 percent of all the correctional officers we have recruited during the past several years have college backgrounds, which is a considerable increase in that percentage, over 3 to 4 years ago.

In addition, we are continuing to place emphasis on minority recruitment. The number of minorities in our system has increased from a little over 6 percent back in 1970 to over 22 percent today. It still does not match the balance of the inmate population, but I think we are making headway in terms of trying to have a more equitable minority distribution within our staff which is comparable to the inmate population.

We have increased the number of females in all job categories from a little under 10 percent in 1970 to over 16 percent today. We are using female officers in all of our institutions now, except the maximum security penitentiaries. They are working out very well. We have had virtually no problem integrating female correctional officers into what traditionally has been an all-male role in the field of corrections.

We continue to operate the three staff training centers. There is one in Dallas and one in Denver and one in Atlanta.

They provide both basic training for new employees and inservice training for the people who have been with the Bureau of Prisons for several years.

I would like to move now to the area of inmate programs. During the past few years we have, of course, moved away from the so-called medical model that implied we had the ability to diagnose and treat criminal offenders. We found that simply was not feasible or possible. So we pretty well disavowed the concept that we could ever rehabilitate an inmate through the idea of a medical model and have gone to a volunteer program activity. All work today is done on a volunteer basis rather than on any type of coercive basis such as was in the past.

Despite the concerns expressed by some of our critics when we went to this voluntary program concept, the level of participation by inmates has increased throughout the system.

As a matter of fact, we have a rather extensive research program at the Federal Correctional Institution at Butner, N.C. designed after a concept developed by Dean Norval Morris at the University of Chicago Law School. That research, which was done by the University of North Carolina, very clearly points out that you can facilitate change in inmates, but you cannot coerce it in a traditional sense. I think again it reinforces a notion it was desirable to move away from the medical model and develop programs on a voluntary basis rather than attempt to coerce inmates to change.

I would certainly invite you and members of the staff and committee to visit Butner at some time.

As I said on many occasions, I think it perhaps is a model of how a good correctional facility should operate. It is a model institution. We have had virtually no problems in the facility. The research clearly points out it has been effective in terms of accomplishing the goals that were set out when it was initially established.

We have also continued to make progress in terms of our educational programs. We have particularly paid attention to the idea of developing apprenticeship programs. We currently have some 249 individual apprenticeship programs in 75 different trades in our institutions. These are all registered and approved by the Department of Labor's Bureau of Apprenticeship and Training. Inmates who participate in the institution in apprenticeship programs and carry that training out into the community can receive credit for their apprenticeship training if it occurred in the institution. We found that the idea of registering the programs through the Department of Labor has been very effective, and it certainly is, I think, a benefit to the inmates because I think rather than just having the certificate signed by the institutional educational staff, they now have a certificate that is actually the same as any apprentice in this country would have issued through the Department of Labor.

Federal Prison Industries, or industrial operations, continue to remain the backbone of our system. We have some 5,600 inmates employed on a daily basis working on a variety of factories throughout our system. Thirty-two percent of all inmates who are eligible to work in industries choose to do so. They are, of course,

remunerated for their work in those factories. We continue to make efforts to modernize and make industrial programs as relevant as we possibly can. We have increased the type of training programs we provide in many institutions and we continually assess the industrial programs to insure they are both relevant and modern in terms of the equipment which the inmates operate.

Turning to the use of community treatment centers. You recall back in 1961 the Bureau of Prisons began using halfway houses, or community treatment centers, for inmates about to be released. We presently have eight Federal community treatment centers and contract with over 400 State, local and private agencies for halfway house programs across the country.

Today, 47 percent of all inmates being released from Federal institutions spend at least 100 days or so in a halfway house prior to their actual release from custody.

The only inmates who are excluded from halfway house participation are those who have detainers filed by other jurisdictions which involves their being turned over for further prosecution or confinement when Federal sentences have expired; those serving a very short sentence of 6 months or less and those who refuse to take advantage of the halfway house type program. All who are eligible are sent to the halfway house for the last 100-120 days of their sentence. We also use halfway houses as an alternative to incarceration, when Federal courts commit a defendant to a halfway house in lieu of incarceration.

The Federal courts have done this on an increasing basis across the country. We find that it is both a savings in terms of our resources and in addition, I think it is more effective than sending them to an institution in terms of trying to help offenders maintain their family ties, community ties, and employment.

The last time I testified before this committee, Mr. Chairman, I discussed the ancient facility at McNeil Island, Wash. As you recall, that institution was built in 1865. It is located on Puget Sound. We had targeted the closing of this institution by October 1, 1980. Unfortunately those plans were delayed rather significantly as a result of the U.S. District Court decision which required we house 172 Cubans in the institution until their full panoply of hearings had been exhausted through the Immigration and Naturalization Service. Those hearings have been completed and they have been transferred to our facility at Atlanta, Ga.

The State of Washington has indicated they are interested in leasing that institution. We have signed a contract with them to house up to 300 State prisoners until July 1 of this year. At that time the State will acquire the institution under a lease and plans to operate it as a correctional facility for the State of Washington at least for the next 2 to 3 years.

I would like to report, Mr. Chairman, that the Bureau of Prisons will be out of the institution operation at McNeil Island on July 1 of this year, which is somewhat beyond our projected date the last time we testified. That delay was inevitable as a result of the court decision requiring the Cubans be maintained in the facility.

Mr. KASTENMEIER. May I interrupt to ask, the only reason for remaining open is 1700-some odd Cuban detainees and their hearings—they have been completed?



Mr. CARLSON. Yes. The Cubans have now been transferred. They were transferred 2 weeks ago.

Mr. KASTENMEIER. Why are we waiting until July to close the institution?

Mr. CARLSON. We are going to continue to operate it as a Federal institution until July to enable the State to bring their staff on and acquire the facility.

Mr. KASTENMEIER. For purposes of transition.

Mr. CARLSON. The State of Washington however will reimburse the Bureau of Prisons for all costs incurred during this interim period between now and July first. There will be no direct expenditures of Federal money. The moneys will all come directly from the State to the Bureau of Prisons.

Mr. BUTLER. If I may, Mr. Chairman, why are we leasing this? Why isn't the ultimate plan to sell this property or to give it to the State of Washington? Why should we maintain custody of it and all the headaches that go with being an absentee landlord.

Mr. CARLSON. We, of course, did not have authority to sell the property. That would have to be done by the General Services Administration. At this point in time the State is interested in the short-term use of the facility, although they have indicated that they may try to purchase the facility or acquire it from GSA in some other fashion. That decision would have to be made by the General Services Administration after we give up possession of the property, which will be July first of this year.

Mr. BUTLER. The long-range plan for Atlanta is subject also to GSA?

Mr. CARLSON. That is correct.

Mr. BUTLER. Thank you.

Mr. CARLSON. Let me turn, if I may, to the subject of female offenders. This was a topic of discussion the last time I appeared before this committee. At the present time, we have some 1,100 female defendants, which is 5 percent of our total prison population. They are confined in eight different institutions.

You recall the last time we testified you asked that the Bureau of Prisons conduct a study as to possible alternative uses to the Federal correctional institution at Alderson, W. Va., which at the time was the only all-female institution in the Bureau of Prisons. That report was completed, and I believe it has been submitted to this committee.

As you may recall, it does provide for the continuing operation of the institution at Alderson, but to use it as a cocrrectional institution for both male and female offenders who would be incarcerated in the one institution. That would be the fourth cocrrectional institution in the Bureau of Prisons. In addition, we are planning to convert a camp which is now under construction adjacent to the Federal correctional institution at Danbury, Conn., into an all-female facility. That camp is now under construction and will be completed early in 1982 and will enable us to house approximately 100 female defendants much closer to their homes than they presently are.

Furthermore, we are planning to acquire an additional facility at Lexington, Ky. This is the addiction research center which for many years was used by the Public Health Service as a facility to

test various narcotic drugs. That facility is being moved to Baltimore. We will acquire that and use it to house those female defendants who are not appropriate for a cocrrectional institution.

By taking all three of those steps we will be able, we think, to do a much more effective job of placing female offenders closer to their families in the least secure institution. In addition, of course, the amount of resources required in these shifts is rather minimal because all three would be available to us as a result of our construction and planning effort.

Before closing I would like to comment, if I may, just very quickly on the National Institute of Corrections.

As you may recall, this institute, was established in 1974, was placed in the Bureau of Prisons for housekeeping responsibility. It is actually governed by a 16-person advisory board appointed by the Attorney General. The present Chairman of the advisory board is Dr. Walter Menninger of the Menninger Foundation in Topeka, Kans. It includes a number of very distinguished academics and other individuals such as Norval Morris and others of whom I am sure this committee is aware.

It is a very small, but I feel, a very vital agency. Its mission is to assist State and local correctional agencies in several areas. First of all, training; second, technical assistance; and third, program development.

The National Institute has developed an excellent reputation. It is a very nonbureaucratic organization. It is responsive to the field. The Institute has made substantial inroads in terms of helping solve some State and local problems across this country in the field of prison and jail administration, as well as other aspects of corrections.

At the present time, the Institute is working in several very important areas: First, to alleviate overcrowding in State and local prisons; second, to correct some of the unconstitutional conditions that continue to exist, and third, particular emphasis is being placed on upgrading local jails across the country.

With the demise of the LEAA, I believe the continuation of the NIC is very important. It is a small organization, with a very limited budget of some \$10 million, and staff of 30 individuals that I believe it has paid dividends already. I am convinced it will pay increasing dividends in the months and years ahead.

That concludes a very quick summary of my statement, Mr. Chairman. I would be happy to answer any questions you or your colleagues may have.

Mr. KASTENMEIER. Thank you, Mr. Carlson.

One area you did not really discuss at any length in terms of your presentation was your long-range timetable and future planning. What does it call for in terms of new institutions? You discussed accreditation of course in your prepared text, but where are we with respect to what you anticipate in the next 5 years, in terms of new institutions and what institutions other than the McNeil Island, Atlanta and Leavenworth, are being slated for possible phase out or change?

Mr. CARLSON. Mr. Chairman, the long-range plan which we have submitted to this committee calls for no additional new construction. That, of course, is premised on the fact the population is now

at 24,300. Should there be any substantial increase in the months and years ahead, we may have to revise that, but at this particular time, we have no plans to ask the Congress for any additional money for new prison or jail construction.

As you know, we have one new institution currently under construction. That is a very small jail facility at Tucson, Ariz. It will be completed later this year. When that is completed there are no plans for any future new construction.

Mr. KASTENMEIER. Within the last 5 years or so you have had a number of new facilities brought into being. You have taken over the facility in northern New York. Butner is relatively new. And you have invited us to check out Butner. How many prisoners do you have at Butner now? We all understand that is a specialized institution.

Mr. CARLSON. It has a capacity of 350. It operates right at that capacity figure, roughly 350 inmates.

Mr. KASTENMEIER. The program entails much more intensive professional supervision and assistance for these inmates than the ordinary mainline institutions?

Mr. CARLSON. Butner is actually two separate programs combined in one institution. The program I talked about in my statement and also alluded to in my brief remarks involved the research program which is modeled after the book written by Prof. Norval Morris at the University of Chicago Law School. That does not entail any additional staffing at all. Inmates in that program are transferred to Butner as a result of being selected by our computer and are part of the experimental group.

The basic idea is that the inmates go to Butner knowing full well when they will be released and what the conditions will be of their release. What they do at Butner will not at all affect their release date. The idea was to see if that would impact on the number of programs they get involved in, such as education, vocational training, and so forth. And as our research indicates, it has no impact at all.

In reality, the Butner inmates take advantage of the programs to a slightly higher degree than did the control group in other institutions.

The second part of the Butner program is a mental health program. It is more highly staffed than our traditional institutions. We have two full-time psychiatrists. In addition, we have a number of psychiatric interns from the Duke School of Medicine to deal with a very hard core group of defendants who present severe emotional problems. It presently has in the vicinity of 125 mental health cases who are housed in a separate part of the institution. They participate in the general institutional activities.

Mr. KASTENMEIER. Another area, that of the so-called coeducation or coed institutions is raised by suggesting that Alderson might become such an institution. What is the track record on it? We of course visited the institution in California about 5 or 6 years ago, I guess, one of the early models of that sort of experiment or effort. There were one or two other places in the country, one in Texas, I believe. However, I think the facility in California is no longer a coed facility, as I remember, and I am wondering what your experience has been with respect to that.

Mr. CARLSON. On the latter point, Mr. Chairman, the facility at Pleasanton, Calif., again is cocorrectional. As you recall, 2 years ago we had to convert it to an all-female institution because the number of female defendants increased dramatically we had no place to house them. But it is again, and has for the past year operated as, a cocorrectional institution.

Let me try to summarize cocorrections by saying it is not a panacea. It is obviously not for all inmates. But for those inmates who can tolerate that type of freedom it is much more relaxed, a much more human environment. It presents far more problems in terms of management, and on balance I think it is a very positive step forward.

Again, it is not going to solve all of the correctional problems in the country, but for many inmates I think it is a very positive benefit to them in terms of providing them with a much more normal environment than they could find in either an all-male or all-female institution.

Mr. KASTENMEIER. Then I take it your present assessment is that it is something that will be continued in the Federal system, but probably not at a much greater level than you have had in the past several years.

Mr. CARLSON. That is correct. I think that once Alderson is converted to a cocorrectional institution we will have no future plans for any additional such facilities in the future.

Mr. KASTENMEIER. Where you have a specialized type of inmate, whether these are women or whether these are detainees, if the group is sufficiently small, would it make any sense to enter into a contract service with the States to handle the class of inmates that require special assistance in terms of incarceration?

Mr. CARLSON. Are you referring to female offenders?

Mr. KASTENMEIER. That may be too large a group to refer to. I have them in mind as a very large group. If we were interested in getting prisoners generally very close to home and if the group were not too large, let's say 200 or 300, one could actually get them back into their home States on a contract basis with the State facilities, it seems to me.

Mr. CARLSON. You are correct; it is an alternative. The problem at least in the short run is that State prisons are generally so overcrowded they simply do not have any bed space for their own inmates. I have to say that many of the State prisons do not meet the standards that we have developed, and I know for a fact that many Federal judges would be rather upset if we tried to place Federal offenders in some existing State institutions.

Mr. KASTENMEIER. That is an answer that makes a great deal of sense. I guess I was assuming for the purpose of argument that the standards would be adequate, but I understand that.

Mr. CARLSON. The State of Minnesota at the present time is planning to, or considering, the possibility of constructing a new institution for female offenders. They have asked us if we would be willing to contract with them. We have said absolutely yes, we would. We have no facility in the north central region for females. This would be a distinct advantage for the Bureau of Prisons if and when the State of Minnesota does build a new female institution which could house some of our Federal offenders.

Mr. KASTENMEIER. In terms of States, do you know with the demise of funding for LEAA assistance, Federal funding has dwindled to a minimum.

The advisory roles that you and the Parole Commission play are very important as are the grants of the National Institute of Corrections. But obviously we know they do not begin to meet the needs. This subcommittee, I assume, will be called on to consider legislation which would set up some sort of aid program for local correctional programs in the absence of LEAA.

Now, it may well be that the new Administration would resist such a program. But I would like to ask you how you perceive the needs of local and State correctional systems generally? Are they as bad as they are portrayed to be? How do they relate in terms of the Federal system? From your last answer, it would seem they do not measure up generally to the Federal systems.

Mr. CARLSON. Mr. Chairman, it is very difficult to give of course one answer to all 50 States. There is a tremendous variance. Some of the State systems, I think, they are very well run and they have very adequate facilities, some perhaps better than the Federal Bureau of Prisons. I think, however, on balance, the State systems are tremendously overcrowded, far more overcrowded than even we were some 4 or 5 years ago. They do not have the resources at their disposal to correct some of these deficiencies and the situation, very frankly, is rather bleak. There are some 25 of the 50 States that are under some type of Federal court intervention at the present time which I think is an indication of problems where they have not met constitutional standards by the Federal court.

Mr. KASTENMEIER. That is one of the problems we face. That is why when some of our colleagues submit legislation to this committee suggesting that either by virtue of H.R. 10 or by virtue of these judicial interventions, that the States need help through some Federal program, some inducement, some incentive, some assistance, for corrections, it is very hard to say no, they do not. I am not sure that we are in a position to give them that help, but, as a professional I certainly would be interested in your view about the extent throughout the country there exists such a need.

Mr. CARLSON. There is no question, Mr. Chairman, there is a need. I obviously am not in a position to speak on the broader issue to whether or not the Federal Government has a responsibility to help the States in that very critical area. But I do not think anyone would question the fact that there is a demonstrable need in virtually every State system in this country today. Most of the 3,000 or so county jails have very similar problems, especially in the larger metropolitan areas where the jail populations have exploded during the past several years.

Mr. KASTENMEIER. I won't make the argument here, but there is an argument that the States should take care of their own problems. There is also the argument that there is a Federal nexus for a number of reasons: the Federal constitutional challenges and standards applied by the judiciary; the prior existence of LEAA, which created a certain expectation; the fact that you do contract as a Federal entity with State institutions and have an interest in their standards for purposes of even people charged to you and so forth.

There are a number of reasons why we cannot say we have no reason whatsoever, no responsibility at all.

Well, I have some other questions, but I have taken up too much time. I would like to yield to my colleague, the gentleman from Michigan, Mr. Sawyer.

Mr. SAWYER. I do not have any questions as such, Mr. Carlson. But I had the privilege of getting a guided tour through your Metropolitan Correctional Center up in Manhattan. I was exceedingly impressed with it. It was a very pleasant facility insofar as any detention facility can be pleasant. It had an atmosphere more like a school or hospital might have inside, even though in some parts you had to have maximum security. Certainly the staff up there, particularly the head ones, were exceedingly gracious and made the visit very pleasant.

Mr. CARLSON. I appreciate hearing that, sir.

Mr. SAWYER. I wish all our jails were like that and that is in effect a Federal jail for all practical purposes. I did not realize we had one until we had the opportunity to visit.

Mr. CARLSON. We try to provide a humane environment in our institutions. There are some who criticize that facility for being too modern and perhaps too plush, but offenders are human beings and they are entitled at least to the basic rudiments of humane treatment. I think the Metropolitan Correctional Center in New York as well as the other two we operate, provide that type of treatment for offenders who, after all, have not been found guilty of a crime, but only held awaiting appearance before a court.

Mr. SAWYER. I didn't find anything plush about it. It is just, instead of having dull gray walls, they had some colored paintings splashed around and the environment was pleasant and light.

Incidentally, while I was offered dinner Sunday night there, I had another commitment. Being in the Big Apple I was not about to have dinner there, but I did look at it, and it was really a very fine looking dinner. It was half a chicken and corn and bread and butter and ice cream for dessert. Had I not been in the Big Apple, I would have been glad to have dinner there. It is better than I usually get on Sunday.

Thank you.

Mr. KASTENMEIER. The gentleman from Virginia.

Mr. BUTLER. Thank you, Mr. Chairman.

I appreciate your presence, Mr. Carlson, and your statement. Turning to page 9, the long-range plan called for all Federal prison system facilities to meet the new Department of Justice Federal standards issued by the Attorney General on December 16, 1980.

Quite frankly, I was not familiar with those. Give me the history of that, what your part in it is.

Mr. CARLSON. Congressman Butler, the Department for the last 3 years has been working on a set of standards that would impact both the Federal institutions as required standards and also would serve as guidelines to State and local correctional systems.

As I recall the origin, Judge Bell, when he was Attorney General, was very much concerned that while as a Federal Judge he encountered a situation where every time a Federal judge was asked to intervene or look at a State prison or local jail he had no



standards to go by and had to rediscover the wheel each time and develop his onset of standards. There was nothing at all which had been published or promulgated which would give the Federal courts or any other court for that matter guidance as to what condition should exist in any institution.

As a result a number of bodies in the Department of Justice including the Bureau of Prisons and the Civil Rights Division, Criminal Division, National Institute of Corrections were called together to develop a set of standards. They were issued last December. There are some 352 individual standards which have been printed and are now available publicly. I will certainly leave a copy with you.

We were party to the development of those standards. I personally feel they are realistic and attainable. I think they will in the long run serve to accomplish what I think most of us, including the Chief Justice, have been asking for and that is improved State and local prison conditions, as well as improvement in the Federal Bureau of Prisons.

Mr. BUTLER. That is what concerns me a little bit. To what extent would the States be involved in developing these standards?

Mr. CARLSON. This was consultation with the State. They were sent out on two occasions to all of the State correctional administrators for comment. In addition, most of the standards parallel those that have been developed by the American Correctional Association and also by the American Bar Association. So the standards themselves are really not new. It is the first time, however, they have been published by the Department of Justice. They did not go beyond the standards that have been promulgated by either the ABA or the American Correctional Association. They merely try to bring them together into one convenient form.

Mr. BUTLER. You do not think this imposes unreasonable objectives on the State prison system as well?

Mr. CARLSON. I deal daily with my colleagues in the State Department of Corrections across the country. I think they would be very happy to be able to meet the standards. I think they would agree that those standards are much needed, even though they are perhaps quite a way from attaining the standards. I think in the long run they would agree that they are realistic and reasonable.

Mr. KASTENMEIER. As I understand it, while you consider those guidelines mandatory, at least long-running compliance, they were not meant to be mandatory with respect to the States. They were guidelines only and they do not presume to constitute constitutional standards so that they would serve necessarily as a mandate. They are explicitly not constitutional standards and the result is that at least there is no compelling burden on the States.

Mr. BUTLER. No, sir. But if you were a Federal judge, with less energy than yourself, it would be nice to have this yardstick by which to measure the performance of the State system. I suspect that it will have that effect. And it would be a good effect if you have not overshot here and imposed unreasonable objectives for State institutions.

My questions are only as to the genesis of these things and how they have developed. Of course, the issue which I raise here will probably be hashed out somewhere else.

If I could turn to another question. On page 7 you talk about a GAO audit report. That GAO report deals with the management of the resources. I am interested in the extent to which you are pursuing followup on internal audits and external audits within the prison system generally. We had testimony from the Government Operations Committee about the general inclination of most Federal agencies which is to perhaps have audits, but they are not to undertake to resolve them. Right now there is a figure of \$25 billion unresolved in audits in the Federal system generally and the OMB has issued a certificate A-137, I believe it is described, and we can measure it against that yardstick, many institutions are simply not following the requirements of the OMB.

Are you familiar with that and how are you all coming along with that?

Mr. CARLSON. Yes. I am familiar. We are very definitely following up. The GAO audits did point out some shortcomings in our system. We have instituted a number of significant changes, including the financial management system, which we feel and I think GAO would agree with us, will correct the deficiencies they spotted. One of our problems was we had 43 different institutions. We did not have any uniform set of guidance for them to utilize. We now have developed such a system. It is computerized and we think it will do a great deal to help us better manage the system and make sure that the taxpayer is getting a reasonable return for the dollars that we are spending.

Mr. BUTLER. One of the recommendations of the OMB and the GAO was each agency identify an individual whose responsibility it is to follow up on internal and external audits. Have you identified that?

Mr. CARLSON. Yes. I have created an Office of Inspections reporting directly to me. They are responsible for following up on all audits, both internal as well as external.

Mr. BUTLER. You have an individual you could put in solitary confinement if he does not do that?

Mr. CARLSON. Maybe not solitary confinement. We would certainly take other action.

Mr. BUTLER. Thank you.

Mr. KASTENMEIER. I would like to just return to a couple of questions.

It appears to me that questions which we consider in certain areas such as status of women prisoners might take so long that I think we will try to follow up by letter interrogatory, and you respond as you wish in some of those areas.

I know the gentleman from Illinois, Mr. Railsback, has taken on his own a great deal of trouble in terms of the issue of women prisoners, some of the problems they have, particularly an example of improving family relationships for women at Alderson and some other questions.

We also had a problem for some time at the very controversial institution, the secure penitentiary at Marion and more specifically the control unit within the institution. I note that your long-range plan includes a major research project for this fiscal year 1981, entitled "Marion Control Unit Evaluation." Has this report been completed yet?

Mr. CARLSON. No. It will be completed during the year. We are following every case that has been assigned to that unit to find out precisely what does happen after each is released and returned to a general institution population and ultimately, of course, released to the community.

Mr. KASTENMEIER. Of course, everyone understands that those prisoners in your system most difficult to control are very likely to end up at Marion and that has posed problems in terms of violence and other problems there. One of our colleagues expressed an interest in it.

I note before in your discussion of industrial industries, 5,600 inmates are assigned to the prison industries. You have indicated a total prison population of 24,300, and you will have 1,744 Cuban detainees. Of the 24,000, if indeed 5,400 are engaged in prison industries, generally speaking, what are the others doing? Some of them are younger, in vocational programs.

Mr. CARLSON. Vocational programs, educational activities, maintenance assignments, such as the kitchen, dining room, plumbing shop, other activities in the institution.

By the way, they are paid a very limited but important stipend for those jobs from the profits of Federal Prison Industries. The profits we earn from prison industries not only pay inmates who work there, but are also used to pay other inmates in other assignments.

Mr. KASTENMEIER. One of the reasons this is important is in terms of the general policies that you have embarked upon which I am in general agreement on. To wit, that we should not presume that we are going to be able to rehabilitate every individual in society's ideal. The result is that you have in your humane incarceration and custodial function had a program whereby prisoners may opt or may take any number of possible pursuits depending in part on the institution. They may get into educational programs. They may get into custodial work of some form or another. They may get into prison industries, largely at their own option. That is to say, I do not know to what extent the prison professional personnel tend to guide them in this regard, but ultimately they make their own judgment as to what they want to do. Some of them make a judgment to sit in their cells; is that correct?

Mr. CARLSON. No. All inmates are required to work. They do not have that option. But all other activities in the institution, such as recreation, education, vocational training, industries and so forth are strictly at their option.

Mr. KASTENMEIER. The last question I want to ask is how the parole law is working from your perspective. We will hear from the Commission itself, since less than 5 years ago, 1976, the Parole Board was reorganized. There has been a question of the future of parole in its reorganized context and also as to whether it plays a future as far as provision in the Federal Criminal Code.

From your perspective as a correctional administrator, how do you feel the act of 1976 is working and what, if any, advice would you give us if we were to look at the parole and sentencing systems, let us say, quite independent of overall criminal code revision. In terms of prison administration, what would be your observations about the present parole system?

Mr. CARLSON. First of all, Mr. Chairman, I think the guidelines that have been developed and promulgated by the Parole Commission and reinforced in the legislation have been a distinct advantage to offenders, the community and the entire criminal justice system.

Second, I think the idea of giving firm parole dates, presumptive parole dates, to inmates early on in their sentence, has been an advantage to both inmates and staff of the institution in terms of planning their eventual return to the community.

So, from those two perspectives I think there has been a decided improvement as a result of the Parole Act of 1976. As you know, I have testified before this committee and others that; in the long run I would support the idea of a sentencing commission which would do many of the same things. I do not feel there is a need to have duplicate systems. If the sentencing commission idea is ever adopted by the Congress and placed in the judiciary, I think that could supplant the present Parole Commission function. But at least in the short run, I think the way the Parole Act has operated has been a distinct advantage overall.

Mr. KASTENMEIER. If I understand you, if a sentencing commission is established, prior to the individual being committed to your custody, it would review and make a determination, for an appropriate sentence, then the parole system would not be needed. You do more or less support a determinate sentence?

Mr. CARLSON. Yes. I would certainly opt for a more determinate type of sentencing structure than we have had in the past, especially as it relates to the Youth Corrections Act which, as you know, is still an indeterminate act. I would envision that a sentencing commission would promulgate guidelines comparable to what we now have. I do not think there would be any basic difference.

Mr. KASTENMEIER. From the prison administrator standpoint, would it be better to have an individual committed to a term of 5 to 15 years, or a prisoner committed to you for 10 years flat time?

I do not mean to debate the question with you, but it used to be suggested that it makes it difficult for wardens and others to deal with people who have no particular hope, that is, there is no real option. They are there for 10 years. They are there for life, and there is not much they can gain by good behavior or bad, or perhaps even much from good time. That the flexibility was useful to prison administrators, but you do not necessarily agree with that.

Mr. CARLSON. No. I think the uncertainty that creeps in causes far more problems in the inmates' eyes; the fact that they really do not know when they are going to be released creates a tremendous amount of uncertainty. Inmates have a great many problems with uncertain situations. They would far prefer knowing as they do today, for example, what their presumptive parole date is going to be right off. Even if it is going to be 4 or 5 years in the future, inmates would prefer hearing that today rather than being caught in a situation of not knowing what is in store.

I support the idea of a more definitive type of sentencing process.



Mr. KASTENMEIER. You also support a phasing out of good time earned.

Mr. CARLSON. I think that good time has been supplanted by a number of other rewards that we can provide. I really feel that good time has outlived its usefulness and could be erased from the books without any difficulty.

Mr. KASTENMEIER. Well, as usual, your testimony has been very interesting, to the point and very straightforward. We are indebted to you for your appearance here this morning. We will undoubtedly over the next 2 years of the Congress have many other occasions to have you appear both as a witness and to otherwise get together with you on matters of interest to your Bureau.

As a matter of fact, it is the intention and hope of this committee to be more active in terms of involvement in corrections in the next 2 years.

On behalf of the committee, we thank you very much, Mr. Carlson.

Mr. CARLSON. Thank you. I will want to reiterate my invitation to you and your staff and all members to visit our institutions.

I am pleased that Congressman Sawyer could visit the Metropolitan Center and see for himself what we are trying to accomplish. We have a number of problems, but we are trying to attack them and make our situation as hopeful and helpful as we possibly can to both the inmates confined with us as well as the entire criminal justice system.

Thank you.

Mr. KASTENMEIER. Next the committee would like to call the Honorable Cecil C. McCall, Chairman of the U.S. Parole Commission. He has been Chairman since November, 1977. He has a distinguished background. He was past director of the Georgia Department of Probation, chairman of the Georgia State Board of Paroles and appeared before this committee before. He is very knowledgeable, and we are very pleased to have you back, Mr. McCall.

**TESTIMONY OF CECIL C. McCALL, CHAIRMAN, U.S. PAROLE COMMISSION; DR. PETER HOFFMAN, DIRECTOR, RESEARCH SECTION, AND JOSEPH A. BARRY, GENERAL COUNSEL**

Mr. McCALL. Thank you, Mr. Chairman and members of the subcommittee, I am very pleased to appear before your committee concerning the operations of the U.S. Parole Commission. Appearing with me today are Dr. Peter Hoffman, Director of our Research Section, and Joseph A. Barry, our general counsel.

In the 2 years since the last oversight committee hearings in April of 1979, the Parole Commission has moved forward in a number of program areas which I am pleased to highlight for you.

In keeping with the intent of the Parole Commission and Reorganization Act to reduce unnecessary uncertainty in the setting of release dates without removing the opportunity to consider significant changes in circumstances, the Parole Commission has completed implementation of what is called the Presumptive Parole Date Plan.

Under this plan every prisoner, except those with a minimum sentence of 10 years or more, is given an opportunity for an early

hearing to determine his presumptive release date. This date is determined by reference to the Parole Commission guidelines.

Under the Parole Commission and Reorganization Act, all parole selection decisions are made under a guidelines system. Departure from the guidelines are permitted, but only for "good cause" and upon the provision of specific written reasons for such departure. Once a presumptive date is set, subsequent proceedings at every 18 or 24 months are conducted to determine if there are any significant changes which would warrant advancement of this presumptive date, or, of course, in the case of institutional misbehavior, to determine whether postponement of the presumptive release date is warranted.

Furthermore, the Parole Commission has, since the last oversight hearing, adopted specific standards to govern the postponement or rescission of a presumptive parole date based upon the seriousness of the disciplinary infractions following the setting of that date, as well as a schedule for permissible reductions to govern the advancement of presumptive parole dates in cases of superior institutional program achievement.

The presumptive parole date plan has been extremely well received by prisoners, institutional staff, academics, and others. I should note here, parenthetically, that the bill of both Congressman Mann's and Congressman Drinan's Subcommittee on Criminal Justice adopted the Parole Commission's recommendation that this expanded presumptive parole date plan be specifically included in the statute.

Mr. KASTENMEIER. Allow me to interrupt at this point.

We suggest that this subcommittee might well consider that change, since we have had jurisdiction over the area. I do not know that we will necessarily, but if it is worthy of change in the context of general division of the criminal justice code then it might well be considered quite separate from that.

Could you give the subcommittee a specific hypothetical case of how the presumptive date is set, what happens from the moment the prisoner comes into a medium security institution sentenced for 8 years or something like that, when does he get his date, and how actually does it take place? Who hears him?

Mr. McCALL. The Commission has about 35 hearing examiners. They work in panels of two that hear the inmates. An inmate as you indicated hypothetically is received in the prison system. We would hear him within 120 days. There are exceptions to that on a rare occasion. We send the panel of examiners to the institution. Of course, before going, 30 days before that, under the act, the inmate has an opportunity to review his file and get prepared for the hearing. He is entitled to a representative at that hearing, in addition to the case manager, his case manager from the prison, who will be at the hearing also.

The panel will review his case with him, give him an opportunity and his representative to comment. That summary will be transcribed and the recommendation of that panel will be given to the Parole Commissioner for that particular region.

The Parole Commissioner will adopt or change or otherwise reach a decision on the case. He will be notified within 21 days of that decision. If the prisoner disagrees or does not like the decision

and, of course, many of them do not, he has the right to appeal that decision back to the regional Commissioners, pointing out what he believes to be errors or incorrect assessments of his case.

Mr. KASTENMEIER. Could you go further than that? Pick out a sentence that he would be under specific and then suggest to us what presumptive date might be given in that case, and why. I mean so we can actually see what might occur.

Mr. McCALL. I am going to do that, Mr. Chairman. I will refer to the guidelines. Let's assume that an individual received an 8-year sentence. I will pick an offense out here for counterfeit currency or other medium of exchange. He received 8 years. He would go through the process I indicated before. We would review what we call the salient factor score, the matrix being on the left side of the severity of the crime, the severity of the behavior and on the right side, his risk characteristics, his prior record, his work records, whether he has filed on probation.

Assuming this particular case we are talking about had a very good risk factor, that is, if released the likelihood that he would violate and come back is very slim, the guidelines in that case would indicate a range of 24 to 36 months.

The Commission, as I indicated, may make a decision either below or above that on the record for good cause, written reason, provided there is no statutory ineligibility that would prohibit us from doing that.

Mr. KASTENMEIER. If he entered into the institution on July 1, 1979, after 120 days or before he is given, let's say, middle range of 30 months, 30 months from the date he entered the institution would be 1981, which would be December 31 or January 1, 1982, that would be a date he would be given; is that correct?

Mr. McCALL. Yes. In that particular instance we would be reviewing his record again within 2 years.

Mr. KASTENMEIER. And if his behavior is good and in the meantime he finds a job on the outside and so forth, you might reduce it further? Would you be able to reduce it further?

Mr. McCALL. No; not just because of his behavior being good. It is a presumption that his behavior is going to be good. That is included in the date given to him. We give on an interim review, at the statutory interim review, let's say of 2 years. We may advance it by a very small amount if there has been a sustained superior program effort of achievement on the part of the inmate. It is very small. I believe the maximum is 10 percent. So, on a 30-month case that you are talking about, he may get an advancement by 3 months.

Mr. KASTENMEIER. Are you able to monitor the performance of individuals subsequent to release to know whether your system is working. The risk factor tends to prove out statistically in terms of your collective judgment of the examiners?

Mr. McCALL. Yes. As you know, the supervision of releases is carried out by the U.S. probation officers.

Mr. KASTENMEIER. I realize, but they do report to you.

Mr. McCALL. Yes, sir. Dr. Hoffman, I believe, is indicating that our most current data would indicate 76 percent of those released in 1978 had favorable outcome—we did a study, Mr. Chairman—I

gave you the hypothetical case that you were giving me that he would be a very good risk. I believe that 89 percent of such cases have favorable outcomes. That is in fact predicted, to the point of 89 percent correct. Our prediction of an individual who is a very poor risk is accurate in that 54 percent of such cases are failures.

Mr. KASTENMEIER. Well, that is very promising indeed. I say that because there is a school of thought that does not reflect well on the national Parole Commission. Attempts to forecast behavior through the parole systems in the States and otherwise is such an imperfect social science that it is almost sheer guesswork, and that is why I am wondering whether, now that you probably are statistically better able to follow cases, whether you can suggest there is a reasonably high degree of predictability that does bear out in fact, and that it is far from guesswork.

Mr. McCALL. Yes. It has been adopted by the Probation Service to determine the length of the supervision period after release and I think the data would indicate as I have indicated to the committee, that the people that the Commission and the data indicate will be good risks turn out to be good risks. The people we indicate as poor risks, turn out in a preponderance of the cases to be poor risks. So I am convinced that the data that we have and the salient factor score is in fact a pretty good predictor of the risk factor.

Mr. KASTENMEIER. You were getting to research efforts when I interrupted you. I did want to develop that particular issue.

Mr. McCALL. All right.

During this period our research section has completed a number of studies, copies of which I would be happy to provide to the committee. From these analyses, the Commission has adopted criteria to govern the exercise of discretion under the provisions of the Parole Commission and Reorganization Act for early termination as I indicated of parole under supervision.

Other research efforts during this period have concerned themselves with the effects of the presumptive date plan; the improvement of the salient factor score used by the Commission to evaluate prisons' risk of recidivism; the issue of the application of guidelines to sentencing, and the relationship between sentencing and parole authority.

As time has permitted, the research staff has assisted other jurisdictions in the country in the development of parole guidelines. The States of Oregon, New York, and Florida have legislatively mandated parole decision guidelines systems based on the structure of the Parole Commission and Reorganization Act.

A number of other States where it was not necessary to have legislation have administratively developed or are developing parole guideline systems. The Judiciary Committee of the Nebraska Legislature is presently considering legislation to revise its parole system to incorporate the major features of the Parole Commission and Reorganization Act. Also, the Governor of the State of Maine has recently proposed legislation to restore a parole system to that State. Parole had been abolished in Maine in 1976. The legislation proposed would also incorporate the major provisions of the Parole Commission and Reorganization Act.

We expect our workload to remain about the same during the present fiscal year. We expect to conduct approximately 16,000 parole hearings and to make approximately 30,000 parole consideration decisions, including hearings, recent review and appeals. The move to the presumptive date plan has eliminated a number of unnecessary hearings. This has enabled us to concentrate on improving the quality of parole hearings. Although the Commission has been affected by the budget cuts, we believe we will have staff to carry out our required and mandated functions.

Before the Parole Commission and Reorganization Act it was not unusual for hearing examiners to conduct 20 hearings per day. Now our examiners average about 12 per day, which is not ideal by any means, but is certainly a considerable improvement. In addition, the Commission has been experimenting with several changes in the way information is processed in order to improve efficiency and provide more time for quality decisionmaking.

The Parole Commission and Reorganization Act is now close to 5 years old. In this time we have become aware of a number of relatively minor changes in legislation that, in our opinion, would serve to improve the parole process.

For example, these include the streamlining of the administrative appeals process; inclusion of a specific requirement that the sentencing court furnish the Parole Commission a complete presentence report in each case; provision of authority for the Parole Commission to petition the sentencing court for a reduction of the minimum sentence in exceptional cases; revision of the provisions concerning "forfeiture of street time credit" in cases of parole violation; and clarification of the provisions of the Magistrates Act concerning parole in short sentence cases.

We have previously discussed these suggestions with your staff and with the Subcommittee on Criminal Justice; and most have been included by that subcommittee last session in its proposed criminal code legislation.

We would be most pleased to provide your subcommittee with the specific modifications that we would recommend if your subcommittee would wish to consider acting upon these modifications separately from the larger criminal code revision effort.

During the past year the General Accounting Office has been conducting an audit of the Parole Commission. This audit should be reported by this summer. Perhaps their recommendations may be similar to some of the suggestions that I have made.

Finally, Mr. Chairman, I wish to thank you and Congressman Sawyer for the opportunity to appear before the subcommittee and make these general statements. I would be very pleased to respond to any questions that you might have.

Mr. KASTENMEIER. Thank you very much, Commissioner McCall. I have some other questions. I have already asked certain questions. So at this point I will yield to my colleague from Michigan, Mr. Sawyer.

Mr. SAWYER. Mr. McCall, as you probably know, I sat on the Criminal Justice Subcommittee last year and we had the benefit of some of your views then. But there are a couple of things. I practiced law for a long time in the court. I have never totally understood the parole system. But do you balance the severity of

the sentence given by the judges—let me pose an example—unarmed bank robbery can carry up to, as I recall it, 20 years if it is without a gun and up to 25 if it does. Let's assume that it does anyway, 20 years for bank robbery.

Suppose with relatively comparable backgrounds as far as prior convictions or other misbehaviors or whatever, one judge gives somebody 20 years for that maximum, another judge gives somebody 3 years and yet another judge gives somebody 10 years.

Now, when you fix their presumptive release date, do you just do it as based on a percentage of the sentence given, or do you do some adjusting based on the severity of the sentence or the lightness of the sentence, if you want to call it that, that was given?

In other words, assuming comparability or reason comparability in the same offense, with people where one that got 20 years, one that got 3 and one that got 10, would they all expect to get the same presumptive release date or would this be expressed as a percentage of the sentence actually given?

Mr. McCALL. They do hypothetically Congressman Sawyer, get the same release date provided the sentence permitted that.

Two years, for example, the case you just cited for bank robbery, we would continue his sentence to expiration in all probability. Obviously we are guided by the constraints of the sentence imposed by the court. If he imposes for bank robbery 18 months and our guidelines say 36 months minimum for that, then he will continue to expiration; assuming all things are equal, as you indicated. If he got 10 years, he would be eligible and our guidelines would reach him.

Does that answer it?

Mr. SAWYER. Let's take the 20 and 10 then, and let's say your guidelines are everything else being relatively equal, 30 months of time actually served. And assume they both arrived in the system at the same time. Would the guy with 20 years and a guy with 10 years each get approximately the same presumptive release date?

Mr. McCALL. Yes, assuming again that there was no other restriction on the sentence, no minimum in the eligibility portion of the sentence, and all things being equal, they could expect to serve the same length of time.

Mr. KASTENMEIER. Even though one got 20 and one got 10?

Mr. McCALL. Obviously they would have different exposures once released. If they violated in the 20 years, they would have longer to come back.

Mr. SAWYER. I presume now among trial lawyers, we get to know at least in our area the more severe sentencers and the ones who really chew the person out and then slap them on the wrist and the other smilingly will say 20 years. I presume that the Parole Commission gets to know who the real heavy sentencing judges and those who tend to be heavy sentencers and those who tend to be light sentencers are, it may have some impact on the judgment of the panel in the case.

Mr. McCALL. I am afraid I could not respond to that accurately, Congressman. I do not know that I ever noticed who this judge is personally when I am looking at a case. I do not unless there is some reason for me to become aware of who the court was. I do not ever look at whether it would be from the southern part of Texas



or the northern part of Michigan. I would not pay much attention to that. I would not think that the Commission would be very much aware of individual judges per se.

Mr. SAWYER. Once the person is released, does your panel or your Commission prescribe the conditions of the parole?

Mr. McCALL. Yes.

Mr. SAWYER. And those are set up and then handed over to the probation officer where the person was going?

Mr. McCALL. Yes.

Mr. SAWYER. Do those always extend for the full amount of the sentence, or is that reduced or ever reduced? In other words, the fellow is serving 10 years, and you release him or he has a sentence of 10 years and you release him at the end of, say, 30 months. Does he then have to continue under the probation order for the full remainder of the 10 years, or do you change that, too?

Mr. McCALL. I believe I am correct that when he enters the prison, his time is projected for his mandatory release, assuming that he does not forfeit his good time and so forth and on a 10-year sentence, I am guessing, but I would say that he probably would serve if we did not parole him, approximately 7 years, somewhere in that neighborhood. That becomes his mandatory release date, his exposure date.

Mr. SAWYER. It would not be 7 years on a 10 year? It would be more like 3½ or 4.

Mr. McCALL. I am sorry. What was the point?

Mr. SAWYER. I would say on a 10-year sentence, would it not be more like 3½ or 4 before he is released?

Mr. McCALL. If he is not paroled?

Mr. SAWYER. No. I mean, if he is paroled and if he gets his normal amount of good time and all that sort of thing.

Mr. McCALL. On a 10-year sentence if as you indicated assuming that he were not paroled in 30 months, he would serve approximately, I think, about 7 years. If he is out on parole, and he behaves himself, the statute provides for an early termination hearing after I believe 2 years.

Mr. HOFFMAN. The statute permits termination of supervision after 2 years and the statute requires that the Parole Commission shall terminate jurisdiction after 5 years unless the individual has fouled up while on parole.

So in your case, where the individual is released after 30 months on a 120 months, 10-year sentence, his maximum exposure to supervision would be 90 months, but termination would normally be no later than 5 years, no later than 60 months. The Parole Commission would conduct a review and if the individual had behaved he would be terminated at that time. Research has demonstrated that if you have an individual who is doing 5 years clean, the likelihood of violation after that time is negligible.

The Parole Commission Act also requires that once the individual has been out 2 years clean, the Parole Commission review it, and the Parole Commission at that time has discretion if the individual has done real well could terminate it earlier. So it is permissive after 2, but it is mandatory after 5 unless the individual has violated the conditions of parole.

Mr. SAWYER. So if I committed an unarmed bank robbery, it would not really make any difference in either the time I actually served or the time I remained under supervision, everything being equal, whether I had gotten 20 years for it or 10 years for it. Am I correct?

Mr. McCALL. I suppose it would be significant if you should in fact violate it.

Mr. SAWYER. Yes. Assuming I did not, whether the judge said 20 years or 10 years, it would all come out the same as far as the time.

Mr. McCALL. He could be terminated after 2 and possibly by 5, of course.

Mr. SAWYER. Are you always able to meet this tentative or presumptive release date assuming a guy does not—let's say he is going to get out on April 1, 1982. Can he rely on the fact that come April, assuming he behaves himself, come April 1 he is actually released and they do not snarl up the paperwork and so on? So maybe it is May 1 before he gets out. Can he rely on everything being done that has to be done processingwise so that he is out on that date?

Mr. McCALL. He can. He can, assuming, and I was looking for the specific data here to tell you, if I can locate it, how often that does occur. He can do that unless there has been some serious problem in the institution.

Mr. SAWYER. I am assuming he has not done anything. He can rely on April 1, 1982, he is going to actually be out.

Mr. McCALL. Yes, sir.

Mr. SAWYER. Nobody is going to come around and say, "Well, we have got to process more things and it will be May 15," or something like that?

Mr. McCALL. No; you are talking about the average case. But obviously there are exceptions. We process those cases in advance of April 1, to get it prepared, get the certificate from the prison and the probation officer has to verify where he is going to live and work and so forth. Oftentimes, in some rare instances, where he indicates he is going to live is not possible for him to live there and we develop some release problems. But those are exceptions rather than the rule.

Mr. SAWYER. I presume that if somebody is let out on their presumptive date and they plan to live in Grand Rapids, Mich., and that is where the western district commission is, where he is supposed to report, if he should suddenly find he could get a job in Tucson, Ariz., I presume that is transferrable then. In the normal case you would transfer it down to an Arizona probation officer.

Mr. McCALL. Yes. He would make that request of the probation officer who would go through the same process in Arizona to have the probation office there to check it out to see if it is all right and acceptable for transfer.

Mr. SAWYER. Thank you very much.

That is all I have, Mr. Chairman.

Mr. KASTENMEIER. After 5 years, you feel that the Parole Commission and Reorganization Act is working, after 5-years experience? Is it meeting our goals of reducing disparity, providing certainty, and developing fair features?

Mr. McCALL. I can answer that absolutely, yes, Mr. Chairman. I believe that the overriding intent of the act was in fact to bring certainty to the release of the inmate to the decision of that release and to reduce unwarranted disparity in those release decisions, and I have no reservation at all about the fact that we are accomplishing that, yes, sir.

Mr. KASTENMEIER. You are aware of the bill that Mr. Sawyer and the chairman of the subcommittee, Mr. Drinan, produced late last year insofar as it affected sentencing and guidelines for judges to follow at times of sentencing insofar as it affects your institution. Do you support that bill or do you not support it? If so, in what particulars?

Mr. McCALL. Yes, we did support the House bill.

Mr. KASTENMEIER. The final version?

Mr. McCALL. Yes, sir.

Mr. KASTENMEIER. Without reservation?

Mr. McCALL. I suppose one has reservations when they are trying the unknown. I have some reservation of course. The bill called for the creation of some sentencing guidelines. I think they are sorely needed. We have I guess between 500 and 550 Federal judges and they are not like anybody else. They are very different people. I have great concern myself about what I believe to be the greatest disparity and that is in trying to determine who should go to prison and who should not. We oftentimes forget that particular and very crucial group that do not come into prison and why they do not come to prison—and worry only about those 25 percent of convicted individuals, who this agency for example deals with. We very seldom get into any guidelines or direction of guidance for the other 75 percent.

I would hope that close attention would be paid to this in the future subcommittee hearings.

Mr. KASTENMEIER. Speaking of guidelines, you devoted part of your presentation to guidelines, as implemented by the various States and in addition to that, took great interest in developing these guidelines. You indicated at least one State to me had restored the parole system in the State.

My question is: To what do you attribute the return to parole by the State of Maine and possibly other State systems?

Mr. McCALL. I think that the Governor has proposed it to be restored in Maine, Mr. Chairman. I suspect that it is, as Mr. Carlson testified, severe overcrowding in the State systems, the difficulty that those States have incurred such as New Mexico, where they have diminished the role of the opportunity for a second look at people. I suspect those are factors that are at play in the effort to restore parole.

Mr. KASTENMEIER. Is that a very good reason? Would you consider that a good reason in the Federal system? If we had overcrowding then you should be much more active in turning them over and getting them out on release. Do you figure this would be a good reason?

Mr. McCALL. That is one good reason, yes. I think there are several. I think that the opportunity, particularly on long-term sentence offenders that we simply do not give the impression that we have given up. We may have in some instances, but I think that

the opportunity to at least take a second look and consider changes that may have occurred, events that may have happened since the sentence was imposed 10 or 15 years ago, we ought not to lose that opportunity.

Mr. KASTENMEIER. That would apply in any event. I do not know if you understood my question. My question is the Federal system. Would you consider the fact that statistically the prison population may at one point or another be high. There may be an administrative problem of overcrowding. Would that constitute adequate reason for the Parole Commission to accelerate or to lower standards in terms of moving people out of the institution onto the street because of the administrative problem of overcrowding? It is true that in some State systems that may have led to the reinstatement of parole, but from the Federal standpoint, irrespective of the personal evaluation you are making, is it a good idea to phase people out of institutions because of overcrowding in terms of your function in the parole?

Mr. McCALL. Well, I think that that is almost a philosophical question, Mr. Chairman. I don't know that parole ought to be just simply used to reduce prison overcrowding.

But, at the same time, I think that if you, in fact, have those kinds of problems and you have an agency in place, in existence, you certainly are able to address them. I am aware that the Congress, for example, has on occasion changed its mind with regard to the penalties, I believe making some under the past Narcotics Act nonparolable. We had them stacked up and they began to build.

Then the law was modified to make them parolable. I think as long as you have an agency in place and the opportunity to do that, yes, it would make sense.

I am not so sure an agency ought to simply be used—I am not sure that is addressing the problem—that we simply turn them out because they are in fact crowded.

Mr. KASTENMEIER. I would agree with the conclusion that I think you would diminish your own role by being used as an institutional outlet. That is not the sort of judgment that you should make. Those are other problems for other people. They should address themselves to that.

My question is, in the last 4 or 5 years, has there been any institutional intervention as far as policy in terms of the independence of our decisionmaking in the Parole Commission? Has the Attorney General or others attempted to influence policies that you carry out pursuant to statute?

Mr. McCALL. No, I don't believe that has occurred, Mr. Chairman. This Commission, as you indicated, testified before a committee, Congressman Sawyer's committee, taking a position directly opposite of that of the Attorney General and the Justice Department. I felt perfectly free to take that position. If I hadn't, I would have resigned.

Mr. KASTENMEIER. Put another way, Mr. Carlson testified that prison population had receded rather quickly over 2 or 3 years from about 30,000-plus inmates to about the 24,000 level again. It has been going down.

Does your Commission play any particular role in the level of prison population other than the case-by-case review on other grounds, on statutory grounds?

Mr. McCALL. I think so. The number of inmates being paroled is, in fact, up over the last 2 or 3 years. I think there are many factors for that and it does, in fact, impact directly upon the institutional population of Mr. Carlson's.

His comments regarding the emphasis by the Department of Justice on white collar offenders also impact, I think, also upon the number of paroles. White collar offenders tend to be good risks. Almost all of them have—under our salient factor score, have an 11, indicating they are an excellent risk.

Most of them are first offenders. That would impact. I suspect the most significant cause for our granting more paroles, however, had to do with the Commission's somewhat major effort at revision of the guidelines in 1979 in which we increased the severity for some offenses and lowered the severity for the guideline range for some of the other offenses. Increasing it for the large scale drug distributors, for example, and decreasing it for individuals caught with small amounts or possession of small amounts of drugs.

Mr. KASTENMEIER. That leads to maybe my last question.

That is special offenders. I am not certain that that is a discrete category any longer either with respect to the Bureau of Prisons or the Parole Commission, but at least in the immediate past there has been a category of incarcerated person denominated special offender. That person may be well known or may be notorious or may be a viable member of organized crime. Are such people still identified and do you have a policy with respect to such special offenders?

Mr. McCALL. Yes, sir, called original jurisdiction cases. They are handled like any case very much except that the case is decided by three members, and the appeal—at least three—and the appeal on a case, the next step of appeal is to the full Commission rather than to the National Appeals Board, which consists of three members.

Mr. KASTENMEIER. I have no particular opinion about this.

As I say, I am curious. I recognize—at least Congress did in the Organized Crime Control Act—that organized crime, usually those figures are not subject to rehabilitation, just by the nature of their lives and their commitment. Therefore, there is not much to be gained by early parole of such persons, as a general rule, so it is thought.

Do you ever get any tests as to whether—talking about constitutional grounds or otherwise, legal tests—as to whether you should or should not handle people differently than other people? That you should make them a—I don't know the term you use.

Mr. McCALL. Original jurisdiction.

Mr. KASTENMEIER. Do you not run into some problems with respect to their constitutional rights to being treated like anybody else?

Mr. McCALL. No. I will let Mr. Barry respond to that as far as any—if he knows of any litigation. I am not currently aware of any litigation. Occasionally an inmate may object to the designation—

Mr. KASTENMEIER. I am just wondering whether that whole idea would be challengeable. I don't know.

Mr. McCALL. He does have one right, as a matter of fact, that perhaps the other inmates may not have. At the full Commission hearing, he has a right of counsel on that appeal before the full Commission, and on the appeal at the original level before the Commissioner, he would not be afforded that.

I might point out that we only had, in 1980, 219 such designations; 112 of those appealed. So it is not a large number.

Are you aware of any, Mr. Barry, constitutional litigation?

Mr. BARRY. Some years back, Mr. Chairman, there had been some challenges to treating people differently, as they said. The courts upheld the system as built by the statute as being fundamentally fair and affording due process.

One thing I noted, that the term "special offenders"—as you know, special and dangerous offenders get more heavily sentenced. That is one way of using the term.

Then it is used again, I think, by the Bureau of Prisons. I think they characterize certain people as special offenders for custody purposes to keep them away from others, with protection, and so forth.

I think you were interested in what the chairman was referring to as the original jurisdiction cases as set forth.

Mr. KASTENMEIER. Yes. That is what it would probably be.

Those are not only organized crime, but those are notorious—that is well known case offenders, notorious in some other respect?

Mr. BARRY. Yes.

Mr. KASTENMEIER. Is there a particular way to determine original jurisdiction cases? Do you have statutory guidelines?

Mr. McCALL. Yes. We have a rule. The panel applies a criteria that they—whether the individual meets the criteria of this rule which is 2.17. If he does, they make that indication to the Commissioner that they believe that he should be referred to as an original jurisdiction case.

The Commissioner may, in fact, follow through with that recommendation.

The rule itself is a very brief rule. The following criteria will be used in designating cases as original jurisdiction cases. One, prisoners who have committed serious crimes against the security of the Nation, for example, espionage or aggravated subversive activity, prisoners whose offense behavior number one involved an unusual degree of sophistication or planning or, two, as part of a large scale criminal conspiracy or a continuing criminal enterprise, and, three, prisoners who have received national or unusual attention because of the nature of the crime, arrest, trial, prisoner's status, or because of the community's status of the offender or his victim.

And also prisoners who are sentenced to terms greater than 45 years or more.

Mr. KASTENMEIER. And prisoners sentenced to terms of 45 years or more?

Mr. McCALL. Yes, sir.

Mr. KASTENMEIER. Let me ask you whether the Commission as individuals or collectively are subject to any sort of political pressure or intervention by others in some unseemly fashion on behalf

of any of the people in the original jurisdiction class?

Mr. McCALL. Well, these people, as I have indicated, oftentimes are nationally known. Consequently—I don't know that the contact or the effort to seek their release is necessarily different.

It is just in greater volume. I am not aware of any overt pressure or anything of that sort. Maybe we are just so—the Commissioners who have been doing this for a long time are so tough-skinned about it that they don't—

Mr. KASTENMEIER. You have been in corrections a long time, Mr. McCall, either on the State or Federal level and you know that there probably have been incidents of that sort, at least in the State systems, if not in the Federal system currently.

As far as you know in the Federal system currently there are no notorious cases of political intervention on behalf of some of these inmates under original jurisdiction.

Mr. McCALL. I can answer for myself. I know personally that I don't feel under any unusual pressure about any particular case.

Mr. KASTENMEIER. Well, if you in your own behalf or the Commission's behalf have no complaint on that score, we are certainly relieved.

I have no other questions.

If no one else does, I assume during the course of the 97th Congress we will want to have you back whether or not you are again called to testify before the Committee on the revision of the Federal Criminal Code and the Criminal Justice Subcommittee or our own. We will undoubtedly want to look at some statutory changes in the months ahead.

We appreciate your testimony here today and in the past.

Mr. McCALL. Thank you, Mr. Chairman. I look forward to working with any effort at sentencing and parole revision.

Mr. KASTENMEIER. Thank you, Mr. Commissioner.

Thank you, Mr. Sawyer.

That concludes the hearings today. We appreciate the testimony. We will therefore adjourn.

[Whereupon, at 12:10 p.m., the subcommittee adjourned, subject to the call of the Chair.]

## APPENDIX

FEDERAL BUREAU OF PRISONS, FEBRUARY 26, 1981

1. Locations of Bureau of Prisons and Institutions and Community Treatment Centers.
2. Federal Prison System—Chart.
3. Federal Correctional System—Map.
4. Federal Prison System—Long Range Plan 1981-85.



**LOCATIONS OF BUREAU OF PRISONS INSTITUTIONS  
AND  
COMMUNITY TREATMENT CENTERS**

**U.S. PENITENTIARIES**

Atlanta, Georgia  
Leavenworth, Kansas  
Lewisburg, Pennsylvania  
Marion, Illinois  
McNeil Island, Washington  
Terre Haute, Indiana

**FEDERAL CORRECTIONAL INSTITUTIONS**

Alderson, West Virginia  
Ashland, Kentucky  
Bastrop, Texas  
Butner, North Carolina  
Danbury, Connecticut  
El Reno, Oklahoma  
Englewood, Colorado  
Fort Worth, Texas  
La Tuna, Texas  
Lexington, Kentucky  
Lompoc, California  
Memphis, Tennessee  
Miami, Florida  
Milan, Michigan  
Morgantown, West Virginia  
Otisville, New York  
Oxford, Wisconsin  
Petersburg, Virginia  
Pleasanton, California  
Ray Brook, New York  
Sandstone, Minnesota  
Seagoville, Texas  
Talladega, Alabama  
Tallahassee, Florida  
Terminal Island, California  
Texarkana, Texas

**FEDERAL PRISON CAMPS**

Allenwood, Montgomery, Pennsylvania

Big Spring, Texas  
Boron, California  
Eglin Air Force Base, Eglin, Florida  
Maxwell Air Force Base, Montgomery, Alabama  
Safford, Arizona

**FEDERAL DETENTION CENTER**

Florence, Arizona

**MEDICAL CENTER**

Springfield, Missouri

**METROPOLITAN CORRECTIONAL CENTERS**

Chicago, Illinois  
New York, New York  
San Diego, California

**COMMUNITY TREATMENT CENTERS**

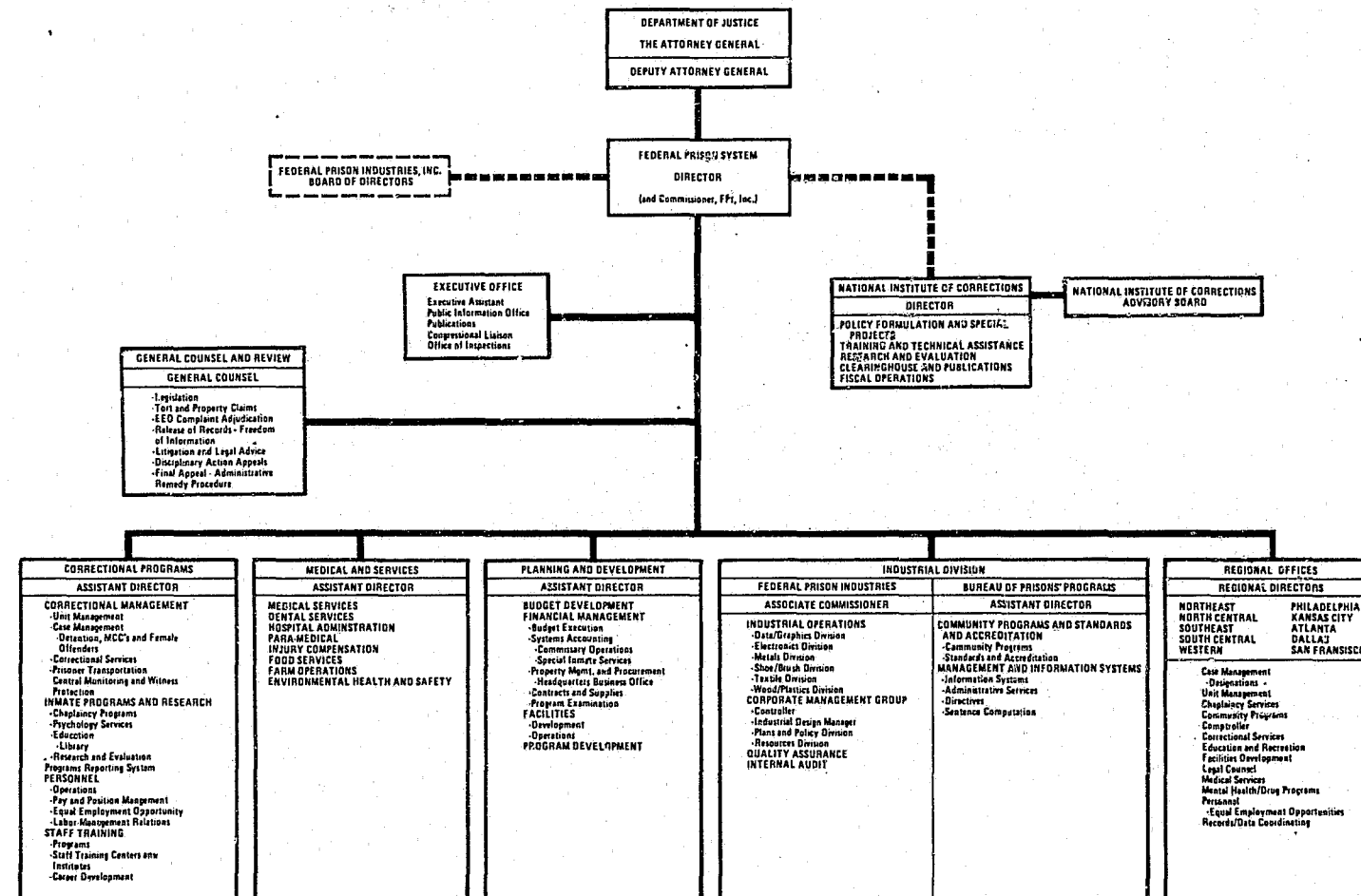
Chicago, Illinois  
Dallas, Texas  
Detroit, Michigan  
Houston, Texas  
Kansas City, Missouri  
Long Beach, California  
New York, New York  
Oakland, California  
Phoenix, Arizona

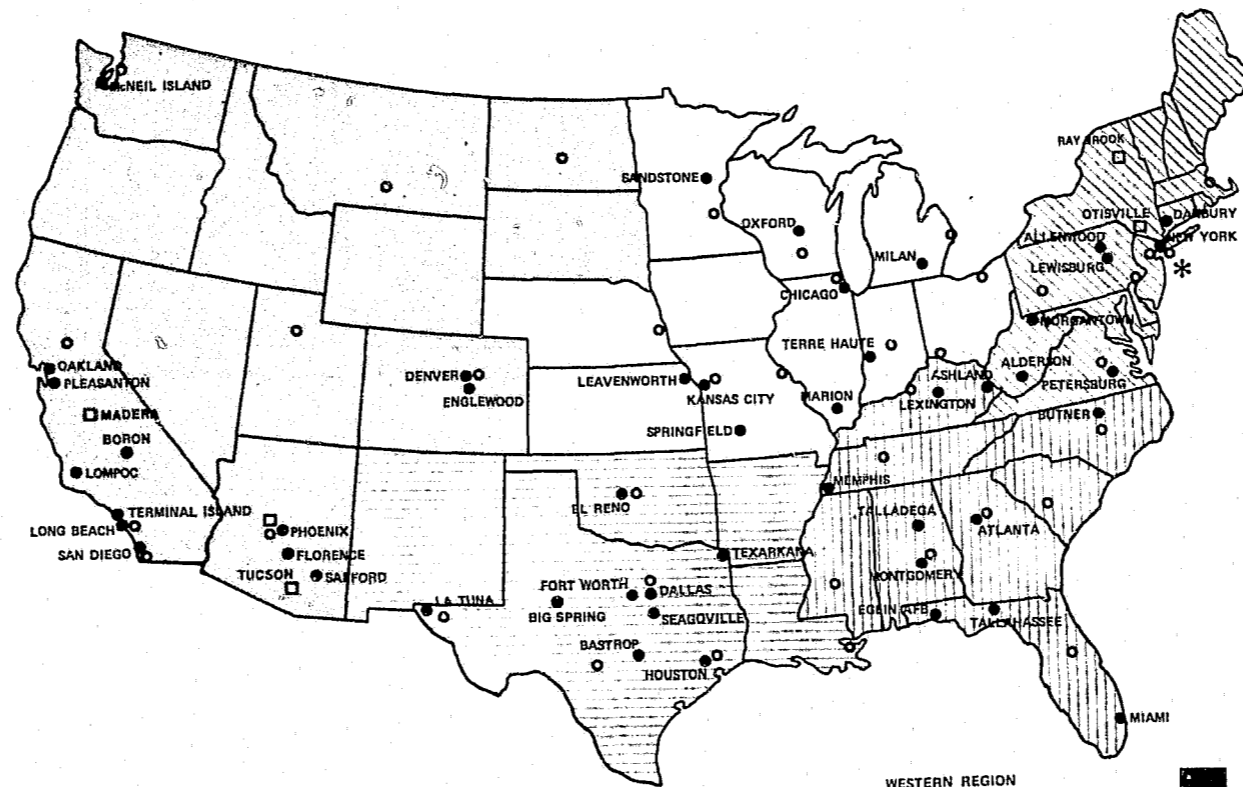
**STAFF TRAINING CENTERS**

Atlanta, Georgia  
Dallas, Texas  
Denver, Colorado  
Oxford, Wisconsin  
(Food Service Training)



# FEDERAL PRISON SYSTEM





### Federal Correctional System

\*A camp is planned for the Northeast Region

- WESTERN REGION  
Burlingame, California
- NORTH CENTRAL REGION  
Kansas City, Missouri
- SOUTH CENTRAL REGION  
Dallas, Texas
- SOUTHEAST REGION  
Atlanta, Georgia
- NORTHEAST REGION  
Philadelphia, Pennsylvania
- FEDERAL PRISON SYSTEM FACILITIES ●
- COMMUNITY PROGRAMS OFFICES ○
- FACILITIES UNDER CONSTRUCTION □



Long  
Range  
Plan

1981  
-  
1985

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## INTRODUCTION

Bureau of Prisons' staff have been involved in a variety of planning efforts over the years including institution master planning, Management By Objectives, Zero Based Budgeting, the Five-Year Plan, and various program area plans. Each of these planning efforts has contributed to overall Federal Prison System development.

As a means of further improving and integrating Federal Prison System functions at all levels of the organization the current long-range planning process was developed. Through this process the planning, budgeting, allocating, and evaluating of the Bureau will be integrated. Planning goals and objectives will be used as budget initiatives which in turn will be used to identify priorities for allocation of resources. Through bi-annual progress reports the Bureau's movement toward the attainment of goals and objectives will be measured. The proper implementation and operation of an integrated planning, budgeting, allocating, and evaluating process should provide for the continued effective and efficient management of the Federal Prison System.

The Long-Range Plan will include four phases each with a specific target date for completion: 1) philosophy and mission, and major system-wide goals with a target completion date of June 1980, 2) Central Office Program Goals (the Five-Year Plan) with a target completion date of July 1980, 3) Regional Office Plans with a target completion date of November 1980, and 4) facility implementation strategies with a target completion

date of January 1981. Each of the phases will be monitored by central and regional office planning committees and the Executive Staff to ensure that all aspects of the Plan contribute to overall organizational goals.

The complete four phases of the Long-Range Plan will define the specific plans of each organizational level within the Federal Prison System, and the relationship of each organizational level plan of the System. The overall Plan will represent the efforts of personnel from the Office of the Director and his Executive Staff to the staff of the smallest institution.

The Plan will also represent the organization's commitment to progress through annual revisions and periodic reports of progress towards established goals. In this way the Long-Range Plan will provide key personnel with a progress checklist and permit self-correction. It also serves as a means for all levels of the organization to participate in the overall management of the Bureau of Prisons.

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PLANNING PROCESS

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MANAGEMENT

Entire planning process is managed by permanent planning committees at institutional, regional and central office levels. The planning process will be a continuous one, to be reviewed and revised at specified intervals.

PHASE I

The Bureau's Long-Range Plan on philosophy and mission, system-wide goals, and program goals is developed by the central office planning committee with final approval by the Executive Staff. Target date for completion is June 1980.

PHASE II

Central Office program managers develop Program Goals using the Philosophy and Mission, and Major Systemwide Goals in the Long-Range Plan as guidance. They seek the advice and counsel of Regional Directors and their regional program managers in the development of the program plan for each functional area. Central Office program managers are required to demonstrate linkage between their goals and the Bureau's systemwide goals. Target date for completion is July 1980.

PHASE III

Regions develop their own planning program (permanent planning committee)

using Bureau Long-Range Plan as guidance. Regions are required to demonstrate linkage between their regional plans and Bureau Long-Range Plan. Responsibility for monitoring regional plans is in the office of the Director (permanent planning committee). Target date for completion of Regional Plan is November 1980.

Regions are required to develop a written plan that addresses the goals, objectives, and milestones enumerated in the long-range plan. In some cases, the goals will not be applicable to regional or local levels but rather will be addressed by the Central Office program managers. If there are any questions in reference to the applicability of any goal, Central Office program managers should be contacted. The general format for the Regional plan and progress report is included in Appendix A of this long-range plan.

Within the Regional plan will be the instructions for development of the institutions implementation strategy. The general format and process the institutions must follow will be left to the discretion of the region, however, each institution must:

- ° Prepare a written implementation strategy. This strategy should have action steps identified that are linked to goals and address each of the objectives and milestones. Dates for completion should be identified.
- ° Submit a 6 month (July 1, 1981) and 1 year (January 1, 1982) progress report to the Regional office. The Region in turn

will consolidate the institutional reports into Regional progress reports and submit them to the Director by August 1, 1981 and February 1, 1982.

- ° In the July 1, 1981 progress report, institutions will submit suggested goals for inclusion in the next year's long-range plan. Regions will consolidate these recommendations along with their own and submit it with the August 1, 1981 progress report.

#### PHASE IV

Each facility develops an implementation strategy (permanent planning committee) in accord with the regional and central office guidelines. The acceptability of the institutional implementation strategy will be assessed by the regional office permanent planning committee. Institutions will be required to meet the goals and objectives they establish in their annual plan. Progress in fulfilling Bureau and regional goals will be assessed during annual program reviews, institutional audits and bi-annual progress reports. Target date for completion and submission to the regions of implementation strategy is January 1981. Completion of written implementation strategy plans will be monitored by the regions. Regions will submit on January 1, 1981, to the Central Office, a status report of the institutions implementation strategies, i.e., are the written strategies completed.

Central Office program managers will submit progress reports on the same due dates as the Regions. These reports will address progress toward those goals and objectives requiring central office action.

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 PHILOSOPHY & MISSION
 

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The correctional philosophy of the Federal Prison System emphasizes a balanced combination of the concepts of deterrence, incapacitation, rehabilitation, and retribution. Consistent with this philosophy, the mission is to carry out the judgements of the Federal Courts and provide safe, secure, and humane environments in which individuals are offered the opportunity for positive change. Within this framework, the Federal Prison System, in collaboration with the National Institute of Corrections, provides assistance to state and local correctional agencies.

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 MAJOR SYSTEMWIDE GOALS
 

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- A. By 1985 have all Federal Prison System facilities meet Department of Justice Standards and be fully accredited by the American Correctional Association.

Discussion: Provides outside evaluation, and should serve to improve overall operation. Emphasis will be on providing 24 hour medical coverage, extending training programs, and improving existing facilities. At facilities where inmate housing has to be altered to meet standards, institutions in excess of 500 physical capacity will not build on-site replacement capacity.

- B. Explore the feasibility of regionalization for Federal Prison Industries.

Discussion: A study should be conducted to see if regionalization will increase management efficiency and effectiveness.

- C. Improve management information systems so that they are more responsive and relevant to the needs of the Federal Prison System.

Discussion: Valid, reliable, and timely information is the basis for sound management decisions and aids in program review. As examples of what could be done: teach staff what data is available and how to use it; provide annual reviews of data needs; screen reporting systems to eliminate duplication of reporting.

- D. Develop equitable and objective methods for the allocation of resources based on specific criteria.

Discussion: Provide for distribution of resources based on empirically established criteria in order to more efficiently meet management needs. For example, staffing guidelines and formulas for allocation of funds could be developed.

- E. Establish innovative programs within the Federal Prison Industries designed to approximate working conditions found in private industry.

Discussion: A program could be established that incorporates pay, benefits, bonuses, health care, etc., that are similar to

those found in private industry. Room and board costs could also be a consideration.

- F. In accordance with sound correctional practices inmates will be assigned as close to home as possible.

Discussion: Each region should expand their range of programs and services so that all inmates can be assigned as close to home as possible.

- G. Increase the variety of specialized units and further improve on unit management standards.

Discussion: Should enhance the safety and humaneness of institutions, permit more attention to specialized program needs, and improve management of unit resources.

- H. Increase staff professionalism through training.

Discussion: Improved staff training should result in better delivery of services, and aid individuals in their career development. Training emphasis for the forthcoming years should include management training, orientation training for volunteers and contract personnel, professional ethics training, improved institutional familiarization training, training for Federal Prison Industries, and specialized training for particular needs as they arise.

- I. Improve the quality of staff at all levels through improved recruitment, selection, promotion, and retention programs.

Discussion: The Bureau needs to emphasize the value of working for the system, to select only those candidates who are best qualified, to promote those with the management skills necessary for their work, and to retain those who continue to perform well in their present positions.

- J. Increase the Bureau's employment and promotional opportunities for minorities and females.

Discussion: Employees should be representative of the inmate population. During the forthcoming years the Bureau will attempt to maintain a hiring level of 33 percent for minorities and a promotion level of 25 percent.

- K. Reduce the rate of assaults.

Discussion: To have safe, secure, and humane institutions we need to reduce the number of assaults. To achieve this goal research will have to be conducted to identify such factors as causes, time and location of assaults. From this, programs designed to reduce the opportunity for and desire to commit assaults should be developed.

- L. For all inmates, provide individualized housing (includes cells, rooms, and cubicles).

Discussion: As indicated by recent research, individualized housing improves safety and security of the institution and may enhance inmate morale.

- M. Increase the number of inmate contacts with members of the community.

Discussion: Increase in community involvement brings in skills not presently within the institution. For example, apprenticeship councils aid in program development. This will also help to educate the public more accurately about prisons.

- N. All offenders released to the community (except those prohibited by policy constraints) will participate in CTC programs.

Discussion: Since all these offenders will be released eventually, it is appropriate to provide them with assistance in establishing themselves in the community. Prisoners with a history of violence will be reviewed on a case-by-case basis; offenders who desire not to participate in a CTC program may choose to do so.

- O. Institutions shall continue to develop new and innovative programs and projects toward the goal of creating a normalized and humane environment.

Discussion: The Bureau will continue to improve the quality of inmate housing, recreational areas, and other programs--keeping in mind the need to strike a balance between the concepts of deterrence, incapacitation, rehabilitation, and retribution.



## PROGRAM GOALS

ADMINISTRATIVE SYSTEMS MANAGEMENT

GOAL 1: Implement Administrative Systems Management in all institutions in order to better utilize staff and more efficiently perform the functions associated with the Mail Room, Receiving and Discharge, Records Office, and Data Coordination.  
J,H  
Objectives and Milestones: Implement ASM in all institutions.  
 1. Approve plans for conversion by 10/80.  
 2. Have ASM fully implemented by 12/80.

Objectives and Milestones: Provide training and guidance for ASM activities.  
 1. Conduct initial training program by 2/81.  
 2. Develop audit guidelines by 5/81.  
 3. Conduct annual training course.

GOAL 2: Improve BoP Information Management policies and procedures.  
C  
Objectives and Milestones: Improve the new Directives Management System.  
 1. Preserve the Manual Bulletins and other old policy issues in the National Archives by 11/80.  
 2. Issue standards on format and writing for directives by 1/81.

Objectives and Milestones: Develop and implement a new Forms Management System.  
 1. Centralize funding; revise Forms Management Directives by 10/80.  
 2. Revise control numbering system by 7/81.  
 3. Complete a functional and procedural analysis of all BoP forms by 12/81.

ADP AND TELECOMMUNICATIONS

GOAL 1: Complete the implementation of a nationwide, on-line data telecommunications network for the BoP.  
C  
Objectives and Milestones: Install one terminal at each BoP facility by 12/80.

Objectives and Milestones: Install complete terminal clusters in all institutions by 12/82.

GOAL 2: Complete the design and implementation of additional SENTRY modules.  
C,K  
 \*  
Objectives and Milestones:  
 1. Implement release phase of Sentence Monitoring by 6/81.  
 2. Eliminate duplicate BP-1, -2, & -3 reporting by 6/81.  
 3. Implement CMC by 3/81.

GOAL 3: Implement the accountability phase of Personal Property Management.  
C  
Objectives and Milestones:  
 1. Complete analysis, design and programming by 12/80.  
 2. Implement Seagoville as pilot site by 4/81.  
 3. Implement all institutions by 9/81.

GOAL 4: Provide ADP support to the Financial Management section effort to automate Commissary accounting functions through the use of contractors.  
C  
Objectives and Milestones:  
 1. Award of contract by 12/80.  
 2. Monitor contractor's ADP effort. 1 - 5/81  
 3. Assist in implementation. 6/81

GOAL 5: Install a Project Management System to better monitor and control ADP development activities.  
C  
Objectives and Milestones:  
 1. Evaluate Resource Management Systems by 7/80.  
 2. Determine agency needs by 8/80.  
 3. Select vendor by 12/80.  
 4. Implement system by 6/81.

CHAPLAINCY SERVICES

GOAL 1: Increase the number of minority staff and minority contract chaplains.

I,J  
Objectives and Milestones: Recruit and hire minority chaplaincy personnel to 33% staff and 60% contractual.  
 1. Increase levels of minority chaplaincy staff:

	Current	10/81	10/82	10/83	10/84	10/85
Staff	19%	22%	24%	27%	30%	33%
Contract	43%	45%	50%	54%	56%	60%

GOAL 2: Increase inmate/family religious program options in all facilities for the purpose of strengthening familial relationships: emphasis is to be on such topics as husband/wife relationships, parent/children relationships, marriage preparation, etc.  
M,O

Objectives and Milestones: Develop new programs until such programming increases by 5% in the BoP.

Current	10/81	10/82	10/83	10/84	10/85
5%	4%	7%	8%	9%	10%

- GOAL 3: H Develop and hold a national conference for Federal Prison System chaplains for the purpose of facilitating interaction of staff who minister in similar settings: e.g., USP's, FCI's, MCC's, FPC's, Male/Female, etc. Prominent speakers will be recruited to address the issues of ministry to minorities, the issues concerning the beliefs and practices of Islamic, Native American and Jewish prisoners.  
Objectives and Milestones: Develop and hold a national chaplaincy conference prior to 6/82.
- GOAL 4: H Develop and present a training conference for new chaplains annually, for the purpose of implementing the training given in the Staff Training Centers for all new employees. Chaplains are recruited from community clergy and enter on duty as Department Heads. They are deficient in the dynamics of the specialized ministry that is offered within the constraints of confinement.  
Objectives and Milestones: Present training packages for new chaplains by June of each planning year.
- GOAL 5: M,O Implement the American Indian Religious Freedom Act (P.L. 95-314) within the BoP.  
Objectives and Milestones: Achieve full compliance with the law.  
1. Amend Program Statement 5360.4 on Religious Beliefs and Practices of Committed Offenders to include specific Native American religious concerns by 10/81.  
2. Identify, establish and continue liaison with representatives of the national Native American religious organizations by 1/81.
- JAL 6: J,H Increase BoP personnel appreciation and respect for the extensive religious diversity among committed offenders.  
Objectives and Milestones: Provide religious group familiarization training to BoP personnel.  
1. Design a one hour training package entitled "Religious Group Familiarization" for use by the STCs in the Introduction to Correctional Techniques classes by 10/81.
- GOAL 7: A,D Develop a uniform procedure for identifying the religious personnel needs of committed offenders (ACA Religious Standard 4432).

Objectives and Milestones: Comply with ACA Religious Standard 4432.

1. Design an instrument to be used at A&O to determine the religious preferences and needs of newly committed offenders by 10/81.
2. Implement within the A&O process the use of religious preference/needs survey by 10/82.

- GOAL 8: A,C,D Extend and improve program evaluation efforts.  
Objectives and Milestones: Develop an internal evaluation procedure:  
1. Design instrument to measure/evaluate inmate participation in Chaplaincy sponsored programs by 10/81.  
2. Implement evaluation procedure for measuring inmate participation in Chaplaincy programming by 10/82.
- GOAL 9: A,M,O Increase community based religious volunteer participation in Chaplaincy sponsored programs.  
Objectives and Milestones: Identify, recruit, train and involve community based religious volunteers in Chaplaincy programs until such participation increases by 5%.  
Number of 

Current	10/81	10/82	10/83	10/84	10/85	
Volunteers.	4400	4500	4550	4650	4750	4840
- GOAL 10: A,D,I,M Develop an objective and equitable method for the allocation of Chaplaincy Services resources.  
Objectives and Milestones: Develop objective criteria for the allocation of staff Chaplaincy personnel and for the funding of contract Chaplaincy personnel and religious program needs:  
1. Develop objective criteria by 10/81.  
2. Implement allocation procedure by 10/82.
- GOAL 11: A,D,I,M Provide staff chaplaincy personnel at a level that allows adequate administration of religious programs.  
Objectives and Milestones: Increase existing level of staff chaplaincy personnel.  
1. Provide a minimum of one staff chaplaincy person in each FCI USP, MCC and FPC by 10/81.  
2. Increase level of staff chaplaincy complement in all institutions where it is inadequate to meet needs of multi-religious faith groups represented within the inmate population by 10/85.

#### COMMUNITY PROGRAMS

- GOAL 1: C,N Improve management information systems for Community programs.  
Objectives and Milestones: Revise Contract Service Population

System (COSPOS), Inmate Information System (IIS) and Inmate Program Reporting System (IPRS) to articulate (1) Community Treatment Center (CTC) referral information related to inmate need for CTC program participation and (2) "in-program" performance by inmates in CTC programs.

1. Write system design for revision by 10/81.
2. Implement 50% of revisions by 10/82.
3. Implement 100% of revisions by 10/83.
4. Evaluate program by 10/84.

Objectives and Milestones: Develop reporting system for SENTRY (Automated Inmate Data System) to provide population location information that will enhance the Community Programs Officers' efficiency in managing the contract CTC and confinement resources and provide information related to contractors' performance on specified fundamental program elements.

1. Gather information needed to write plan and design system by 10/81.
2. Write system plan and 50% of system design by 10/82.
3. Implement 50% of system. Write 100% of system design by 10/83.
4. Implement 100% of system by 10/84.
5. Evaluate program effectiveness and plan appropriate changes by 10/85.

GOAL 2: Develop technically trained, highly specialized, professional Community Programs Managers.

H,I

Objectives and Milestones: Provide formal training programs to Community Program Officers (CPOs) in the areas of contract administration and monitoring, accreditation, management, program development, etc.

1. Provide all CPOs with 40 hours training in basic skills needed to perform CPO duties by 10/81.
2. Provide five, 8 hour training packages that can be used in conjunction with regional CPO meetings by 10/82. Assess impact of training program and current job requirements and develop training plan for 1983 and 1984.

Objectives and Milestones: Establish a career ladder staff development program for the Journeyman Community Program Officer (CPO) position.

1. Develop one year on the job formalized apprentice program for the CPO position and fill 5 trainee CPO positions at the GS-7, -9, -11 levels by 10/81.
2. Fill all CPO vacancies from list of trained GS-11 trainee applicants by 10/82. All employees entering the CPO field will enter as CPO trainees and receive the minimum one year on the job training.

3. Evaluate impact of career ladder program, make recommendations and establish objectives by 10/83.

Objectives and Milestones: Train Federal Community Treatment Center (CTC) Directors in management principles, procedures and program development.

1. Provide all CTC Directors with 40 hours formal training specific to community-based facilities administration and program development by 10/81.
2. Provide second 40 hours training by 10/82. Assess impact of training program and develop plan for 1983.

#### EDUCATION SERVICES

(General, Occupational and Leisure Programs)

GOAL 1: Attain maximum degree of program certification, particularly occupational programs and consider elimination of those which cannot be certified or accredited.

A

Objectives and Milestones: Develop strategies for program certification and elimination of those which cannot be certified or accredited.

1. Develop certification strategies for all programs by 1/81.
2. Implement strategies to eliminate uncertified programs by 1/82.

GOAL 2: Expand staff training for educational services staff.

H

Objectives and Milestones: Provide training opportunities for education and related staff.

1. Hold annual training seminars for new educational service staff.
2. Hold one additional training session for law library, recreation and adult basic education staff.

GOAL 3: Improve and expand Educational services offerings.

C,G,M,O

Objectives and Milestones: Evaluate present programs to develop and implement strategies for program improvement and expanded linkages with community resources.

Programs	Evaluation Completed	Development	Implementation
Apprenticeship - Women	1/83		1/84
Occupational Training	5/82	10/83	10/84
Library Services	4/81	1/82	1/83
Leisure Programs	1/82	1/83	10/84

**GOAL 4:** Extend and improve program evaluation efforts.  
A,C  
Objectives and Milestones: Develop internal and external evaluation procedures:

	Development	Implementation
Internal	Completed	10/81
External	1/82	10/83
Test Procedures	1/81	10/82
Data Procedures	1/81	10/82

**GOAL 5:** Establish uniform curriculum standards for ABE, GED and selected occupational programs.  
A,H,O

- Objectives and Milestones: Establish a national curriculum committee to implement this goal
1. Develop curriculum standards by 10/81.
  2. Review by concerned staff by 10/82.
  3. Publish standards in English and Spanish by 10/83.
  4. Initiate staff training program by 10/84.
  5. Establish Bureau policy requiring use of uniform curriculum standards by 10/85.

FEDERAL PRISON INDUSTRIES, INC.\*

**GOAL 1:** Continue employment and training of inmates.  
Objectives and Milestones: Employ inmate workforce of approximately 6,000 or 28% of the population at institutions with industries, increasing to 31-33% throughout the planning period.

	FY 81	82	83	84	85
% inmate pop. employed (Full-time/Part-time)	28%	29%	30%	31%	32%

Objectives and Milestones: Establish factories to meet inmate employment and training needs.

Ray Brook	1/81	Phoenix	12/83
Otisville	11/80	Tucson	3/82

Objectives and Milestones: Move Atlanta factories by 4/81.

1. Canvas Factory to Petersburg
2. Mattress Factory to Leavenworth
3. Textile Mill (reduced size) to Terre Haute
4. Sign Factory to Otisville

**GOAL 2:** Strengthen financially self-supporting operations.  
Objectives and Milestones: Increase UNICOR sales and earnings each year (in millions of \$).

	FY 81	82	83	84	85
Sales	120	130	140	150	160
Net Ind. Earnings	14.0	19.0	21.0	22.5	24.0

Objectives and Milestones: Maintain support of MSA (Performance Pay) program.

	FY 81	82	83	84	85
Millions Funded	\$3.5	3.5	3.7	3.7	3.9

**GOAL 3:** Improve management and program effectiveness.

Objectives and Milestones: Explore ways to improve overall marketing.

1. Study the feasibility of a Corporate level marketing function by 1/81.
2. Establish written guidelines for backlogs of unfilled orders for each division and corporate total by 1/81.
3. Review pricing policy after the new Program Statement has had an opportunity to be assessed for its effectiveness, by 3/81.

**H,I** Objectives and Milestones: Establish UNICOR staff training and recruitment programs to meet defined needs.

1. Complete survey of staff training needs by 8/80.
2. Develop UNICOR staff training master plan by 10/80.
3. Initiate implementation of all phases of the plan by 10/81.

Objectives and Milestones: Continue implementing the Quality Assurance Program as defined by P.S. 8340.1, placing special emphasis on:

1. Each UNICOR location will have one full time Q.A. manager, excluding MCCs.  
 % of locations in compliance by 10/81 10/82 10/83 10/84 10/85  
 50% 70% 80% 90% 100%
2. Each factory will have a Q.A. program for defect identification in effect by 10/81.
3. Each factory will have a Q.A. program for defect prevention in effect by 10/83.
4. Each Division will have accurate quality costs for all factories by 10/83.

**B** Objectives and Milestones: Explore the feasibility of regionalization for Federal Prison Industries.

1. Appoint a Federal Prison System taskforce by 7/80.
2. Complete report by 1/81.

**E** Objectives and Milestones: Establish innovative programs to approximate working conditions found in private industry.

1. Continue current relationships and efforts to establish private

- industry advisory councils; complete feasibility study by 10/81.
2. Consider proposals for innovative program in which inmates earn and pay (at least in part) for their incarceration. Decide if feasible by 12/80; if so, implement by 4/81.
  3. Issue guidelines for establishing industrial units as useful management tools by 1/81.
    - a. Explore establishing industrial units in each region by 10/81.
  4. Establish at least one industrial apprenticeship program in every facility with industrial operations by 12/81.

\* All dollar figures = 1980 dollars

#### FINANCIAL MANAGEMENT

GOAL 1: Conduct on-site reviews at all institutions annually.  
Objectives and Milestones: Expand review teams from two to three utilizing field staff participants to attain the goal.

	FY 80	81	82	83	84
Annual Reviews Accomplished	33	39	41	45	50

GOAL 2: Increase efficiency of financial systems and operations.  
Objectives and Milestones: Initiate policy of placing professional accountants in new institutions and in all vacancies at existing institutions.

Percent of Accountant Positions That Are Professional Accountants	by 10/80	10/81	10/82	10/83	10/84
	55	70	85	95	100

Objectives and Milestones: Modify accounting system to produce budget submissions for the Department of Justice.

1. Implement new budget execution and development at the institution level by 10/80.

Objectives and Milestones: Review all FMS management output reports. Design reports to better serve management.

1. Redesign and program new reports by 9/82.
  - a. Formatted listing of monthly property transactions
  - b. Cost reports (100.80 series)
  - c. Fund control reports (100.40 series)
  - d. Status of grants reports (NIC)
2. New report implementation by 10/82.
3. Follow-up questionnaire on status of FMS operations by 12/82.

#### FOOD SERVICE

GOAL 1: Expand Special Diet Program.  
Objectives and Milestones: Develop Medical Diet menus for all authorized medical diets. This is to be accomplished with the assistance of the Registered Dietician at FCI, Lexington.

Objectives and Milestones: Medical Diet Programs as outlined in Program Statement 4740.2 will be initiated in the institutions listed below by 10/81.

NERO	SERO	NCRO	SCRO	WRO
Lewisburg(5)	Ashland (3)	Chicago (A)	El Reno (4)	Lompoc (5)
Allenwood(1)	Tallahass(3)	Milan (3)	Ft. Worth(1)	Pleasanton(A)
Danbury (2)	Atlanta (A)	Leavenworth(5)		Term. Is. (2)
Alderson (A)	Lexington(1)	Marion (6)		San Diego (A)
New York (A)		Springfield(A)		

Objectives and Milestones: Institutions will establish separate food production areas and cafeteria counter space for expansion of medical diet programs by 10/81.

GOAL 2: Increase use of convenience foods and introduce as a part of the program "short order lines" (soup & sandwich) and "low-calorie counters".  
Objectives and Milestones: Serving of selected portion control entrees and other convenience type foods within limitations of budget. Monetary savings, increased service, energy conservation, and normalization of environment are forms of measurement.

1. Institutions should carefully study if "soup and sandwich lines" and "low calorie lines" are applicable to their programs and where appropriate implement by 9/81.
2. Institutions should begin use of convenience type foods which assist in areas of monetary savings, increased service, reduced cooking time (energy conservation) and add to normalization of the environment. All institutions will study the use of the above, and where appropriate implement by 10/81.

GOAL 3: Establish training program opportunities for Assistant Food Administrators.  
Objectives and Milestones: Complete present plans to structure an additional course for training Assistant Food Administrators in their respective institutional duties. The first such course should be implemented by 10/82.

GOAL 4: Increase the number of apprenticeship programs in cooking, baking, and meat cutting for inmates.

M

Objectives and Milestones: Each institution should strive to provide a State approved apprenticeship program to train inmates in the skills of cooking, baking, and meat cutting. This would provide needed job assistance to inmates upon release and at the same time establish relationships between the community and the institution. Increase the number of institutions offering the above apprenticeship programs from 11 to 40 by 9/82

GOAL 5: Increase the quality of civilian Food Service staff through improved recruitment methods.

I

Objectives and Milestones: Make the Bureau of Prison's Food Service known to the community and become involved with colleges, universities, and technical schools, etc., in attempts to become familiar with and select only those candidates who are best qualified for our food service operations. On an annual basis, Regional Food Administrators will visit colleges and technical schools in efforts to seek out and hire qualified personnel.

GOAL 6: Professional nutritional analysis of institution menus to insure compliance with Recommended Dietary Allowances and ACA Standard #4224, and 2) provide the direction, assistance and diet counseling to inmates involved in our Medical Diet Programs.

N/A

Objectives and Milestones: Nutritional analysis of menus by Registered Dieticians must begin by 10/80 and annual analysis must be accomplished and maintained on file. Strict review of Medical Diet Programs should start immediately and continue throughout each year. To meet these needs the Bureau must obtain positions or reallocate positions to Registered Dieticians. Diet Programs should start immediately to continue throughout each year.

HUMAN RESOURCES

GOAL 1: Improve the levels of minority and women hiring at all levels.

J

Objectives and Milestones: Increase minority and women hiring.

1. Minority and Women hiring milestones (in percentages):

	by 10/80	10/81	10/82	10/83	10/84
Minorities	29	31	33	34	35
Hispanics	7.5	8.5	9.5	10	10.5
Blacks	20	21	22	22	23
Other	1.5	1.7	1.9	2	2
Women	25	27	29	30	30

GOAL 2: Achieve full Labor-Management regulatory compliance and improved service delivery to field managers.

Objectives and Milestones: To enhance labor-management regulatory compliance and improve service delivery.

1. Negotiate 2 year master agreement with unions by 1/83.
2. Initiate retirement counseling program by 6/81.
3. Acquire and establish a Central Office Federal Labor Law research library by 6/81.
4. Establish a litigation unit for employee and labor relation hearings by 6/81.

GOAL 3: Evaluate and improve hiring procedures.

I

Objectives and Milestones: Improve application/interview process and monitor turnover rate.

1. Monitor correctional officer turnover rate twice a year.
2. Develop standard interview procedures for correctional officers by 10/80.
3. Develop a standard questionnaire to study employee expectations and morale by 10/81.

GOAL 4: Improve overall BoP position classifications.

Objectives and Milestones: Improve titling, classification and position management, and manpower utilization programs.

1. Develop titling and in-house classification guides by 4/80.
2. Expand position management and manpower utilization program by 7/80.

INMATE PROGRAMS REPORTING SYSTEM

GOAL 1: Improve data quality through reduction of error rates and checks for non-compliance.

C,D

Objectives and Milestones: Correction of form errors by 12/79 and error rate reduction from 13% to 5% by 12/82.

	12/79	12/80	12/81	12/82
Percent unresolved errors	13	11	8	5

GOAL 2: Revise Inmate Program Reporting System (IPRS) to improve output reports and data input.

C,D

Objectives and Milestones: The current IPRS revision should be completed by 1/1/80 (FY '80 milestone). Annual revisions are scheduled to be completed by January 1st, 1981 thru 1984 beginning in October of each year.

INSTITUTION MAINTENANCE

- GOAL 1: Continue a planned preventive maintenance program in all institutions in order to avoid excessive major repairs, renovation, and interruptions in institutional programs.  
A,H  
Objectives and Milestones:
1. Complete approximately 100 major repair projects and 90,000 minor repair projects each year.
  2. Conduct audits of facilities' maintenance program operation annually.
  3. Examine physical plant of all facilities semi-annually to identify needed maintenance and repairs.
  4. Provide formal facilities management training to all institutional Facility Managers, General Foremen, and Chief of Utilities by 10/81.
- GOAL 2: Provide continuous service of all utilities, including the operation of 33 large central steam power plants, and transportation services in support of institutional operations.  
Objectives and Milestones:
1. By 10/82 provide 24-hour coverage in high pressure boiler plants as required by the National Fire Protection Association (NFPA), Code 85.
  2. Examine all utility service equipment semi-annually and pressure test all boilers and auxillary equipment annually.
- GOAL 3: Operate all facilities and equipment in the most energy efficient manner, and accurately measure and report energy usage.  
C  
Objectives and Milestones:
1. Institute an automated program of reporting usage in 10/80.
  2. Complete engineering surveys for energy saving opportunities in all facilities by 10/82.
  3. Reduce energy consumption in all BOP buildings 20% by 1985 compared to 1975 baseline.
- GOAL 4: Evaluate staffing at Regional and Institution level and make adjustments to accommodate workload.  
Objectives and Milestones:
1. Review and adjust staffing of Regional offices to level necessary for audits and space studies by 10/81.
  2. Improve recruitment and selection process of maintenance staff in institutions through active recruitment efforts by Chief of Maintenance Services.
  3. Evaluate effectiveness and desirability of using inmate labor versus contract labor on construction projects by 10/81.

INSTITUTION SECURITY

- GOAL 1: Establish an environment in all institutions which provides for  
K  
safety of staff and inmates.  
Objectives and Milestones: Reduce the number of homicides and physical assaults by identification and control of violence prone inmates and improvement of the monitoring system of prison gangs. New guidelines will be issued via a new program statement by 10/81.
- GOAL 2: Improve Custodial Manual.  
Objectives and Milestones:
1. Improve and update by 10/81.
  2. Annually re-emphasize the need for awareness and compliance to all staff and particularly correctional supervisors at Chief Correctional Supervisors' Conferences and Correctional Supervisors' training sessions.
  3. Evaluate procedures as to compliance with ACA standards by 10/81.
- GOAL 3: Increase job efficiency of Correctional Supervisors.  
Objectives and Milestones:
1. Improve leadership and supervision of line staff through annual training.
  2. Expand the number of qualified and desirable candidates for promotion to Chief Correctional Supervisor positions.
  3. Increase minorities in supervisory positions according to the Bureau EEO goals.

LEGAL SERVICES

- GOAL 1: Provide paralegal assistance to institutional staff.  
Objectives and Milestones: Place and select paralegal assistants as follows:
- |  | by | 10/81 | 10/82 | 10/83 | 10/84 | 10/85 |
|--|----|-------|-------|-------|-------|-------|
| Number of trained paralegal assistants to be placed in institutions                            |    | 5     | 3     | 5     | 6     | 3     |
| Number of paralegal trainees to be selected for Central and Regional Office training positions |    | 6     | 3     | 5     | 6     | 3     |

GOAL 2: Publish significant rules of public interest.  
Objectives and Milestones: Publish significant rules of interest relating to control, custody, care, treatment, or instruction of inmates and subsequently deemphasize this function.

	by	10/81	10/82	10/83	10/84	10/85
New Rules/Regulations, Outputs (Revisions and changes not included)		35	30	30	25	20

#### MEDICAL SERVICES

GOAL 1: Assure adequate, accessible, quality health care to Federal inmates.  
D Objectives and Milestones: Reassess and study BoP medical services at 20 institutions to evaluate health care needs and determine the quality and quantity of services and staff required for improvements in the system.

1. Conclude the Evaluation, Study and Report with recommendations by 10/80.
2. Review and analyze study report; select actions to be implemented; develop an implementation plan by 10/81.
3. Implement recommendations, as applicable by 10/84.

A Objectives and Milestones: Provide sufficient Physician Assistant/ medical records technician/clerical coverage to further reduce and ultimately eliminate the use of inmate workers; provide 24-hour medical coverage at all institutions except detention centers, camps and Seagoville (where 16 hour coverage is acceptable).

1. Accomplish the above objective through staff reassignment, replacement hiring and additional positions by 10/85.

I Objectives and Milestones: Convert present Medical Technical Assistant 650 series personnel to Physician's Assistant 603 series through voluntary examination, certification and position conversion.

1. Conduct examinations to establish eligibility by 10/83.
2. Conduct 603 series certification of those successfully passing the examination by 10/83.
3. Convert selected positions from 650 series to 603 series by 10/83.
4. Select 603 series Physician's Assistants by 10/83.

H Objectives and Milestones: Provide access to continuing medical education for all professional and paraprofessional medical personnel.

1. Provide internal and contract training and retraining of approximately 600 permanent medical employees on annual and semi-annual basis.

G Objectives and Milestones: Assure the effective operation of BoP Psychiatric treatment programs.

1. Establish a Task Force to develop a) operational guidelines, b) auditable criteria, c) a quality assurance audit system for psychiatric programs, and d) a Psychiatric Services Handbook by 10/81.
2. Utilizing these criteria, implement a systematic, quality assurance audit program for psychiatric care in all institutions by Regional Administrator of Medical Services and Chief of Psychiatry by 10/82.

#### MODERNIZATION AND REPAIR OF EXISTING FACILITIES

GOAL 1: Protect capital investment in facilities.

Objectives and Milestones:

1. Rehab/replace utility systems, structures and plants.
2. Complete the major maintenance and repair projects to bring institutions to a low maintenance need level.

	FY	80	81	82	83	84
Buildings and Facilities projects completed.	240	240	245	250	250	
Buildings and Facilities projects active.	486	485	511	531	551	
New Renovation and Improvement projects started.	230	230	230	230	230	
New Line Item Projects	0	7	25	27	27	

GOAL 2: Provide safe, efficient, and adequately sized and equipped facilities for the operation of correctional programs within Bureau of Prisons institutions.

A Objectives and Milestones:

1. Monitor use of space through biannual space studies and improve facilities as required.
2. Make all facilities energy efficient in accordance with Department of Energy Life Cycle Costing method by 10/85.
3. Comply with all pollution control requirements as EPA issues new regulations in Federal Register by 10/85.
4. Provide all physical requirements of the Architectural Barriers Act in public areas by 10/83.
5. Wherever possible, comply with all requirements of the National Fire Protection Association (NFPA), 101 Life Safety Code as it pertains to penal facilities. The Code is revised each year, and therefore will require annual reviews to determine current requirements.
6. Comply with all requirements of the Joint Commission on the



- Accreditation of Hospitals (JCAH) as changes in the requirements occur.
7. Comply with all applicable requirements of the Occupational Safety and Health Administration (OSHA) as changes in the requirements occur.

#### NEW CONSTRUCTION

- GOAL 1: Reduce overcrowding; close McNeil Island and Atlanta; reduce and renovate Leavenworth; and provide smaller institutions.  
A,F,L  
Objectives and Milestones: Meet the following schedule to achieve the above goal:

- | <u>1. START CONSTRUCTION</u> |       | <u>OPENING DATES</u> |       |
|------------------------------|-------|----------------------|-------|
| Tucson FDC                   | 6/80  | Ray Brook FCI        | 10/80 |
| Phoenix FCI/FDC              | 10/81 | Tucson FDC           | 12/81 |
|                              |       | Phoenix FCI/FDC      | 10/83 |
2. USP DEACTIVATIONS  
McNeil Island close by 10/80  
Atlanta close by 9/84
3. USP REDUCTIONS  
Leavenworth renovate by 10/85

#### OCCUPATIONAL SAFETY AND ENVIRONMENTAL HEALTH PROGRAMS MANAGEMENT

- GOAL 1: Meet accreditation standards of the American Correctional Association (ACA) and comply with the Department of Justice (DoJ) Standards.  
A  
Objectives and Milestones: All institutions will comply with Occupational Safety and Environmental Health elements and requirements of the ACA and DoJ standards by 10/82.
- GOAL 2: Improve information system regarding documentation of inmate injuries and statistical data.  
C  
Objectives and Milestones: The system, which will provide more uniform, informative, and more easily gathered data, will be completed by 10/82.

- GOAL 3: Improve institutional safety records.  
D  
Objectives and Milestones: The computerization of inmate injury data will aid in pinpointing injury causation factors and enable us to zero in on deficiencies to correct and prevent injuries. The improvement in injury data gathering should reduce the number and severity of inmate injuries by 10/83.

- GOAL 4: Increase staff professionalism through training.  
H  
Objectives and Milestones: Safety personnel are encouraged to join and participate in Federal Safety & Health Councils, American Society of Safety Engineers and other organizations. Training such as the University of Minnesota short courses in Environmental Health and Safety for Correctional Institutions, National Fire Protection Association's Life Safety Code Seminars and other professional development courses are encouraged and frequently funded by the Central Office Training Branch.
1. Annually send fifty-five safety personnel to the University of Minnesota.
  2. Reduce safety discrepancies noted during audits and in OSHA complaints.
  3. Safety personnel attend at least three professional development training courses and at least three Federal Safety and Health Council meetings annually.
  4. Send annually incumbents of the safety trainee positions to an average of six training classes per year in fire protection, safety, environmental health, and various other aspects of safety managerial functions.

- GOAL 5: Increase minority and female opportunities.  
J  
Objectives and Milestones: Staff the safety personnel ranks with representative proportions as determined by the Bureau EEO goals.

#### PLANNING AND SITE ACQUISITION

- GOAL 1: Reduce overcrowding and provide smaller, more effective correctional institutions.  
A,F  
Objectives and Milestones: Acquire sites, and provide smaller institutions.

1. SITE ACQUISITIONS

Tucson FDC 5/80  
Phoenix FDC/FCI 10/80

2. Continue to review periodically surplus government property for possible acquisition for Federal Prison Camps.

PROGRAM DEVELOPMENT

GOAL 1: Develop and implement an integrated program of planning, budget development, resource allocation and evaluation.  
D,H  
Objectives and Milestones:  
1. Develop a systemwide planning program that is integrated with the budget development process by 10/80.  
2. Develop criteria for efficient and effective distribution of resources by 10/81.  
3. Develop budget preparation and development training module for use by program managers by 1/81.

GOAL 2: Revise long-range planning process so as to provide more accurate determination of regional bedspace needs.  
F  
Objectives and Milestones:  
1. On issuance of Department of Justice Correctional Standards revise physical capacity Program Statement to reflect new physical plant standards.  
2. Improve format presentation of the long-range facilities plan to more accurately account for operational realities of security and custody level distributions by 1/81.

GOAL 3: Increase staff professionalism.  
H  
Objectives and Milestones:  
1. Have at least one staff member complete one course in management analysis techniques each fiscal year.

GOAL 4: Improve and expand trend analysis forecasting techniques.  
F  
Objectives and Milestones:  
1. Increase the number of data sources currently used in Federal criminal justice system activity analysis by 10/81.  
2. Increase the number of mathematical models currently reviewed in inmate population projections by 10/81. Annually review the literature to keep abreast of the state of the art.

PSYCHOLOGY SERVICES

GOAL 1: Provide psychological screening and needs assessments of inmates.  
A,C,D,  
G,K,O  
Objectives and Milestones:

1. Implement Program Statement 5310.2 (Psychological Assessment/Screening) 90% by October, 1980, and 100% by October, 1981.
2. Implement Centralized MMPI Scoring System:
  - a) Assess usage by 10/80
  - b) Implement scoring system by 10/81
  - c) Publish first annual summary data report by 11/82
3. Institute Inmate Program Needs Survey:
  - a) Survey staff for percentages and types of inmate mental handicaps by 6/81.
  - b) Survey inmates by 12/81.
  - c) Analyze data collected by Centralized Scoring System for percentages and types of mental handicaps by 6/82.
4. Have precise summary report of inmate psychological needs by 1/83.

GOAL 2: Evaluate effectiveness of Psychology Services.  
A,C,D,  
G,K,O  
Objectives and Milestones:

1. Process/content
  - a) All institutions will have on file a current, completed audit according to P.S. 1210.2 (Section 5324) by 10/81.
  - b) Cost/efficiency analysis to be implemented by 10/81.
2. Outcome effectiveness
  - a) Study Group to assist Research and Unit Management in developing a standard program evaluation package for Drug Abuse Programs by 10/81.
  - b) Establish a Study Group to propose a manual for program evaluation for all types of psychological services by 12/82.
  - c) Publish program evaluation manual by 12/83.

GOAL 3: Recruit more minorities and women.  
J  
Objectives and Milestones:

	FY 80	81	82	83	84
Women	12%	14%	16%	18%	20%
Minorities	6%	8%	10%	12%	14%

GOAL 4: Expand professional staff training/orientation.  
H,I,O  
Objectives and Milestones: Implement annual orientation training for newly hired psychologists by 7/81.

GOAL 5: Establish priority need for staffing assignments and assess current utilization of psychologists.  
G,I,O

Objectives and Milestones: Achieve Executive Staff's staffing pattern by 10/83.

RESEARCH

GOAL 1: Expand capability to generate data required for program evaluation until SENTRY or other ADP effort can be implemented.  
C

Objectives and Milestones: Develop a Regional reporting system.

1. Provide part-time research assistants to two more facilities for Regional report development by 10/80.
2. Expand Regional report prototype to another region by 7/81.
3. Utilize Regional report for research by 12/80.
4. Negotiate with SENTRY planners for timetable to include Region data by 1/82.
5. Ensure SENTRY meets research data needs prior to phasing out autonomous research ADP systems.

GOAL 2: Redesign Research staff utilization.  
H

Objectives and Milestones: Train and rotate research technicians between Central Office and field.

1. Formalize the research technician series and begin training program by 10/80.
2. Rotate two Central Office technicians to field by 10/81.

Objectives and Milestones: Provide senior research analysts in selected USP's to study changeover to smaller facilities.

1. Provide Research Assistant support for senior analyst in a USP (Leavenworth) by 10/80.
2. Establish an analyst position at the Otisville Federal Correctional Institution by 10/80.
3. Complete Phase I of penitentiary comparative study by 10/81.
4. By 10/83 design and implement Phase II based on results of Phase I study. The effects of components of penitentiary operation will be studied.

Objectives and Milestones: Formalize a Research Intern Training program using temporary positions.

1. Provide two part-time GS-9 Research Interns (through reallocation of funding resources) at a model institution by 10/80.
2. Extend training program to Western Region by 10/81.

GOAL 3: Establish innovative or critical research projects by non-BoP agencies where no in-house capability exists; complete ongoing projects and develop new in-house projects.  
C,E,G,I,K

Objectives and Milestones: Accomplish the above according to assessed needs each Fiscal Year during the planning period. Major projects include the following:

- |        |  |
|--------|--|
| FY '81 | Sexual Assault Study<br>Recidivism Study<br>Marion Control Unit Evaluation<br>Butner Evaluation<br>Custody/Security Classification Study<br>Co-corrections |
| FY '82 | Vocational Training<br>Staff Selection Retention and Morale<br>Crowding Study<br>Computerized Inmate Performance Pay<br>Develop EEO Systems                |

GOAL 4: Disseminate information from research projects on a regular basis.  
C

Objectives and Milestones: Distribute research reports as they are made available. Update notebook of research abstracts in the regions at least twice each year. Publish abstracts for national distribution in 1981 and 1984.

STAFF TRAINING

GOAL 1: Provide initial training to all FPS staff.  
Objectives and Milestones: Provide 80 hours of Institution Familiarization and 80 hours of Introduction to Correctional Techniques training to all new staff.

	<u>INSTITUTION FAMILIARIZATION</u>				
Percent of	10/80	10/81	10/82	10/83	10/84
New Staff Trained	50%	80%	100%	100%	100%
Within Time Limits					

	<u>INTRODUCTION TO CORRECTIONAL TECHNIQUES</u>				
Percent of	10/80	10/81	10/82	10/83	10/84
New Staff Trained	90%	75%*	100%	100%	100%
Within Time Limits	90%	100%**	100%	100%	100%

\* For all persons hired before October 1, 1980.  
\*\* For all persons hired after October 1, 1980.

GOAL 2: Provide annual refresher training to all FPS Staff.  
H Objectives and Milestones: Provide 24 hours of Annual Correctional Training and 16 hours of Job Specialty Training to all staff (American Correctional Association (ACA) Department of Justice (DOJ) Standards.

		ANNUAL CORRECTIONAL TRAINING						
Percent of Staff Trained	10/80	10/81	10/82	10/83	10/84	10/85	10/86	
	33 1/3%	33 1/3%	47%	60%	73%	87%	100%	
		JOB SPECIALTY TRAINING						
Percent of Staff Trained	10/80	10/81	10/82	10/83	10/84	10/85	10/86	
	33 1/3%	33 1/3%	47%	60%	73%	87%	100%	

GOAL 3: Establish full range training programs for all employees.  
H Objectives and Milestones: Establish training coordinator positions and initiate training according to new facility timetable at each new facility prior to commitment of first group of inmates. Provides a full range of specialty, supervisory and management training classes to meet all BoP, ACA, and DOJ training requirements. Evaluate through annual audits.

STANDARDS AND ACCREDITATION

GOAL 1: Seek and gain accreditation through Commission on Accreditation for Corrections (CAC) for all federal facilities by FY 1984. The Standards were developed by CAC and the American Correctional Association.  
A Objectives and Milestones:

1. Train the staffs of 13 Federal facilities in the requirements of the Accreditation Process by 10/81.
 

Butner	Danbury	El Reno
Milan	Ashland	San Diego
La Tuna	Lewisburg	Petersburg
Terminal Island	Chicago	Miami
2. Begin reaccreditation for three CTCs and one Federal institution by 10/81.
 

Terre Haute	Houston CTC
Dallas CTC	Long Beach CTC
3. Train the staffs of 12 Federal facilities in the requirements of the Accreditation Process by 10/82.
 

Bastrop	Marion	Leavenworth
Safford	Big Spring	Florence
New York	Boron	Talladega
Lexington	Montgomery	Otisville

4. Begin reaccreditation for three CTCs and four Federal institutions by 10/82.
 

Allenwood	Lompoc	Phoenix CTC
Memphis	Kansas City CTC	
Texarkana	Oakland CTC	
5. Train the staffs of new facilities in the requirements of the Accreditation Process by 10/83.
6. Begin reaccreditation for two CTCs and five Federal institutions by 10/83.
 

Alderson	Seagoville	Chicago CTC
Tallahassee	Englewood	
Sandstone	Detroit CTC	
7. Begin reaccreditation for three CTCs and six Federal institutions by 10/84.
 

Morgantown	Fort Worth	Dallas CTC (third time)
Eglin	Pleasanton	Houston CTC "
Oxford	Terre Haute (third time)	Long Beach CTC "

GOAL 2: Meet Department of Justice Federal Standards for Prisons and Jails by 1985.  
A Objectives and Milestones:

1. Adjust FPS resource requirements previously requested based on final, official version of Standards by 10/81. Develop a system to monitor the Standards Resource Plan and a method for reporting progress to the Department (through the FPS Budget Office) by 10/81. Develop system to coordinate all policy development and management audits with Standards' requirements by 10/81.
2. Monitor each Program Area's compliance with the Federal Standards and submit progress reports to the Department. Achieve 85% compliance with Standards by 10/82.
3. Continue to monitor compliance with Standards. Achieve 90% compliance by 10/83.
4. Continue to monitor compliance with Standards. Achieve 95% compliance by 10/84.
5. Continue to monitor compliance with Standards. Achieve 100% compliance by 10/85.

GOAL 3: Regionalize the Standards and Accreditation Program by gradually transferring the management and operational responsibility to Regional Office Staff by FY 1985.  
A Objectives and Milestones:

1. Through the use of the Accreditation Training Task Force, implement Training and Management Assistance Programs using Regional and Institutional Accreditation Staff as trainers/auditors. Involve Regional Accreditation Coordinators in all phases of program. Complete by 10/81 and continue in FY '82.

2. Begin study of transferring management functions of the program to the Regional Directors through the use of a Management Study Work Group and complete by 10/83.
3. Establish a fully regionalized Correctional Standards and Accreditation Program by 10/84.

GOAL 4: All Contract Community Treatment Centers become accredited by the Commission on Accreditation (CAC).

A

Objectives and Milestones:

1. All Community Programs Officers receive training in the accreditation process, in order to provide guidance to Contract CTCs by 10/81.
2. Twenty percent of all Contract CTCs, with a Federal population of 30 residents or more will be accredited or have applied for the accreditation process by 10/82.
3. Forty percent of all Contract CTCs with an average daily population (ADP) of 30 Federal residents or more will have applied for the accreditation process by 10/83.
4. Ten percent of all Contract CTCs with ADP of less than 30 Federal residents will be accredited or have applied for the accreditation process by 10/83.
5. One hundred percent of all Contract CTCs with an ADP of 30 Federal residents or more will have applied for the accreditation process by 10/84.
6. Twenty-five percent of all Contract CTCs with an ADP of less than 30 Federal residents will have applied for the accreditation process by 10/84.
7. Fifty percent of all Contract CTCs with an ADP of less than 30 Federal residents will have applied for the accreditation process by 10/85.

GOAL 5: Seek and gain accreditation through Commission on Accreditation for Corrections for the Central Office and the five Regional Offices by FY 1984. The applicable Manual of Standards is "Administration of Correctional Agencies."

A

Objectives and Milestones:

1. Include Training Program in FY 1982 Work Plan. Complete by 10/81.
2. Prepare Central and Regional staff for accreditation - distribute Manuals to all staff. Develop training package for staff by 10/82.
3. Begin training and orientation. Make formal application to the Commission on Accreditation and conduct Self-Evaluation at five Regional offices and the Central Office. Complete by 10/83.
4. Obtain accreditation approximately 12 months after application.

TRUST FUND

GOAL 1: Improve the efficiency of the Trust Fund accounting system.  
A,C Objectives and Milestones: Revise and computerize the Trust Fund accounting system.

1. Partial computerization by 12/80.
2. Department of Justice (DoJ) and General Accounting Office (GAO) approval by 2/81.
3. Full computerization by 10/81.

GOAL 2: Implement the Deposit Fund.  
A,C Objectives and Milestones: Fully implement the Deposit Fund, already approved by GAO and DoJ, by 3/81.

GOAL 3: Improve the management process with regard to Trust Fund operations.  
D Objectives and Milestones:  
1. Incorporate standards/guidelines for inventory management by 10/80.

UNIT MANAGEMENT

GOAL 1: Improve the quality of unit operations in the Federal Prison System.  
H Objectives and Milestones: All units will meet standards established in the Unit Management Manual. All Drug Abuse Units will meet Drug Abuse Unit standards established in the Drug Abuse Incare Manual. Institutions will be encouraged to establish units to provide for inmates' specialized program needs.

1. Evaluate all units for standards compliance by 12/80.
2. Evaluate all Drug Abuse Units for standards compliance during annual Regional audits by 12/80.
3. Evaluate through Regional Program Review the need for additional specialized units available to meet specific program needs of the inmate population by 12/81.

GOAL 2: Improve the management skills of Unit Managers in the Federal Prison System.  
I Objectives and Milestones: Provide training in technical knowledge and skills essential to effectively manage a unit.  
1. All Unit managers with 6 months in the position will have attended the Unit Manager Training by 12/80.



- GOAL 3: Improve the quality of Case Management work in Units.  
I,0  
Objectives and Milestones:
1. Implement training for Unit Secretaries by 12/80.
  2. New Unit Managers and others designated by the Associate Warden will participate in Basic Case Management Training by 1/81.
  3. Institution Case Management Specialists will meet at least monthly with Unit Managers, Case Managers and Unit Secretaries for training purposes. 1/81
  4. Unit Managers will meet with Unit Staff at least once a month to review program statements. 1/81
  5. Custody classification policy compliance will be evaluated during annual audits by 1/81.
  6. All Regions will conduct annual conferences for Case Management Specialists by 1982.
  7. All new Case Managers with one year in the position will complete Basic Case Management Training and Case Management Specialty Training by 1/81.
  8. All units will have Admission and Orientation and Pre-Release Programs in compliance with respective program statements by 1/81.
  9. All offenders within 6 months of release will be evaluated for CTC placement. 1/81

- GOAL 4: Implement Unit Management throughout the Federal Prison System.  
H  
Objectives and Milestones: Implement Unit Management according to the following schedule:
- |                |       |
|----------------|-------|
| El Reno Camp   | 10/80 |
| USP, Marion    | 10/80 |
| Texarkana Camp | 10/80 |
| Danbury Camp   | 12/80 |
| Maxwell Camp   | 3/81  |

- GOAL 5: Implement training for Regional Staff in audit procedures.  
I  
Objectives and Milestones: Improve the ability to conduct audits.
1. Provide training for Regional Correctional Programs Management staff on audit procedures by 6/81.

- GOAL 6: Improve quality of the Correctional Counseling Program in the Federal Prison System.  
I  
Objectives and Milestones: Implement Counselor Training standards.
1. All counselors with three years in the position will have received training in at least two counseling techniques by 1/83.

REGIONAL LONG-RANGE PLAN \*

Program: Administrative Systems Management

GOALS	REGIONAL PLAN
Goal 1: J,H	Explain the region's plan for meeting the program goal. Address each objective and indicate when (month, year) the region will meet each milestone.

Program: ADP and Telecommunications

GOALS	REGIONAL PLAN
Goal 1: C	Same as above.

\* The format provided on this page will be the same used by the regions in reporting their progress in meeting the goals and objectives of the Long-Range Plan to the Central Office.

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**END**