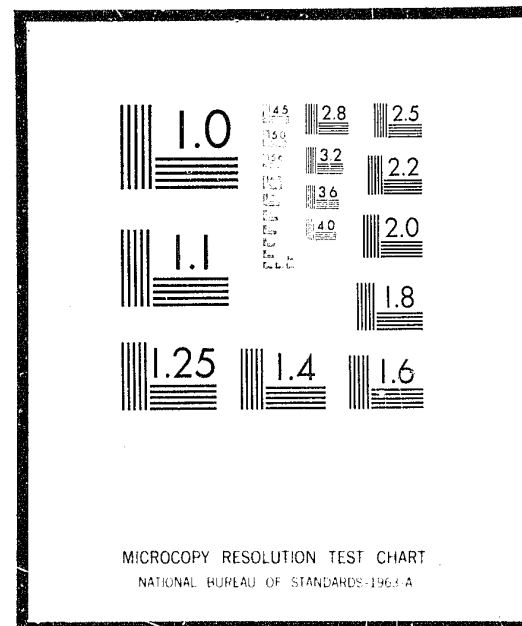


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GUIDELINES AND STANDARDS for HALFWAY HOUSES and COMMUNITY TREATMENT CENTERS

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PREFACE

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The most significant and major thrust of corrections today is its movement toward community-based residential treatment centers, or halfway houses. The phenomenal growth in the number of such facilities in the past few years, both for juveniles and adults, attests to their general acceptance by correctional, governmental and judicial leaders. Community-based residential programs have become increasingly acceptable as a viable method of serving both the public offender and the community itself.

Deliberate, systematic decisions have been made to change the course of corrections to community-based treatment, especially residential treatment. Consequently, the necessity of developing guidelines and standards for the establishment and operation of halfway houses has become increasingly evident. Agencies, both public and private, need some direction in order to chart the new course corrections is now taking.

The International Halfway House Association has been concerned since its inception with assisting all interested agencies and groups in establishing successful halfway house programs, which meet the goals and objectives of community-based residential treatment. Successful integration or reintegration of the public offender into the community, and prevention of his removal from it initially, if possible, are just two such goals.

Due to the current heterogeneity of halfway houses, guidelines must be general in nature but still provide solid direction for halfway house operations and programs. The details and specifics of any given program must be tailored to the conditions, needs, clientele and resources existing in any given community. The present report represents the first significant effort to provide such direction.

Guidelines and standards are not static, but must be changed and improved upon as experience accumulates, and results of program evaluation become known. As a result, they must be revised and updated on a regular basis.

It is our hope that this report will be updated periodically to keep abreast of new knowledge and experience in community-based residential treatment.

No effort of this magnitude can be accomplished without the support and cooperation of many individuals and groups. The staff and committee wish to thank all agencies who took the time to complete the questionnaire, which provided a necessary and vital base of information from which to operate.

The Project Director expresses his appreciation to the Law Enforcement Assistance Administration for their contribution to and support of the field of community-based residential treatment, and of this project in particular. Without their support, and financial and technical assistance, the project would not have been possible.

The Project Director wishes to thank the Assistant Project Directors, Thomas Mangogna and Thomas Nelson, for their contributions toward the successful completion of this report. In addition, the Project Director wishes to extend special recognition and his deep appreciation to Thomas Mangogna, who assumed primary responsibility for researching, writing and revising the major portion of the report.

Finally, the Project Director expresses his appreciation to the members of the Committee, named elsewhere in this report. Through their assistance in developing the questionnaire, and their review and constructive criticism of the document, they made a substantial contribution to the final product. Many additions and changes would not have been made without their valuable assistance.

(Signed) John M. McCartt
Project Director

February, 1973

TABLE OF CONTENTS

	<u>Page</u>
INTRODUCTION	ix
CHAPTER I: HISTORY OF HALFWAY HOUSES IN THE UNITED STATES	1
Revival of the Halfway House Movement Within the United States.	4
CHAPTER II: OVERVIEW OF ISSUES RELATING TO HALFWAY HOUSES AND COMMUNITY TREATMENT CENTERS	6
A. Halfway Houses - A Heterogeneous Concept	6
B. The Halfway House in the Criminal Justice System	15
C. The Function and Place of the Halfway House in the Correctional System	21
D. Evaluation and Research	33
CHAPTER III: PLANNING AND IMPLEMENTING HALFWAY HOUSES OR COMMUNITY TREATMENT CENTERS	35
A. Planning	
1. Establishing the Need	35
2. Type of Offender or Client to be Served	38
3. Type of Program and Service to be Offered	40
4. Obtaining Support of Key Community Leaders	41

	<u>Page</u>
5. Type and Location of Physical Facility	43
6. Personnel, Fiscal and Other Policies	45
7. Budget	46
8. Qualifications and Number of Staff Needed to Administer and Operate the Program	47
B. Implementing	49
CHAPTER IV: ORIENTATION AND TRAINING OF PERSONNEL IN COMMUNITY TREATMENT AND HALFWAY HOUSE PROGRAMS	52
A. Orientation	59
B. In-Service Training	62
C. Academic Training	63
CHAPTER V: FINANCING COMMUNITY TREATMENT CENTERS AND HALFWAY HOUSES	64
A. Types of Grants	65
B. Budgets	69
C. Sources of Funding	71
CHAPTER VI: RECOMMENDED STANDARDS FOR COMMUNITY-BASED TREATMENT PROGRAMS AND HALFWAY HOUSES	76
A. Administration	77
B. Program	80
C. Personnel	91

<u>APPENDICES</u>	
	<u>Page</u>
A. QUESTIONNAIRE:	
Section I	97
Section II	111
B. THE CONSTITUTION:	
(Code of Regulations)	121
C. SUGGESTED BY-LAWS	127
D. INTAKE POLICIES AND PROCEDURES	135
E. PERSONNEL POLICIES	143
F. FISCAL POLICIES	159
G. JOB DESCRIPTIONS AND QUALIFICATIONS	173
H. EMPLOYEE EVALUATION FORM . . .	209
I. STATISTICAL DATA RESEARCH FORMS	217
J. SUMMARY OF RECOMMENDATIONS FOR STANDARDS AND GUIDELINES FOR COMMUNITY-BASED PROGRAMS . . .	259
K. BIBLIOGRAPHY	267

INTRODUCTION

In 1964, a small group of persons operating halfway house programs for ex-offenders met in Chicago, Illinois, to explore the possibility and feasibility of establishing an organization reflecting the goals and aspirations of community-based treatment programs. This organization later became known as the International Halfway House Association.

In 1966, the first edition of the I. H. H. A. Directory was published, a mimeograph, containing approximately forty (40) names and addresses of halfway houses across the United States and Canada. The 1971-72 edition of the I. H. H. A. Directory lists over two hundred and fifty (250) listings of halfway houses and community-based treatment centers in the United States and Canada. The listings include facilities for ex-offenders, alcoholics, drug addiction, juvenile facilities, probation and parole, and some mental health facilities. The trend in corrections, as well as in other areas, has been set; treatment and rehabilitation must occur in the community, and prisons were not doing the job they set out to do. This seems the primary reason for the tremendous growth of community-based programs in the past six years.

Because of the tremendous increase in halfway houses and community-based treatment programs for offenders, with much financial assistance from State and Federal government, many persons began programs with little knowledge or insight into the problems offenders face upon release from prison and jail. Many programs, well-intended, simply folded under because of little or no program, poor community support, and financial problems. The International Halfway House Association was called upon more and more to assist newcomers in the field of community-based programs, but even the "experts" had little knowledge of standards which should apply to different communities and States. There were many individual philosophies at work within each halfway house.

Some programs with two or three ex-offenders were regarded as halfway houses. At the other extreme, some programs worked with over two hundred clients, and they, too, were regarded as halfway houses. Some programs had intensive group work and individual case work; others provided merely room and board. Yet, each was labeled a halfway house.

The International Halfway House Association has long expressed concern about accreditation and standard-setting for halfway houses. In 1970, at the International Halfway House Association meeting held in Cincinnati, Ohio, and in conjunction with the American Correctional Association, I. H. H. A. approved a request to seek Department of Justice funds, Law Enforcement Assistance Administration, to establish standards for halfway houses.

PROCEDURE

The staff and committee of the project spent several months in developing a questionnaire to be sent to the membership of the International Halfway House Association as well as to an equal number of non-members.

One hundred and sixty (160) questionnaires were sent to the Directors of halfway houses and community-based treatment programs, and ninety four (94) were returned.

The questionnaire was divided into two parts.

Section I This portion of the questionnaire was informational in nature, and was comprised of seventy (70) questions. The prime purpose of this portion of the questionnaire was to determine certain factual information about specific halfway house or community-based treatment programs. Such questions as, "Is your facility non-profit and incorporated?" and questions pertaining to program and staffing were the prime thrust of this portion of the questionnaire.

Section II The second part of the questionnaire was comprised of fifty three (53) statements and questions with

value judgments on each. Each Director of a program was asked to rate the fifty three statements either as:

Essential
Important
Desirable
Optional
or
Undesirable.

The responses to these statements were the basis for the staff and committee recommendations for standards for halfway houses and community-based treatment programs.

CHAPTER I

HISTORY OF HALFWAY HOUSES IN THE UNITED STATES

Halfway houses received their first trial in the United States when New York, Pennsylvania and Massachusetts established such facilities in the early part of the Nineteenth Century.¹

Although there is evidence of early interest in halfway houses by some governmental bodies (a Massachusetts Commission recommended the establishment of such facilities in 1820),² the main thrust for the movement came from religious and private volunteer groups.³ Both groups were composed of idealistic, hard-working, humane and highly dedicated people who all too frequently lacked the requisite skills to administer an agency or to provide a treatment program.

Their purpose, which they met effectively, was to provide such services as a temporary place of shelter, food, clothing, friendly advice and sometimes, efforts to assist the ex-offender in securing gainful employment. The public offender usually did not have the above-named services at his disposal upon release from an institution.⁴ In addition, they helped cushion the impact of release from an institution to open society and, although no hard data is available (a chronic problem in corrections), it does not seem unreasonable to assume that they had a beneficial effect on their clients.⁵

¹ "Halfway Houses: Community-Centered Corrections and Treatment", by Oliver J. Keller and Benedict S. Alper; D. C. Heath & Co., p. 7. Also, "Crime and Its Corrections", by John Conrad, University of California Press, Berkeley, Calif., 1965, p. 275.

² Keller and Alper, op. cit., p. 7.

³ Ibid., p. 7.

⁴ "Administration of Justice in a Changing Society", A Report of Developments in the United States - 1965-70, prepared for the Fourth United Nations Congress on the Prevention of Crime and Treatment of Offenders, p. 69.

⁵ "Halfway Houses for Reformatory Releasees", by Robert H. Vasoli and Frank J. Fahey, Crime and Delinquency, Vol. 16, No. 3, July, 1970, p. 293.

The early halfway houses were self-contained and relatively isolated from the correctional staff and facilities providing them with releasees.⁶ This is one of several factors which may have led to their eventual failure to survive as a permanent part of the correctional system, if indeed they could have been considered part of the system as it existed at that time. From all available evidence, it is not too much to assume that the early halfway houses were not considered a part of the correctional system and, although this may have been a factor in their failure to flourish, it was (in all probability) a factor which was attractive to the ex-offender who needed assistance.

More than forty years after the Massachusetts Commission made its recommendation, a halfway house for women released from institutions opened in Boston in 1864. It remained in operation for about twenty years.⁷

Amidst public indifference and even hostility, a group of Quakers opened a halfway house in New York City, which has survived to the present as the Isaac T. Hopper House. The House of Industry, established in Philadelphia, Pennsylvania, in 1889, also continues to receive parolees from Pennsylvania prisons.⁸

Despite opposition by the American Prison Association, a temporary shelter for ex-offenders was opened in New York City in the late 1890's. In September of 1896, Maud Booth, along with her husband, co-leader of the Volunteers of America, rented a building in the Washington Heights section of Manhattan. The facility, known as Hope Hall, came under such harassment from the police that Mrs. Booth was forced to appeal directly to Theodore Roosevelt for help.⁹

⁶ Vasoli and Fahey, op. cit., p. 294.

⁷ Keller and Alper, op. cit., p. 7.

⁸ Ibid., p. 7. Also see "Halfway Houses: An Historical Perspective", by Edwin Powers, American Journal of Corrections, Vol. XXI, July-August, 1959, p. 35.

⁹ Keller and Alper, op. cit., p. 7.

A second Hope Hall was established in Chicago, Illinois in 1903, and eventually, under the same auspices, halfway houses were established in New Orleans, Louisiana; Columbus, Ohio; Fort Dodge, Iowa; San Francisco, California; Hampton, Florida; and Waco, Texas.¹⁰

Several of the Hope Halls remained in existence for only a short period of time, while others managed to survive for many years. Eventually, however, they all ceased operations. It seems ironic that as more such facilities were established, Parole authorities argued increasingly against them. The basic objection used was that association with former prisoners was forbidden by parole regulations.¹¹

Although there were many instances of halfway houses being established in the early and middle 1800's, it was not until the close of the Nineteenth Century that enough facilities had been established to assist any sizeable number of ex-offenders.¹²

The founders of the halfway houses in the 1800's were the true pioneers of community treatment centers, but they often were looked upon with contempt or, at most, tolerance, by most professional correctional workers. They met with public as well as official hostility and/or indifference. Their work, in the main, was with the offender released from a penal institution. They also sowed the seed and laid the groundwork that others, who were to follow decades later, were to reap and build upon.

¹⁰ Keller and Alper, op. cit., p. 7.

¹¹ Ibid., p. 7.

¹² Ibid., p. 8.

REVIVAL OF THE HALFWAY HOUSE MOVEMENT
IN THE UNITED STATES

It was not until the 1950's that the halfway house movement was revived with the founding of such facilities as St. Leonard's House, Dismas House, and 308 West Residence. Acute awareness of the multitude of problems facing the ex-offender released from a penal institution, as well as a growing dissatisfaction with high recidivism rates, helped to spark the revival of halfway houses in general and also served to commence the beginnings of a national halfway house movement.¹³

There are certain parallels between the halfway houses founded over one hundred years ago and those which came into existence approximately fifteen years ago. Both were started by religiously-oriented or volunteer groups. Both lacked professionally trained personnel and dealt primarily with the ex-offender released from a penal institution. Both lacked "programs" as such, but had as their aim the goal to meet the offender's basic needs for survival and re-entry into the community. Treatment, as such, was not an integral part of either the early halfway houses or those founded little less than two decades ago. Both were meant to be a buffer, a halfway step between the highly structured and regimental setting of the traditional correctional institution, to free and constructive life in the community. Both were relatively isolated from the correctional staff and institution providing them with releasees and both met with resistance from the community as well as from some correctional workers.

One factor present in modern day corrections which was absent over one hundred years ago was a century of dismal failure of the traditional correctional system. This factor, the recognition of it by many in the correctional field, and

¹³ Keller and Alper, op. cit., p. 8.

the renewed advent of halfway houses as a means of assisting offenders released from institutions, all served to create a favorable climate for the "evolutionary development" of the halfway house concept.¹⁴

As mentioned in the Introduction, it was not until 1964, only eight years ago, that some of those involved in the halfway house movement met and formed what is now the International Halfway House Association. Since that time, a host of agencies, private and public, have established community treatment centers to service a wide variety of target populations.

While most halfway houses have and still are serving the general public offender, some are now specializing in the treatment of specific problem areas, such as alcoholism, and here again, private agencies have pioneered and paved the way "as a result of the indifference of professional and governmental agencies".¹⁵

¹⁴ For a description of the operation of one of the early prototypes of modern-day halfway houses, see "The Lessons of Norman House", by Merfyn Turner, "Annals of the American Academy of Political and Social Science", January, 1969, p. 39.

¹⁵ "Task Force Report: Drunkenness", The President's Commission on Law Enforcement and the Administration of Justice, U. S. Government Printing Office, 1967, p. 19.

CHAPTER II

OVERVIEW OF ISSUES RELATING TO HALFWAY HOUSES AND COMMUNITY TREATMENT CENTERS

A. Halfway Houses - A Heterogeneous Concept

The term halfway house or community treatment center does not convey a homogeneous meaning. Halfway houses are as varied and different from each other as "closed" institutions such as jails, prison, training schools and mental hospitals vary among and between themselves.

There is no single definition or description which can possibly be devised at this time which would adequately encompass the wide range of facilities which call themselves or which are called halfway houses or community treatment centers.¹

Intake criteria, length of stay, treatment goals, target population serviced, services offered, quantity and quality of staffing, physical plant, physical location, and numerous other factors are so diverse that a unified, capsulized definition is virtually impossible.²

For example, there are in existence today, halfway houses or community treatment centers for the psychiatric patient, the neglected child, the delinquent child (the latter two are variously called halfway houses, group homes and even group foster homes), the adult public offender - both misdemeanor and felon - for the homeless adult with social or adjustment problems, and for individuals with specialized problems such as drug abuse, alcoholism and mental retardation.

¹ "Halfway Houses: Community-Centered Corrections and Treatment", Oliver J. Keller and Benedict S. Alper; D. C. Heath & Co., pp. 11 and 12.

² Keller and Alper, op. cit., pp. 13 and 14.

The point is that each type of halfway house or community center mentioned above differs, often widely, from others which logically could be grouped in the same type.

One reason halfway houses have developed in this manner was to meet varying needs for different target populations and communities. A second, and more valid reason, is that with no standards or guidelines to follow, halfway houses reflected the personal treatment and other philosophies of their founders or directors.³ To establish a halfway house ten or even five years ago was a formidable task for anyone, whether the facility was privately or publicly sponsored. Those who assumed the responsibility were usually driving, energetic, creative and individualistic. In an area of practice which was very new to the modern correctional field, and which demanded the kind of qualities listed above, homogeneity could not be expected. Indeed, even at this stage of development, diversity - as wide as it is currently - should be viewed as an asset rather than a liability. Differing ideas, programs, goals, treatment modalities, staffing patterns and techniques need to be implemented; however, there is a desperate need for their evaluation. More will be said of evaluation later.

Suffice it to say now that there has been little of it in the halfway house and community treatment center field, as is true of most other areas of corrections.⁴ As diverse as they currently are, halfway houses provide a rich and fertile ground for research in the area of community corrections.⁵

In the short period of time that halfway houses have been a part of the correctional scene, many have evolved rapidly into highly sophisticated programs. The evolution probably has taken place more out of necessity to meet ever-increasing demands for services for varying groups of clientele, and the

³ Keller and Alper, op. cit., p. 123.

⁴ "The Continuum of Corrections", H. G. Moeller, Annals of the American Academy of Political and Social Science, January, 1971, p. 86.

⁵ For a broad discussion on the topic of correctional research, see Crime and Delinquency, Vol. 17, No. 1, January, 1971, in which the entire issue is devoted to the problem.

demonstrated need for those services, as well as a change in our correctional approach.⁶

The halfway house whose average length of stay is thirty days is undoubtedly serving as a "way station" for its clientele, more than anything else. On the other hand, halfway houses whose average length of stay is a year to eighteen months are probably serving groups with specialized problems, such as drug abuse and alcoholism. The first type of house mentioned probably has little or no "program", as such. The second, more often than not, uses various modifications of "therapeutic community" techniques. Most halfway houses, with the exception of those just noted and those serving juveniles, usually have their clients in residence from eighty to one hundred and twenty days.⁷

Some halfway houses and community treatment centers have as few as six to eight residents, while others may have as many as eighty. "A small population is an essential characteristic of the halfway house idea, and is found almost universally." "Most authorities maintain that a population of approximately twenty is close to ideal, permitting informal and close interaction among the residents."⁸

⁶ "Administration of Justice in a Changing Society", A Report of Developments in the United States - 1965-70, prepared for the Fourth United Nations Congress on the Prevention of Crime and Treatment of Offenders, p. 7. C.f. Moeller, op. cit., p. 82.

⁷ See Question No. 6 in Appendix F, Section II of the questionnaire sent to halfway houses throughout the United States. It was considered to be "essential" by the majority of respondents that the length of a client's stay should be determined on a case-by-case basis. Therefore, the figures eighty to one hundred and twenty days are not viewed as a recommendation, only as a report of widespread current practice.

⁸ Keller and Alper, op. cit., p. 12. C.f. U. S. Bureau of Prisons, "Trends in the Administration of Justice and Correctional Programs in the United States", a Report prepared for the Third United Nations Congress on the Prevention of Crime and Treatment of Offenders, U. S. Government Printing Office, Washington, D. C., 1965, p. 34.

It should be noted that a maximum capacity of twenty residents appears as Standard No. 7 under "Programs" in Chapter 6 of this report. The two exceptions to this standard are those therapeutic community settings whose clients are in residence from nine to eighteen months, and whose orientation is the alleviation of drug abuse, alcohol or psychiatric problems. Therapeutic communities often serve more than forty clients in residence at a given time.

The second exception is juvenile halfway houses, or group homes, where the maximum population is usually twelve or less. Additional rationale is presented with the standard itself.

Qualifications of staff working in halfway houses run the spectrum, from highly trained personnel to those who are virtually untrained.⁹ Professionals with graduate degrees or with undergraduate degrees, and an equivalent number of years of experience for a graduate degree, ex-offenders and volunteers, all operate or staff halfway houses. There does seem to be a greater reliance on professionally trained personnel today as compared to the forerunners of modern-day halfway houses.¹⁰

As noted in the "Standards" of this report, neither an academic degree nor the fact that a person is an ex-offender, in and of themselves, qualifies an individual to operate or to staff a halfway house. The requisite personality and temperament for the type of program operated must be present if the individual is to be effective with the target population of the halfway house.

The above is not meant to sidestep a crucial issue in the current halfway house movement. The questionnaire, which is an appendix to this report, addressed several questions as to what the qualifications of professional treatment staff should be, as well as qualifications of para-professional treatment staff. These issues are treated in Nos. 34 and 35, in Section II of the questionnaire, and Nos. 1, 3, 4 and 5 under "Personnel" of the "Standards" in Chapter 6 of this report.

⁹ Keller and Alper, op. cit., p. 13

¹⁰ "Halfway Houses for Reformatory Releasees", by Robert H. Vasoli and Frank J. Fahey, Crime and Delinquency, Vol. 16, No. 3, July, 1970, p. 294.

For professional treatment staff, minimum qualifications are four years of college plus two years of experience in the social service field, or a Master's Degree in one of the behavioral sciences. For para-professional treatment personnel, one and one half years of college is preferred, plus one year of experience. "Para-professional" is defined to include the ex-offender and all other indigenous workers who work along with and beside the professional staff. Experience may be substituted for education, but this must be clearly established in the agency's job qualifications.

In most halfway house settings, with the exception perhaps of the Federal Bureau of Prisons and a very few states, staff are underpaid, and this situation does discourage professionally trained workers from entering the community treatment center field.¹¹

Furthermore, working conditions in the halfway house setting are usually not the best. Hours are long, arduous, and - due to the intensity of the work - emotionally and physically draining.¹² There would seem to be no dichotomy between hard work, dedication and good pay, but this is not the way it usually works out in practice. Here too, the "Standards" of this report require (No. 2, under "Personnel") that agencies provide competitive salaries and benefits in order to attract and retain competent personnel.

Another issue involving personnel of halfway house programs was addressed by the questionnaire. "Who should conduct halfway house programs? Professional staff only? Indigenous staff only? A combination of the two?" This issue was formulated in questions 24, 25 and 26 in Section II of the questionnaire. A majority of respondents answering question No. 24, that halfway house programs should be conducted by professional personnel only, stated that this was "desirable". A majority of respondents answering question No. 25, that halfway house programs should be conducted by indigenous staff only, stated that this was "undesirable". However, when question No. 26 - which stated that halfway house programs should be conducted by a combination of professional and indigenous personnel - was presented, a majority of respondents stated that this was "essential".

¹¹ Keller and Alper, *op. cit.*, p. 122.

¹² *Ibid.*, p. 121.

As a result, Standard No. 6 under "Personnel" states that a balance of professionals and para-professionals is the preferred staffing pattern. Additional rationale is given with the standard.

The use of professionals and para-professionals, including ex-offenders, in the same setting, merits attention here as an issue confronting halfway houses or community treatment centers today.

In its current state of social and economic development, the greatest growth occupations in the United States for the foreseeable future will be the service occupations.¹³ Because of a shortage of skilled personnel, as well as the recognition of the contribution which can be made by para-professional persons, their use as sources of manpower is growing rapidly in the field of corrections as well as in mental health.¹⁴

Professionally trained workers are frequently unclear and uneasy about the role and ability of para-professional workers and, therefore, the agency has the responsibility to carefully define that role before para-professionals join the staff. This can be accomplished through a variety of means, two of which are formal and informal staff training sessions, in which the tasks and competencies of the para-professional worker are clearly defined. Fears and negative feelings of professional staff can be dealt with at this time.¹⁵

¹³ "Administration of Justice in a Changing Society", *op. cit.*, p. 4.

¹⁴ "Task Force Report: Corrections", *The President's Commission on Law Enforcement and the Administration of Justice*, U. S. Government Printing Office, 1967, p. 102; and "The Indigenous Non-professional: A Strategy of Change in Community Action and Mental Health Programs", by Robert Rieff and Frank Riesman, Monograph #1, Behavioral Publications, Inc., Morningside Heights, N. Y., 1965, p. 3.

¹⁵ Rieff and Riesman, *op. cit.*, p. 23.

Laying aside for the moment the issue of manpower shortage, why use para-professionals, including ex-offenders, in treatment capacities? One of the most essential values in their use lies in their capacity to act as a bridge between the often-times middle-class-oriented professional and the target population served, which is often from lower socio-economic groups. Being from the same socio-economic group, and having experienced many of the same problems as the target population, para-professional workers may well have special skills for establishing a special communication with the clientele which the professional may lack. Why? If the para-professional worker is truly indigenous, it means that he has the same socio-economic background as those being served, is from the same neighborhood, shares a common language, ethnic origin, life style and interests as the target population. These are factors which are almost impossible, if not undesirable, for most professionals to acquire or maintain. Therefore, the fact that indigenous workers can more readily establish communication with the target population is based not on what they have been taught, but what they are.¹⁶

Aside from the factors just noted, which are formidable arguments in favor of utilizing para-professional workers, there is the problem of a shortage of skilled professionals in the area not only of corrections, but social services generally.¹⁷ The use of para-professionals can tremendously increase manpower resources, and as a result, services, in several ways.

First, tasks which are now performed solely by professionals can be redesigned to create viable functions for para-professionals. This will have the effect of freeing professional staff to perform those tasks which only they can effectively carry out. Thus, functions would be reallocated so that para-professional staff with specific training would perform portions of a total task previously performed by one professional. It also would have the reverse effect, in that para-professionals would perform tasks which they can more effectively carry out than can the professional.

¹⁶ Rieff and Riesman, op. cit., p. 7.

¹⁷ "Task Force Report: Corrections", op. cit., p. 102. C.f. Rieff and Riesman, op. cit., p. 3.

Second, new jobs can be developed to provide sorely needed services which are not now offered because of a lack of manpower. There are services that para-professional workers can perform quite effectively.

Third, those who are now functioning as para-professionals can, through appropriate in-service training and college or university work, be upgraded to professional status.¹⁸

The indigenous worker can more readily identify with the client and thereby bring a totally different perspective to the agency, which can be of invaluable assistance in the rehabilitation process.

As mentioned earlier, however, neither an academic degree nor indigenous or ex-offender status, in and of themselves, qualifies a person to assume a helping role. While personality and temperament are very important, the factor of training is a must.

Orientation and in-service training are considered elsewhere in this report. However, for the purpose of overview, it would be wise to review some general considerations in the training of indigenous workers.

First, continuous on-the-job training should commence as soon as the worker joins the staff. As considerable anxiety could develop with a long period of preparatory training, the para-professional worker should be given tasks as quickly as possible. Initially, assignments should be simple and within the range of the para-professional worker's current skills; as training continues more progressively, complex tasks can be assigned.

Second, rather than take a lecture approach, an activity approach would seem to be more appropriate for para-professional workers, with a heavy emphasis on role-playing.

¹⁸ "Task Force Report: Corrections", op. cit., pp. 102 and 103.

Third, informal, individual supervision - at any time - either at the request of the worker or the supervisor, should be an essential element. This type of supervision should be supplemented by group discussion and supervision.

Fourth, it should be recognized that concepts and theories which are presented properly are within the grasp of the para-professional worker. Clarity and detail should be emphasized with a teaching style that accents the concrete.

In a small agency, it may be that one person will have the responsibility of training the para-professional worker. In a large agency, perhaps a highly organized, separate component will have responsibility for this task. In either instance, good in-service training is essential if the para-professional worker is to be effective and fulfill a meaningful function within the agency.¹⁹

Other than the fact that they are para-professionals and have the proper personality and temperament, the worker must have the capacity and a deep desire to learn and develop as well as a desire to help others.²⁰

Practically speaking, suitable candidates for the para-professional positions may be recruited from probation and parole agencies, the population served by the recruiting agency itself, other social service agencies in the community, neighborhood community groups, penal institutions, departments of welfare, and a host of other agencies, public and private, with direct contact with people, who may be able to suggest numerous names of former or present clients who could adequately fulfill the para-professional worker role.²¹ Several articles have been written on the use of offenders in various types of correctional settings, both public and private. One such article, which covers a range of roles carried out by the ex-offender, is listed below.²²

¹⁹ Rieff and Riesman, op. cit., pp. 20, 21 and 23. C.f. "Task Force Report: Corrections", op. cit., pp. 102 and 103.

²⁰ Ibid., p. 27.

²¹ Ibid., p. 26.

²² "The Involvement of Offenders in the Prevention and Correction of Criminal Behavior", Albert Morris, Correctional Research, Bulletin No. 20, October, 1970.

B. The Halfway House in the Criminal Justice System - Where Does it Belong?

It was noted earlier in this report that the early halfway houses were relatively isolated from the correctional staff and facilities providing them with releasees. They were not considered a part of the correctional or criminal justice system.²³ Some halfway houses in existence today are still somewhat isolated from the "system" and indeed, prefer to remain so. Some community-based services, such as the Youth Services Bureau concept, as formulated by the National Council on Crime and Delinquency, insist on remaining not only independent of, but apart from, the juvenile justice system.²⁴

Vasoli and Fahey note that in comparison to its forebears, the halfway house of today is more frequently closely coordinated with and even a part of the correctional system.²⁵ It is common knowledge that the criminal justice system as it exists today, and even components within that system, such as corrections, are too fragmented, and thus lose much of their effectiveness. Increasingly, reference is made not to the "system" but to the "non-system". It also has been recognized that there have been histories of barriers between institutional and community programs themselves, such as probation and parole, which are frequently administered by different agencies.²⁶

As the Task Force on Corrections notes, "It is clear that new community programs must be integrated into the main line of corrections, if they are to succeed and survive."²⁷

²³ Vasoli and Fahey, op. cit., p. 293.

²⁴ Sherwood, Norman, "The Youth Services Bureau: A Key to Delinquency Prevention", National Council on Crime & Delinquency, Paramus, New Jersey, 1972, pp. 8, 16 and 17.

²⁵ Vasoli and Fahey, op. cit., p. 294.

²⁶ "Task Force Report: Corrections", op. cit., p. 6. C.f. Moeller, op. cit., p. 87.

²⁷ "Task Force Report: Corrections", op. cit., p. 44.

This would seem to support the contention made earlier in this report that the self-containment and isolation of the early halfway houses was one of several factors leading to their failure to survive.

By grants and contracts awarded to both public and private agencies, governmental funding bodies have fostered the phenomenal growth of halfway houses. As a practical stipulation of most grants and contracts, cooperation with other agencies, especially correctional agencies, is required. Such cooperation is an absolute necessity if halfway house programs are to have any measure of success, much less survive. More will be said of cooperative relationships later, but it is noted here to emphasize the fact that halfway houses, no matter who operates them, must have solid ties with other segments of the criminal justice system, and corrections in particular.

Keller and Alper consider halfway houses organizationally related to corrections.²⁸ Controversy about where halfway houses "belong" in the organizational structure of the system have arisen among and between public agencies as they have become involved in their establishment and operation.²⁹ The most reasonable viewpoint offered on this controversy seems to be that, "Despite differing views, it probably matters little whether the management of a center falls under the sponsorship of a public or private agency, or in fact, becomes part of the responsibilities of a probation, parole or correctional institution administrator. Of far greater importance are the quality of the programs offered, the competence and integrity of the center's staff and the working relationships between the center and the correctional agencies that use the resources."³⁰

The issue, therefore, does not seem to be which agency, public or private, should operate halfway houses, but:

²⁸ Keller and Alper, *op. cit.*, p. 15.

²⁹ Moeller, *op. cit.*, p. 87.

³⁰ "The Residential Center: Corrections in the Community", United States Bureau of Prisons, Department of Justice, Washington, D. C.

1. Are halfway houses, public or private, a part of the correctional system?
2. If they are a part of the correctional system, what is their function in relationship to that system?

For public agencies, we can be safe in answering the first question in the affirmative. For private agencies, the majority seem to view themselves as part of the correctional system, but this view is by no means unanimous. As a practical matter, those private agencies who wish to remain isolated from the system will find it increasingly difficult, not only to survive as an increasing amount of public funds go to support privately operated programs, but also will find that the services they could offer to the offender will be severely restricted because of their isolation. As the early halfway houses did, they will undoubtedly continue to service only those released from institutions. In isolation, they will be unable to participate in the "more positive and dynamic role for community treatment centers" that is "a hopeful substitute for the large prison".³¹ Furthermore, they will be unable to assist the offender by offering many services now being delivered by halfway houses over and above the traditional "transitional facility" concept.

If halfway houses, public or private, are truly to be a part of the criminal justice system and serve their clientele most effectively, then strong relationships must be developed with the other components of the system - both at the administrative and line staff levels. This means the whole spectrum of the justice system: chiefs of police and police officers, prosecutors, defense attorneys (especially public defenders), jails, judges, probation and parole authorities (both adult and juvenile), workhouses, houses of detention, prisons and reformatories, training schools and other community treatment center programs in the same geographical area. Here

³¹ "Administration of Justice in a Changing Society", *op. cit.*, p. 69.

we have spoken only of the relationships which must be developed within the system. Many other community relationships need to be developed also.³²

At this point, a question should be asked: "Why corrections in the community?" Our communities are conditioned to the "correctional process" taking place elsewhere. Corrections is too frequently equated with prisons. Unfortunately, notions of punishment still underlie much of the community's attitude toward corrections,³³ and the symbol of punishment is prison.

Although most offenders currently incarcerated in our prisons are from large metropolitan areas, the prisons themselves are usually located away from urban areas. The original reasons for establishing these institutions in remote locations were diverse. To a large extent, those reasons are now outdated, i.e., the communities' interest in banishing the offender to a remote locale, the desire of rural legislators to provide public employment for their constituents and the belief that a rural setting was beneficial and salutary for individuals reared in cities, are just a few.³⁴

Two factors, of which many unfamiliar with the field of corrections are unaware, however, are that only about one-third of all offenders are in institutions, while two-thirds are already under supervision in the community,³⁵ and that approximately 95% of all offenders committed to penal institutions are eventually released and returned to the community. Even though two-thirds are in the community under supervision, the treatment afforded them is more illusion than reality.³⁶

³² "The Residential Center: Corrections in the Community", op. cit., p. 11.

³³ "Task Force Report: Corrections", op. cit., p. 2.

³⁴ Ibid., p. 4.

³⁵ Ibid., p. 1.

³⁶ Ibid., p. 4.

Crime and delinquency are symptoms of failure and disfunctioning of the community as well as of the individual offender.³⁷ The community has its share of responsibility to bear for the conditions conducive to crime and as a result must share in the "responsibility to deal with the results of these conditions".³⁸ With the recognition that traditional penal institutions have not adequately performed their rehabilitative functions, community programs such as halfway houses are being developed in order to reduce the flow of individuals into those institutions.³⁹ While institutional populations have been showing a decrease in many areas of the country, community-based treatment programs are showing a considerable increase.

The best opportunity for successful integration or reintegration of the offender seems to lie in the community itself.⁴⁰

The field of mental health has paved the way for corrections by establishing community-based programs whose aims are to ease the patient's transition back into the community and to prevent their removal from it in the first place, if possible.⁴¹ Adequately trained personnel and other resources which only the community can offer with any degree of quality or quantity are essential for the rehabilitative process. Physicians, dentists, psychiatrists, psychologists, social workers, para-professionals, including indigenous personnel, teachers, vocational counselors, and other personnel, are not to be found in sufficient numbers in places other than metropolitan areas. Resources such as schools, diverse vocational training courses and employment opportunities, mental health centers, recreational opportunities and not least of all, family and friends, are also located in metropolitan areas.

³⁷ "Task Force Report: Corrections", op. cit., p. 7.

³⁸ Keller and Alper, op. cit., p. 108.

³⁹ Ibid., p. 110.

⁴⁰ "The Residential Center: Corrections in the Community," op. cit., p. 1.

⁴¹ Keller and Alper, op. cit., p. 5.

It was noted earlier that we have spoken only of relationships which the halfway house must develop with other components of the criminal justice system, but that many other community resources and relationships must also be developed. To provide a successful and viable program for its clients as well as to achieve its purpose as a community-based program, a halfway house must develop strong relationship with a host of non-correctional or criminal justice agencies, public and private, as well as various citizen and neighborhood groups.

Vocational rehabilitation agencies, including vocational training centers, public and private, medical and mental health facilities, schools, including colleges and universities as well as centers for adult and juvenile basic education, agencies providing family counseling and recreational facilities, chambers of commerce, labor unions, the news media (radio, television, press), employers, civic and fraternal groups such as the Lions, Rotary Clubs, U. S. Jaycees, citizen groups interested in the criminal justice field such as the Alliance for Shaping a Safer Community, and various neighborhood improvement and association groups, are just a few samples of the type of community agencies, groups and resources with which halfway houses must develop strong relationships.

A key function of corrections today is to help the offenders avail themselves of the variety of services they need in order to take advantage of the opportunity structure which they have previously lacked, or to open doors to services which have been denied them in the past.⁴²

Therefore, those who work in corrections must develop the knowledge and skill it requires to see that those services are made available to the offender.⁴³ The answer to the question: "Why corrections in the community?" should now be obvious. The next issue we need to address is the function and place of halfway houses or community treatment centers in relation to the correctional system.

⁴² Moeller, op. cit., p. 84.

⁴³ For a discussion of the availability of community resources in conjunction with correctional agencies, see Mandall, Wallace, "Making Corrections a Community Agency", Crime & Delinquency, Vol. 17, July, 1971.

C. The Function and Place of the Halfway House in the Correctional System

Traditionally, the early halfway houses, including those founded fifteen to twenty years ago, served the parolee or mandatory releasee from penal institutions almost exclusively. Some halfway houses or community treatment centers, however, have developed rather sophisticated programs, and have broadened not only the scope of services they offer, but also the target populations being serviced. Corrections is moving away increasingly from traditional methods of confinement, and community-based programs are being utilized in numerous ways as the appropriate alternatives. Halfway houses or community treatment centers are being developed rapidly and as the range of alternatives for courts and correctional officials broadens for the treatment of the public offender, such alternatives will be increasingly utilized in preference to traditional methods.⁴⁴

As corrections becomes increasingly more community-based, the range of possible alternatives available to our courts and correctional officials will offer a flexibility for the treatment of the offender hitherto unknown to corrections, and will allow for the flow of offenders from one alternative to another, as need dictates.⁴⁵

While the place of halfway houses or community treatment centers has not been decided from an organizational standpoint for either public or private agencies,⁴⁶ the present and possible future functions of such facilities have become increasingly clear. As indicated above, many halfway houses are serving a much wider target population and are being utilized for many other purposes than just the parolee or mandatory releasee. Starting with the traditional populations served by halfway houses, we will list the current uses of community-based residential treatment facilities.

⁴⁴ "Administration of Justice in a Changing Society", op. cit., p. 7.

⁴⁵ "Task Force Report: Corrections", op. cit., p. 11.

⁴⁶ Moeller, op. cit., p. 82.

1. Mandatory Releasee and Parolee

The mandatory releasee or parolee who is in need of a transitional center, and the range of services it offers (see Standards Nos. 10, 11 and 12 under "Program") has always been and still is being served by the community treatment center. The rationale for servicing this population has been to ease their transition back into free society and to buffer the many negative effects of their period of incarceration and isolation from the community.

Until the recent past, parolees were usually received directly upon release from the institution. One innovation, however, recently formalized by Federal law for Federal parolees, is the use of halfway houses for the parolee who is already "on the street", but who is having difficulty in his adjustment and perhaps stands the risk of revocation. Instead of waiting for failure, and sending such an offender back to the institution, the alternative to send him to community treatment centers for more intensive treatment and supervision, while keeping him in the community, is now available. While we are unaware of any state or local jurisdictions which have such formal provisions written into statute or ordinance, parole officers at those levels are using community treatment centers informally for this purpose already. Here is one added alternative to the traditional options of parole or reinstitutionalization.

2. The Probationer

Many halfway houses are increasingly accepting persons placed on probation. Probationers are referred to a halfway house under two sets of general circumstances: First, the court may consider the individual too much of a risk to simply place them on probation to be supervised by an already overworked probation officer, who will be unable to give the needed time and attention to the prospective probationer. At the same time, the court may recognize that the individual in question does not need incarceration in the traditional institutional setting. Therefore, the court may choose to stipulate that, as a condition of probation, the individual agree to participate in a halfway house or community treatment center program. This stipulation takes place prior to the time the person is placed on probation. The alternative just described

has been practiced informally by courts and probation officers at all jurisdictional levels throughout various parts of the United States for the past few years. Its use has been dependent largely upon the intake policies of a given halfway house and whether they have been willing to accept such potential probationers.

Second, an individual may have been placed on probation already, but like the parolee described earlier, may be experiencing adjustment problems in the community, and running the risk of revocation. Rather than revoke an individual in such a situation, the court or probation officer may refer them to a halfway house. Again, intensity of treatment and supervision is much greater, but the benefits of remaining in the community are maintained. The Federal government has also passed legislation formalizing the procedure for utilizing halfway houses for probationers in the situation just described. This alternative is also being utilized informally by many state and local courts and probation officers.

3. The Pre-releasee

For several years, Federal law, and more recently, the laws of several states, have allowed for the release of prisoners to halfway houses or community treatment centers prior to their actual mandatory release or release on parole. The period of time for which an individual is released under this provision ranges from thirty to one hundred and twenty days, although some jurisdictions allow for pre-release status for up to six months. While the pre-release of such individuals is considered an administrative transfer from one "institution" to another "institution", the pre-releasee receives the benefit of community-based treatment and supervision prior in time to the mandatory release or parole. Therefore, when the pre-releasee reaches mandatory release or parole status, he has had the opportunity of working through many of the problems of adjustment, and utilizing the necessary community resources, such as vocational training, employment placement, psychiatric and medical resources, housing, re-establishing family and other community ties, with which the parolee or mandatory releasee newly released to a halfway house is just beginning to cope. Many halfway houses, public and private, are accepting pre-releasees from Federal and state referral sources.

4. Study and Diagnostic Services to Offenders

Depending on their level of sophistication, many halfway houses are now capable of offering study and diagnostic services to courts. Such services are rendered prior to final disposition in court. It was mentioned earlier that the court may consider an individual too great of a risk to place on probation and yet recognizes that the individual does not need incarceration and, therefore, stipulates that they enter a halfway house program as a condition of probation. The court may be able to arrive at this conclusion based on information provided by the pre-sentence report.

Study and diagnostic services, however, is a more formalized method of assisting the court to arrive at a final disposition, especially when the pre-sentence investigation cannot provide enough information about special problematic areas facing the offender. In such instances, the court of jurisdiction may place the offender in a halfway house or community treatment center for "study and observation" for a sixty-to-ninety-day period. During this time, a complete battery of psychiatric or psychological tests are administered, as well as psychiatric or psychological interviews with an accompanying assessment; a complete social history is also developed along with an assessment of the offender's prior record, if any; vocational and/or employment history, assessment and potential, and a record of the individual's progress and behavior while at the halfway house. A prognosis and recommendation is submitted to the court for its consideration for final disposition. Upon completion of study and diagnostic services, the individual may be placed on probation and/or possibly required to remain in the community treatment center, either as a condition of probation with the provisions of the "split sentence"* procedure, or sent to a more traditional correctional institution.

While study and diagnostic services have been utilized with community treatment centers primarily by the Federal justice system, there is much promise that such services will be rendered to offenders at the state and local levels if

* That sentence in which the offender is initially committed for a brief period prior to supervision on probation.

"correctional center complexes" as described in the Task Force Report on Corrections are constructed in metropolitan areas.⁴⁷

5. The Juvenile - Neglected and Delinquent

Halfway houses, or group homes, as they are often called, are being utilized increasingly for the child who is neglected or delinquent. The establishment of such group homes has been increasing at an extremely rapid pace. Many times in the past, the neglected child was placed in detention facilities or training schools along with delinquent children, simply because there were no other resources to draw upon. Without any violation of the Juvenile Code, a child could, in effect, be incarcerated. Not enough foster parents are available to care for these children, and as a result, group homes have been established to meet this pressing need.

Group homes for the delinquent child are serving several purposes. First, they give the court of jurisdiction an alternative to incarceration if the child does not respond to the supervision of his probation officer or social worker. This prevents the child from being sent to training schools, which often are ill equipped to meet the child's needs. A child may be in residence in such a home for well over a year. The child's inability to care for himself, secure gainful employment, and be exclusively responsible for his own welfare, often makes a longer length of stay in a group home necessary.

Second, the group home may be used as a short-term facility for the delinquent child while community resources are brought to bear on the root of his problems, such as family difficulties which may be resolved by intensive counseling in a relatively short period of time.

Third, the group home is also used as a "halfway out" facility for children who have been incarcerated and do not have an adequate home plan.

⁴⁷ "Task Force Report: Corrections", op. cit., p. 11.

The group home may be used flexibly as one of many alternatives for the delinquent child. Community correctional centers seem to be approaching reality more quickly for the juvenile delinquent than for the adult offender. Relatively small institutions with greater security but also intensive treatment for the hyper-aggressive child are being established in metropolitan areas, in lieu of "training schools" located in rural areas. In addition to regular probation supervision, intensive treatment units are being established for children still living in their own homes. Intensive treatment units may have a ratio of one social worker or counselor for every six to ten children. The establishment of group homes in conjunction with the other alternatives listed above will give courts of jurisdiction tremendous flexibility to move the child from one component of the "system" to another as need or progress dictates. It should be noted that all of the alternatives listed above would be based in the community.

6. Use of Halfway Houses for Individuals with Special Difficulties, such as Drug Abuse, Alcoholism and Psychiatric Problems

Halfway houses or community treatment centers are being utilized for target populations with special difficulties such as drug abuse, alcoholism or psychiatric problems. Due to the nature of the problems being treated, the length of stay in such centers is usually much longer than in those servicing the general offender population, often for as long as eighteen months. Many, perhaps most such centers, utilize one form or another of the therapeutic community technique. Especially in the case of drug abuse and alcoholism, such centers are frequently staffed by individuals who have experienced and successfully worked through the problem. In many such centers, professionally trained personnel who have not experienced the problem being treated, were often excluded from the staffing pattern as a matter of treatment philosophy. However, there is evidence that professionally trained staff are now being accepted more readily as a part of the treatment team. Because of the nature of the difficulties experienced by drug abusers and alcoholics, many of them have passed through our criminal justice system. This has occurred usually as a direct result of their problems.

7. Use of Halfway Houses for Individuals Released on Bail Prior to Final Disposition

We have been speaking of some of the traditional and more recent uses and functions of the halfway house in relation to the correctional system. What are some other innovative uses which may be made of halfway houses? What other functions may it serve in the correctional system?

Bail reform has been spreading rapidly in the United States. Federal and many state and local jurisdictions have enacted bail reform measures. Although innocent until proven guilty, it is known that most individuals accused of crimes are from lower socio-economic groups,⁴⁸ and cannot afford ten per cent of the bail set by the court, which is usually required by professional bondsmen. As a result, the poor remain in jail to await final disposition while those more affluent are able to obtain their release.

To remedy the inequity of this situation, "Recognizance Bond" legislation has been and still is being enacted in various parts of the nation. If the individual meets certain criteria, he may be released upon his own signature, promising to reappear in court on the appropriate date. This provision does away with the need for the accused to produce a certain amount of cash or property for his bail.

One of the usual standard requirements is that the individual have roots in the community in which he stands accused, i.e., family, friends, job, etc. Many accused individuals, however, have poor family ties, and poor work histories, which are often the result of educational and cultural deprivation. Not meeting some of the basic criteria, they are excluded from the use of recognizance bond and must await final disposition in jail. The bad effects of this situation have been expounded by governmental commissions, hearings by committees of Congress, and state legislatures, and several publications in professional journals and books.

⁴⁸ "Task Force Report: Corrections", op. cit., p. 2.

The halfway house should consider the possibility (and some already have) of providing services to an individual enabling him to become eligible for recognizance bond. At a minimum, this would include providing shelter and supervision prior to final disposition. However, whether the accused is found guilty or not, they are usually in need of a range of services which the halfway house is often in a position to provide, directly or indirectly. Medical, dental, psychological and psychiatric services, individual and group counseling services, vocational evaluation and counseling services, as well as employment placement services, can all be provided to the accused who has not been found guilty, but who is in need of such services. The delays which occur between the time of arrest and final disposition are often lengthy, ranging from six months to a year or more. Even if the process is speeded up, and the time from arrest to final disposition is reduced to two or three months, there is still much that can be accomplished during this period of time.

The next point is obvious: as most halfway houses deliver their range of services between an eighty to one hundred and twenty day period, a question should be asked: Why not intervene on the client's behalf long before final disposition, and why not deliver needed services prior to final disposition?

If the accused are found not guilty, they are in a much better position after the delivery of these services to pursue a more meaningful and constructive life. In one sense, this approach might be considered crime prevention in the true sense of the word. If the accused is found guilty, a range of services has been delivered already which may well affect the outcome of final disposition, e.g., probation rather than incarceration. In this instance, the halfway house would be in a position to offer valuable information to the court even before a pre-sentence investigation commences. The progress (or lack of it) of the individual found guilty could be reviewed with the court of jurisdiction as well as the investigating probation officer.

Additional or continued treatment plans could be formulated prior to the time of sentencing and if the person is to be placed on probation, made a part of the probation treatment plan. Even if the person is to be incarcerated, the services rendered, progress made, and information obtained need not be wasted, but could be shared with institutional treatment staff to help them formulate a plan for treatment with the client while he is incarcerated. Even if incarcerated, the fact that the individual was willing to avail himself of needed services while on recognizance bond could have a positive effect on how quickly he is released back into the community.

Few halfway houses have experimented in this area, but it seems to be a fertile ground for new uses of the halfway house.

8. Use of the Halfway House for Diversion from the Criminal Justice System

Halfway houses or community treatment centers can be utilized in the future to divert individuals from the criminal justice system. The question of diversion has been discussed in criminal justice circles for some time. Some that were formerly arrested and convicted repeatedly for an offense such as public intoxication are now being diverted from the criminal justice system in some jurisdictions.

When it is realized that in 1965, one-third of all the arrests in the United States were for the offense of public drunkenness, the magnitude of the problem of processing these individuals through the criminal justice system can be appreciated. The burden on police departments, courts, prosecutors, probation and parole officers and jails, as well as other penal institutions, is tremendous.⁴⁹

The criminal justice system seems to be ineffective to alter the behavior of the chronic alcoholic and to meet his underlying medical and social problems. The "system" only

⁴⁹ "Task Force Report: Drunkenness", op. cit., p. 1.

served to remove the publicly intoxicated individual from public view.⁵⁰ The Task Force Report on Drunkenness states that, "The commission seriously doubts that drunkenness alone (as distinguished from disorderly conduct) should continue to be treated as a crime."⁵¹

A general trend seems to be developing in the United States to restrict the scope of the criminal sanction by removing those statutes which tend to regulate the private moral conduct of individuals. Channeling through the criminal justice system those who have committed "victimless crimes" gravely dissipates the resources at the command of that system.

Time, energy, manpower, financial and other resources are diverted from coping with the type of offenses that threaten a community most, and affect the quality of life of its citizens, i. e., various forms of violence and theft.⁵²

If alternative mechanisms are established to deal with victimless crimes, not only is the individual diverted from the criminal justice system, and relieved of the burden of the lasting stigma which is the result of the formal adjudication process, but a greater opportunity exists for obtaining the desired results of rehabilitation.⁵³

The Board of Trustees of the National Council on Crime and Delinquency has issued a policy statement in support of abolition of victimless crime statutes.⁵⁴ There are also a

⁵⁰ "Task Force Report: Drunkenness", op. cit., p. 3.

⁵¹ Ibid., p. 4.

⁵² "Administration of Justice in a Changing Society", op. cit., p. 10.

⁵³ Ibid., p. 11.

⁵⁴ "Crimes without Victims - A Policy Statement", Board of Trustees, National Council on Crime and Delinquency, Crime and Delinquency, Vol. 17, No. 2, April, 1971.

substantial number of individuals at both the juvenile and adult offender levels, who could be diverted from the justice system, well before the point of sentencing, to alternative treatment programs.⁵⁵ As far as juveniles are concerned, this is certainly the thrust of the Youth Service Bureau as espoused by the National Council on Crime and Delinquency.

Legislation has been enacted already by the Federal government permitting drug abusers, for instance, to commit themselves voluntarily for treatment. Federal legislation also allows drug abusers who have been apprehended to be committed for treatment with the consent of the United States Attorney. If the individual successfully completes treatment, criminal charges against him are dropped.

In some areas of the United States, it is the policy of local police departments to take those who are publicly intoxicated to detoxification centers for treatment, rather than charging them with such petty offenses as disorderly conduct and vagrancy. If the person arrested consents to treatment, charges are not brought against him.

Halfway houses as well as public health facilities can be utilized to divert and treat a substantial number of people such as alcoholics, drug abusers, and petty offenders who are currently being channeled through our criminal justice system. Obviously, not all such persons will want treatment, and in those instances, the mechanisms have been created to protect the individual and the community. With the proper legislation, halfway houses can be the focal point of a whole new direction for the diversion of individuals from the criminal justice system.

To return to an issue raised earlier would now be appropriate: if halfway houses serving the offender (primarily the privately-operated halfway houses) do not consider themselves a part of the correctional system, and if they do not establish

⁵⁵ "Task Force Report: Corrections", op. cit., p. 22.

cooperative relationships with correctional and other agencies but prefer to remain relatively isolated, they will be limiting the scope of their services and seriously restricting their participation in future innovative programs. We see this as being true for two reasons:

1. Correctional authorities will be increasingly hesitant to refer individuals to a house or center which does not have some type of cooperative relationship with them, especially as the numbers of such centers grow and the authorities have alternative houses or centers to which they may turn.
2. Without such cooperative relationships, which in themselves make a house or center a part of the correctional system, in fact if not by law, public funds will be increasingly difficult to obtain, whether by grant or contract with public agencies. Relying solely on private sources of income, the vast majority of private halfway houses would have extreme difficulty not only in offering a wide range of quality services to meet the varying needs of its clientele but also in simply surviving. Those who would suffer most, of course, would be the clientele halfway houses are serving, and the community of which both the client and the halfway house are a part.

D. Evaluation and Research

The halfway house has the advantage of helping the client cope with stressful situations under real life circumstances as opposed to the isolated and insulated atmosphere of closed institutions. If the client has difficulties with drug abuse, alcohol, acting out, or any other problem, the staff can immediately respond to problem situations as they develop on a day-to-day basis. Even other forms of community based treatment such as probation and parole, do not have the distinct advantage of close supervision and intensive treatment which is a part of the halfway house structure. If a client does not get up for work in the morning, the halfway house staff knows it immediately. The probation and parole officer may find this out after the client has lost his job. If the client is abusing drugs or alcohol, the halfway house staff will know and be able to deal with these situations almost immediately. The probation and parole officer may find this out after the client has been arrested.

If the client is reverting to criminal behavior, the halfway house staff is in the same position of knowing and acting with great speed. No matter what the situation, there does not seem to be any other form of supervision and treatment currently in existence which is as responsive to the clients' needs.

However, the evaluation and research of the halfway house program is a must and was considered essential by a majority of the respondents replying to the questionnaire. As a result, evaluation and research appears in Standards, Nos. 21, 22 and 23, under "Programs". Some halfway houses are involved in gathering quantitative data on the clientele they serve. Such data is usually necessary for annual reports to the governing body or unit of government sponsoring the programs, as well as to other agencies funding the program. There are any number of variables which may be measured quantitatively. However, halfway houses must also commence qualitative research on the effectiveness of their programs. This is necessary both because those in the field of corrections and governmental funding agencies are increasingly inquiring into the quality of such programs, and also because halfway house administrators cannot afford to

base programmatic judgments on "cumulative experience" or "intuition". Virtually the whole field of criminal justice has always been in this position. Halfway houses must avoid this vicious circle of perpetuating something which may well be ineffective or not changing a program which is not as effective as it could be.

One word of caution is in order. Virtually all of the criminal justice system has been qualitatively unevaluated, as noted above. In their present forms, halfway houses are relatively new. Sufficient resources and time must be allowed these programs to be evaluated adequately from a qualitative standpoint. By the same token, program administrators must have the objectivity to change and modify programs, once valid qualitative results are available. Because the field of correctional research has been so generally ignored, tools of valid measurement have still to be developed. Halfway houses, along with all other components of the correctional field, must be involved in the process of developing valid measurements. However, halfway houses should not now be held accountable for the current unavailability of valid measurements when the field of corrections as a whole has failed to develop them over a period of decades. A sample of quantitative data collection appears in Appendix I.

It is strongly recommended that, as a program is planned, and implemented, a research design created by competent personnel also be planned and implemented. Funding sources and governmental agencies have a special responsibility to make the resources for such research available.

PLANNING AND IMPLEMENTING HALFWAY HOUSES OR COMMUNITY TREATMENT CENTERS

A. Planning

Sound and detailed planning is essential if those wishing to establish halfway houses expect them to get off the ground and survive, much less succeed. For public and private agencies, some aspects of planning will be similar, while others will differ due to the nature of the sponsoring agency. No matter who sponsors the project, someone or some group of individuals will have to assume the responsibility for planning. This is an essential part of the process of establishing a halfway house and more time than some would expect will have to be devoted to it.

1. Establishing the Need

The first and most basic ingredient in planning for a halfway house is to establish whether or not there is a need for one in a given community. If the halfway house is to be sponsored by a public correctional agency, establishing need will not be too difficult a task, as the agency will know how many of the clients it serves are in need of such a facility. However, the public agency will not be able simply to state that a halfway house is needed, but will have to produce the statistics and rationale demonstrating the need.

The private group or agency wishing to establish a halfway house will have to contact the public correctional agencies from whom they intend to draw their clientele and seek their cooperation in obtaining statistics to establish the need. This process, in itself, will provide the private agency with its first linkage with the public correctional agency with which it hopefully will be cooperating in the future. Unless it can be demonstrated that a substantial need exists, and that a halfway house program can be designed to meet a substantial number of these needs, planning for the private or public agency should stop at this point.¹

¹ "The Residential Center: Corrections in the Community", United States Bureau of Prisons, Department of Justice, Washington, D. C.

Again, depending on the target population to be served, a survey will have to be conducted to determine the number and needs of that target population. Some halfway houses may be designed to service a very specific type of offender, while others may be designed to service a varied cross-section of offenders. Therefore, the following breakdown should fairly well encompass the types of target populations to be surveyed. The survey should be based on statistics for a one-year period.

a. The number and needs of mandatory releasees and parolees released directly from institutions, whether local, county, state, or Federal, for felony and/or misdemeanor offenses. Along with this information should be obtained the number and needs of mandatory releasees and parolees already "on the street" who need the services of a halfway house to prevent commission of another offense and/or reinstitutionalization.

b. The number and needs of potential probationers who may not be placed on probation without the services of a halfway house, along with the number and needs of probationers already placed on probation who stand the risk of revocation without the services of a halfway house.

c. The number and needs of pre-releasees who would be placed in the community if a halfway house were established.

d. The number and needs of offenders who could utilize diagnostic and study services.

e. The number and needs of juveniles, neglected or delinquent.

(1) As an alternative to incarceration.

(2) As a "halfway out" facility for those who have been incarcerated.

f. The number and needs of drug abusers and/or alcoholics in need of halfway house services.

g. The number and needs of offenders who could and would be committed to a halfway house upon sentencing rather than to a more traditional type of penal institution.

h. The number and needs of individuals who could be released on recognizance bond if a halfway house existed in the community.

i. The number and needs of those who could be diverted from the criminal justice system if an acceptable alternative were available.²

While most of the above information can be obtained from public correctional agencies, adult or juvenile, some may more appropriately be obtained from public health facilities serving the drug abuser or alcoholic. Many major cities in the United States have such facilities, and most of these would be happy to initiate or cooperate in the establishment of a halfway house by providing the necessary data.

When performing the survey, a specific geographical or jurisdictional area must be pinpointed as the "service area", i.e., from which area clients will be accepted into the program and above any other admission criteria established.

As stated above, the "survey process" will, in and of itself, begin to establish links and relationships with public correctional agencies if a private agency is interested in establishing the halfway house.

² "The Residential Center: Corrections in the Community", op. cit., pp. 2 and 3.

2. Type of Offender or Client to be Serviced

The various types of offenders that could be serviced have been discussed above, and in more detail, earlier in this report. However, it is the responsibility of the planning body to make this determination. Should a very specific type of client be served, or a cross-section of clients? This will depend on the needs of the community in which the halfway house is to be located, and which needs are most pressing. Obviously, one halfway house in an urban setting will be unable to provide for the needs of all possible referrals on the basis of volume alone. Therefore, the planning body will have to establish priorities. These priorities, or the decision as to who will be eligible for admission, should be accurately reflected in the intake policies of the agency, a sample of which appears in Appendix C of this report. The intake policies must be committed to writing. If and when the halfway house becomes a reality, they should be distributed to all concerned agencies. If a public agency is establishing the house, it should distribute the policies to its line as well as supervisory staff.

Intake policies should state the age, sex, and geographical or jurisdictional area from which clients will be accepted. They also should state whether felons and/or misdemeanants are acceptable, the referral sources, whether prospective clients with special problems are admissible to the halfway house, e.g., drug abusers, alcoholics, pre-psychotic, those with a demonstrated pattern of violence, the mentally retarded, the sexually deviant, and if they are acceptable, under what conditions, if any. Furthermore, intake policies should specify the type of client acceptable - i.e., probationer, parolee, mandatory releasee, pre-releasee, study and observation cases, split-sentence cases, defendants released on bail or any other classification which may be appropriate. Intake policies should also establish the procedure by which a client or referral source applies for admission into the program. The decision to accept or remove a client from the program should be vested in the officials of the agency accountable for the operation of the center.³

³ "The Residential Center: Corrections in the Community", op. cit., p. 1.

Keeping in mind that the halfway house has an obligation to the community of which it is a part, as well as to its clients, adequate controls to safeguard the community as well as sound judgment in selection of program participants must be exercised.

This should not be interpreted to mean that the halfway house should accept only those clients whose success is relatively assured, but that it should not accept those types of clients with which it is unable to cope or help. Admittedly, the number of prospective clients who fall into this latter category is a small percentage of the total offender population.

It is at this stage of planning that the purposes and goals of the halfway house must be decided and committed to writing. The planning body should delineate in clear, concise language, the objectives of the halfway house and how these objectives relate to the clientele being serviced, and the community in which the halfway house is to be located. The statement of purposes and goals must also reflect the operational philosophy of the halfway house. In order to achieve the goals set by the agency, all staff must have a thorough knowledge of the objectives and the operational philosophy of the halfway house.

While the operational philosophy may be stated in a more general terminology (as long as it is not so general as to be meaningless), the goals and objectives must be specific and lend themselves to measurement.

3. Type of Program and Services to be Offered

Once the planning body has determined the target population to be serviced and the needs of that population, the type of program and services to be offered can be decided intelligently. It will be noted in Standards, Nos. 10 and 11, under "Program" in Chapter VI of this report, that it is recommended that halfway houses, as a minimum, offer the basic services listed in those standards, or see that their clients have ready access to those services.

The specifics of the program must be committed to writing and made available to the staff of the agency. The program must be constructed so that its effectiveness can be monitored, measured and evaluated by the staff of the agency. This is not to imply that the program may not be flexible, for it must be if it is to effectively meet the varying needs of the clients. However, this does rule out ambiguity. Flexibility and ambiguity are not synonymous. While the first is essential, the second is unacceptable.

Over and above the services listed in the Standards, special programs may be desirable. For example, the halfway house serving the narcotic abuser may wish to see that a methadone program and/or urinalysis testing are available to clients. If the house serves the alcoholic, it may wish to have the special services of an alcoholic treatment unit available, and/or an Antabuse or Alcoholics Anonymous program.

If the house is providing services to the mentally retarded, it may wish to see that a sheltered workshop situation is available. The above examples are not exhaustive, either of the kinds of services available to the types of clients listed, or of the types of clients a halfway house may serve. They are merely examples, and the planning body will have to assume the responsibility of researching the available community resources to deliver the kinds of services needed by its potential clientele.

All halfway houses must rely upon other community resources to supply some of the services needed that are inappropriate or impossible to supply within the facility itself.

4. Obtaining Support of Key Community Leaders

Planners and program managers have the responsibility to promote public understanding and support for the proposed halfway house. This is true for public as well as private agencies. Key community leaders include businessmen, labor leaders, civic leaders, local government representatives such as the mayor and councilmen, civic clubs such as the United States Jaycees, Rotary, Kiwanis and Lions' Clubs, religious leaders, and any other group of influence in a local community.

It is essential to have - if not the support, at least not the opposition of persons who have power and influence in a community. Naturally, it is much better to have their support. Earlier we discussed the establishment of relationships with correctional agencies during the survey process. Now intensive efforts must be made to gain the support of judges, probation and parole officers, and institutional officials. Once these key people support the project, or at least do not oppose it, the chances of establishing a halfway house are enhanced. Using the information obtained from the survey establishing the need for a halfway house, persons of influence in a given community can be convinced of the necessity for establishing a halfway house. The United States Chamber of Commerce has produced two booklets, "Marshalling Citizen Power Against Crime", and "Marshalling Citizen Power to Modernize Corrections", both referred to in the Bibliography of this report. Copies of these booklets can be distributed to key business leaders. The fact that the Chamber of Commerce supports many changes in the criminal justice system may have a positive effect on them.

Planners will want to explain the program in detail to the Chief of Police and other officials. They should be made aware of the program, who will operate it, the services offered, and from where it will draw its clientele.

Several means can be utilized to gather key community leaders together to explain the project. A luncheon can be planned, and a film such as "The Odds Against", "The Revolving Door", or "The Price of a Life", all available from the American Foundation Institute of Corrections, can be shown with a talk explaining the project. If an articulate ex-offender is available and willing, he or she can do much to help win the support of community leaders by relating some personal experiences. A discussion can then take place, and any questions the leaders may have may then be answered. This opportunity may be taken by the planning body to arrange additional meetings, and to find out who is interested in the project. If the sponsoring agency is a public one, a citizens advisory council may be formed. If it is a private one, some members for the Board of Directors or Trustees may be selected.

5. Type and Location of Physical Facility

Another question with which the planning body will have to concern itself is the type, size and location of the physical facility needed for the project. As Standard No. 2 under "Program" indicates, it is preferable to renovate an old facility than to construct a new one, for the purpose of a halfway house. As reflected by question No. 53 of the questionnaire, Section II, most respondents felt construction of a new facility, to house fifteen to twenty residents in addition to office space, would be prohibitive. Most communities of any size have very large homes which are old but often structurally sound. These houses can usually be purchased or rented for a reasonable sum. Renovation of that type of facility is much cheaper than construction of a new one; depending on the size and condition of the building, renovation costs may run from \$25,000 to \$40,000, in addition to the purchase price. At current construction costs, an agency would be fortunate to build a new facility for the same amount of residents and staff for three times that price. Current costs for constructing a traditional type of penal institution now range between \$20,000 to \$30,000 per bed, depending on location. The planning body should utilize the services of an architect to assist in the necessary renovation.

The facility should be located reasonably close to centers of business, industry, schools, social services and other agencies to be utilized by the clientele as well as to public transportation (see Standard No. 5 under "Program"). The type of neighborhood chosen need not be a lower socio-economic one, although most halfway houses seem to be located in such areas. When planning for a physical facility, it should be kept in mind that YWCA's and YMCA's and similar facilities can be utilized for halfway houses also, and the need for renovation is eliminated. However, the closeness of staff and residents is also eliminated, and depending on the purposes and goals of the program, this may be highly detrimental to meeting the objectives of the program.

Prior to selecting a final site for a halfway house, the planning body must thoroughly research all applicable regulations, ordinances, zoning laws, licenses, public health and physical plant requirements. Careful preparation at this stage of planning will save the planners and implementers much time, effort and possible frustration later, when the selected site is to be rented or purchased. It also may well avert a law suit to prevent the halfway house from establishing itself in a given neighborhood, on the grounds of zoning or other violations.

A beneficial by-product of such preparation is that the planning body will be able to project a more accurate budget for capital expenditures, such as renovation and equipment, if it is aware of local requirements and restrictions.

Once a tentative site has been selected, the neighborhood should be involved, prior to the establishment of the facility. Some resistance can be expected, but if the groundwork is prepared carefully, this can usually be overcome. Neighborhood "fears" are the primary problem. The same process used to gain the support of community leaders can be used to gain support of the neighborhood, except that the format need not be a luncheon but a series of meetings, in which the neighbors and the planning body discuss the project fully. Policies such as intake policies, and rules governing the residents, should be discussed fully, as well as the staffing of the center. One or two neighbors should be placed on the citizens advisory council, or perhaps the Board of Directors. Neighborhood fears must be heard and addressed. They should have input and know they have input into some of the details of the project.

6. Personnel, Fiscal and Other Policies

Although intake policies were discussed earlier, there are many other policies that an agency, public or private, needs to operate a halfway house. Public and previously established private agencies will have personnel and fiscal policies. In the case of public agencies, the fiscal policies it already operates under would undoubtedly be acceptable to any outside source of funding. In the case of previously established private agencies, its fiscal policies may or may not be acceptable to outside funding sources, depending on the degree of sophistication of the administration of the agency. New private agencies wishing to establish a halfway house will have to adopt personnel and fiscal policies. Samples of personnel and fiscal policies appear in Appendix D of this report.

The planning body should concern itself with the establishment of such policies which can be modified or changed later to meet different needs, if necessary. If funded by a governmental agency, the planning body should obtain the funding agency's manual for grants, which may contain special requirements in both personnel and fiscal areas. It should not be assumed that any good accountant can automatically set up a fiscal system which is satisfactory to the auditors of a given Federal funding agency. The accountant should receive a copy of the fiscal requirements of that agency. More often than not, he will have many questions to be answered before he can set up an acceptable fiscal system and thereby reduce the possibility of cost disallowance to the agency.

If the agency is a private one, it will need Articles of Incorporation and By-laws, samples of which appear in Appendices A and B of this report. The private agency also should seek tax exemption status from the Internal Revenue Service. The public agency may have to seek legislation authorizing it to establish halfway houses. In any event, the very fact that the agency is public or, if private and incorporated, fulfills Standard No. 1 under "Administration", requiring the agency to be a legal entity or part of a legal entity. The planning body should assume the responsibility of acquiring the necessary authority - if public - or of incorporating the agency, if private.

7. Budget

The planning body will have to create an operational budget for the project. A sample operational budget appears elsewhere in this report. However, for the first year, a capital expenditure budget will also have to be created, for one-time expenses such as renovation and equipment. The budget should reflect the needs and goals of the program. Salary scales should be established for each position in the agency. Salaries for personnel will take up the greater portion of the operational budget, and this should not be considered unusual. As noted elsewhere in this report, salaries must be competitive to attract and retain competent personnel. Halfway house work is long and arduous, and seldom is a forty-hour work week possible, especially for administrative and treatment personnel. Therefore, the planning body should aggressively support adequate compensation for the personnel. Consultation with those who have or are operating halfway houses would be in order, as well as technical assistance from any other reliable source, such as the International Halfway House Association, or the Law Enforcement Assistance Administration.

8. Qualifications and Number of Staff Needed to Administer and Operate the Program

The planning body will have to consider the type of staff needed to administer and operate the program. The services to be offered "in house" by the agency and the services to be rendered by other agencies in the community, as well as the number of clients to be served at a given time, will determine the type, qualifications and number of staff necessary to operate the program. Keeping in mind Standard No. 6 under "Personnel" in Chapter VI, that a balance of professionals and para-professionals is the preferred staffing pattern, and Standards Nos. 3 and 4 of the same section, setting minimum qualifications for professional and para-professional personnel, the planning body may consider any number of staffing patterns. Samples of staffing patterns appear later in this report.

The duties of staff must be spelled out clearly. Qualifications and duties of staff will provide the planning body with a job description for each position it sees as necessary to adequately administer and operate the program. Sample job descriptions are contained in Appendix E of this report. While some few job titles and duties as specified in the job descriptions do not apply totally to public agencies, most do apply to public as well as private agencies.

Any public agency establishing a halfway house will probably operate under a civil service system, and there may be standard job qualifications, specifications and duties for certain staff positions, already in existence. However, even under civil service systems, new job descriptions for certain positions may well have to be developed. For the new private agency planning to establish a halfway house, job descriptions and qualifications for all staff positions will have to be developed. The planning body should concern itself with this task, as all basic principles, policies and initial operating procedures should be reduced to writing prior to any implementation. While this may seem to be an awesome task, it is a most necessary one and help is available to see that it is completed. The planning body, public or private, should take advantage of any technical assistance available from whatever creditable source.

On the precise issue of job qualifications and descriptions, the planning body of a private agency could and should make use of job analyst consultants, provided free of charge by state employment services. Job analysts will write the qualifications and descriptions for the planning body. In the instance of public agencies operating under civil service, a department of personnel would perform that function.

When writing job qualifications and descriptions, whether for public or private agencies, it is necessary to designate one or more staff members to act as liaison between the halfway house and the agencies providing referrals. This may be the Director and/or his assistant, depending on the size of the agency and the number of referral sources with which it cooperates. Examples of such agencies would be courts, probation and parole officers, and institutions at local, county, state and Federal levels.

B. Implementing

Once thorough planning has been completed and funding secured, the actual implementation of the project can commence. A timetable should be created for the accomplishment of specific tasks to implement the project. A timetable would consider such factors as:

1. Site selection and acquisition.
2. Renovation and equipping of facility.
3. Staff recruitment, selection, and orientation.
4. Commencement of program.

The timetable should be a realistic one and allow for the orderly completion of each task. If, for example, renovation of the facility is far behind schedule and residents are scheduled to come into the program momentarily, chaos will develop. In this instance, it would be better to revise the timetable than to accept residents prematurely.

Staff selection is an important process because staff will make or break the program. The personnel policies of the agency will dictate who selects the staff. This process will differ between public and private agencies; public agencies usually have personnel departments, which screen applicants and send the top three qualified applicants to the director or supervisor responsible for operating the program, for final selection.

The private agency may have a personnel committee to select the director, who in turn selects the other staff members of the project.

After orientation and in-service training is completed, residents should be brought into the program on a gradual, scheduled basis, until the facility is full. Filling the house with new residents immediately could have bad effects on the overall program. If a few residents at a time are admitted, they can help in the orientation of other residents as they arrive.

It is very important to keep accurate records from the outset of the project. Forms to be used by the agency should be developed prior to program commencement, e. g., intake or worksheet forms, employment forms, release of information forms, client budget forms, and data collection forms, to mention just a few.

In implementing a project, it is important to commence basic data collection immediately on a number of different variables. Again, a sample data collection sheet appears in Appendix I of this report.

While job qualifications and descriptions will specify staff duties, an organizational chart should be created so that every staff member clearly understands his role, and its relation to other segments of the agency.

As stated earlier, the program should be committed to writing, prior to implementation. Materials pertinent to the program should be made available to cooperating agencies, funding agencies, clients of the program, and the general public. Obviously, the content and format of program materials will not be identical for all of these groups. The public, for example, will not need to know (and may not be interested) in the same detail of programming as would be necessary for the staff.

Forms of communication between the Director and the governing unit, be it a public or private agency, must be established. By the same token, regular forms of communication between the Director, supervisor(s) and line staff also must be established.

For the small agency, it will be no problem to hold regular staff meetings, including the whole staff. For larger agencies, however, this may well be impossible. Therefore, two or more forms of communication should be established - such as meetings between the Director and his supervisors, meetings between supervisors and line staff, and even an intra-agency newsletter so that staff of one component can be made aware of what is happening in other components of the agency.

Avenues for complete participation in their own rehabilitation process must be created for clients. Decisions about their own lives are going to be made all the time; they must be fully involved in the decision-making process.

When corrections comes to the community, there is always potential for difficulty. As discussed earlier, possible repercussions should be reduced prior to the time adverse events occur. This calls for building a substantial amount of good will in the neighborhood where the house is located, and this is the responsibility of both staff and residents alike. Also, the news media should be kept informed of the work and progress of the project. If good relationships are established initially with various components of the news media, then when and if difficulties do occur, the house should have a better chance of having its side of the story heard.

CHAPTER IV

ORIENTATION AND TRAINING OF PERSONNEL IN COMMUNITY TREATMENT AND HALFWAY HOUSE PROGRAMS

Training of halfway house, or community treatment center, staff is an absolute must if there is to be an effective program. This issue was referred to in Chapter II of this Report. While much has been written about training in correctional settings, there has been little differentiation between the types of training correctional workers should receive - in this instance, training for a halfway house setting.

Nor has there been much elaboration on the objectives and goals toward which such training should be directed. Whether the training program is intended for orientation of new staff members, or for on-going, in-service training, the establishment of clearly defined objectives and goals of the training is essential to its success.

"A goal-oriented function will always outperform a non-goal-oriented function. Training programs with well-defined objectives, goals and action units will outperform a training program where you get people together just to tell them all about it." ¹

As noted earlier in this Report, crime and delinquency are symptoms of failure and dysfunctioning of the community, as well as of the individual offender, and a key function of corrections today is to help offenders obtain the variety of services they need to take advantage of the opportunity structure, and to open doors to services which have been closed to them in the past.

¹ "Targets for In-Service Training", published by the Joint Commission on Correctional Manpower and Training, p. 7 (Oct., 1967).

"There has been increasing evidence, that much of what we call criminal behavior is a result of faulty conditioning by major social institutions - the family, the school, religious and recreational institutions, and the world of work. Contemporary correctional practice has not yet gone very far in discovering how to intervene in the activities of these institutions in a way which would be complementary to intervention in the psychological difficulties of individual offenders Until a wide range of community leaders and citizens involve themselves in opening and adapting resource systems into which offenders must gain entry if they are to become law-abiding, little substantial progress can be expected." ²

Previously, we established the rule that the goals and objectives of the halfway house, as well as the target population to be serviced, should be decided and committed to writing during the planning stage. The establishment of this will help determine the direction of orientation and in-service training for any given halfway house.

We must keep in mind that the halfway houses and community treatment centers of today are no longer providing services only to the parolee, mandatory releasee, or pre-releasee. They also are servicing the probationer, and providing study and diagnostic and other services to offenders who have never been incarcerated for any length of time. Therefore, the staff of the halfway house or community treatment center must have the requisite skills to service a wide cross-section of the offender population.

In some instances, this will mean delivering case- and groupwork, and psychological services, to assist the offender in working out intra- and inter-personal problematic areas. In other instances, it will mean offering the offender the opportunity to utilize community resources for his own benefit. In most instances, it will probably mean both.

² "Community-Based Correctional Treatment: Rationale and Problems", E. K. Nelson, Annals of the American Academy Of Political and Social Science, Vol. CCCLXXIV, p. 85 (Nov., 1967).

Most correctional agencies, including halfway houses, do not have well formulated and formalized training programs. The "informal" training program usually means that one has not been developed in conjunction with the philosophy, objectives, goals, and target population of the agency. The process, if it can be called that, is usually haphazard and superficial, and leaves the staff member thoroughly confused. Corrections as a whole has had enough of the "informal" training program. Halfway houses should not tolerate this slipshod manner of preparing its staff to acquire requisite skills.

"Through careful design of training courses, staff learning would be directed toward acquisition of skills and knowledge which are particularly essential to the achievement of the goals of the agency. The content of training is important, but of greater importance is the development of agency goals and the design of a training program that is pertinent to those goals."³

For the purposes of this Report, training is differentiated into three major categories: orientation, in-service training, and academic training.

Orientation and in-service training may overlap initially, when a staff member joins the agency. However, in-service training should be distinguished from orientation in both its length and depth of content. An operational definition of each type follows.

³ "Perspectives on Correctional Manpower and Training", Staff Report of Joint Commission on Correctional Manpower and Training, p. 103 (Jan., 1970).

For the halfway house staff, orientation is that process by which a new staff member is indoctrinated into the philosophy, objectives, and goals of the agency, as well as its techniques, population serviced, and community resources to be utilized in the client's behalf.

The orientation period will have a strong bearing on the attitudes, work habits, and effectiveness of the worker while he or she is employed with the agency.

In-service training is that process by which a staff member expands and builds upon skills already acquired, or acquires new skills to meet changing needs.

"In-service training, although it focuses on present problems, is also concerned with the future. The training process is both a means of achieving immediate goals and a method of preparing personnel so that they will have the flexibility to modify their job behavior in line with future requirements. In this sense, in-service training is not a one-time event in the career of the employee, but a vehicle for continuous growth."⁴

Academic training is that process by which the staff member builds upon present knowledge and skills, or acquires new knowledge and skills through formal course work in institutions of higher learning.

All three types of training are essential to the successful operation of the halfway house.

In developing an orientation or in-service training program, there are certain common elements which must be taken into consideration:

⁴ "Targets for In-Service Training", pp. 1 and 2, op. cit.

First, needs must be identified; second, selection of the program design most appropriate to fulfill the needs, including a determination of the schedule - i.e., short-term, long-term, part-time, full-time.

In orientation, a short-term, full-time schedule would probably be most appropriate. In the instance of on-going, in-service training, a long-term schedule will probably be selected with the choice of either a full- or part-time schedule.

Third is development of curriculum content. What is it you wish to impart? How does it meet detailed specifications of the philosophy, goals, objectives, techniques, treatment methods, etc. of the halfway house? Will field visits, lectures, discussions, role-playing, real-life learning experiences, be a part of the curriculum?

Fourth, what type of materials will be utilized? Case studies, films, books, tests, tapes, questionnaires?

Fifth, who will evaluate the outcome of the training program - the trainer, the trainee, or both? By what methods? ⁵

Once the above five points have been adequately prepared, an orientation or in-service training program can commence. Some practical guideposts, which should be indicators of success or failure of the program, are provided by the answers to some basic, simple questions and observations at the end of the training period: for example, did the trainees actually learn? Has this been indicated by overt changes in their knowledge, skill, attitudes and dispositions to apply new knowledge and skills? If the answer is no, some drastic changes are necessary in the training program. Have the trainees put their newly acquired knowledge and skills into action? If not, perhaps barriers are present within the agency structure or personnel which prevent utilization of the training. Finally,

⁵ Ibid., pp. 40-41.

if the trainees are practicing what they have learned, are they having better results with their clients? If not, the trainer should re-examine what he is teaching. ⁶

Orientation should be utilized for new staff members, students taking field placement at the halfway house, and volunteers. While orientation should be intensive and substantive, it should not be prolonged for more than two weeks on a full-time basis. A prolonged orientation period may produce undue anxiety in the new staff member, student or volunteer, or it may have the reverse effect - with the trainee becoming bored with the whole process and losing the initial interest and enthusiasm which ordinarily accompanies a new experience.

We have just mentioned students and volunteers for the first time. These two resources should not be overlooked by the halfway house. An excellent reference work on the training and utilization of volunteers is "Guidelines and Standards for the Use of Volunteers in Correctional Programs" by Ivan H. Scheier and Judith Lake Berry. ⁷

What has been said of orientation and in-service training thus far holds true for volunteers also. Unfortunately, volunteers do not usually get the kind of orientation and training necessary to make them effective members of the halfway house teams.

"Today's training of volunteers rarely amounts to much more than a cursory orientation to the agency, provided by a staff member who may have little interest in volunteer programs. The prospective volunteer is usually told what the agency does, and how it operates. He is given a set of rules and regulations. If he is lucky, he is taken on a tour of the agency. Obviously, such orientation can hardly provide a firm foundation for effective work by the volunteer." ⁸

⁶ Ibid., p. 53.

⁷ "Guidelines and Standards for the Use of Volunteers in Correctional Programs", Ivan Scheier, and Judith Berry, Contract #J-LEAA-003-71, LEAA, U. S. Department of Justice (1972).

⁸ "Targets for In-Service Training", Ibid., p. 81.

Unfortunately, such a descriptive analysis is all too accurate for many, if not most, correctional agencies. Halfway houses, as community-based programs, should set the example for the most effective and efficient use of volunteers who are members of the very community into which the halfway house is attempting to integrate or reintegrate its clients.

The halfway house should be willing to serve as field placement setting for students, at both the undergraduate and graduate levels. Field placements in correctional settings have always been under-represented, but many halfway houses are now attractive placements for students. A "prestigious internship program can raise an agency's reputation and attract more of the highly qualified professionals to its staff."⁹

In utilizing both volunteers and students, however, the halfway house must recognize that it not only must have a good orientation program, but also must be willing to commit the necessary staff and financial resources to make such programs viable and productive. Volunteers and students need much more supervision than regular staff because of the part-time (and sometimes, short-range) nature of their involvement with the agency and its clients.

Students come to the halfway house primarily to learn, and supervision must be intense. If undergraduate students are accepted for placement, supervision will of necessity be even more intense than with graduate students, who may have some experience in their background, as well as some acquired knowledge and skills.

Following is an outline of some of the concrete elements which should appear in an orientation program. It is not meant to be all-inclusive; those required to develop orientation programs must assume the responsibility of creating a program which is relevant to the philosophy, goals and objectives of their particular agency.

⁹ "Perspectives on Correctional Manpower and Training", op. cit., p. 27.

A. Orientation

1. Introduction of the staff member, student or volunteer to the immediate environment in which they will be working:
 - a. To staff members who will be responsible for supervising them.
 - b. To staff members with whom they will be collaborating.
 - c. To clients with whom they will be working.
 - d. To physical environment of the agency, and the neighborhood in which it is located.
2. Clear identification of new staff member's role in the agency:
 - a. His responsibilities and duties, as outlined in a job description and job specification.
 - b. The responsibilities and duties of other staff members in the agency, both those supervising him and those with whom he will be collaborating, as outlined in job descriptions and specifications.
3. Presentation of a thorough overview of the agency and its functions. If the agency operates more than one program, the staff member must learn what relationships, if any, exist between the various programs and how he can utilize other components of the agency for the benefit of his clients. If the agency has an organizational chart, this will be helpful to the new staff member to gain insight into the agency's operations.
4. Presentation of philosophy, goals, objectives and techniques utilized by the agency.
5. Introduction of basic policies and procedures of the agency. This should include such matters as personnel and travel policies, intake policies and procedures, special requirements which may be imposed by law, funding or contract agencies. This section

should also be used to introduce the staff member to the shalls and shall-nots established by the agency, and to give him a clear understanding of the latitude he has in which to function.

6. Introduction of basic forms the staff member will be required to use and some practical exercises in completing such forms.
7. Introduction of the Criminal Justice System as a whole and corrections in particular. Concurrently, the staff member must have a thorough understanding of the relationship of the halfway house to the Criminal Justice System and to the correctional system, including both its formal and informal relationships.
8. Introduction to collateral agencies and community resources with which the staff member will be working, and which he will be utilizing, including, but not limited to:
 - a. Probation departments.
 - b. Parole departments.
 - c. Jails.
 - d. Penal institutions.
 - e. Courts.
 - f. Mental health agencies.
 - g. Medical agencies.
 - h. Vocational training agencies.
 - i. Educational facilities.
 - j. Recreational facilities.
 - k. Welfare agencies.
 - l. Family service agencies.
 - m. Employment agencies.
 - n. Any other agencies utilized by the halfway house.

It should be noted that the new staff member should not only be introduced to the services provided by these agencies, but also the method of obtaining such services for his clients, as well as methods for developing new resources to cope with unexpected problems. In addition, the new staff member should be introduced to workers at such agencies, at the line level, and given the opportunity to develop a relationship with them. It is important to start with line staff in collateral agencies, for they are usually responsible for intake and service delivery, on a day-to-day basis.

9. Assignment of tasks to the new staff member which are within his immediate capabilities and skills, with the assignment of increasingly complex and difficult tasks as his knowledge and skills grow. It is crucial that close supervision be provided to the staff member during the entire orientation period, and that orientation itself be goal and task-oriented training, with intermediate objectives set out to attain those goals.
10. Introduction to treatment framework of the agency, if such a framework has been adopted. If not, then introduction into a few basic types of treatment modalities, acceptable and compatible with the agency's program.
11. Planned opportunities for the new staff member to give and receive feedback as well as to ask questions and clarify any issues which are not thoroughly understood. Feedback should also include evaluation of the orientation program itself, by both the trainee and trainer. In retrospect, trainees can be extremely helpful in evaluating what was helpful to them, and what was not, what needed more emphasis, what less, what should have been included, and what should not.

Once orientation has been completed, the process of training has only begun. Continuous in-service training, at regular intervals with continual supervision, is absolutely essential if the worker is to continue to grow in knowledge and skills, and be able to adapt to new situations and challenges.

B. In-Service Training

This training can be provided by existing staff who have special skills or knowledge in areas which are useful to the staff and, ultimately, the clients; or by outside consultants with special knowledge and skills. Halfway houses should utilize all of the consulting services provided free of charge by various governmental bodies. Since halfway houses usually are located in metropolitan areas, or perhaps "college towns", institutions of higher education should be utilized to their fullest capability for in-service training. If the university is a state-supported institution, the services may come free of charge. Further, the halfway house staff should have ample opportunity to visit other community-based residential programs, as well as to attend workshops, seminars and conferences germane to community-based residential treatment.

Programs, needs and resources are ever-changing. As a result, continuous, in-service training is a must.

C. Academic Training

Regardless of the level of formal, academic training, all staff should have the opportunity and should be encouraged to take formal courses in institutions of higher learning, in areas which will be of ultimate benefit to the client. If possible, the agency should make financial resources available to the staff to enable them to participate in such courses. Permitting a staff member to work toward a degree or toward a graduate degree should not be excluded from the planning and budgeting of the agency.

If the agency is using para-professional personnel, it is extremely important that an opportunity be provided to allow them to formally upgrade their knowledge and skills in order that a career ladder toward professional status may be established.

"Standards of education, training and experience are intended to insure certain levels of skill and competency."¹⁰

There are currently many courses in institutions of higher learning which are germane to the work of halfway houses, such as psychology, social work, sociology, guidance and counseling, community organizations and urban affairs, to name just a few. However, due to a traditional disinterest in corrections by universities and colleges, many innovations are now required to adequately meet the needs of today's correctional workers.

"The rise of the concept of community-based corrections calls for innovation in educational programs beyond more effective production of undergraduate and graduate students for correctional careers in the usual mold. Corrections is moving into new relationships within community life which call for extension of interest in matters traditionally conceived of as crime prevention and, therefore, outside the province of traditional corrections."¹¹

¹⁰ "Perspectives on Correctional Manpower and Training", op. cit., p. 21.

¹¹ Ibid., p. 96.

FINANCING COMMUNITY TREATMENT CENTERS AND HALFWAY HOUSES

The financing of community-based treatment programs is often a complex and frustrating experience. Whether the agency is private and nonprofit, or Federal or state, insufficient money is a perpetual problem.

However, in recent years, the financial picture for community-based programs has improved, especially since these programs have been legitimized by governmental funding agencies.

Equally important in obtaining funds is the proper management of those funds. Sound fiscal and managerial procedures are vital, not only to maintain sufficient funds for the funding year, but also to obtain future funding.

The publications cited in Footnote 1 provide a method of self-evaluating and upgrading the management of organizations in receipt of Federal funds, whether they are classified as financially dependent - i.e., receiving 80% or more of their revenue from the Federal government, and not having taxing authority - or financially independent. A financially dependent organization is one which is not a state or local governmental agency or any other organization which has its own taxing authority, and one which during its last fiscal year received 80% or more of its total revenue from grants and contracts awarded directly or indirectly (i.e., through subcontract) by Federal agencies. Both public and private agencies can benefit from the use of the publication applicable to them.

The use of these publications prior to the establishment of a halfway house can improve not only the quality of management and insure the best utilization of financial resources, but can also result in a better service delivery system to the clientele being served by the agency. In addition, compliance with the guidelines stated in the publications can

¹ "A Program for Improving the Quality of Grantee Management", Financially Independent Organizations, Vol. I; Financially Dependent Organizations, Vol. II, U. S. Department of Health, Education and Welfare, Office of the Assistant Secretary, Comptroller Division of Grants Administration Policy, June, 1970.

prevent a host of management-employee problems from developing as well as protect the agency from audit findings which can cripple its operations or even threaten its existence.

A. Types of Grants

Each funding agency provides a different type of funding, some requiring a financial match (either "in kind" or cash), and each has its individual restrictions on use of the funds.

In addition to being thoroughly familiar with the financial guides or manuals published by any given funding agency for a particular grant or contract, the grantee agency, public or private, should also be thoroughly familiar with Bureau of the Budget Circular A-87, Attachments A and B, if the funding agency is a Federal one. This circular addresses itself to many aspects of grant administration, not the least of which is the subject of allowable and unallowable costs. Although some Federal funding agencies may fund some programs and even items that others may not, Circular A-87 is the general document setting down basic principles applicable to all Federal funding agencies. All Federal funding agencies are required to follow the guidelines and principles promulgated in Circular A-87.

Every Federal funding agency should have available copies of the Circular, and the Law Enforcement Assistance Administration, U. S. Department of Justice, prints it in its "Financial Guide for Administration of Planning and Action Grants".

Often an agency, public or private, will receive grants and contracts from several governmental agencies simultaneously. A series of publications prepared by the Department of Health, Education and Welfare, obtainable from the Superintendent of Documents, U. S. Government Printing Office, Washington, D. C., is most helpful in determining indirect costs in such situations. The publications are:

- | | | |
|----|--------|---|
| 1. | GAM | "Grants Administration" - Departmental Staff Manual |
| 2. | OASC-1 | "A Guide for Educational Institutions" - Establishing Indirect Cost Rates for Research Grants and Contracts with the Department of Health, Education and Welfare. |

3. OASC-3 "A Guide for Hospitals"
4. OASC-5 "A Guide for Non-profit Institutions"
5. OASC-6 "A Guide for State Government Agencies"
6. OASC-7 "Department of Health, Education and Welfare Procedures for Establishing Indirect Cost Rates Under BOB Circular A-87"

With the exception of the first and sixth items listed, all are subtitled "Establishing Indirect Cost Rates for Research Grants and Contracts with the Department of Health, Education and Welfare", and are referred to in the Bibliography.

H. E. W. has been charged with the responsibility, as the Federal agency establishing indirect cost rates, for all other Federal agencies funding various programs or awarding contracts.

Utilizing the publications and circulars cited so far in Chapter V will greatly assist agencies operating halfway houses to be in compliance with Standards, Nos. 2 and 3 under "Administration" in Chapter VI of this report.

1. Total Grants

Some funding agencies provide the total cost of operating a community-based program, and require no contribution from the agency operating the program. A budget and narrative of what is expected to be accomplished is submitted to the funding agency and the budget is negotiated from that point.

Total grants are becoming more and more limited, since most funding agencies feel that they will not fund the project over a long period of time. Thus, if it is to continue after the major funding source is completed, it must have local support that will pick up the project and continue to maintain it.

Unfortunately, many local funding agencies feel that it is not their role to provide total funding for community-based programs and, at best, they should supply the matching funds. Thus, problems are created when funding sources, both local and Federal, have opposing views on who has the responsibility for maintaining a project.

2. Partial Grants

The more common type of grant is the partial grant, which provides a certain percentage of the total community-based treatment program.

Some funding agencies require a total cash match, while others require an "in-kind" match. Still other funding sources permit a combination of cash and "in-kind" match.

Some of the more common in-kind matches include furnishings of the program, space, volunteer time (calculated at so much per hour), or any specific item of the budget which can have a fixed price tag on it.

The usual match requirement is 25% from the local funds, with the funding source supplying the other 75%. Some match requirements remain the same year after year, while others increase with each year as the Federal source of funds decreases.

As the agency seeks funding, it is important to explore fully all ramifications of the funds, including the following:

- a. Length of grant;
- b. Probability of future year funding;
- c. Match required (cash, in-kind, or both);
- d. Special conditions of the grant, if any; and
- e. Other potential funding sources when initial funding source terminates its participation.

3. Per Diem Contracts

Another possible type of funding of a community-based treatment program is the per diem contract. These contracts are usually available through the states, as well as through some county and city governments.

A determination is made of the cost of keeping one client one day, and this is multiplied by the number of clients in the program. This amount is reimbursed, some time after the closing date, usually on a monthly basis.

The Federal Bureau of Prisons contracts with numerous private halfway houses to provide services to their Federal clients, and this is the method of payment the Bureau uses.

There are several inherent dangers in this type of funding. First, the agency is reimbursed only for actual clients in the program, so if for some reason, the number of clients decreases during any one month (or more), the projected budget would not be met, and the agency could run into problems in meeting its financial obligations.

Second, a new agency cannot afford to operate on this basis, since the first few weeks or months of client support costs must be paid by the private agency before it receives its reimbursement. Usually the funding source on per diem contracts will run anywhere from a few days to a few weeks behind in reimbursement, and unless the agency can finance the program locally, it cannot afford to work on this basis.

B. Budgets

A crucial matter for consideration of any community-based treatment program, whether public or private, is projecting a budget, receiving sufficient funds to implement that budget, and living within that budget. Most agencies operate on either a calendar or fiscal year budget, but some agencies which operate more than one program often have a different fiscal year for each one.

There is no set or "ideal" budget for all agencies. Typically, private halfway houses which assist fifteen clients at any one time, usually have a budget in the area of \$90,000. Federal community corrections centers, with capacities of about twenty-five clients, usually have budgets somewhat above \$110,000.

Much of the funding needs depend upon what services are provided, and the staffing pattern. Often some agencies provide free room and board for college students who serve as counselors, but do not provide a salary. Thus, their costs are considerably below those agencies which provide paid staff.

A typical budget of a private agency for 1967 was as follows:

PRIVATELY OPERATED CENTER (Operating Budget)

Personnel		\$48,304
Full time salaries	\$41,934	
Fringe benefits	6,370	
Contract Services		7,800
Travel		2,400
Space costs and rental		7,500
Utilities	1,200	
House rental	6,300	
Consumable supplies		960
Equipment, rent, and lease purchase		3,300

Other		7,855
Food (14 residents plus 3 staff @ \$1 per day)	6,205	
Telephone	600	
Maintenance and repair	600	
Accounting	300	
Insurance	150	
	TOTAL COST	<u>\$78,119</u>

A typical budget for a Federal Bureau of Prison community-based treatment program in 1967 was as follows:

BUREAU OF PRISONS AGENCY CENTER
(Operating Budget)

Salaries and personnel benefits	\$68,404
Room rent - male @ \$160/wk female @ \$90/wk	8,320
Office rent	3,600
Travel	1,280
Telephone	1,080
Medical and psychiatric services (contractual)	4,000
Food (meal tickets at nearby restaurants)	3,600
Clerical supplies	500
Equipment, maintenance and replacement	300
Contingency fund	<u>1,000</u>
	TOTAL COST (OPERATING)
	<u>\$97,264</u>
Salary and expenses of Employment Spec'list	10,380
Annual gratuity fund	<u>3,000</u>
	GRAND TOTAL
	<u>\$110,644</u>

C. Sources of Funding

Public community-based treatment programs receive public funds to carry on their work with the public offender. Most states provide some type of community-based program, and the Federal Bureau of Prisons operates numerous programs themselves, as well as contracting out to private agencies.

A major concern to the private agency is the source of funds, the length of time the funds will be available, and the amount of funds available.

Some of the major sources of funding for private halfway houses are as follows:

1. Model Cities

In some of the major cities, Model City funds are available to operate halfway houses. These funds are provided some times as a match, but often they pay the entire cost of the program. Model City funds are the only Federal funds which can be used as a match for other Federal funds.

2. Law Enforcement Assistance Administration

In recent years, the Justice Department has provided funds in the area of corrections with a substantial amount going to community-based treatment programs.

Most states now have a State Master Plan. Basically, each local planning unit submits projects it wishes to have funded, along with the budget required (both Federal and local match), and a State Master Plan is established, determining priorities. Most L. E. A. A. funds are given to the states in block grants. Until recently, much of the funding was given to law enforcement agencies to augment police departments. Helicopters, riot control equipment, forensic labs, and other police-oriented equipment was commonly funded. Today, however, by law, more funds are committed to treatment and rehabilitation and as a result, more funds are coming to community-based treatment programs.

The usual match for L. E. A. A. grants is 25% local, which often can be in cash or partly in-kind.

3. Vocational Rehabilitation

At the Federal level, as well as at the State level, the Bureau of Vocational Rehabilitation often allocates funds for halfway houses and community-based treatment center programs. Usually their funds are applied to the purpose of purchasing specific services, such as room and board, transportation, tuition, and medical restoration and examination, but occasionally this Bureau has funded a total program.

4. National Institute of Mental Health

This Institute has become active in the funding of programs for persons with a criminal background, particularly if the background or problem can be shown to have a direct effect on the mental health of the client. In recent years, the Institute has been particularly active in funding programs dealing in the area of drug abuse and addiction.

5. Office of Economic Opportunity

This anti-poverty agency has funded a considerable number of community-based treatment programs in years past. It usually requires a 20% match of funds, and is renewable only on a year-to-year basis.

Grants can come through the local anti-poverty agency or as a direct grant from Washington.

6. Health, Education and Welfare

This Department of the Federal government has many sub-departments which deal in the area of social disabilities. They have been active especially in the area of juvenile programs, both prevention and treatment. Regional offices exist around the country and this regional office should be the first point of contact.

7. Department of Labor

While this Department is especially interested in getting persons back to work, they have funded some programs with an emphasis on employment and/or job and vocational training. Concentrated Employment Programs have been particularly active in various cities around the United States.

8. State

Some states have funds with which to operate community-based treatment programs. Often this money is earmarked for programs operated by the state, but it is more and more common for the state to allocate some of this money for the private, nonprofit community-based treatment center. Usually, this is done on a per diem contract basis, although some states provide a block grant to operate some of the treatment programs.

9. Local

There are numerous sources of potential local funds for community-based programs or halfway houses, but often it is more difficult to obtain these than Federal funding. Some of the local sources include:

a. City - City Councils may have money available, either directly or through one of their existing departments (health, mental health, etc.) to provide assistance - often a match - to halfway house programs. Any request must have support by a majority of the Council, otherwise it will have little hope of succeeding.

b. County - Many counties now have Mental Health and Retardation Boards, which administer local funds as well as some state and Federal funds.

Also, Welfare Departments in some locales have been very helpful in providing room and board payments directly to the community-based treatment centers for those clients who meet the eligibility requirements. They often provide transportation costs, and even emergency clothing vouchers.

c. Community Chest/United Appeal - Most communities have United Way campaigns and much of their funds go directly to programs dealing with social problems. Each community chest agency operates differently, but once in this agency, it usually provides stable, on-going funding.

d. Local contributions - Once the community-based treatment center has been established and adequate (but good) publicity is received, contributions often start to come in with little encouragement from the agency. Many agencies publish newsletters from time to time which make an appeal for funds as well as to keep the membership informed on the progress of the agency.

e. Foundations - Foundations usually provide funds for one of three areas -

- 1) Renovation or purchase of property;
- 2) Equipment;
- 3) Operating costs.

United Appeal agencies often know of other monies from foundations which is available in the community, and banks and investment companies are equally knowledgeable.

f. Fees - Often the agency charges fees for services provided. Usually halfway houses charge the client for part of his room and board, but some agencies receive funds as fee payments for services provided by the community-based treatment program.

10. Title IV-A

Under this title of the Social Security Act, provisions exist for funding of community-based treatment programs for those clients who "in the past, presently, or who appear as candidates for the future" to be welfare recipients.

Each state has a different mechanism for administering these funds with some of the grants being in the form of partial grants, and others being per diem contracts.

All grants, partial or per diem, require a 25% local match.

The prior review of funding sources is not intended to represent all potential sources available, but rather to demonstrate the wide variety of funding sources which are now supplying funds for community-based treatment programs. Each local area should be explored by the staff and board of the agency, to seek out other funding sources.

CHAPTER VI

RECOMMENDED STANDARDS FOR COMMUNITY-
BASED TREATMENT PROGRAMS AND HALFWAY HOUSES

Community-based treatment programs are not homogeneous entities, and as a result, the staff and committee of this project arrived at minimum standards which will apply to all community treatment programs, whether for adult (misdemeanants or felons), juveniles (delinquent or neglected), drug abusers, alcoholics, psychiatric patients, and any other social problem where persons reside in a residential setting.

For convenience and clarity, the sections on minimum standards have been divided into three main categories:

Administration
Programs
Personnel

Where appropriate, commentary has been made on specific standards for the purpose of amplifying and clarifying meaning of content.

All sections of this report which are underlined are minimum standards established by a majority of the International Halfway House Association membership and the staff and committee of this project.

A. Administration

1. Any agency establishing or operating a community-based treatment center will be a legal entity or a part of a legal entity.

If the agency is non-profit, it will be incorporated in the governmental jurisdiction in which it is located. It will have a constitution or articles of incorporation, as well as by-laws, which will meet all the legal requirements of the governmental jurisdiction in which the agency is located.

If the agency is a public body, it will have the authority (preferably statutory) to establish and operate a community-based treatment center.

A sample of the articles of incorporation is attached as Appendix B. The articles will clearly state the following:

- a. Identification of the corporate entity.
- b. Purpose of the corporate entity.
- c. Provisions against conflict of interest of members of the agency or its governing body.
- d. Provisions for tax exemption status to be obtained, after proper application, by a letter of tax exemption under Section 501(c)3 of the Internal Revenue Service Code.
- e. Provisions for amendments to the constitution or articles of incorporation.
- f. Provisions for the distribution of assets in the event of dissolution of the corporation.
- g. Other provisions as are required by the laws of the governmental jurisdiction in which the agency is located.

The by-laws of the agency will provide for and clearly state the following:

- a. Membership in the agency, including types of membership, qualification for membership, and the rights and duties of the members.
- b. Provisions for a governing body.

- c. Number of members in the governing body.
- d. Method of selecting members of the governing body.
- e. Terms of office for members of the governing body.
- f. Provisions for officers of the governing body.
- g. Method of selection of officers.
- h. Term of office for the officers.
- i. Specification of duties of officers and members.
- j. Provisions for standing committees.
- k. Provisions for regular and special meetings.
- l. Establishment of a quorum for meetings of the governing body. (In no case must the agency by-laws allow for less than one-third of the members then in office to constitute a quorum.)
- m. Responsibilities of the governing body.
- n. Use of parliamentary procedures.
- o. Provisions for recording minutes of meetings of the governing body.
- p. Methods of amending the by-laws.
- q. Provisions against conflict of interest of members of the governing body and the agency.
- r. Specification of the relationship of the Chief Executive to the governing body.

2. Each community-based treatment center, whether public or private, will establish personnel policies and make them available to all employees.

The Personnel Policy Manual will contain the following:

- a. Organizational chart.
- b. Method of employment, and promotion.
- c. Method of resignation, suspension, and termination.
- d. Person or persons responsible for employment, promotion, resignation, suspension, and termination.
- e. Grievance procedure.
- f. Job qualifications and descriptions.

- g. Employee evaluation.
- h. Personnel records.
- i. Salaries.
- j. Hours of work.
- k. Benefits.
- l. Attendance at academic courses related to work.
- m. Attendance at workshops, conferences, etc. related to work.
- n. Holidays, leave with and without pay.
- o. Other policies practiced by the agency.

3. The agency will manage its financial affairs in accordance with standard accounting practices, legal requirements, and the guidelines and regulations of any public body or other agency, foundation or funding source sponsoring the program.

Additional requirements and expectations of the agency will be:

- a. The agency's annual budget will reflect and anticipate its needs as well as the resources for meeting its needs and goals.
- b. A full audit will be conducted annually by an outside, independent accounting firm.
- c. Financial reports will be prepared and submitted to the governing body at regular intervals, but no less than quarterly.
- d. Fiscal policies of the agency will be written and will provide for a standard and acceptable system of internal fiscal controls.
- e. Provisions will be made to bond staff and board members who have any responsibility for funds of the agency.
- f. The agency will have a written policy for cash disbursements.
- g. The agency will maintain time sheets on all employees to determine and justify salary expenditures.
- h. The agency will have a written policy for purchasing and receiving procedures.
- i. The agency will have a written policy for inventory control and methods for conducting inventory.

B. Program

1. The physical facility to be used for the community-based treatment program should be either constructed or renovated, as well as adequately equipped and located, as to promote the most efficient and effective operation possible in order to achieve program goals.
2. It is preferable to utilize and, if necessary, renovate an existing structure than to design and construct a new facility for use as a community-based treatment center. Not only is it more economical, but it is also more conducive to achieving the goals of a halfway house program.
3. The physical condition of the building will be such as to meet the minimum electrical, plumbing, sanitation, building, fire and other applicable codes of the governmental jurisdiction in which the treatment center is located.
4. Adequate food service facilities, meeting all sanitation and health department codes, will be made available for community-based treatment facilities.

If food is served in the facility, the quality and quantity must be such as to meet the nutritional needs of the clients. Balanced meals of breakfast, lunch and dinner must be made available.

If food service is "contracted out" to a local restaurant, the restaurant chosen must be one in which staff members themselves would not hesitate to eat. In this instance, staff members have a particular obligation to determine that their clients are being properly fed and are receiving what the agency is contracting for. "In house" food service is clearly preferable to contracting out such a service. Meal time fosters cohesiveness among staff and residents. Practically speaking, many things about a client or group of clients may come to light during the relaxed atmosphere of the meal hour, which otherwise would go unnoted and unattended. If a community treatment center is to be more than a place of shelter, with some counseling offered, it is almost imperative that food service be offered "in house" even though the

cost may be slightly higher. The returns gained by "in house" food service far outweigh the difference in cost when food service is contracted out.

5. The community treatment center should be located in an area reasonably close to public transportation, employment, and vocational opportunities; medical, psychiatric, recreational and other community resources; and agencies to be utilized by the community treatment center for its clients.

This does not mean that the center must be located in the center of the city or in lower socio-economic neighborhoods, where many of the agencies and services referred to might be available. It means that provision must be made so that clients have those services and agencies at their disposal when they need them.

6. The community treatment center must be adequate in size to meet the needs of the program and comfortably accommodate the number of clients it serves. Adequate provision must be made, not only for sleeping space, but for lounging areas, staff offices, rooms for group and individual counseling, etc., as determined by the governing regulatory body.

7. The resident capacity of a community treatment center must not exceed twenty clients. There should be no more than three residents per sleeping room.

The one notable exception to the above standards is the so-called "therapeutic community setting", where there may be up to thirty to sixty residents. However, even in juvenile group homes, where clients may be in residence for long periods of time, it is not approved to have more than twenty clients in residence at the same time. The "therapeutic community" settings referred to are those whose orientation is the alleviation of drug abuse, alcohol or psychiatric problems. Community treatment centers, where the client's normal length of stay is ninety to one hundred and twenty days, lose their effectiveness with large populations. The whole concept of a community treatment center, whose residents remain for a limited period of time, is predicated on giving the

client as much and as intensive treatment as possible in the time allotted. Such a program cannot be effective with a large population. With the amount of turnover in resident population, staff could not begin to really know their clients as they need to, in order to help them make some constructive changes and in order to prepare them for full re-entry into the community.

8. First aid equipment will be available at all times to handle cases of medical emergency. Obviously, this standard refers to minor injuries or to those serious injuries requiring immediate action before professional medical attention can possibly be obtained. Staff members should be knowledgeable in the basics of first aid.

9. The agency will develop, have in written form, distribute to its staff, and post in a conspicuous location, the details of an emergency fire plan. New staff members will be given a complete orientation of the fire plan, while older staff members should be tested at least quarterly to insure awareness of what action to take in case of fire.

Each staff member must be aware of his or her role in case of fire. For example, who is assigned to notify the fire department? If they are not present, or are incapable of doing so, then who is to notify the department? Which staff members are responsible for clearing clients out of which section of the center? What routes of exit are to be used? If these are blocked by fire, what alternate routes are to be used? Staff must be fully aware of how to operate fire extinguishers, and what type of extinguishers are meant for what types of fires.

10. The agency will clearly state in writing its purposes, programs, and services offered. This will be done in a form suitable for distribution to staff, clients, referral sources, funding agencies, and the general public. Its program and services must have a direct relationship to its stated purposes as they appear in the agency's constitution, articles of incorporation, by-laws or statutes if the agency is part of a public entity. The program and services of the agency must be based upon identified needs in the community in which it is located.

11. An agency operating a community treatment center program will provide the following services:

- a. Shelter
- b. Food service
- c. Temporary financial assistance
- d. Individual counseling
- e. Group counseling
- f. Vocational counseling
- g. Vocational training referral
- h. Employment counseling and referral.

12. The agency, if it does not itself provide, will see that its clients have ready access to:

- a. Medical services, including psychiatric and dental care
- b. Psychological evaluation
- c. Psychological counseling or therapy
- d. Vocational training
- e. Vocational and/or employment evaluation
- f. Employment placement
- g. Academic upgrading, e.g., G.E.D., college courses, etc.
- h. Any other services as needed by the type of program operated and the particular needs of individual clients.

13. In general, the agency will provide clearly identified resources that are relevant and essential to the successful conduct of its programs, and will utilize the resources of other agencies in order to provide services needed by its clientele but which cannot or should not be provided by the agency operating a community treatment center.

Agencies operating community treatment centers must offer services which have the potential to have substantial impact in helping the client resolve his problems. If the program is treatment-oriented and not simply used as a temporary place of shelter, then the agency must not become trapped in the game of statistics, i.e., how many clients were "served" during the year. If statistics or volume become more important than the needs of the client, the client will not be served

effectively, and the purpose of the program will be defeated. If a client needs intensive services for three or four months in order to have a realistic chance to avoid recidivism and lead a constructive life, then the program should allow for this, even though it may mean accepting fewer clients over the period of a year. "Processing" people has become standard in corrections. As one of the more hopeful and constructive alternatives to traditional methods of correctional rehabilitation, community treatment centers should strenuously avoid "processing" clients without really servicing them. Community treatment centers may be under pressure to "process" clients rather than to deliver substantive services from some of their referral sources. This is true for various reasons, one of which is the workload pressure and lack of resources referring agencies suffer themselves.

While their predicament is understandable, community treatment centers will not serve their clients, the community or the cause of true correctional rehabilitation if they succumb to such pressures.

14. The agency will establish clearly defined and written intake policies and procedures. Such policies and procedures will state the type of client acceptable for admission to the program.

- a. Intake policies will be disseminated to all referral sources.
- b. Clearly defined age limits for admission to the program will be established by the agency.
- c. Any category or categories of potential clients not eligible for admission into the program must be stated clearly in the intake policies.
- d. Prospective clients ineligible for admission for services, and their referral sources, must be informed of the reasons for their ineligibility. When possible, the ineligible clients should be referred to other agencies for services.
- e. The process of intake is an important one and must be understood by referring agencies and prospective clients alike. However, before this is possible, the community treatment center must

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- e. The process of intake is an important one and must be understood by referring agencies and prospective clients alike. However, before this is possible, the community treatment center must

define clearly the types of clients it will or will not accept. Clear intake policies prevent confusion, arbitrary decisions, and ill feeling between the community treatment center and referral sources.

15. Program goals and services to be offered will be discussed with the individual client.

It is very important that the client understand what to expect in services and what, in turn, the agency expects from him. It is best that as much discussion and agreement as to individual program goals, services, rules and expectations, take place prior to the entry of the client into the program, if this is at all possible. As much preliminary work as possible should be done prior to the client's entry into the program, so that both client and staff can concentrate on achieving individual program goals in the time allotted to them.

16. The individual treatment program established will be done with a maximum degree of involvement of the client.

The fallacy of unilaterally superimposing treatment plans upon clients has been proven repeatedly. Common sense alone dictates against this approach; however, an even more valid rationale for involving the client in developing his own treatment program is that the process has a much greater chance of eliciting his emotional involvement, commitment, and active support. Further, one goal shared by all community treatment centers is to help the client become responsible and independent. There can hardly be a better time for commencing this process than when the client becomes involved in his own treatment goals. Further, the process gives the client a feeling of self-worth as well as a feeling that he has some control over his own future; feelings he may not have experienced for some time.

If the above process is followed, the agency may wish to develop a written "contract" with the client. This may serve to reinforce the client's commitment to his treatment goals. The actual form the "contract" takes is entirely up to the agency to develop.

17. The agency will develop procedures for evaluation of its clients in order to determine client progress in the program. Conferences, formal or informal, will be held regularly to review such progress and to alter or develop further treatment plans. For the greatest effectiveness, clients must be involved deeply in their own evaluation process.

Evaluation procedures should be established in order to measure client progress (or lack thereof) in the program. Evaluation should be based on both objective and subjective criteria. The client must be involved in this process, however, if it is to be effective. The client brings his or her own perspective to the evaluation process, and the process itself gives the client the opportunity to face up to realities, some of which may be pleasant, others unpleasant. This process in itself is therapeutic. Involvement of the client also gives the opportunity to respond if he feels he is being dealt with summarily, or unfairly, by the staff. How he is involved in his own evaluation is up to the individual agency to decide. Group evaluation, including staff and clients, may be one means.

18. The agency should actively participate in community planning organizations as they relate to the agency's field of service, and should conduct a program of public information, using appropriate forms of communication such as the news media, brochures, speaking engagements, etc., to encourage understanding, acceptance and support of its program. Information should be disseminated to other agencies, civic, religious, fraternal, labor, business and industrial groups.

19. The agency will maintain accurate and complete case records, reports and statistics necessary for the conduct of its program. Appropriate safeguards will be established to protect the confidentiality of the records, and minimize the possibility of theft, loss or destruction.

Case records, reports and statistics accomplish several purposes. First, they allow several staff members working with one client to gain the broadest possible perspective of the client, his problems, and his progress. They provide for a continuity of pertinent information about the client which can be utilized by several people or agencies on the client's behalf.

Statistics allow the agency, staff, chief executive officer, governing body and funding agencies, to make an accurate assessment of the factors for which statistics are being kept.

Case records are confidential, and as such, all precautions must be taken to protect the information contained therein. The client has a right to such protection. This would include locking files in file cabinets and in locked offices; case records should be inaccessible to anyone but authorized staff. An example of violation of file security would be when a counselor leaves a case record on his desk, and leaves the office without locking it, even though other than authorized staff could easily gain entrance to his office, and see confidential material.

20. A single case record for each client admitted to the program or served by the agency will be maintained so as to communicate clearly, concisely and completely, appropriate case information.

21. Individual case records will be maintained on a current basis, and will include:

- a. Identification data
- b. Reports from referring sources
- c. Pertinent case history
- d. Diagnosis, when appropriate
- e. Problems and goals
- f. Referrals for service to other agencies
- g. Evaluation or progress reports
- h. Correspondence pertinent to the case
- i. Record of significant incidents, both positive and negative
- j. Signed release of information form, where appropriate

- k. Current employment data, including place of employment, date of employment, job title, rate of pay, record of client earnings
- l. Discharge report, including summary statement.
- m. Other information necessary and appropriate to the program and/or individual client's case.

The importance of maintaining individual case records in a community residential treatment center cannot be over-emphasized. Incidents, events, progress and problems, develop constantly and rapidly, and must be dealt with accordingly. Adequate judgments about what course of action to take in a given situation, in a particular client's case, cannot be made if communication between staff members is not at the maximum. This means client records must be current.

There are standard types of information included in "Client identification data", and such information can be obtained by collecting a number of intake forms or work sheets from social service agencies, and adapting them to the needs of the agency operating the community treatment center.

Reports from referring sources are important because they can give the staff background information on the client-- problems and successes. Such reports, if reasonably accurate and recent, can achieve the result of diminishing the need to develop background information by community treatment center staff, thereby giving them more time for active service delivery to their clients.

Any event or action taken on behalf of or with the client should be recorded in the individual case file in order to provide a record on continuity, as pointed out above. Recording of employment data is extremely important. Whether one agrees with the philosophy or not, we operate in a "work oriented" society. Many problems the resident faces are often connected with work. The "success" of an agency operating a community treatment center may be judged heavily

by funding agencies by the number of clients it has helped to obtain gainful employment. The availability of such data may mean the continuation of funding, or lack of it. Furthermore, and more importantly, the community treatment center itself should have such data to indicate whether or not the client's job mobility is static, upward or downward.

Any reports or forms which the agency utilizes for its clients should be included in the client's file. Obviously, the nature and number of such reports and forms will vary from agency to agency, depending on the orientation of the program, its general goals, level of sophistication, etc.

22. Agencies operating community treatment center programs will establish methods and procedures for evaluating the effectiveness of the programs.

23. Evaluation must measure the outcome of the program and services in relation to the agency's stated purposes and goals. Program and service effectiveness must be measured by recognized evaluation techniques, and when possible, by formal research.

24. The results of evaluation and research should be reviewed on a systematic basis by the staff and governing body to determine:

- a. the effectiveness of program and services in fulfilling the stated purposes and goals of the agency, and
- b. as the basis for change, modification or addition to the program and services offered by the agency.

An adequate data collection system must be devised in order that information necessary for evaluation may be recovered easily and quickly. Data collection needs will vary from agency to agency, but each agency should develop a system. Technical assistance should be sought in this area if staff do not have the knowledge, expertise or experience to construct such a system. There are many types of evaluation, ranging from the very informal interpretation of raw

data to highly specialized research. However, even the basic systematic collection of raw data, with some thought and analysis, can usually prove helpful in arriving at sound administrative or programmatic decisions. The days of "cumulative experience and intuition" in arriving at such decisions and in determining effectiveness must be over. The fallacy of this approach has been proven repeatedly.

A community treatment center cannot honestly determine what changes, modifications or additions to its program and services are needed without some type of systematic evaluation. Again, we approach the question of resources: only so many resources are at a given agency's disposal. To be utilized efficiently and effectively, programs and services based upon solid knowledge and data are an absolute necessity.

C. Personnel

1. The agency must employ competent and qualified staff to provide the services essential to achievement of program goals and client needs.

Competent personnel must be retained to provide the services essential to implement fully the agency's program. Caution must be exercised against understaffing the program.

"Competent personnel" is interpreted to mean not simply those qualified by academic background, but also by personality and temperament for the type of program operated. There is a great upsurge today in the size of indigenous personnel and ex-offenders in community treatment center programs. Suffice it to say that an academic degree alone does not qualify an individual to work in a community treatment center setting, any more than does the fact that the potential staff member is an ex-offender.

2. The agency must provide competitive salaries and benefits in order to attract and retain competent personnel.

All too frequently, agencies - both public and private - have inadequate salary structures, and are nothing other than training grounds for new personnel entering the field. This does injustice to the client, the program, and the agency.

Anyone with experience in the area of community treatment centers will testify that a dedicated, competent, hard-working staff is a must for success. The concept that "job satisfaction" should be sufficient to reward the staff member and compensate for inadequate salaries is nothing short of ridiculous. Industry and business expect competence, dedication and hard work. This does not preclude their paying adequate salaries. If they did not, their organizations would have an extremely high turnover, and would be hard pressed simply to survive. Unfortunately, we have seen that situation in correctional rehabilitation for too many years, with consequent results.

3. Minimum qualifications for professional staff will be four years of college, plus two years of experience in social service, or a Master's degree in one of the behavioral sciences. Experience may be substituted for educational background, but the ratio of such substitutions must be spelled out clearly in job qualifications. However, when standards of qualification have been established by recognized professional groups, the agency will not adopt less than those as minimum standards for its professional staff.

It is extremely important that professional staff have the qualifications and experiential background to provide services to clients of the center. Empathy, concern and care are absolutely essential in any therapeutic relationship, but in and of themselves are not adequate substitutes for knowledge and expertise. Professional staff need a combination of both.

4. The agency will establish standards of qualifications for its para-professional personnel. The questionnaires returned indicated an attainment of one and a half years of college, and one year of experience was preferred.

Again, experience may be used as a substitute for education, but this must be indicated clearly in the job qualifications. The agency must make special efforts to obtain or provide for adequate training of its para-professionals. As an example, such training may include proper use of community resources, orientation to special problems such as alcoholism and drug abuse, and dynamics of individual and group counseling, etc.

5. When standards of qualification have not been established by an organization or group for a particular position, the agency must establish reasonable qualifications and an on-going assessment of competence in job performance.

6. A balance of professionals, para-professionals and ex-offenders is the preferred staffing pattern.

All of the above mentioned groups of employees bring their own backgrounds and perspectives to their work. For example, there are certain elements of client problems, the

nuances and undercurrents of which professional staff would have a difficult time in grasping. With the same client problem or situation, a para-professional or ex-offender may be in a better position to understand the difficulty and help the client to resolve the problem.

By the same token, situations may arise which call for the special knowledge and expertise that the professional brings to his work. Both perspectives have validity in helping the client arrive at a solution to his problem. A staff composed totally of professional personnel may well fail to understand many of the dynamics at work within their client population.

A staff composed entirely of para-professional and ex-offender personnel will fail to bring the specialized knowledge necessary to cope with certain problematic areas.

APPENDICES

QUESTIONNAIRE

Appendix A
Section I

INTERNATIONAL HALFWAY HOUSE ASSOCIATION

QUESTIONNAIRE

1. What is the name of your halfway house?
Address: _____
2. What is the number of residential facilities your agency sponsors?
3. What is the average number of residents accommodated by your facility(ies)?
First facility: _____ Second facility _____
Third facility _____
4. When was your halfway house facility opened?
5. Is it incorporated?
6. Is it a non-profit agency?
7. If non-profit, is it tax exempt?
8. What type of agency sponsors the halfway house program?
(Please circle appropriate number or letter.)
A. Governmental
B. Private
 (1) Nonsectarian
 (2) Religious
9. What type of population does your halfway house serve?
(Please circle more than one number, if appropriate.)
A. Adult
 (1) Probation
 (2) Parole
 (3) Pre-release
 (4) Post-release only
 (5) Alcoholics
 (6) Drug abusers
 (7) Mental health
 (8) Halfway in program (probation)
 (9) Other (please describe)

- B. Juvenile
 (1) Probation
 (2) Parole
 (3) Pre-release
 (4) Post-release
 (5) Alcoholics
 (6) Drug abusers
 (7) Mental health
 (8) Halfway in program (probation)
 (9) Other (please describe)
10. Sex of residents. (Please circle appropriate letter.)
A. Male
B. Female
C. Both Male and Female
11. Which category best describes the operating philosophy of your program? (Please circle appropriate letter.)
A. Staff-directed
B. Staff/resident-directed
C. Resident-directed
D. Other (please describe)
12. Please circle the age limits your program has or will accept. (Please circle all that apply.)
A. 10 - 12
B. 13 - 14
C. 15 - 16
D. 17 - 18
E. 19 - 25
F. 26 - 35
G. 36 - 45
H. 46 - 55
I. 56 - 60
J. 61 and over
13. What is the average length of stay in number of weeks for your residents?
14. Is participation in your residency program
(Please circle appropriate letter)
A. Voluntary
B. Involuntary
C. Both
15. Does your halfway house provide the following?
(Please circle appropriate letters.)

- A. Room and Board
B. Board only
C. Room only
16. Is client participation in your house program
(Please circle appropriate letter.)
- A. Voluntary
B. Involuntary
C. Both
17. Does your agency provide the following services, or
are they provided by other agencies in the community?
(Please circle appropriate letters.)
- Case work or individual counseling services:
- A. Your agency
B. Other agency
C. Not provided
- 17(a). If provided by your agency, are individual casework
or counseling sessions scheduled regularly?
Yes _____
No _____
- 17(b). If yes, how frequently?
- A. Less than weekly
B. Once a week
C. Twice a week
D. More than twice a week
18. Medical services, other than psychiatric, are provided by:
(Please circle appropriate letter.)
- A. Your agency physician
B. Other agency physician
C. Not provided
19. Employment placement and vocational counseling services
are provided by:

- A. Your agency
B. Other agency
C. Both
D. Not provided
20. Educational services are provided by:
- A. Your agency
B. Other agency
C. Both
D. Not provided
21. Recreational programs are provided by -
(Please circle appropriate letter(s).)
- A. Your agency
B. Other agency
C. Both
D. Not provided
- 21(a). If provided, is the program conducted by -
(Please circle appropriate letter.)
- A. Paid staff
B. Volunteer staff
22. Does your agency provide religious counseling?
Yes _____
No _____
23. Does your agency provide religious services in the
house?
Yes _____
No _____
24. If religious counseling or religious services are pro-
vided, are they mandatory?
Yes _____
No _____
25. Does your residential program have an outclient
component?
Yes _____
No _____

26. If your agency has an outclient component, to whom is the program open?
(Please circle appropriate letter.)
- A. Former residents only
 - B. Nonresidents only
 - C. Both
27. If your agency has an outclient component, which of the following services are offered to your outclients?
(Please circle all appropriate letters.)
- A. Casework or individual counseling
 - B. Groupwork or group sessions
 - C. Psychiatric services
 - D. Psychological services
 - E. Medical services
 - F. Employment placement and vocational counseling services
 - G. Educational services -
 - (1) Academic
 - (2) Vocational
 - H. Religious
 - I. Religious services in-house
28. Is your halfway house licensed by Federal, state, county, city, or other governmental unit?
Yes _____
No _____
- 28(a). If yes, by whom?

29. Does your agency collect follow-up data on your former residents?
Yes _____
No _____
30. Does your agency collect follow-up data on former outclients?
Yes _____
No _____

31. Does your agency conduct research on the effectiveness of its halfway house program?
Yes _____
No _____
32. Does your agency conduct research in areas other than its halfway house program?
Yes _____
No _____
33. If your agency has a research component, who conducts the research?
(Please circle appropriate letter.)
- A. Your agency
 - B. Other agency
34. If your agency has a research component, was it an initial part of the program?
Yes _____
No _____
35. If your agency has a research component, was this required for the funding of your program?
Yes _____
No _____
36. What are the academic qualifications of the Director of your program?
(Please circle appropriate letter.)
- A. Less than a B. A. Degree
 - B. B. A. Degree
 - C. Master's Degree
 - D. Beyond Master's Degree
37. In your agency, can experience for professionals (degreed) be substituted for years of schooling? Yes ____ No ____
(Please circle one of the following letters.)

- A. No experience substitutes for college
 B. One year of experience for one year of college
 C. Two years of experience for one year of college
 D. Other (Please describe) _____
- 37(a). If your answer to Question 37 was Yes, is ratio pre-determined?
 Yes _____
 No _____
38. What are the average qualifications of your -
- A. Treatment staff (para-professional)
 (1) Years of college _____
 (2) Years of experience _____
 B. Treatment staff (professional)
 (1) Years of college _____
 (2) Years of experience _____
 C. What percent of present staff has been clients of your program or one of a similar nature?
 _____%
39. What is your ratio of -
- | | Actual | Recommended |
|--|--------|-------------|
| A. Professional treatment staff to residents | _____ | _____ |
| B. Para-professional treatment staff to residents | _____ | _____ |
| C. Para-professional treatment staff to outclients | _____ | _____ |
40. Does your agency have written personnel policies?
 Yes _____
 No _____
- 40(a). If Yes, do policies include -
 (Please circle appropriate letter.)
- A. Salary scales
 B. Vacation and sick leave
 C. Retirement
 D. Medical and/or hospitalization

- E. Staff qualifications
 F. Grievance procedure
 G. Other (please describe) _____
41. Does your agency provide scholarship and financial assistance to staff members to further their academic training?
 Yes _____
 No _____
42. List the type of treatment consultants your program utilizes:
- A. _____
 B. _____
 C. _____
 D. _____
43. List other types of consultants your program utilizes:
- A. _____
 B. _____
 C. _____
44. What is the governing body of your agency?

- 44(a). What is the size of the governing body?

45. If your agency is governed by a volunteer board, what is the general composition?
 (Please circle appropriate letters:)
- A. Professionals in the field
 B. Other professionals
 C. Clergy
 D. Government officials
 E. Ex-offenders
 F. Business executives
 G. Labor union officials
 H. Other (please describe) _____

46. Do you have provisions for rotation of Board members?
Yes _____
No _____
47. How many times a year does your Board meet? _____
48. Does your agency have advisory boards?
Yes _____
No _____
- 48(a). If Yes, is it -
(Please circle appropriate letter.)
- A. Citizen advisory board
B. Professional advisory board
C. Both
49. Did you contact interested community agencies to establish a need for your services?
Yes _____
No _____
- 49(a). If Yes, what agencies did you contact?

50. Please circle the general type of zoning which prevails in the area of your facility(ies)?
- A. Single-family
B. Residential
C. Commercial
D. Multiple-family
E. Other _____
51. What is the ethnic makeup of your neighborhood?
- A. Black _____ %
B. White _____ %
C. Other _____ %
52. Please circle the letter indicating the general nature of your location:

- A. Inner City
B. Outer City
C. Suburban
D. Rural
E. Other (please describe) _____
53. Are the following within reasonable traveling distance of your facility?
- | | Yes | No |
|-----------------------------|-------|-------|
| A. Employment opportunities | _____ | _____ |
| B. Educational resources | _____ | _____ |
| C. Recreational resources | _____ | _____ |
| D. Religious resources | _____ | _____ |
| E. Shopping areas | _____ | _____ |
| F. Medical facilities | _____ | _____ |
54. How many blocks is your facility from public transportation? _____
55. Are you located in a high-crime area?
Yes _____
No _____
56. Would you describe the area in which your facility is located as one of transition?
Yes _____
No _____
57. Are you in a Model Cities area?
Yes _____
No _____
58. Are there suitable living accommodations for ex-residents in your area?
Yes _____
No _____
59. Is your facility located near a penal facility?
Yes _____
No _____
60. Is there a building code applicable to your facility?
Yes _____
No _____

61. Which of the following represents the sleeping arrangements of your facility?
(Please circle one.)
- A. One per room
 - B. Two per room
 - C. More than two per room
 - D. Other (Please describe) _____
62. Was your facility built especially for its present use?
Yes _____
No _____
63. Please indicate the ratio of the following in regard to bathroom facilities -
- A. _____ (number of) residents to _____ washbasins
 - B. _____ (number of) residents to _____ toilets
 - C. _____ (number of) residents to _____ showers/tubs
64. List the number of rooms in your facility, according to their function:
- A. Bedrooms _____
 - B. Offices _____
 - C. Recreation rooms _____
 - D. Kitchens _____
 - E. Living rooms _____
 - F. Other (please describe) _____
65. How many square feet does your facility have for living space, per resident? (Exclude office space)

66. Do you have established fire drill procedures at your facility?
Yes _____
No _____
67. Does your agency provide clothing for residents?
Yes _____
No _____

68. Does your agency provide financial advances to your clients?
Yes _____
No _____
69. Is there a maximum optimal number of residents in your facility?
Yes _____
No _____
70. If Yes, what is the number? _____

QUESTIONNAIRE

The following questions are judgmental, and will form the basis for the guidelines we are attempting to establish for halfway houses. Please rate the following statements by circling the appropriate letter or number.

1. Providing clothing to your residents is:

A.	Essential	15	D.	Optional	30
B.	Important	10	E.	Undesirable	7
C.	Desirable	18			

2. Food service to your residents is:

A.	Essential	52	D.	Optional	3
B.	Important	14	E.	Undesirable	6
C.	Desirable	9			

3. Financial advances to your clients is considered:

A.	Essential	14	D.	Optional	16
B.	Important	21	E.	Undesirable	18
C.	Desirable	12			

4. Co-educational halfway houses are:

A.	Essential	6	D.	Optional	31
B.	Important	6	E.	Undesirable	19
C.	Desirable	18			

5. Halfway houses should set clearly defined age limits for those it will accept for residency.

A.	Essential	18	D.	Optional	29
B.	Important	11	E.	Undesirable	12
C.	Desirable	12			

6. The length of a client's stay in a halfway house should be determined on a case-by-case basis:

A.	Essential	49	D.	Optional	4
B.	Important	22	E.	Undesirable	1
C.	Desirable	18			

7. Halfway houses should provide room and board:

A.	Essential	40	D.	Optional	8
B.	Important	21	E.	Undesirable	5
C.	Desirable	10			

8. Halfway houses should provide room only:

A.	Essential	4	D.	Optional	34
B.	Important	4	E.	Undesirable	35
C.	Desirable	3			

9. Residency in a halfway house program should be mandatory:

A.	Essential	12	D.	Optional	24
B.	Important	13	E.	Undesirable	21
C.	Desirable	14			

10. Client participation in in-house programming should be voluntary:

A.	Essential	15	D.	Optional	9
B.	Important	19	E.	Undesirable	12
C.	Desirable	23			

11. Client participation in in-house programs should be mandatory:

A.	Essential	18	D.	Optional	20
B.	Important	19	E.	Undesirable	14
C.	Desirable	9			

12. Halfway houses should provide casework or individual counseling:

A.	Essential	61	D.	Optional	3
B.	Important	14	E.	Undesirable	0
C.	Desirable	5			

13. Halfway houses should provide group work or group sessions:

- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 45 | D. | Optional | 13 |
| B. | Important | 19 | E. | Undesirable | 1 |
| C. | Desirable | 10 | | | |
14. Halfway houses should provide psychiatric services to residents:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 14 | D. | Optional | 20 |
| B. | Important | 17 | E. | Undesirable | 2 |
| C. | Desirable | 30 | | | |
15. Halfway houses should provide psychiatric services to staff:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 5 | D. | Optional | 35 |
| B. | Important | 15 | E. | Undesirable | 6 |
| C. | Desirable | 22 | | | |
16. Halfway houses should provide psychological services to residents:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 15 | D. | Optional | 21 |
| B. | Important | 18 | E. | Undesirable | 0 |
| C. | Desirable | 29 | | | |
17. Halfway houses should provide psychological services to staff:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 7 | D. | Optional | 31 |
| B. | Important | 15 | E. | Undesirable | 8 |
| C. | Desirable | 20 | | | |
18. Halfway houses should have funds or means available to provide medical services:
- | | | | | | |
|----|-----------|----|----|-------------|---|
| A. | Essential | 24 | D. | Optional | 6 |
| B. | Important | 28 | E. | Undesirable | 4 |
| C. | Desirable | 6 | | | |
19. Halfway houses should provide employment placement and vocational counseling services:

- | | | | | | |
|----|-----------|----|----|-------------|---|
| A. | Essential | 49 | D. | Optional | 3 |
| B. | Important | 21 | E. | Undesirable | 0 |
| C. | Desirable | 11 | | | |
20. Halfway houses should provide academic programs:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 8 | D. | Optional | 26 |
| B. | Important | 18 | E. | Undesirable | 7 |
| C. | Desirable | 25 | | | |
21. Halfway houses should provide vocational educational services:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 12 | D. | Optional | 22 |
| B. | Important | 17 | E. | Undesirable | 4 |
| C. | Desirable | 27 | | | |
22. Halfway houses should provide organized recreational programs:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 13 | D. | Optional | 21 |
| B. | Important | 17 | E. | Undesirable | 7 |
| C. | Desirable | 23 | | | |
23. Halfway houses should provide religious counseling or religious services:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 4 | D. | Optional | 43 |
| B. | Important | 10 | E. | Undesirable | 13 |
| C. | Desirable | 13 | | | |
24. Halfway house programs should be conducted by professional staff only:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 1 | D. | Optional | 28 |
| B. | Important | 7 | E. | Undesirable | 30 |
| C. | Desirable | 15 | | | |
25. Halfway house programs should be conducted by indigenous staff only:
- | | | | | | |
|----|-----------|---|----|-------------|----|
| A. | Essential | 1 | D. | Optional | 25 |
| B. | Important | 5 | E. | Undesirable | 51 |
| C. | Desirable | 1 | | | |

26. Halfway house programs should be conducted by a combination of professional and indigenous staff:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 18 | D. | Optional | 13 |
| B. | Important | 23 | E. | Undesirable | 1 |
| C. | Desirable | 25 | | | |
27. Halfway houses should have an outclient program:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 14 | D. | Optional | 24 |
| B. | Important | 20 | E. | Undesirable | 1 |
| C. | Desirable | 26 | | | |
28. Halfway houses should be licensed by some governmental units:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 17 | D. | Optional | 23 |
| B. | Important | 12 | E. | Undesirable | 10 |
| C. | Desirable | 17 | | | |
29. Collecting follow-up data on former residents is:
- | | | | | | |
|----|-----------|----|----|-------------|---|
| A. | Essential | 26 | D. | Optional | 4 |
| B. | Important | 37 | E. | Undesirable | 1 |
| C. | Desirable | 17 | | | |
30. Collecting follow-up data on former outclients is:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 17 | D. | Optional | 13 |
| B. | Important | 27 | E. | Undesirable | 1 |
| C. | Desirable | 20 | | | |
31. Research on the effectiveness of halfway house programs is:
- | | | | | | |
|----|-----------|----|----|-------------|---|
| A. | Essential | 46 | D. | Optional | 1 |
| B. | Important | 24 | E. | Undesirable | 0 |
| C. | Desirable | 12 | | | |
32. Research in other areas than halfway house programs is:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 26 | D. | Optional | 11 |
| B. | Important | 25 | E. | Undesirable | 1 |
| C. | Desirable | 17 | | | |

33. A research design should be required for governmental funding:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 17 | D. | Optional | 16 |
| B. | Important | 24 | E. | Undesirable | 9 |
| C. | Desirable | 17 | | | |
34. The average qualifications of professional treatment staff should be:
- | | |
|----|--------------------------------|
| A. | <u>4.1</u> years of college |
| B. | <u>2.4</u> years of experience |
35. The average qualification of para-professional treatment staff should be:
- | | |
|----|--------------------------------|
| A. | <u>1.5</u> years of college |
| B. | <u>.92</u> years of experience |
36. Consumers of service (ex-offenders, ex-addicts, etc.) should be employed in halfway house programs:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 18 | D. | Optional | 25 |
| B. | Important | 16 | E. | Undesirable | 3 |
| C. | Desirable | 20 | | | |
37. What type of service should the consumers of services (ex-offenders, ex-addicts, etc.) be employed in, in halfway houses?
(Please circle one or more, if necessary.)
- | | | |
|----|---------------------|--|
| A. | Administration | 42 |
| B. | Treatment | 63 |
| C. | Supportive services | 70 |
| D. | Other: | Advisory Board, consultive services, officer, job finding and transportation, public relations programs, volunteer services, policy decisions. |
38. A personnel policy manual is:
- | | | | | | |
|----|-----------|----|----|-------------|----|
| A. | Essential | 29 | D. | Optional | 11 |
| B. | Important | 23 | E. | Undesirable | 0 |
| C. | Desirable | 19 | | | |

39. A systematized plan of staff recruitment is:

A.	Essential	17	D.	Optional	9
B.	Important	30	E.	Undesirable	1
C.	Desirable	21			

40. Formal staff training programs are:

A.	Essential	26	D.	Optional	6
B.	Important	26	E.	Undesirable	1
C.	Desirable	13			

41. Scholarship and financial assistance to staff is:

A.	Essential	8	D.	Optional	15
B.	Important	23	E.	Undesirable	0
C.	Desirable	37			

42. Rotation of Board members is:

A.	Essential	9	D.	Optional	22
B.	Important	20	E.	Undesirable	1
C.	Desirable	25			

43. Board meetings at regular intervals are:

A.	Essential	28	D.	Optional	10
B.	Important	25	E.	Undesirable	1
C.	Desirable	13			

44. Citizen advisory boards are:

A.	Essential	7	D.	Optional	26
B.	Important	18	E.	Undesirable	5
C.	Desirable	24			

45. Professional advisory boards are:

A.	Essential	4	D.	Optional	27
B.	Important	22	E.	Undesirable	2
C.	Desirable	26			

46. Contacting interested community agencies to establish a need for your services is considered by your agency as:

A.	Essential	31	D.	Optional	10
B.	Important	26	E.	Undesirable	2
C.	Desirable	12			

47. A building code specifically applicable to a halfway house is:

A.	Essential	18	D.	Optional	15
B.	Important	24	E.	Undesirable	1
C.	Desirable	25			

48. Four or more residents per sleeping room in your facility is considered:

A.	Essential	2	D.	Optional	15
B.	Important	1	E.	Undesirable	62
C.	Desirable	4			

49. Three residents per sleeping room in your facility is considered:

A.	Essential	1	D.	Optional	31
B.	Important	1	E.	Undesirable	38
C.	Desirable	12			

50. Two residents per sleeping room in your facility is considered:

A.	Essential	7	D.	Optional	24
B.	Important	8	E.	Undesirable	8
C.	Desirable	35			

51. A single resident per sleeping room in your facility is considered:

A.	Essential	7	D.	Optional	17
B.	Important	14	E.	Undesirable	17
C.	Desirable	25			

52. Established fire drill procedures are:

A.	Essential	21	D.	Optional	15
B.	Important	23	E.	Undesirable	1
C.	Desirable	21			

53. A halfway house should be constructed solely for halfway house purposes:

A.	Essential	11	D.	Optional	36
B.	Important	16	E.	Undesirable	3
C.	Desirable	17			

THE CONSTITUTION

(Code of Regulations)

THE CONSTITUTION (CODE OF REGULATIONS)

A very important document for the agency will be the constitution, or code of regulations. It is wise to seek the advice and aid of an attorney when preparation of this document begins, as certain legal requirements have to be met.

There is no set constitution for halfway houses. They can be varied so as to meet the need of the particular agency or community treatment center. Below is a suggested outline.

Article I Management

Included in this section should be a statement that the management and controls of the property and affairs of the corporation will be conducted by the Board of Trustees as outlined by state law. It will be a non-profit, charitable organization, under the applicable sections of the Internal Revenue Code, etc.

Article II Trustees

- Section 1. The number of Trustees.
- Section 2. The term of office. Some boards stagger terms so that one-third of the members are elected each three years, or one-half are elected each two years.
- Section 3. Nomination to the office of Trustee. Who can nominate a candidate? Is the nomination submitted to the Executive Committee first, and then to the Board?
- Section 4. Termination of Trusteeship. Provisions can be made here to terminate a trustee if they fail to attend a certain number of Board meetings during the year. How many votes of the Board does it take to remove a trustee?
- Section 5. Resignations from the Board of Trustees. How is this vacancy filled?

Article III Meetings of the Board of Trustees

- Section 1. Place.
- Section 2. Annual Meeting. When will it be held? What happens at this meeting? (Election of new Board members, some business transactions, etc.).
- Section 3. Regular Meeting. When held; monthly? every three months?
- Section 4. Special Meeting. Who can call a special meeting - only officers? One-third of the trustees?
- Section 5. Notice of Meetings. Who gives it? By what method? How much advance notice?
- Section 6. Meetings Without Notice. Will these be permitted? If so, how will they be regulated? Who can call such a meeting? Will decisions be binding?
- Section 7. Quorum. How many Trustees must be present to conduct business: one-third, one-half, - or will the members present constitute a quorum?
- Section 8. Voting. Each Board member has one vote. Is proxy vote permitted?
- Section 9. Order of Business. Roberts' Rules of Order is the best guide. Basically, the order should be:
 - 1. Reading of minutes of previous meeting and approval or correction.
 - 2. Reports of committees and officers.
 - 3. Unfinished business.
 - 4. New or miscellaneous business.

Section 10. Action without Meeting. Can action be authorized by the Board without a meeting? If so, what is required?

Article IV Officers

Section 1. Number. Usually, President, First Vice President, Second Vice President, Secretary, and Treasurer. No trustee may hold more than one office.

Section 2. Election. Who elects ? (The Board of Trustees usually elects its officers). When? (Usually at annual meeting).

Section 3. Term. Specified time? At pleasure of the Board?

Article V Duties of Officers

Section 1. President.

Section 2. First Vice President

Section 3. Second Vice President.

Section 4. Secretary.

Section 5. Treasurer.

Section 6. Limitation of authority. (For example, no verbal contracts in the name of the corporation; no signing of contracts without Board approval; no loans; checks and payments only when authorized by Board.)

Article VI Standing Committees

Most corporations have some committees which are permanent in nature and represent the on-going needs of the agency. There is a wide variety, but some of the more common ones include:

1. Executive Committee
(made up of officers)
2. Finance
3. Ways and Means
4. Personnel
5. Public Relations
6. Membership
7. By-laws

Article VII Amendments

How can the Constitution be amended? When? By whom?

SUGGESTED BY - LAWS
OF THE AGENCY

SUGGESTED BY-LAWS OF THE AGENCY

ARTICLE I

Name

This organization shall be called the (name inserted).

ARTICLE II

Principal Office

The principal office of the corporation shall be located at (name of city inserted).

ARTICLE III

Purpose

The agency was founded to provide rehabilitative and other services to the public offender. Its aim is to aid in the rehabilitation and adjustment of the public offender, regardless of race, creed, color, sex, or national origin, through supportive care, training, guidance and other services.

ARTICLE IV

Duration

The duration of the corporation is intended to be perpetual. In the event that dissolution is necessary, for any reason, all existing funds of the agency remaining after payment of all expenses, shall be given to a charitable institution according to Article IX of the Articles of Incorporation.

ARTICLE V

Membership

Section 1.
gories:

Membership shall consist of two cate-

1. Members of the Executive Board.
2. Members of the Advisory Board.

Section 2. The Executive Board is the governing body of the agency, and shall constitute its voting membership. It shall consist of a maximum of twenty-one members, elected for terms of three years each. However, for the first election to take place after the enactment of these by-laws, one-third of the members will be elected for one-year terms, one-third of the members will be elected for two-year terms, and one-third of the members will be elected for three-year terms. Membership on the Executive Board shall be by nomination through the Nominating Committee, and election by a majority vote of the Board then in office.

All vacancies on the Executive Board shall be filled in the manner just described, at the next regular meeting following such vacancy. A personally signed absentee ballot will serve as a valid vote for the election of members to the Executive Board, and for the election of the officers of the agency.

Each member of the Executive Board, including the Chairman, is entitled to one vote, and shall abide by the by-laws and standing rules.

Section 3. The Executive Board shall be responsible for the business and property of the agency. It is its responsibility to set policy, approve budgets, salaries and contracts, as well as to see that the financial needs of the agency are met.

Section 4. No member of the Executive Board may be admitted, directly or indirectly, to any financial share or benefit arising from agency business or programs, nor shall they own or acquire any personal interest in any property, contract, or proposed contract, which would conflict with the performance of their duties as a member of the Executive Board.

Section 5. No person shall be employed by the agency while he or she or a member of his or her immediate family serves on the Executive Board, or as a member of a committee of the Executive Board.

Section 6. Meetings of the Executive Board shall be held at least four times yearly. The annual meeting shall be held during the month of April. At the annual meeting, the newly elected Executive Board shall elect from its members, through nomination by the Nominating Committee, the following officers:

Chairman of the Board
President
Executive Vice President
Secretary, and
Treasurer,

each to serve a term of one year. Elections shall be by a majority vote of the Board present, a quorum having been constituted. Vacancies occurring in these offices during the course of a term shall be filled by a majority vote of the Executive Board present, a quorum having been constituted, through nomination by the Nominating Committee, with the exception of the office of President, which shall be filled automatically by the Executive Vice President.

Section 7. A quorum at any meeting of the Executive Board shall be one-third of the members then in office. Except in amendments of the by-laws, as hereinafter provided, and in election of members to the Executive Board as previously provided, all determinations shall be by a majority vote, a quorum having been constituted.

Section 8. The Advisory Board shall consist of no more than twenty members, who shall counsel, assist, and work with committees of the Executive Board. Advisory Board recommendations shall be presented to the Executive Board, which shall vote for acceptance or rejection of such recommendations.

Members of the Advisory Board shall be nominated by the Nominating Committee, and elected by a majority of the quorum present at any Executive Board meeting. Advisory Board members shall be elected for terms of two years each.

Section 9. The Advisory Board shall meet jointly with the Executive Board at least two times per year.

ARTICLE VI

Duties of Officers

Section 1. The Chairman of the Board shall preside at all meetings of the Executive Board, and prepare the agenda of the meetings of the Executive Board. He shall appoint the members of the Nominating Committee, and serve as Chairman of that committee. He shall also be a member of the Executive Committee.

Section 2. The President of the agency shall serve as a member of all committees except the Nominating Committee. The President shall appoint the chairmen of all committees except the Nominating Committee. The President shall conduct meetings in the absence of the Chairman of the Board, and subject to the order of the Executive Board, shall execute, on behalf of the agency, such mortgages, deeds, and other documents as are required for the transaction of the affairs of the agency. The President shall also perform any and all other duties prescribed by the Board, and shall see that all orders and resolutions are carried into effect.

Section 3. The Executive Vice President shall act in the absence of the President, and perform all duties as prescribed for the President. Upon the vacancy of the office of President, the Executive Vice President shall automatically succeed to the office for the remainder of the one-year term.

Section 4. The Secretary shall keep and distribute minutes of all meetings of the Executive Board, as well as a roster of members of the Executive and Advisory Boards, and their terms of office. The Secretary shall also keep a roster of members of all committees. The Secretary shall give notice of all meetings of the Executive Board, both regular and special; retain the corporate seal; and discharge other duties as may be assigned to him by the Executive Board.

Section 5. The Treasurer shall be the custodian of all funds and securities of the corporation. He shall be responsible for full and accurate accounting of receipts and disbursements and books belonging to the agency and the deposit of all monies and other valuables in the name of and to the credit of the agency in such depositories as may be designated by the Board. He shall also be responsible for the timely filing of all required Federal, state, and local tax returns. Capital expenditures shall be made as designated by the Board, and all checks of the agency shall be co-signed by any two of the President, Executive Vice President, Treasurer, or Executive Director. The Treasurer shall be a member of the Finance Committee. He shall submit a report for the preceding year at the annual meeting, and shall render special reports whenever requested by the Executive Board.

Section 6. The Executive Director shall be a non-voting, ex-officio member of the Executive Board and its committees. He shall be hired by the Executive Board, and may be terminated for cause by the Executive Board. He is responsible for hiring all personnel, and for terminating personnel who are not performing their duties satisfactorily, or who present other good cause for termination.

He shall approve all expenditures within budgetary limitations, and comply with decisions of the Executive Board concerning policy, budget and major expenditures. The Executive Director is the administrator of the Agency and of all of its programs, both funded and voluntary. He shall supervise all personnel of the agency, both paid and voluntary.

He shall develop new programs as need arises, and submit the same to the Executive Board for its approval. He shall prepare all budgets and submit them to the Executive Board for its approval. The Executive Director shall report directly to the Executive Board and keep it informed of all expenditures, needs, and general operations. He shall assist the Executive Board in other ways the Board deems necessary.

Section 7. Any Executive Board member failing to attend more than one half of the regularly scheduled meetings during the year automatically loses his seat on the Board. He may be reinstated as a member of the Executive Board by a majority vote at any meeting at which a quorum is present. Any member wishing to resign as a member of the Executive or Advisory Boards shall give written notice of his intention to do so.

ARTICLE VII

Committees

Section 1. From the membership of the Executive Board, there shall be appointed an Executive Committee and the Chairmen of the Finance Committee, Publicity Committee, Nominating Committee, and any other committees which the Board deems necessary.

Section 2. The Executive Committee shall have full authority to conduct the affairs of the agency between meetings of the Executive Board; its actions, however, will be subject to ratification by the Executive Board at its subsequent meeting. The Executive Committee shall consist of no less than five, nor more than seven, members.

Section 3. The Finance Committee shall be responsible for raising the funds which will insure the continued existence and efficient operation of the agency.

Section 4. The Publicity Committee shall be responsible for informing all news media, newspapers, radio and television, of the work and progress of the agency's projects. It is its responsibility to keep the community aware of the agency and its work.

Section 5. The Nominating Committee is responsible for presenting candidates to the Executive Board for membership on the Executive and Advisory Boards. It is also responsible for presenting candidates to the Executive Board for the offices of Chairman, President, Executive Vice President, Secretary, Treasurer, and other such offices as the Executive Board shall create. The Nominating Committee shall be appointed by the Chairman of the Executive Board, who shall be a member of the committee and serve as its Chairman.

ARTICLE VIIIAmendments

The By-laws of the agency may be amended or revised by the Executive Board at any time, by a vote of two-thirds of the Executive Board present, a quorum having been constituted.

INTAKE POLICIES AND PROCEDURES

INTAKE POLICIES AND PROCEDURES

Intake policies are designed to clarify the type of clientele to be served by the agency. Intake procedures are designed to clarify the process by which the client enters the program.

As a correctional agency, we cooperate with a number of other agencies, both public and private. It is imperative that these agencies, as well as agency staff, be fully aware of just what the intake policies and procedures are. This knowledge will help agency staff and the other agencies with whom we work to serve our mutual clients in a more efficient and effective manner.

The intake process includes the gathering of all pertinent information about a prospective client which will help determine both their eligibility for the program and their ability to meet the demands of the program. This process may commence while the prospective client is incarcerated; after having been released from incarceration; or even prior to incarceration. The latter would occur, for example, prior to the time a prospective client is given a suspended imposition or execution of sentence, and placed on probation.

The type of information to be gathered on a particular prospective client will depend on:

Who is making the referral -

1. Another agency, public or private
2. Agency staff
3. The prospective client him(her)self

The above holds true whether a prospective client is applying for residential or outclient services.

If the referral is being made by another agency, either while the client is incarcerated; after release from incarceration; or even prior to incarceration, any pertinent information that the agency has about the prospective client should be gathered - i.e., pre-sentence investigations, social

history, psychologicals, summary and classification material, progress reports, recognizance or nominal bond reports, etc. This information will help determine eligibility as well as ability to meet the demands of the program.

If the referral is being made by agency staff, the above information should be sought if available. Whether or not it is available, agency staff will still provide a completed worksheet on the client, as well as a summary record of each interview held with the prospective client. In addition, agency staff will provide any other pertinent information they may have about the prospective client in order to help determine eligibility and ability to meet the demands of the program.

When we speak of a prospective client referring himself, we are speaking of a "walk in" case who has not been referred by any agency or by agency staff. Such referrals usually occur in emergency situations, and often at odd hours. Whenever they occur, a worksheet is to be completed immediately on the prospective client by whomever is on duty - i.e., House Director, Assistant House Director, Part-time Counselor, Night Counselor. If the House Director is on duty, and enough information is gathered, a determination may be made to accept the client for the residency program at that time. If enough information is not available to make a determination, the House Director may accept the client for residence on a conditional basis until such information is gathered from other agencies or made available by the staff treatment team (House Director or Assistant Director, Clinical Psychologist and Employment Placement and Vocational Guidance Counselor). In this event, the House Director should make it clear to the client that acceptance is conditional.

Whether acceptance is conditional or not, the rules of the house and the program should be covered in detail with the client. If the "walk in" referral occurs when the House Director is not on duty, the Assistant House Director, Part-time Counselor or Night Counselor may accept a client for residence on a conditional basis only. When the House Director comes on duty, he or she shall make the final deter-

mination to accept or reject the client for the residency program. The exception to this rule is if the House Director is on leave of any type and the Assistant Director is assuming full functions of the Director. In such instance, the Assistant Director will make final determination for acceptance into the residency program and follow the same procedure outlined for the House Director.

If, however, a client is accepted conditionally by any of the above named staff, the staff member so accepting is responsible for filling out a worksheet and giving the client a set of rules, as well as an explanation of the same. The residency program may be explained in detail when the House Director comes on duty and makes final determination of eligibility.

On the last point, it is imperative that the prospective client understand prior to final acceptance for residency the full program with all of its expectations and demands. An agreement from them must be obtained accepting the general residency program. If such cannot be obtained, this would be cause for rejecting the prospective client for the residency program. The client's choice may well be limited by the fact that refusal to accept the general program may result either in incarceration, continued incarceration, or simply no place to go.

The choice, however, is theirs to make; no matter what choice is made on their part, certain consequences must follow. The prospective client should be helped to understand this. Again, to enter the residency program, the client's agreement to accept the general program in its totality must be obtained.

If the client is accepted for the residency program, a duplicate master card shall be made out and sent to the central office of the agency. If the prospective client is rejected, the reason for the rejection shall be stated in summary form and sent to the central office, together with all case information on which the rejection was based, such as intake interviews, worksheets, pre-sentence reports, social history, psychological diagnostic material, psychological or other testing material, records of personal interviews, summary and classification materials, progress reports, etc. All rejections shall be reviewed, confirmed or reversed by the Executive Director.

Prospective clients who are drug abusers, alcoholics or emotionally disturbed, are acceptable for the residency program within the following limitations:

1. Drug abusers who are physically addicted to drugs shall be withdrawn from the addicting drug prior to entry into the program.
2. Alcoholics who are using this drug in large amounts shall be "dried out" prior to entry into the program.
3. The severely emotionally disturbed (i. e., those suffering from an acute emotional disturbance) must receive intensive treatment for the illness prior to entry into the program.

All of the above - drug abuse, alcoholism and emotional disturbance - necessitate obtaining consent to accept continuing help from other agencies specializing in treatment of such illnesses, prior to final acceptance into the program or during the course of the program if such help is deemed necessary. Such a determination may be made by the House Director on acceptance of the client, by the treatment team during the processing stage, or by the client's individual counselor during any phase of the program. Refusal to accept such help may result in the prospective client's being refused admittance to the program or in termination from the program, once admitted.

Individuals who will not be accepted for the residency program are:

1. Those who have a demonstrated or known pattern of violence. This does not exclude those who have been charged or convicted of violent offenses per se - i. e., murder, assault, robbery, etc., but those whose behavior pattern is such that they frequently resort to violence.
2. Those with sexual deviant behavior - those individuals who have demonstrated difficulty in living with members of the same sex without aggressively seeking sexual outlets.

3. Those who are severely mentally retarded - thus, a potential client with an intelligence quotient of 70 or less shall be excluded from consideration. From 70 to 80, the potential client will be considered for services at the discretion of the House Director after consultation with the Clinical Psychologist and other professional staff members.

4. Those who are psychotic.

In all instances, final determination of acceptance or rejection of residential cases shall be made by the House Director. As stated above, in instances of rejection, the case will be reviewed by the Executive Director, who reserves the option to confirm or reverse the decision.

In cases referred by the State Board of Probation and Parole, orders stipulating that the client is to take part in agency residency programs should be inserted in the court order granting probation or court parole, or in the order granting parole from the State Board of Probation and Parole. No Interstate Compact cases shall be accepted without the prior approval of the State Board of Probation and Parole. In such cases also, orders stipulating residence in the agency residency program should be made a condition of parole.

All potential outclient cases shall be referred directly to the Assistant House Director for determination of eligibility and for acceptance or rejection. The Assistant Director shall use the same policies and procedures outlined above for accepting or rejecting a case, keeping in mind that some of those not acceptable for residential services may be acceptable for outclient services - e.g., those with aggressive sexual deviant behavior, or those with a demonstrated pattern of violence. All rejections of outclient cases shall be reviewed by the House Director, who may confirm or reverse the rejection.

The residence for women will consider for services, both residential and outclient, women over seventeen (17) years of age who have been charged or convicted of a misdemeanor or felony offense; such consideration shall be given regardless of race, creed, color or national origin. No type of offense shall automatically exclude a prospective client from consideration.

The program for women will consider for acceptance those who meet the above criteria, and who fall into one of the following categories:

1. Probation
2. Parole
3. Pre-release
4. Mandatory release, or release after having served full sentence
5. Defendant being placed in the community on bond.

The residence for men will consider for services, both residential and outclient, those between the ages of seventeen (17) and twenty-five (25) who have been convicted of a felony offense or an offense which was reduced during disposition of the case from felony to misdemeanor status. Such consideration shall be given regardless of race, creed, color or national origin. No type of offense shall automatically consider for acceptance those who meet the above criteria and who fall into one of the following categories:

1. Probation
2. Parole
3. Pre-release

PERSONNEL POLICIES

TABLE OF CONTENTS

	<u>Page</u>
I. <u>EMPLOYMENT</u>	145
II. <u>SUSPENSION</u>	148
III. <u>TERMINATION</u>	148
IV. <u>RESIGNATION</u>	149
V. <u>JOB DESCRIPTIONS AND SPECIFICATIONS</u>	149
VI. <u>AGENCY PROCEDURES</u>	150
VII. <u>EVALUATION</u>	150
VIII. <u>PERSONNEL RECORDS</u>	150
IX. <u>SALARY</u>	151
X. <u>HOURS OF WORK</u>	151
XI. <u>TIME REPORTING</u>	151
XII. <u>STAFF DEVELOPMENT</u>	152
XIII. <u>BENEFITS</u>	152
XIV. <u>LEAVE WITH PAY</u>	152
XV. <u>LEAVE WITHOUT PAY</u>	156
XVI. <u>TRAVEL</u>	157

PERSONNEL POLICIESI. EMPLOYMENT

The personnel of the agency shall consist of the following positions:

Full - time

Executive Director
 Assistant Executive Director
 Psychologist
 House Directors
 Assistant House Directors
 Employment Placement and
 Vocational Guidance Counselors
 Accountant
 Outclient Counselors
 Secretary-Bookkeeper
 Secretaries
 Clerk-Typists
 Cook-Housekeepers
 Maintenance Man,

and any other personnel positions as approved by the Executive Board.

Part - time

Counselors,

and any other personnel positions as approved by the Executive Board.

The Executive Board shall hire and, if necessary, terminate, the Executive Director.

The Executive Director shall hire and, if necessary, terminate, all other staff of the agency.

A. Application Procedures

1. Notice of any position to be filled will be given in at least one newspaper having general circulation throughout the local area. When necessary and feasible, notices will also be given in other publications.
2. Written job descriptions will be provided to each applicant upon request.
3. All applications shall be made in writing on a form provided for such purpose.

B. Selection Procedure

1. In order to select an Executive Director, the President of the agency will appoint a special committee whose sole function will be to recruit qualified applicants for this position, review all applications, contact appropriate references, conduct the necessary interviews, and make a recommendation, based upon the merit of the applicants, without regard to race, color, religion, sex, or national origin, to the Executive Board.
2. For all other personnel positions, the Executive Director shall recruit qualified applicants and following formal written applications, shall review all applications, contact appropriate references, conduct the necessary interviews, and make final selection, based upon the merit of the applicants, without regard to race, color, religion, sex, or national origin.

All new staff members shall serve a six-month probationary period of employment. The staff member's job performance will be evaluated by his supervisor at the conclusion of this period. The decision to grant a staff member regular employee status will be based on the job performance evaluation.

If necessary, the probationary period may be extended for three months, with the approval of the Executive Director. At the conclusion of this period, another evaluation of the staff member will be made.

In the case of professional, fiscal, managerial and clerical personnel, recent conviction of a serious crime shall be considered on an individual basis, each case according to its merit. If investigation reveals that the prior conviction does not disqualify the applicant, a written statement of the investigation shall be prepared, and the applicant considered a legitimate candidate for the job.

In the case of non-professional positions, a criminal record does not, of itself, disqualify an applicant from employment.

In either case, full disclosure of prior criminal record at the time of application is required.

No person shall be employed by the agency while he or she or a member of his or her immediate family serves on the Executive Board or as a member of a committee of the Executive Board of the agency.

No person shall be employed by the agency while a member of his immediate family is concurrently employed by the agency. For the purpose of clarity, "immediate family" includes the following:

Husband	Wife
Son	Son-in-law
Daughter	Daughter-in-law
Mother	Mother-in-law
Father	Father-in-law
Brother	Brother-in-law
Sister	Sister-in-law

II. SUSPENSION

Suspension is temporary separation from duty without pay, usually because of unsatisfactory performance, or for misconduct.

A. If the Executive Board should find it necessary to suspend the Executive Director, a notification period is not required. An appropriate explanation, including length of suspension, will be given orally, and in writing upon request.

The Executive Board shall set the length of the suspension. If the Executive Director should not return to his position after the suspension period, he may forfeit any accrued vacation.

B. If the Executive Director should find it necessary to suspend staff members, a notification period is not required. An appropriate explanation, including length of suspension, will be given orally, and in writing upon request. The Executive Director shall set the length of the suspension. If the staff member should not return to his position after the suspension period, he may forfeit any accrued vacation.

III. TERMINATION

Termination is separation from employment, usually because of unsatisfactory performance, or for misconduct.

A. If the Executive Board should find it necessary to terminate the Executive Director, thirty days' notice of termination, with appropriate explanation, will be given orally, and in writing upon request. Should the Executive Director leave his position during the notification period, he forfeits all remaining notice, salary, benefits, and any accrued vacation.

If the situation is such that immediate termination is warranted, all notices, salary and benefits will be forfeited from the date of dismissal.

B. If the Executive Director should find it necessary to terminate a staff member, thirty days' notice of termination will be given to supervisory and professional staff members, and two weeks' notice of termination will be given to all other staff members. Appropriate explanation will be given orally, and in writing upon request. Should the staff member leave his position during the notification period, he forfeits all remaining notice, salary and benefits, and any accrued vacation. If the situation is such that immediate termination is warranted, all notices, salary and benefits will be forfeited from the date of termination or dismissal.

IV. RESIGNATION

A. All supervisory and professional staff members are required to give notice of resignation in letter form, thirty days prior to the effective date of resignation. Professional and supervisory staff members include: Executive Director, Psychologist, House Directors, Assistant House Directors, Assistant Executive Director, Employment Placement and Vocational Counselors, Accountant, and Part-time Counselors.

B. All other staff members are required to give notice of resignation in letter form, fourteen days prior to the effective date of resignation.

C. Failure to comply with proper notice of resignation may result in loss of accrued vacation leave.

V. JOB DESCRIPTIONS AND SPECIFICATIONS

A. There shall be written job descriptions for all staff positions to insure proper understanding of general duties and areas of responsibility by staff members. Job descriptions can be changed from time to time to meet the needs of the agency and its clients.

B. There shall be written job specifications detailing the duties and areas of responsibility of each staff member. Job specifications can and will be changed from time to time to meet the needs of the agency and its clients.

This section shall in no way be construed as a limitation on the authority of the supervisory personnel to assign tasks to employees under their supervision which are not listed in the job specifications.

VI. AGENCY PROCEDURES

There shall be written agency procedures to insure proper understanding, uniformity and efficiency by staff members in such areas as intake, delivery of services, fiscal procedures, reports, etc.

VII. EVALUATION

A. The written job descriptions and specifications in conjunction with written agency policy and procedures will serve as the guide for staff member evaluations.

B. The person directly supervising a staff member shall evaluate the staff member twice yearly. All evaluation shall be in writing, on a form provided for that purpose. The evaluation shall be discussed with the staff member, and shall be signed by both the supervisor and the staff member. The staff member shall have the right to comment on the contents of the evaluation. Such comment shall be in writing and attached to the evaluation. The evaluation and attached comments shall become part of the employee's personnel file.

C. Where the evaluation indicates unsatisfactory performance, the staff member may be given a specified period of time in which to achieve a satisfactory level of work performance.

VIII. PERSONNEL RECORDS

Personnel records are maintained by the Executive Director for each staff member. These records are confidential and are kept in custody of the Executive Director. Staff members wishing to review their own file may do so only by request to and upon permission granted by the Executive Director.

IX. SALARY

Full-time employees are paid an annual salary. Part-time employees are paid on the basis of an hourly rate of pay.

Salaries shall be reviewed on an annual basis for all staff members. Salary increments shall be awarded based on the employee's evaluations. Any salary increment, of course, shall also depend upon the availability of funds.

X. HOURS OF WORK

Regular office hours are from 8:30 A. M. to 5:15 P. M., Monday through Friday.

Time allowed for lunch is forty-five minutes.

At all times, twenty-four hours per day, 365 days per year, it is required that some staff member be on duty and someone on call. This is due to the nature of the services the agency provides. Acceptance of employment with the agency is an acceptance of the responsibility to work other than "regular" hours. Hours of work for each staff member will be scheduled according to the needs of the agency and its clients.

Full-time staff members required by their supervisor to work more than the normal complement of hours per week, may request compensatory time. With approval of the Executive Director, such time will be granted, if possible.

Part-time staff members will be paid according to the number of hours worked within a given pay period.

XI. TIME REPORTING

A. Where a group of staff members is under close supervision, the immediate supervisor may prepare a group time report at the end of each pay period. All other staff

shall submit a time report, signed by the staff member, at the end of each pay period, to their immediate supervisor. All such time reports shall be signed by the staff member's immediate supervisor.

B. Time reports for full-time employees must account for a minimum of forty hours per week. Time reports for all employees must display hours worked and/or time off for each normal working day. Explanations must be indicated for any time off during normal working hours, or for overtime work.

XII. STAFF DEVELOPMENT

A. All new employees will be given orientation sessions regarding personnel policies, procedures, and their respective duties.

B. The agency desires continued professional development of staff. To this end, attendance at conferences, seminars, institutes, workshops, courses related to work, etc., is encouraged whenever attendance is feasible.

XIII. BENEFITS

A. Social Security

All staff members are covered by Social Security, and are required to participate.

B. Hospitalization Insurance

Blue Cross and Blue Shield Medical Insurance is available to any full-time staff member meeting the enrollment requirements. This coverage shall be at no cost to the employee.

XIV. LEAVE WITH PAY

Full-time staff members only are entitled to leave with pay. A full-time staff member is one who is normally scheduled to work a full (8-hour) day, five days per week.

A. Vacation

Full-time staff members begin accruing vacation from the time of employment. Vacation is accrued according to the following schedule:

1. 1-1/2 days per month are accrued from the first through the 24th month of employment, for a total of 13 work days per year.

1-1/2 days per month are accrued from the 25th through the 60th month of employment, for a total of 18 work days per year.

1-3/4 days per month are accrued from the 61st month of employment, and thereafter, for a total of 21 work days per year.
2. All vacations, regardless of when scheduled, must be approved at least thirty days in advance by the staff member's immediate supervisor. Exceptions will not normally be made; however, exceptions may be made with the written approval of the Executive Director. Vacations must be taken at times commensurate with general vacation schedules and work loads. Fractional portions of accrued vacation time may be taken with good reason upon approval of the staff member's immediate supervisor.
3. Vacation time not used within 24 months of accrual is lost by the employee. No compensatory salary may be awarded a staff member for unused vacation time or in lieu of vacation time.
4. Upon resignation, with proper notice, a staff member will receive that amount of vacation time accrued by the effective date of resignation. The staff member will be continued on the payroll until accrued vacation is depleted.

B. Holidays

Full-time staff members are entitled to the following holidays:

New Year's Day	Labor Day
Martin Luther King's Birthday	Veterans' Day
President's Day	Thanksgiving Day
Memorial Day	Christmas Day
Independence Day	Employee's Birthday

If an authorized holiday falls on a Saturday or Sunday, an alternate work day will be scheduled as a holiday at such time as designated by the Executive Director. Time off for the observance of religious holidays may be granted by the Executive Director.

Again, it is noted that 24 hours per day, 365 days per year, it is required that some staff member be on duty and others on call. When a staff member is required to work on a regularly scheduled holiday, an alternate work day will be scheduled as a holiday at such time as designated by his or her immediate supervisor.

Part-time staff members required to work on holidays will be paid in accordance with regular hourly rates of pay.

C. Sick Leave

1. Full-time staff members begin accruing sick leave after three full months of employment. Absence due to illness prior to this period will be without pay.
2. Sick leave is accrued at the rate of one day per month, and may be accumulated to a maximum of sixty days. In special cases, where length of illness exceeds accumulated sick leave, continuation of salary may be granted with the approval of the Executive Director.

3. All staff members, when absent due to illness, are required to call their immediate supervisor daily unless excused. For full-time staff members, failure to call may result in an unexcused absence, for which pay will not be granted. For part-time staff members, failure to call may result in other disciplinary action.
4. Any staff member absent for two or more days due to illness, must upon request, promptly present a statement from his or her physician.
5. Any staff member absent from work for three consecutive days without notification or authorization may be terminated.
6. Staff members shall not be paid for accrued sick leave at the time of resignation or termination.
7. Absence due to illness because of pregnancy will not be allowed as sick leave. Staff absent because of illness due to pregnancy shall forfeit pay for the days they are absent.

D. Compensatory Leave

All full-time employees of the agency shall not be paid for overtime work. Such employees may be granted compensatory time with the ratio of one hour leave for each hour of overtime work required, at the option of the Executive Director. Such overtime must be approved in advance by the employee's supervisor. Compensatory leave must be requested, granted and taken within three months of the date overtime work was required.

E. Military Leave

Full-time staff members (regular or probationary) who are members of the National Guard or any reserve component of the Armed Forces of the United States may have a leave of absence with pay when ordered to temporary duty. This leave is not to exceed ten work days per year.

F. Special Leave

Full-time staff members may be granted a leave of absence with pay of up to three days, in the event of critical illness or death of a member of his or her immediate family. By immediate family is meant husband, wife, son, daughter, mother, father, brother, sister, son-in-law, daughter-in-law, mother-in-law, father-in-law, brother-in-law, sister-in-law, or grandparents. This leave may be extended under special circumstances, with approval of the Executive Director.

Other leaves of a special nature may be granted with the approval of the Executive Director.

G. Conference Leave

Staff members may be granted a leave of absence to attend conferences, institutes, meetings, in-service training, etc. with approval of the Executive Director. Selection of staff members for attendance will be determined by the Executive Director on the basis of the following criteria: relevance to work, participation in conference programs, individual's interest in attending, time interval since last attendance, current work pressures, and money available for the purpose.

XV. LEAVE WITHOUT PAYA. Part-time Staff

Any leave authorized for and taken by part-time staff members is leave without pay. Part-time staff members must have authorization from the appropriate supervisor before taking leave.

B. Full-time Staff

Full-time staff members may take leave without pay only with the approval of the appropriate supervisor. Such instances, however, should be rare; each request shall be considered on its merits, and in accordance with the needs of the agency and its clients.

C. Maternity Leave

Due to the limited size of the agency, and the necessity for full staffing to carry out the program effectively, maternity leave will not be granted. When a staff member finishes the sixth month of pregnancy, her employment with the agency shall be terminated. A staff member may retain employment through the seventh month of pregnancy with the written approval of her physician and the Executive Director.

Nothing in the foregoing shall be construed to prevent the Executive Director, at his discretion, from rehiring an employee in her former position after termination for pregnancy.

XVI. TRAVELA. Local Travel

All staff members required to use their personal automobiles for agency business shall be reimbursed for such use at the rate of ten cents per mile. Those staff members so reimbursed must submit an itemized monthly report of miles driven on agency business. All requests for reimbursement must be approved by the staff member's immediate supervisor and by the Executive Director.

B. Intra- and Inter-State Travel

All out-of-town trips must have the prior approval of the Executive Director. Expenses incurred while out of town on agency business will be reimbursed in accordance with agency travel policy as stated in agency fiscal procedures.

C. Minimum Insurance Coverage

Staff members required to use their personal automobile for agency business must at all times maintain at least the minimum coverage of auto insurance required under the State law. Staff are required to submit evidence of such coverage upon employment, and at other times as may be designated by the Executive Director.

FISCAL POLICIES

TABLE OF CONTENTS

	<u>Page</u>
I. FIDELITY BONDING	161
II. FINANCIAL REPORTS	161
III. CASH DISBURSEMENTS	161
IV. CASH RECEIPTS	163
V. PAYROLL	164
VI. PURCHASING AND RECEIVING	165
VII. PETTY CASH	167
VIII. TRAVEL	168

FISCAL POLICIESI. FIDELITY BONDING

All officers and employees of the agency who are empowered to sign checks, handle funds, make deposits and/or withdrawals, or who maintain financial records of the agency, shall be bonded by a Fidelity Bond, the amount of which to be determined by the Executive Board or by the requirements of an agency funding agency programs, whichever is greater.

II. FINANCIAL REPORTS

The accountant shall prepare monthly financial reports, to be distributed to the members of the Executive Board after approval of the Executive Director has been obtained. The monthly financial report shall include a detailed balance sheet and a statement of income and expenses for the current month, as well as the year to date. It shall be the responsibility of the accountant to make all postings to the general ledger and to maintain the general ledger in proper form and balance at all times.

In addition, the agency Treasurer shall prepare all necessary monthly financial reports, and after approval of the Executive Director has been obtained, distribute them to the proper governmental funding agencies.

III. CASH DISBURSEMENTS

The accountant shall be responsible for disbursing and recording all cash expenditures related to agency business. A cash disbursements register will be maintained by the accountant in which to record monthly cash expenditures.

All disbursements from the agency account shall be made by pre-numbered checks or check vouchers, and signed by the Executive Director and one other member of the agency Board of Directors authorized to sign checks.

All disbursements shall be supported by proper documentation (i. e., purchase orders, requisitions, invoices, etc.), signed and approved by the Executive Director. On all supporting documents, the accountant shall record that the bill has been paid, the date of payment, account and amount of payment, and the check number, and as stated above, signed by the Executive Director.

All documents supporting disbursements shall be filed in alphabetical sequence, in files specifically designated for such.

The following procedures shall be followed relating to cash disbursements:

- A. Invoices from vendors will be accumulated by the accountant, and all invoices relating to merchandise received will be attached to the supporting receiving report.
- B. The accountant will determine and assign the appropriate general ledger account distribution to each invoice.
- C. Invoices, together with their supporting receiving report, shall be presented for approval of payment and account distribution to the Executive Director.
- D. The accountant will collect approved invoices in an alphabetical file and periodically (at least monthly), prepare a check voucher for the same.
- E. Check vouchers with supporting invoices and documents will be retained in alphabetical file until payment.
- F. At time of payment, the accountant will select the check voucher with supporting documents from the alphabetical file, assign a check number, and complete the check.

- G. Checks with their supporting documents shall then be presented to the Executive Director for signature.
- H. The Executive Director shall examine all supporting invoices and documents for prior approval and will cancel all invoices and documents as the related check is signed.
- I. All checks and supporting documents will be presented to an authorized officer of the agency for countersignature of the check.
- J. Paid and cancelled invoices and documents will be returned to the accountant for alphabetical filing.
- K. The Executive Director will give all signed checks to a clerk-typist, for mailing or other distribution.

IV. CASH RECEIPTS

All receipts shall be received, listed, and deposited by persons other than the accountant. Pre-numbered duplicate receiving tickets shall be issued for all monies received other than by mail. A copy of the receipt ticket shall accompany the daily receipt form (referred to under Procedures "A"), and the numerical sequence of the cash receipts slips shall be accounted for by the accountant.

The accountant shall be responsible for adequately detailing each receipt, and for posting to the cash receipts register.

The following procedures shall be followed relating to cash receipts:

- A. All receipts shall be listed on a daily receipts form (in duplicate), whether received by mail or in person, by the person or persons responsible for opening daily mail and receiving donations or contributions.

- B. All funds so received shall be delivered daily to the central office of the agency and given to the clerk-typist, who shall list in detail on a bank deposit slip, and deposit such funds with the bank.
- C. Upon delivery of funds to the clerk-typist, the clerk-typist shall acknowledge receipt of same on the daily receipt form. One copy of the daily receipts form shall be retained by the person who prepared it, and one copy shall be given directly to the Executive Director by that same person.
- D. After mailing the bank deposit, the clerk-typist shall deliver a copy of the receipted bank deposit slip to the Executive Director.
- E. The Executive Director shall then compare the duplicate deposit slip with the daily receipts forms.
- F. The Executive Director shall then give the duplicate deposit slip, together with the daily receipts forms, to the accountant, who shall record the receipts in the cash receipts journal.

V. PAYROLL

The accountant shall prepare the agency payroll on a bi-weekly basis, and maintain individual payroll records for each staff member and the payroll journal.

The accountant shall prepare all required government wage reports and make timely payment of all payroll taxes.

The following procedures shall be followed relating to payroll:

- A. All time reports, both group and individual, shall be approved by the staff member's immediate supervisor as well as by the Executive Director.
- B. Approved time reports shall then be submitted to the accountant, who shall prepare the payroll based on such time reports.
- C. Once prepared, all payroll checks shall be given to the Executive Director for his signature and shall be counter-signed by an officer of the agency authorized to sign all checks.
- D. The Executive Director shall give the signed payroll checks to personnel other than the accountant for distribution.
- E. The agency shall submit copies of time reports to each governmental funding agency on all staff members, paid from funds provided for that purpose by the governmental agency. In addition, the accountant shall retain a copy of time reports for all staff members of the agency and place them in agency files.

VI. PURCHASING AND RECEIVING

No disbursements for materials or supplies in excess of \$10.00 shall be made without an approved purchase order.

Purchase orders, amounts of which are in excess of the limits set by various funding agencies, shall have the prior approval of those agencies before purchases are made.

All purchasing shall be done with pre-numbered purchase orders approved by the Executive Director after proper purchase requests have been prepared and approved.

The following procedures shall be followed relating to purchasing and receiving:

- A. A detailed purchase request, prepared in duplicate, must be submitted for preliminary approval to the Director or Accountant.
- B. The purchase request shall then be submitted to the Executive Director for final approval.
- C. The Executive Director shall then secure all required bids and direct the accountant to prepare a purchase order in triplicate.
- D. The original copy of the purchase order, signed by the Executive Director, shall be sent to the vendor. The second copy shall be retained in numerical sequence by the Accountant, along with supporting purchase request, and any alternate bids. The third copy shall be sent to the staff member responsible for receiving the merchandise.
- E. Upon receipt of the items purchased, the staff member receiving such shall make a thorough check of items received against the purchase order to insure that all requested items have been received and billed for accordingly. The staff member receiving shall also date and sign the receiving copy of the purchase order and return same to the accountant.
- F. The accountant shall retain the receiving reports in alphabetical sequence to be matched with the vendor's invoice.

IV. PETTY CASH

The petty cash fund shall be maintained on an imprest fund basis.

An amount (to be determined by the agency Treasurer) shall be allocated to each individual house and the central office for a petty cash fund. The secretary at each house shall be responsible for disbursing and reconciling, on a weekly basis, their petty cash funds, and requesting reimbursement of funds from the Executive Director. The accountant, in turn, shall reconcile all petty cash funds, and after approval of petty cash vouchers by the Executive Director, disburse appropriate amounts to each house.

The following procedures shall be followed relating to petty cash:

- A. Disbursements must be for items \$10.00 or under, unless otherwise authorized by the Director or Assistant Director (this should only be in cases of extreme emergency, when a check is not available for distribution). In no event will this amount exceed \$25.00.
- B. Disbursements must be approved by the Executive Director, Director or Accountant. The counselor on duty may approve disbursements from a loan fund which will be maintained in a separate cash fund box. The maximum amount of money to be maintained in the loan fund is \$25.00.
- C. Disbursements for items such as emergency medical supplies, food supplies, etc., must be supported by a register receipt or its equivalent. The register receipt should be checked for accuracy by the staff member making the transaction, and attached to the petty cash voucher.

- D. All petty cash vouchers must be signed by the individual receiving petty cash funds as well as by the staff member approving the disbursement.
- E. All petty cash vouchers shall be marked with an account number and recorded in the cash disbursements register by the accountant.
- F. All petty cash funds shall be locked at all times and be located in a place accessible only to those staff members authorized to handle petty cash refunds.

VIII. TRAVEL POLICY

The Executive Director shall be responsible for approving reimbursement for all travel (local, intra- and interstate).

The accountant shall be responsible for reimbursing staff members for travel expenses related to agency business, upon receipt of supportive documentation, in compliance with the policies and procedures set forth below:

A. Local Travel

All staff members required to use their own personal automobiles for agency business shall be reimbursed for such at the rate of 10¢ per mile. Parking fees are also reimbursible. In order to be reimbursed for such expenses, the following procedure must be followed:

1. On a monthly basis, any staff member shall submit to the Executive Director a mileage form itemizing dates, points of departure and arrival, number of miles driven and parking fees, if any. The staff member shall sign the mileage form submitted.

2. For staff members at each house, other than the Director, the mileage form must also have the signature of the staff member's immediate supervisor.
3. All reimbursible mileage for local travel shall be paid by check (unless otherwise authorized) upon approval of the Executive Director.
4. A separate file shall be maintained for mileage disbursed to staff members.

B. Intra- and Inter-state Travel

All out-of-town trips must have the prior approval of the Executive Director. With his prior approval, staff members may use their own personal automobiles for agency business travel within a 300-mile radius of the metropolitan area and be reimbursed at a rate of 10¢ per mile. Beyond the 300-mile radius, reimbursement for travel to and from areas served by air travel shall not exceed coach class air fare to and from that destination. Reimbursement for travel to and from areas beyond the 300-mile radius not served by air travel shall be paid at 10¢ per mile.

If a staff member is travelling by air, he may rent a car only if he cannot reach his final destination by other forms of transportation, or if car rental is lower in cost than other available means of travel. In the latter case, the staff member must note the cost of other alternatives to support his decision to rent a car.

In order to be reimbursed for out-of-town travel expenses, the staff member must follow these procedures:

1. A staff member requesting payment of travel expenses shall submit to the Executive Director a detailed expense voucher. Available receipts related to expenses listed on the voucher should be attached thereto. Hotel receipts must accompany the voucher.
2. If the staff member is travelling by air, the air fare shall be paid directly to the airline company. However, the staff member must attach the ticket stub to the travel voucher, as supporting documentation of ticket purchase.
3. The travel voucher must have the signature of the staff member's immediate supervisor in addition to that of the Executive Director.
4. All reimbursible travel expenses shall be paid by check upon approval of the Executive Director.
5. A separate file shall be maintained for out-of-town travel vouchers for expenses disbursed to staff members.

C. Non-overnight Intra- and Inter-state Travel

Staff members will be provided the following food allowance for non-overnight intra- and inter-state travel:

1. If departure time from the city is prior to 8:00 a.m., a breakfast allowance of \$1.50 will be allowed.
2. If departure time from the city is prior to 12:00 p.m., a lunch allowance of \$3.50 will be allowed. If arrival time in the city is after 1:00 p.m., a \$3.50 lunch allowance will be allowed.

3. If departure time from the city is prior to 5:00 p.m., a dinner allowance will be allowed. If arrival time in the city is after 6:00 p.m., a dinner allowance of \$5.00 will be allowed.

D. Overnight Intra- and Inter-state Travel

In addition to transportation costs, a per diem rate of \$25.00 for overnight, out-of-town travel shall be allowed for food and lodging. However, and only with the prior approval of the Executive Director, such costs may be charged on an actual basis in lieu of a per diem rate. In no instance shall food allowance exceed \$10.00 per day.

If air travel or other common carrier is used for travel, transportation to and from the airport/depot shall be by bus or multiple-passenger limousine in the city and at the destination. If such transportation is unavailable or unfeasible, taxi service may be utilized. In this instance, the staff member must note the reason supporting his decision to use taxi service rather than bus or multiple-passenger limousine.

Registration fees for meetings and conventions are reimbursible (excluding meal ticket purchases, which are reimbursible under the cost of food).

Fees for any special event directly related to the purpose of the meeting or convention are reimbursible.

If a per diem rate is used for calculation of expenses for overnight trips, the rate shall be calculated on a quarter-day basis, i.e. -

First quarter	12:00 a.m. to 6:00 a.m.
Second quarter	6:00 a.m. to 12:00 p.m.
Third quarter	12:00 p.m. to 6:00 p.m.
Fourth quarter	6:00 p.m. to 12:00 a.m.

Each quarter is reimbursible at \$6.25. Thus, if a staff member leaves for an overnight trip after 6:00 a.m. but prior to 12:00 p.m., he is reimbursed for three-quarters of that day, or \$18.75. If the staff member arrives in the city from an overnight trip after 6:00 p.m., he is reimbursed for four quarters of that day.

E. Client Travel

For those clients of the agency not receiving transportation money from other agencies, or those who are not working, transportation money shall be provided by the agency for bus fare to and from employment interviews and for bus or other fares to and from all other appointments arranged for the client by a staff member of the agency.

In most cases, disbursements of such funds shall be made through petty cash or loan funds with proper procedures to be followed.

JOB DESCRIPTIONS AND QUALIFICATIONS

EXECUTIVE DIRECTORQualifications

Master of Social Work Degree from accredited school of social work preferred, or Master's Degree in related behavioral science. Minimum of six years' experience in the field of social service. Minimum of four years experience in administration and/or supervisor capacity. Prior experience in the field of Criminal Justice preferred.

Duties

As Chief Executive Officer reporting directly to the Executive Board, the Executive Director has the following duties:

- A. Serve as ex-officio member of the Executive Board and its committees.
1. Report directly to the Executive Board and its committees.
 2. Assist Executive Board and its committees in raising funds from both public and private sources, including seeking new sources of funding.
 3. Assist Executive Board and its committees in both short-term and long-range planning, which includes, but is not limited to, fiscal and program planning and continued agency development.
 4. Survey and identify community needs in the area of correctional rehabilitation, including, but not

limited to, developing modifications of existing agency structure, program and staffing, when necessary, and submitting same to the Executive Board for its approval, developing new or additional programs to meet community correctional needs, and submitting same to the Executive Board for its approval.

- B. Implement decisions of the Executive Board concerning policy, budgets, and major expenditures.
1. Assist the Executive Board and its committees in the development of agency policy.
 2. Supervise preparation of annual budgets, and submit same to the Executive Board for consideration and approval.
 3. Supervise preparation of budgets for new or additional programs, and submit same to the Executive Board for consideration and approval.
 4. Implement new or additional programs, once approval of Executive Board has been obtained.
 5. Report expenditures and major needs to the Executive Board.
 6. Keep Executive Board informed of general agency operations.

- C. Administrate all programs of the agency, both funded and voluntary, including, but not limited to:
1. Interpret and implement fiscal, management, programmatic and other guidelines as imposed by agencies funding agency programs.
 2. Approve and sign all expenditures and disbursements, including checks, travel requests, vouchers, purchase requisitions, purchase orders, time sheets, etc.
 3. Approve and sign all financial reports to the Executive Board as well as to government and other agencies funding agency programs.
 4. Develop and execute administrative procedures for the efficient internal operation of the agency.
 5. Develop and maintain cooperative agreements, relationships, and liaison with Directors, Department Heads, etc., of other agencies on local, county, state and Federal levels.
 6. Supervise development of the use of other community agency resources, in the interest of agency clients.

- D. Recruit, hire, and supervise all agency staff, including setting entrance salaries within budget, salary ranges, and agency policy limitations.
1. Develop salary ranges and steps within ranges for staff positions and submit same to the Executive Board for its consideration and approval.
 2. Supervise periodic reviews and evaluations of staff positions, salary ranges and steps within ranges, and recommend needed or desired changes to the Executive Board for its consideration and approval.
 3. Supervise development and direction of staff orientation and in-service training, as well as continuous professional and vocational improvement of staff, both paid and voluntary.
 4. Supervise directly or indirectly, all staff and consultants of the agency, both paid and voluntary.
 5. Supervise development of job descriptions and specifications for all staff positions, paid and voluntary, submitting job descriptions or changes therein to the Executive Board for its consideration and approval.

6. Supervise maintenance of all personnel records, as well as custody of same, for all agency staff, paid and voluntary.
 7. Evaluate or supervise evaluations of performance of all agency staff, and recommend their rate of annual salary increment, based upon employee evaluations.
 8. Suspend and terminate agency staff who are not performing satisfactorily or for other good cause.
- E. Develop and maintain a program of agency public relations with the community, utilizing news media such as radio, television, the press, speaking engagements, development of informational brochures, etc.
- F. Perform other tasks as may be assigned by the Executive Board or its committees.

ASSISTANT EXECUTIVE DIRECTOR

Qualifications

Master of Social Work Degree from accredited school of social work preferred, or Master's Degree in related behavioral science. Minimum of five years experience in the field of social service. Minimum of three years experience in administrative and/or supervisory capacity. Prior experience in the field of Criminal Justice preferred.

Duties

Reporting directly to the Executive Director, the Assistant Executive Director has the following duties:

- A. Fulfill all of the duties, functions and responsibilities of the Executive Director in the Executive Director's absence.
- B. Assist the Executive Director in the following areas:
 1. Raising funds from both public and private sources, as well as seeking new sources of funding.
 2. Short- and long-range planning, which includes, but is not limited to, fiscal and program planning and continued agency development.
 3. Surveying and identifying community needs in the area of correctional rehabilitation, including, but not limited to, modification of existing agency structure, program and staffing patterns when necessary, and developing new or additional programs to meet community correctional needs.

4. Implementing agency policies, budgets, and major expenditures.
5. Preparing the annual budget.
6. Preparing budgets for new or additional programs.
7. Implementing new or additional programs.
8. Administering all programs of the agency, both paid and voluntary.
9. Knowledgeability of all fiscal, management, programmatic and other guidelines as imposed by agencies funding agency programs.
10. Approving and signing all expenditures and disbursements, including checks, vouchers, travel requests, purchase requisitions, purchase orders, time sheets, etc.
11. Approving and signing all financial reports to the Executive Board as well as to government and other agencies funding agency programs.
12. Development and execution of administrative procedures for the efficient internal operation of the agency.
13. Developing and maintaining cooperative agreements, relationships and liaison with Directors, Department Heads, etc., of other agencies on local, county, state and Federal levels.
14. Developing the use of other community resources in the interest of agency clients.

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2 OF 3

4. Implementing agency policies, budgets, and major expenditures.
5. Preparing the annual budget.
6. Preparing budgets for new or additional programs.
7. Implementing new or additional programs.
8. Administering all programs of the agency, both paid and voluntary.
9. Knowledgeability of all fiscal, management, programmatic and other guidelines as imposed by agencies funding agency programs.
10. Approving and signing all expenditures and disbursements, including checks, vouchers, travel requests, purchase requisitions, purchase orders, time sheets, etc.
11. Approving and signing all financial reports to the Executive Board as well as to government and other agencies funding agency programs.
12. Development and execution of administrative procedures for the efficient internal operation of the agency.
13. Developing and maintaining cooperative agreements, relationships and liaison with Directors, Department Heads, etc., of other agencies on local, county, state and Federal levels.
14. Developing the use of other community resources in the interest of agency clients.

15. Recruiting, hiring and supervising all agency staff.
 16. Development of salary ranges and steps within ranges for staff positions.
 17. Periodic reviews and evaluations of staff positions, salary ranges and steps within ranges.
 18. Development and direction of staff orientation and in-service training as well as continuous professional and vocational improvement of staff, both paid and voluntary.
 19. Supervising, directly or indirectly, all staff and consultants of the agency, both paid and voluntary.
 20. Development of job descriptions and specifications for all staff positions, both paid and voluntary.
 21. Maintenance of all personnel records for all agency staff, both paid and voluntary.
 22. Evaluation or supervision of evaluation of all agency staff.
- C. Maintaining agency public relations with the community, utilizing such media as speaking engagements, the press, radio, television, etc.
- D. Perform other tasks as may be assigned by the Executive Director.

CLINICAL PSYCHOLOGISTQualifications

Ph. D. in Psychology, or all academic and practicum course work completed for the Ph. D. with one year of approved internship.

Duties

Reporting directly to the Executive Director, the Psychologist has the following duties:

- A. Provide psychological testing for all clients for whom that service is deemed necessary. The purpose of such testing is to determine pathologies and adequate plans for their treatment, to determine individual strengths upon which a treatment plan can be based, and to determine vocational potential.
- B. Provide psychotherapy to selected cases on an individual and group basis.
- C. Provide consultation for staff concerning treatment programs for individuals and groups, as well as the Treatment Program as a whole.
- D. Devise and provide an on-going training program for staff in methods of treatment.

DIRECTORQualifications

Master of Social Work Degree from an accredited school of social work, or Master's Degree in related behavioral science, or Bachelor's Degree with six years of experience in the field of social service, at least two of which have been spent working with the public offender.

Duties

Reporting directly to the Assistant Executive Director, the Director has the following duties:

- A. Supervise all staff, paid and voluntary, assigned to the house.
 1. Evaluate performance of staff under his or her supervision.
 2. Conduct regular staff meetings with staff assigned to the house.
 3. Schedule working hours of each staff member assigned to the house.
 4. Supervise social work students assigned to the house.
- B. Assist the Executive Director in the development, coordination, and implementation of the Aftercare and Outclient programs.
 1. Supervise outclient counselors assigned to the house.
 2. Supervise counselor-trainees assigned to the house.

- C. Assist the Executive Director in the development, coordination, and implementation of the Treatment Program.
 - 1. Supervise total in-house program.
 - 2. Maintain adequate social case records as well as other records necessary for proper functioning of the house.
- D. Approve applicants for residency and outclient services, as well as removing clients from the program who are found to be unable or unwilling to meet the demands of the program.
- E. Extend casework and groupwork services to residents of the house.
- F. Assist Executive Director in liaison with other community agencies used by the agency; such as Board of Probation and Parole, Mental Health agencies, hospitals, institutions, etc.
- G. Assist Executive Director in agency public relations, including speaking engagements, radio, television, etc.
- H. Approve petty cash disbursements from house petty cash fund.
- I. Approve purchase requests for all items necessary for the functioning and maintenance of the house.
- J. Perform other tasks as may be assigned by the Executive Director or Assistant Executive Director.

ASSISTANT DIRECTOR

Qualifications

Master of Social Work Degree from an accredited school of social work, or Master's Degree in related behavioral science, or Bachelor's degree with four years of experience in the field of social services, at least two of which have been spent working with the public offender.

Duties

Reporting directly to the Director, the Assistant Director has the following duties:

- A. Assume duties of House Director in the absence of the House Director.
- B. Extend casework and groupwork services to residents of the house.
- C. Maintain adequate social case records on residents.
- D. Assist House Director in supervising all staff, paid and voluntary, assigned to the house, including supervising social work students assigned to the house.
- E. Assist the House Director in the development, coordination and implementation of the Treatment Program.
- F. Assist the House Director in the development, coordination, and implementation of the Aftercare and Outclient Programs:

1. Assist in supervision of outclient counselors assigned to the house.
 2. Assist in supervision of counselor-trainees assigned to the house.
- G. Assist Director in liaison with other community agencies used by the agency, such as Board of Probation and Parole, Mental Health agencies, hospitals, institutions, etc.
- H. Assist the House Director in agency public relations, including speaking engagements, radio, television, etc.
- I. Perform other tasks as may be assigned by the Director.

EMPLOYMENT PLACEMENT AND VOCATIONAL COUNSELOR

Qualifications

Master's Degree in Guidance and Counseling, or Bachelor's degree, with four years of experience in employment placement and vocational counseling activities. Automobile required.

Duties

The Employment Placement and Vocational Counselor has the following duties:

- A. Develop job placement resources in the community.
 1. Utilize resources of other employment placement agencies in the community.
 2. Develop independent job placement resources.
 3. Maintain complete file of all job placement resources used by the counselor.
 4. Maintain frequent contact with employers, trade unions, etc., to develop favorable attitude toward and stimulate interest in hiring ex-offenders.
- B. Provide job placement assistance to all clients:
 1. Assist client to determine field of interest for job placement, which includes studying case materials of client seeking employment placement

assistance, utilizing this data as well as testing, to determine client's job interests, areas and degree of skill, etc.

2. Provide individual and group counseling to assess job aspirations, occupational potential, and to foster work attitudes for those clients unemployed, underemployed, or experiencing job dissatisfaction where employed.
 3. Consult with the Clinical Psychologist in selected cases to help determine job placement plans and goals.
 4. Refer clients to specific job placement opportunities.
 5. Maintain adequate records of job placement activities.
 6. Maintain frequent contact with employers to assess client's job performance and progress.
- C. Develop vocational training opportunities in the community.
1. Maintain current knowledge of all available training programs in the community.
 2. Utilize resources of vocational training agencies in the community.
 3. Maintain complete files of all vocational training resources used by the counselor.
 4. Maintain frequent contact with vocational training agencies which provide training for clients.

D. Provide vocational training placement assistance to clients.

1. Assist clients to determine field of interest for vocational training, including studying case materials of clients seeking vocational training placement assistance, utilizing this data as well as testing, to determine client's vocational interests, areas and degree of skill, etc.
2. Provide individual counseling to assess vocational training aspirations.
3. Consult with Clinical Psychologist in selected cases to help determine vocational training goals and plans.
4. Refer client to specific vocational training agency.
5. Maintain adequate records of vocational training placement activities.
6. Maintain frequent contact with vocational training schools or sites to assess client's performance and progress.

E. Share job and vocational training placement and progress information with house and outclient counselors in order to coordinate treatment plans and goals for individual clients.

F. Perform other tasks as may be assigned by the Executive Director.

ACCOUNTANTQualifications

Bachelor's Degree in Accounting or Business Administration, with supervisory or managerial capabilities, or some college education with demonstrated competence through previous employment, in accounting, supervisory and managerial capacities.

Duties

Reporting directly to the Executive Director, the Accountant has the following duties:

- A. Responsibility for carrying out fiscal policies and procedures of the agency as well as fiscal policies and procedures of any agency, governmental or private, funding the agency and its programs.
- B. Maintaining financial records of the Agency, including both governmental and privately funded grant awards, contracts, donations, etc., which includes, but is not limited to:
 1. Maintaining a full set of books.
 2. Preparing monthly, quarterly and annual financial reports for the Executive Board and funding agencies.
 3. Preparing the agency payroll.
 4. Preparing all tax deposits and quarterly and annual tax reports.
 5. Maintaining adequate record of all accounts receivable and payable.
 6. Reconciling petty cash funds on a weekly basis.
 7. Preparing all check vouchers from invoices, including assigning appropriate account numbers.

- C. Responsibility for seeing that proper purchasing procedures are followed, and for purchasing, once proper approval has been obtained.
- D. Assist Executive Director in preparation of all budgets.
- E. Assist Executive Director in development and maintenance of adequate recording, statistical and data collection procedures.
- F. Assist Executive Director in organization and coordination of office procedures.
- G. Supervise Secretary-Bookkeeper and other staff as assigned by the Executive Director.
- H. Perform other tasks as may be assigned by the Executive Director.

COUNSELOR - OUTCLIENTQualifications

High School diploma or equivalent, plus one year of experience with a social service agency in a volunteer and/or paid capacity. Ability to provide counseling to aftercare cases and outclients. Ex-offenders strongly preferred.

Duties

The Outclient Counselor has the following duties:

- A. Maintain regular personal contact with clients assigned to him or her, and provide counseling on a regular basis.
- B. Refer clients to appropriate staff members for services - e.g., psychologist, employment placement and vocational counselors, etc.
- C. Refer clients to other agencies for appropriate services, with the exception of employment placement and vocational counseling and training agencies.
- D. Consult with House Director and Assistant House Director on continuing progress of cases.
- E. Consult with staff (i.e., Psychologist, House Director, Assistant House Director, Employment Placement Counselors) on treatment plans and goals for aftercare cases and outclients.

- F. Under supervision of House Director and Assistant Director, implement treatment plans and goals for aftercare cases and outclients.
- G. Maintain adequate case records and other records, as required.
- H. Work with the counselors and staff of other agencies (with the exception of vocational counseling, training and employment placement agencies) having a mutual interest in aftercare and outclient cases - i.e., other social service agencies, probation and parole officers, etc.
- I. Assist House Director in agency public relations, including speaking engagements, radio, television, etc.
- J. Perform other tasks as may be assigned by the House Director.
- K. Visit city and county jails on a regular basis to provide counseling and other services to persons incarcerated in those institutions.
 1. Fill out agency worksheets on individuals interested in residency or outclient services.
 2. Obtain pre-sentence reports and other data from probation and parole officers, and other social service agencies.

3. Provide liaison with lawyers, probation officers, family, etc., for persons incarcerated in city or county jails.
4. Maintain adequate records on incarcerated cases.
5. In selected cases, and only as authorized by the House Director, make court appearances for clients.

COUNSELOR - NIGHT

Qualifications

High school diploma or equivalent. At least one year of experience in helping capacity with people, as well as an ability to provide crisis counseling. Counselor must be able to manage facility during late night and early morning hours.

Duties

The Night Counselor has the following duties:

- A. Supervise residents and manage the house during his or her duty hours.
 1. Provide crisis counseling for any resident in need of such help.
 2. Refer residents to appropriate services on an emergency basis (i. e., City Hospital, Mental Health Center, etc.).
 3. See that residents are awake in time for work, vocational training, or by regular house wake-up time.
 4. Maintain adequate records of resident activity.
 5. Approve overnight passes in the absence of the House Director or Assistant House Director.
 6. Maintain order within the house as well as enforcing house rules.

7. Supervise residents' work assignments.
 8. See that food on the house menu is available for residents in the absence of the cook. (This usually will apply only to the breakfast meal.)
 9. Determine whether to accept conditionally or to reject applicants for residency in the absence of the House Director or the Assistant House Director. In either event, the applicant's case will be reviewed by the House Director upon his or her arrival, for final determination of eligibility for services.
 10. Dispense clothing and personal items in case of emergency (linens, soap, etc.), making adequate record of such distribution.
 11. Answering telephones and receiving visitors.
- B. Perform other tasks as may be assigned by the House Director.

COUNSELOR - PART-TIME

Qualifications

Bachelor's Degree, majoring in one of the behavioral sciences, or Bachelor's Degree, with one year of experience in a social service agency.

Duties

The Part-time Counselor has the following duties:

- A. Supervise residents and manage the house during weekend hours and at other times, as assigned.
 1. Provide crisis counseling for any resident in need of such help.
 2. Refer residents to appropriate services on an emergency basis (e.g., City Hospital, Mental Health Center, etc.).
 3. See that residents are awake in time for work or vocational training, or by regular house wake-up time.
 4. Maintain adequate social case records and other records, as required.
 5. Approve overnight passes in the absence of a full-time, in-house Counselor.
 6. Maintain order within the house, as well as enforcing the house rules.
 7. Supervise residents' work assignments.
 8. See that food on the house menu is available and prepared for the residents.

9. Determine whether to accept conditionally or to reject applicants for residence, in the absence of the House Director or Assistant Director. In either event, the applicant's case will be reviewed by the House Director upon his or her arrival, for final determination of eligibility for services.
 10. Gather and record initial information on conditionally accepted applicants for residency - i.e., worksheets, social history, or other pertinent information from referring agency.
 11. Dispense clothing and personal items, and make adequate record of such distributions.
 12. Answer telephones and receive visitors.
- B. Perform casework and groupwork functions in assistance to the House Director and Assistant Director.
 - C. Take and record social histories and other information, in assistance to the House Director and Assistant Director.
 - D. Assist House Director and Assistant Director in managing house, when both are sharing duty hours.
 - E. Perform other tasks as may be assigned by the House Director.

SECRETARY-BOOKKEEPER

Qualifications

High school diploma or equivalent, plus two years experience in secretarial and bookkeeping work, or one year of course work related to accounting or bookkeeping. Ability to write in a clear and legible manner. Must be able to type 40 words per minute.

Duties

Reporting directly to the Accountant, the Secretary-Bookkeeper has the following duties:

- A. Perform secretarial duties as assigned.
- B. Prepare billing forms for contract services.
- C. Prepare monthly expenditure forms.
- D. Post to and balance all subsidiary accounts.
- E. Prepare all purchase orders.
- F. Keep accurate records of all employees' time sheets, including accrued time worked and time absent (compensatory, vacation, sick time, etc.).
- G. Compile and prepare all program reports and other statistical reports, as required.

- H. Keep accurate on-going inventories of all expendable supplies, as well as all non-expendable items of equipment.
- I. Assume all record-keeping responsibilities of the Accountant in his absence, including preparing payroll, checks, and financial reports, and posting to the ledger and journals.

SECRETARY

Qualifications

High school diploma or equivalent, plus two years of experience in secretarial work. Ability to type 60 words per minute, plus ability to take shorthand or use dictaphone. Accurate with figures; no book-keeping required.

Duties

The secretary has the following duties:

- A. Act as personal secretary to the House Director, performing all required secretarial functions related thereto.
- B. Provide secretarial services to staff assigned to house, performing all required secretarial functions related thereto.
- C. Receive visitors and determine their specific business, making necessary referrals or future appointments.
- D. Answer and channel incoming calls to proper personnel and handle general information requests.
- E. Maintain adequate client case records.
- F. Prepare and distribute monthly reports related to individual house, as required.

- G. Responsibility for collecting and coordinating various data to be forwarded to the office of the Executive Director.
- H. Maintain accurate financial records related to individual house, including, but not limited to:
 - 1. Reconciling petty cash fund.
 - 2. Determining and distributing clients' maintenance and transportation money.
 - 3. Collecting and recording client loan repayments, and room and board payments.

CLERK-TYPIST

Qualifications

High school diploma or equivalent, with one year of experience preferred. Some ability to work with figures. Ability to type 50 words per minute, and use the dictaphone.

Duties

The Clerk-Typist has the following duties:

- A. Handle all typing, filing and correspondence for psychologist and employment placement and vocational counselors, including:
 - 1. Typing and forwarding psychological testing data to houses as well as to other agencies.
 - 2. Maintaining adequate employment and vocational training records on all clients.
 - 3. Forwarding employment placement and vocational training data to houses as well as to other agencies.
- B. Maintain house petty cash fund and adequate records for same.
- C. Deposit cash receivable funds, and maintain cash receipts book.
- D. Assist House secretary with work overflow.
- E. Assist Secretary-Bookkeeper with filing and typing for the Executive Director.

- F. Receive visitors, making necessary referrals and future appointments.
- G. Answer and channel incoming calls to proper personnel.
- H. Prepare and distribute various forms for the agency.
- I. Prepare and distribute monthly reports related to Central Office, as required.
- J. Keep adequate inventory of forms on hand, in addition to office supplies and materials.
- K. Perform other tasks as may be assigned by the Psychologist or employment placement counselors.

COOK - HOUSEKEEPER

Qualifications

Ability to prepare appealing meals for large number of people (20 to 30). Ability to manage kitchen and determine food needs in advance. Ability to organize and perform general house cleaning, as well as ability to supervise residents in the performance of their respective house assignments. Ability to accept responsibility for and keep adequate records of such items as clothing, linens, cleaning supplies, household items, etc.

Duties

The Cook-Housekeeper has the following duties:

- A. Prepare and follow menu for all meals.
- B. Prepare, cook and serve food for the evening meal, and occasionally for the noon meal.
- C. Set aside daily sufficient quantities of food for breakfast and noon meals, according to the menu.
- D. Prepare box lunches for residents who are working or training.
- E. Inventory all food, cleaning and related supplies.
- F. Inventory government commodity supplies.

- G. Prepare purchase requests for food, cleaning and related supplies.
- H. Properly package, mark and store all meats and other items for freezing.
- I. Put up all orders of canned goods, paper products, cleaning products, etc.
- J. Keep storeroom neat, clean, and in order.
- K. Keep refrigerators, freezers, stove, kitchen cabinets, etc., clean and in general, be responsible for cleanliness.
- L. Supervise kitchen details.
- M. General cleaning of the house:
 - 1. Perform cleaning duties assigned solely to her, such as offices and other areas of the house, as designated by the House Director.
 - 2. Supervise house residents in the performance of ordinary work assignments and in the periodic thorough cleaning of the house.
- N. Organizing and assigning ordinary work assignments, as well as periodic thorough house-cleaning assignments, to particular residents.

- 1. Utilize residents whose treatment goals and program, including job placement or vocational training, have not been completed, for extra duty assignments.
- 2. Maintain liaison with Night Counselors and Part-time Counselors concerning work assignments designated to be performed in other than Cook-Housekeeper's normal duty hours - i.e., late early morning, weekend and holiday hours.
- O. Dispensing linens, clothing and cleaning supplies to residents, and keeping adequate records of same.
- P. Responsibility for check-out of residents leaving residency program, insuring all items belonging to the agency are returned.
- Q. Seeing that items in use, such as cleaning supplies, paper products, light bulbs, etc., are kept in current supply in bathrooms, lamps, etc., for residents' use.
- R. Report any obvious repairs needed to the House Director.
- S. Perform other tasks as may be assigned by the House Director.

MAINTENANCE MANQualifications

Physical stamina to perform maintenance work. Ability to perform minor electrical, plumbing and carpentry work. Ability to paint, care for grounds, and perform other related tasks.

Duties

The Maintenance Man has the following duties:

- A. General upkeep of properties, including minor repairs.
 - 1. Perform minor electrical, plumbing and carpentry repairs.
 - 2. Perform general painting jobs.
 - 3. Maintain heating and air conditioning units.
 - 4. General care of grounds, including, but not limited to, mowing lawns, removing snow, gardening, etc.
- B. Prepare purchase requests for items needed for general maintenance.
- C. Promptly report all major repair needs to the Director.
- D. Perform other tasks as may be assigned by the Director.

EMPLOYEE EVALUATION FORM

INDIVIDUAL PERFORMANCE REVIEW

NAME: _____
 POSITION: _____
 PERIOD COVERED: _____ months - from _____
 _____ to _____

I. QUALITY OF WORK

0 _____	Unsatisfactory	Does almost as much poor work as good. Makes frequent mistakes due to carelessness.
1 _____	Below Average	Mistakes are too frequent. May be caused by haste or lack of knowledge. Work often lacks appropriate level of professionalism.
2 _____	Average	Work usually correct. Makes only occasional mistakes. Output is average from standpoint of accuracy and finish.
3 _____	Above Average	Is skilled worker. Seldom makes errors. High standard of professionalism in work performed.

II. QUANTITY OF WORK

0 _____	Unsatisfactory	Produces only enough to justify keeping employed; consistently wastes time.
1 _____	Below Average	Produces somewhat less than is expected.
2 _____	Average	Produces satisfactorily.
3 _____	Above Average	Produces beyond normal job requirements.

III. DEPENDABILITY

0 _____	Unsatisfactory	Not at all dependable (check one): _____ Must constantly follow up and check work. _____ Tries to hide mistakes. _____ Cannot be depended on to work alone. _____ Absent too often.
1 _____	Below Average	Sometimes fails to heed instructions: _____ Fails to follow through. _____ Frequently absent.
2 _____	Average	Usually reliable and carries out instructions with only normal supervision or follow-up. Occasionally absent.
3 _____	Above Average	More dependable and conscientious than the average. Seldom absent.

IV. KNOWLEDGE AND RESPONSIBILITY

0 _____	Unsatisfactory	Understands very little about the work; consequently of limited usefulness. Completely stalled when anything goes wrong or something unusual comes up.
1 _____	Below Average	Understands less about the work than the average, or than could be expected (check one):

IV. KNOWLEDGE AND RESPONSIBILITY (Continued)

		<p>_____ Knows routine only and is frequently stalled when something unusual comes up.</p> <p>_____ Cannot make adjustments as fully as would be desirable.</p> <p>_____ Occasionally a problem due to limited number of jobs employee can do.</p>
<u>2</u>	Average	Has adequate knowledge of job; able to do what is expected of the average employee on the same type of work; able to make adjustments to handle situations normally encountered in the job. Can be shifted around to other similar work.
<u>3</u>	Above Average	Has thorough all-round knowledge of kind of work involved; more versatile than the average.

V. ATTITUDE AND COOPERATION

<u>0</u>	Unsatisfactory	Extremely negative attitude; uncooperative; habitually late or leaves early. Not interested in job or in improving skills.
<u>1</u>	Below Average	Only fair attitude and cooperation; leaves something to be desired in this respect.

V. ATTITUDE AND COOPERATION (Continued)

<u>2</u>	Average	Tries to do what is expected; takes normal interest in job.
<u>3</u>	Above Average	Tries to do more than expected; takes more than average interest in job.

VI. RELATIONS WITH OTHERS

<u>0</u>	Unsatisfactory	Any of the following characteristics present (check one):
		<p>_____ Other employees unwilling to work with subject because of disposition or some unpleasant personal characteristic.</p> <p>_____ Frequently causes friction and stirs up other employees.</p>
<u>1</u>	Below Average	Occasionally temperamental; apt to "flare up" or be hard to get along with.
<u>2</u>	Average	Normally obliging; represents the agency well to others.
<u>3</u>	Above Average	Easy to get along with; makes positive contribution to staff teamwork. Helpful. Better-than-average agency representation.

VII. AREAS OF PARTICULAR STRENGTH

VIII. AREAS IN NEED OF IMPROVEMENT

IX. PERFORMANCE SCALE

<u>Above Average</u>	<u>Average</u>	<u>Below Average</u>	<u>Unsatisfactory</u>
15 to 18 points	10 to 15 points	4 to 10 points	0 to 4 points

SIGNATURE OF RATER _____

TITLE _____

DATE _____

SIGNATURE OF EMPLOYEE

I have read and discussed this performance
review with the above signatory.

SIGNED _____

DATE _____

STATISTICAL DATA RESEARCH FORMS

STATISTICS OF CLIENTS

Identifying Information and Input

Source of Information	Column Number	Code
Intake	1 - 5	Identification No.
Intake	6	Race: <ol style="list-style-type: none"> 1. Caucasian 2. Negro 3. Puerto Rican 4. Indian 5. Other 9. No Information
Intake	7	Sex: <ol style="list-style-type: none"> 1. F 2. M
Intake, Pre-sentence Report, Federal Bureau of Prisons Case File, or other Case Files	8 - 11	Date of Birth: Code month and year only (e. g., 10/43)
Intake	12	Status: <ol style="list-style-type: none"> 1. Outclient - Stipulated 2. Outclient - Not stipulated 3. Resident 4. Outclient first, then resident 5. Resident first, then aftercare 6. Outclient first, then resident and aftercare 9. No information

Source of Information

Source of Information	Column Number	Code
Intake	13	Re-admission: <ol style="list-style-type: none"> 1. Yes 2. No 3. No information
Pre-sentence Report, School records, or Client	14 - 15	Formal schooling: Code last grade com- pleted, e. g. : <ol style="list-style-type: none"> 01. First Grade 02. Second Grade 12. Twelfth, etc. 17. If college de- gree, code de- gree (i. e., B. A., B. S., M. S., D. R., etc.) 26. No information
Pre-sentence Report, School records, or Client	16	Source of education: <ol style="list-style-type: none"> 0. Public school 1. Private school 2. Public and pri- vate school 3. Public school and Prison G. E. D. 4. Public school and other G. E. D. 5. Private school and Prison G. E. D. 6. Private school and other G. E. D. 9. No information.

Source of Information	Column Number	Code
Pre-sentence Report, Intake, or Institutional File	17	Special Problems Requiring Collateral Agencies: 0. None 1. Alcoholic 2. Drug addiction 3. Psychotic 4. Mental retarda- tion 5. Vocational de- ficit 6. Educational de- ficit 7. Combination of above 8. Other 9. No information
Pre-sentence Report, Intake, or Institutional File	18	Type of Drug Problem: 0. None 1. Narcotics a- buse (i. e., Heroin, Dilaudid, Morphine, etc.) 2. Barbiturate a- buse 3. Hallucinogenic abuse (LSD, STP, Mari- juana, etc.) 4. Stimulant drug abuse (ampheta- mine, Cocaine) 5. Combination of above 6. Other 9. No information

Source of Information	Column Number	Code
Pre-sentence Report	19	Marital Status at Intake: 1. Single 2. Married (legal or common law) 3. Divorced 4. Separated 5. Widowed 9. No information
Pre-sentence Report, or Intake	20	Number of Children: 0. None 1. One 2. Two, etc. 8. Eight or more 9. No information
Intake	21	Religious Affilia- tion: 0. None 1. Roman Catholic 2. Protestant (Fund- amentalist), i. e., Southern Baptist, Methodist, Pente- costal, etc. 3. Protestant - Other 4. Jewish 5. Other 9. No information
Intake	22	Number of Siblings, Including Half- and Step- Siblings: 0. None 1. One 2. Two, etc. 8. Eight or more 9. No information

Source of Information	Column Number	Code
Intake	23	Birth Order of Client: 1. Only child 2. Middle child 3. Oldest child 4. Youngest child 9. No information
Intake	24	Other Family Members Convicted: 0. None 1. Father or step-father 2. Mother or step-mother 3. Both parents or step-parents 4. Husband 5. Wife 6. Younger sibling 7. Older sibling 8. Combination of above 9. No information
Pre-sentence Report, or Other Official Records	25	Age at First Arrest: 0. No arrests 1. Under 10 2. 10 - 13 3. 14 - 16 4. 17 - 18 5. 19 - 21 6. 22 - 26 7. 27 or over 9. No information

Source of Information	Column Number	Code
Pre-sentence Report, or Other Official Records	26	Age at First Conviction: 0. No Convictions 1. Adjudication as Juvenile 2. 14 - 16 (if certified as an adult) 3. 17 - 18 4. 19 - 21 5. 22 - 26 6. 27 or over 9. No information
Pre-sentence Report, or Juvenile Record	27	History of Delinquency: 0. None 1. Sexual 2. Crime against person (Robbery, Assault, Manslaughter, Murder, CCW, etc.) 3. Crime against property (Destruction of property, Forgery, Fraudulent Use of Credit Card, Embezzlement, Stealing, etc.) 4. Truancy or run-away 5. Drug offense 6. Peace disturbance 7. Combination of above 8. Unspecified or other 9. No information

Source of Information	Column Number	Code
Pre-sentence Report, or Other Official Records	28 - 29	Nature of Last Conviction:
		00. No conviction.
		01. Assaulting a police officer.
		02. Assault w/intent to kill.
		03. Assault w/intent to do great bod- ily harm.
		04. Carrying a con- cealed weapon.
		05. Malicious des- truction of prop- erty.
		06. Manslaughter.
		07. Mayhem.
		08. Murder - 1st degree.
		09. Murder - 2nd degree.
		10. Peace disturb- ance.
		11. Resisting arrest.
		12. Abandonment of a child.
		13. Mistreatment of a child.
		14. Kidnapping.
		15. Burglary.
		16. Burglary and stealing.
		17. Embezzlement.
		18. Forgery.
		19. Fraudulent use of credit card or charge ac- count.

Source of Information	Column Number	Code
	28 - 29 (continued)	20. Obtaining money by means of bogus check or money or- der.
		21. Obtaining money by means of insufficient- fund check.
		22. Interstate transportation of stolen auto.
		23. Operating mot- or vehicle w/o owner's consent.
		24. Receiving sto- len property.
		25. Stealing o/\$50 (shoplifting).
		26. Stealing u/\$50 (shoplifting).
		27. Stealing o/\$50 (other).
		28. Stealing u/\$50 (other).
		29. Tampering with a motor vehicle.
		30. Theft from the mail.
		31. Trespassing.
		32. Prostitution.
		33. Possession of marijuana.
		34. Sale of mari- juana.
		35. Possession of potent drug, i.e., stimu- lants, depres- sants, or hal- lucinogenics.

Source of Information	Column Number	Code
Pre-sentence Report, or Other Official Records	28 - 29 (continued)	36. Sale of potent drugs.
		37. Possession of narcotic drugs, i.e., heroin, morphine, Dilaudid, etc.
		38. Sale of narcotic drugs.
		39. Possession of narcotic paraphernalia.
		40. Escape.
		41. Robbery.
		42. Robbery w/a dangerous & deadly weapon.
		43. Stealing from a person.
		44. Combination of above.
		45. Other.
		46. No information.
	30 - 31	Total Number of Convictions, Including Last One (Felony & Misdemeanors):
		00. None
		01. One conviction.
		02. Two convictions, etc.
		10. Ten convictions.
		11. Eleven convictions, etc.
		26. No information.

Source of Information	Column Number	Code
PSI or Halfway House File	32	Work History: Number of Jobs Held in Last 5 Years, Excluding Prison and Military Service: 0. None 1. One 2. Two, etc. 8. Eight or more 9. No information
	33	Longest Length of Time on Jobs Listed in No. 32.: 0. No job 1. One month or less. 2. More than one month, but less than two months. 3. From two to three months. 4. From three to six months. 5. From six to twelve months. 6. From twelve to eighteen months. 7. From eighteen to twenty-four months. 8. More than two years. 9. No information.

Source of Information	Column Number	Code
PSI or Halfway House File	34	Type of Job in No. 33 as Defined by Occupational Outlook Handbook (1972-73): 0. None. 1. Professional. 2. Clerical. 3. Sales. 4. Services. 5. Skilled. 6. Semi-skilled. 7. Unskilled. 8. Other. 9. No information.
PSI, Client, or Halfway House File	35 - 36	Average Pay Per Hour to the Nearest 10 Cents, for Job(s) in No. 34: 00. None. 01. No information. 12. \$1.16 - \$1.25 13. \$1.26 - \$1.35 99. \$9.86 to \$9.95
Pre-sentence Report, or Halfway House File	37	Referral Source: 1. Federal. 2. State. 3. County. 4. City. 5. Self-referral; no past convictions. 6. Self-referral; past convictions. 7. Other. 9. No information.

Source of Information	Column Number	Code
Pre-sentence Report, or Halfway House File	38	Classification: 1. Pre-release. 2. Observation and study. 3. Split-sentence. 4. Probation. 5. Parole. 6. Bond. 7. Mandatory release. 8. Other. 9. No information
Halfway House File, Vocational Rehabilitation or PSI	39 - 41	Intelligence Quotia: 000. No information.
Halfway House Psychologists' File, or Vocational Rehabilitation Referral Source File	42 - 67	MMPI Raw Score with K: No information Code all as 00
Halfway House or Vocational Counselor File	68 - 69	WRAT Scores Grade Level: Spelling - Code Grade Level. 00. No information.
	70 - 71	Arithmetic - Code Grade Level. 00. No information.
	72 - 73	Reading - Code Grade Level. 00. No information.

Source of Information	Column Number	Code
Halfway House File, or PSI	75	Previous Vocational Rehabilitation Train- ing Received:
		0. None.
		1. Professional (include college).
		2. Clerical.
		3. Sales.
		4. Services.
		5. Skilled.
		6. Semi-skilled.
		7. Unskilled.
		8. Other.
		9. No information.

STATISTICS OF CLIENTS

Throughput

Source of Information	Column Number	Code
Intake	1 - 5	Identification No.
Halfway House File	6	Source of Mainte- nance and/or Trans- portation:
		0. None received.
		1. Vocational Re- habilitation.
		2. Federal Bureau of Prisons.
		3. Halfway house.
		4. Halfway house and Voc Rehab.
		5. Federal BOP and Voc Rehab.
		6. Voc Rehab and resident.
		7. Halfway house and Federal BOP.
		8. Other.
		9. No information.
		Length of Status:
	7 - 9	No. of days as Outclient.
	10 - 12	No. of days as Resident.
	13 - 15	No. of days in Aftercare.
Halfway House File	16 - 17	Clothing and Per- sonal Items:

Source of Information	Column Number	Code
	16 - 17 (continued)	If None, Code 00. If some, Code Dollar Amount, i.e., 05. \$5.00. 50. \$50.00. 99. Over \$99.00.
Halfway House or Vocational Counselor File	18 - 19	Halfway House Vocational Services: 0. None. 1. Job referrals. 2. Job placement. 3. Vocational group counsel- ing. 4. Individual voca- tional counsel- ing. 5. Vocational test- ing and report. 6. Educational re- ferral (G. E. D., College, etc.). 7. Voc Rehab re- ferral. 8. Behavioral eval- uation of on- the-job per- formance. 9. Two services provided. 10. Three services provided. 11. Four services provided. 12. Five services provided. 13. Six or seven services pro- vided. 26. No information.

Source of Information	Column Number	Code
Halfway House File or Vocational Counselor File	20 - 21	Employment/Place- ment: Number of Referrals: If None, Code 00. If Any, Code number, i.e., 01. One referral. 24. Twenty-four or more referrals. 25. Self-referred. 26. No information.
Halfway House File	22	Most Frequent Type of Employment Re- ferral: 0. No referral. 1. Temporary labor. 2. Permanent - part-time. 3. Permanent - full-time. 4. Temporary, then to perma- nent part-time. 5. Temporary, then to perma- nent full-time. 6. Temporary, then to perma- nent part-time and to full- time. 7. Permanent, part-time to full-time. 8. Other. 9. No information.

Source of Information	Column Number	Code
Halfway House File	23	Type of Work in No. 22, as Defined by <u>Occupational Outlook Handbook</u> (1972-73): 0. None. 1. Professional. 2. Clerical. 3. Sales. 4. Services. 5. Skilled. 6. Semi-skilled. 7. Unskilled. 8. Other. 9. No information.
Halfway House File	24	Type of Employment on which Placed or Self-Acquired (same categories as No. 22): 0. No placement. 9. No information.
Halfway House File	25	Type of Work Performed on Placement or Self-Acquired Job (same categories as No. 23): 0. None 9. No information
Halfway House File	26	Source of Job Referral which Led to Employment: 0. None. 1. Self-acquired. 2. Halfway house. 3. State employment service.

Source of Information	Column Number	Code
Halfway House File	26 (continued)	4. C. E. P. 5. H. D. C. 6. City Personnel office. 7. Voc Rehab. 9. No information.
Halfway House File	27 - 28	Number of Jobs Held while with Halfway House: 00. None. 01. One. 06. Six. 20. Twenty, etc. 99. No information.
Halfway House File	29 - 30	Average Pay per Hour to Closest 10 Cents: 00. None. 01. No information. 12. \$1.20 - \$1.25. 13. \$1.26 - \$1.30. 99. \$9.90 - \$9.96.
Halfway House File	31 - 32	Average Length of Stay on Jobs: 00. Never employed. 01. One week or less. 02. Two weeks or less, etc. 98. Ninety-eight weeks or more. 99. No information.

Source of Information	Column Number	Code
Halfway House File	33 - 34	Longest Length of Stay on a Job:
		00. Never employed.
		01. One week or less.
		02. Two weeks or less, etc.
		98. Ninety-eight weeks or more.
		99. No information.
Halfway House File	35	Source of Job Referrals which Led to Most Placements:
		0. None.
		1. Self-acquired.
		2. Halfway House.
		3. State Employment Service.
		4. C. E. P.
		5. H. D. C.
		6. City Personnel Office.
		7. Voc Rehab.
		9. No information.
Halfway House File	36	Most Frequent, or Only Reason, for Terminating Job(s):
		0. Fired due to excessive tardiness, absences, or extended breaks.
		1. Fired due to low work performance.
		2. Fired because of conflict with supervisor or other employees.

Source of Information	Column Number	Code
	36 (continued)	3. Fired because of discovery of record.
		4. Fired because of drug or alcohol problem.
		5. Left voluntarily, didn't like job.
		6. Left voluntarily, personal problem.
		7. Left voluntarily, could not get along w/ boss or employees.
		8. Other (includes returning to jail or prison).
		9. No information.
Halfway House File	37	Vocational Training; Provider of Training:
		0. None.
		1. Voc Rehab.
		2. School scholarship.
		3. M. D. T. A.
		4. C. E. P.
		5. H. D. C.
		6. Board of Education.
		7. J. E. V. R.
		8. Other.
		9. No information.

Source of Information	Column Number	Code
Halfway House File	38	Type of Vocational Rehabilitation Training Received (either Completed or of Longest Duration): 0. None. 1. Professional (include college). 2. Clerical. 3. Sales. 4. Services. 5. Skilled. 6. Semi-skilled. 7. Unskilled. 8. Other (includes observation). 9. No information.
Halfway House File	39	Status Concerning Vocational Training and Reason (refers to Column 38): 0. None received. 1. Completed training. 2. Dropped from training voluntarily. 3. Dropped because of return to jail or prison. 4. Dropped due to illness. 5. Dropped due to other reasons (involuntarily). 9. No information.

Source of Information	Column Number	Code
Halfway House File	40	Number of Other Types of Vocational Rehabilitation Training Received (excluding above): 0. None. 1. One. 2. Two, etc. 8. Eight or more. 9. No information.
House Staff, Vocational Rehabilitation or Halfway House File	41	Payment for Mental Health Services: 0. None received. 1. Halfway house. 2. Voc Rehab. 3. Hospital. 4. Client. 5. Federal BOP. 6. Halfway house and client. 7. Other, or combination of above. 8. Halfway house and other. 9. No information.
House Staff or Halfway House File	42	Place from which Mental Health Services Were Received: 0. None received. 1. Halfway house. 2. Hospital or patient.

Source of Information	Column Number	Code
	42 (continued)	3. Hospital, out-patient. 4. Clinic. 5. University. 6. Halfway house and other(s). 7. Source not listed. 8. Combination of above. 9. No information.
House Staff or Halfway House File	43	Type of Mental Health Services Received: 0. None. 1. Chemotherapy. 2. Individual sessions. 3. Group sessions. 4. Psychological screening. 5. Psychological evaluation. 6. Psychiatric evaluation. 7. Other. 8. Combination of above. 9. No information.
House Staff or Halfway House File	44	Treatment Offered by: 0. None offered. 1. Psychiatrist. 2. Psychologist. 3. Social worker.

Source of Information	Column Number	Code
	44 (continued)	4. Vocational counselor. 5. Supervised student. 6. Out-client counselors. 7. Part-time counselors. 8. Combination of above and other. 9. No information.
House Staff, Vocational Rehabilitation or Halfway House File	45	Frequency of Treatment: 0. None. 1. Weekly. 2. Bi-weekly. 3. Monthly. 4. Twice weekly. 5. Three times weekly. 6. More than three times weekly. 7. Less than monthly. 8. Emergency clinic treatment or crises intervention. 9. No information.

Source of Information	Column Number	Code
House Staff, Halfway House File, or Hospital Records	46 - 47	Duration of Treatment:
		00. None.
		01. One week.
		02. Two weeks, etc.
		98. Ninety-eight weeks or more.
		99. No information.
Halfway House File, Vocational Rehabilitation Counselor, or Hospital Records	48	Place from which Medical Treatment was Received:
		0. None received.
		1. Private hospital.
		2. City (county) hospital.
		3. Model City clinics.
		4. Hospital clinic.
		5. Private physician.
		6. Other.
		7. Combination of above.
		9. No information.
Halfway House File, Vocational Rehabilitation Counselor, or Hospital Records	49	Type of Medical Treatment Received:
		0. None.
		1. Physical examination as out-patient.

Source of Information	Column Number	Code
49 (continued)		2. Urinalysis for NARA.
		3. Ob. -Gyn.
		4. Internal medicine.
		5. Surgery.
		6. Eye exam.
		7. Combination of above.
		8. Other.
		9. No information.
Halfway House File	50	Payment for Medical Service by:
		0. None received.
		1. Halfway house.
		2. Hospital.
		3. Hospital and client.
		4. Federal BOP.
		5. Halfway house and other agency.
		6. Voc Rehab.
		7. Client.
		8. Combination of above or other.
		9. No information.
Halfway House File or Vocational Rehabilitation Letter	51	Type of Private Dental Assistance:
		0. None.
		1. Partial plates.
		2. One plate.
		3. Two plates.
		4. Fillings only.
		5. Orthodontal work.

Source of Information	Column Number	Code
	51 (continued)	6. Fillings and plates. 7. Other. 9. No information.
Halfway House File or Vocational Rehabilitation Letter	52	Payment of Dental Work by: 0. None received. 1. Halfway house. 2. Voc Rehab. 3. Federal BOP. 4. Halfway house and Voc Rehab. 5. Halfway house and Federal BOP. 6. Voc Rehab and Federal BOP. 7. Other. 8. Client. 9. No information.
Halfway House File, or Vocational Rehabilitation Counselor	53	Casework by: 1. Halfway house staff. 2. Voc Rehab counselor. 3. Halfway house staff and other. 4. Hospital. 5. Other. 9. No information.

Source of Information	Column Number	Code
Halfway House File, or School Records	54	Educational Service Rendered: 0. None. 1. Toward Grade School G. E. D. 2. Toward High School G. E. D. 3. Toward College degree. 4. Special tutoring. 5. Program learning. 6. Other. 7. Combination of above. 9. No information.
Halfway House File, or School Records	55	Status of Educational Service: 0. None received. 1. Attended through-out program. 2. Dropped voluntarily within one month after beginning. 3. Dropped involuntarily within one month. 4. Dropped voluntarily within four months. 5. Dropped involuntarily within four months. 6. Dropped voluntarily within eight months. 7. Dropped involuntarily within eight months.

Source of Information	Column Number	Code
	55 (continued)	8. Completed successfully. 9. No information.
Halfway House File, or School Records	56 - 57	Educational Advancement. Code grade improvement in each subject area: Reading: 00. Did not attend G. E. D. 10. One grade improvement. 26. 2.6 grade improvement. 98. 9.8 grade improvement. 99. No information.
	58 - 59	Mathematics: 00. Did not attend G. E. D. 10. One grade improvement. 99. No information.
	60 - 61	Language: 00. Did not attend G. E. D. 05. Half-grade improvement. 99. No information.
	62 - 63	Spelling: 00. Did not attend G. E. D. 60. Six grades improvement. 99. No information.

Source of Information	Column Number	Code
Halfway House File	64	Services Rendered - Assistance in Probation, Parole, or Pre-release Plans: 0. None. 1. Some. 9. No information.
Halfway House File	65	Services Rendered - Social History Taken: 0. By other agency. 1. By Halfway house staff. 2. By Halfway house staff and other agency. 3. No history taken. 9. No information.
Halfway House File	66	Level at which Client left Program: 0. Completed (out-client or residency plus aftercare). 1. Level I 2. Level II, etc. 6. Not on Level Program, and did not complete the program. 7. Completed residency program, but not aftercare. 9. No information.

Source of Information	Column Number	Code
Halfway House File	67 - 68	Reason for Not Completing Program:
		0. Completed. 1. Broke contract. 2. Death. 3. Left w/o Permission, or Escaped. 4. Unmanageable. 5. Convicted of another crime. 6. Left voluntarily. 7. Dropped because of failure to adhere to minimal program requirements. 8. Incarcerated w/o Conviction. 9. Change in legal status. 10. Other. 11. Incarcerated as unmanageable. 12. Incarcerated due to escape. 26. No information.
Halfway House File	69	Was a Violation Report Recommended by House Staff:
		0. Did not leave program. 1. No. 2. Yes. 9. No information.

Source of Information	Column Number	Code
Halfway House, or Probation and Parole File	70	Was a Legal Status Violation Report Filed:
		0. Did not leave. 1. No. 2. Yes. 9. No information.
Halfway House, or Probation and Parole File	71	Was Legal Status Revoked:
		0. Violation not requested. 1. No. 2. Yes. 9. No information.
Halfway House File	72	Highest Level Reached in Program:
		0. Not in Program. 1. Level I. 2. Level II, etc. 9. No information.

STATISTICS OF CLIENTS

Output

Source of Information	Column Number	Code
Halfway House File	1 - 5	Identification No.
Halfway House File	6	Status at time of Leaving Program:
		0. Completed.
		1. Resident.
		2. Aftercare.
		3. Out-client.
		9. No information.
Halfway House File, or School Records	7	Did Client Continue Educational Services After Leaving Program:
		0. Services dropped or completed while in program.
		1. Services dropped voluntarily within one month after leaving.
		2. Dropped involuntarily within one month.
		3. Dropped voluntarily within three months.
		4. Dropped involuntarily within three months.

Source of InformationColumn NumberCode

7 (continued)

5. Dropped voluntarily within six months.
6. Dropped Involuntarily within six months.
7. Client continued to receive educational services longer than six months.
8. Client completed services after leaving program.
9. No information.

Halfway House File, or School Record

8 - 9

Educational Advancement after Leaving Program:

Reading:

00. Dropped or completed services in program.
10. One-grade improvement.
34. 3.4 grade improvement.
99. No information.

10 - 11

Mathematics:

00. Dropped or completed services in program.
01. No improvement, or .1 grade.
99. No information.

Source of Information	Column Number	Code
	12 - 13	Language: 00. Dropped or completed services in program. 20. Two-grade improvement. 99. No information.
	14 - 15	Spelling: 00. Dropped or completed services in program. 61. 6.1 grade improvement. 99. No information.
Halfway House File, or Vocational Rehabilitation Counselor	16	Vocational Rehabilitation Training: 0. Training completed while in program. 1. Training completed after program to successful completion, or still in training. 2. Training discontinued after program, or never begun. 3. Training dropped involuntarily. 4. Training dropped voluntarily due to lack of interest.

Source of Information	Column Number	Code
	16 (continued)	5. Dropped voluntarily because of training-related job. 6. Dropped voluntarily because of job not related to training. 7. Dropped for other reasons. 9. No information.
Halfway House File, or Vocational Rehabilitation Counselor	17	Were Additional Vocational Rehabilitation Services Sought After Program: 0. No. 1. No; client continued training initiated during program. 2. Yes; within six months. 3. Yes; within one year. 4. Yes; within two years. 5. Yes; within three years, etc. 9. No information.

Source of Information	Column Number	Code
Halfway House File, or Employer Records	18	Was Client Work- ing when Halfway House Services were Terminated: 0. Yes (include college). 1. No. 9. No informa- tion.
Halfway House File, or Employer Records	19 - 22	Wage Per Hour on the Job (Column 18): 0000. Not working. 0550. \$5.50 per hour. 1250. \$12.50 per hour. 9999. No informa- tion.
Halfway House File, or Employer Records	23 - 24	How Long after Services Termi- nated did Client Maintain Employ- ment: 00. Less than one month. 01. One month. 02. Two months, etc. 12. Twelve months, etc. 60. Still working. 61. No information.

Source of Information	Column Number	Code
Halfway House File, or Employer Records	25	How many Succes- sive Jobs has Client Had since Termination: 0. None. 1. One. 2. Two, etc. 8. Eight or more. 9. No information.
Halfway House File	26	Is Client Current- ly Working: 0. Yes (include college). 1. No. 2. No informa- tion.
Halfway House File, or Employer Records	27 - 30	Wage per Hour on Job (Column 26): 0000. Not work- ing. 0750. \$7.50 per hour. 9999. No infor- mation.
Halfway House File, or Official Records	31	Was Warrant Issued for Client Some Time After Receiving Half- way House Serv- ices:

Source of Information	Column Number	Code
	31 (continued)	0. No. 1. Yes; within one month. 2. Yes; within six months. 3. Yes; within one year. 4. Yes; within two years, etc. 9. No information.
Halfway House File, or Official Records	32	Number of Warrants Issued for Client since Leaving Halfway House: 0. No arrests. 1. Once. 2. Twice, etc. 8. Eight or more 9. No information.
Halfway House File, or Official Records	33	Was Client reincarcerated Some Time After Receiving Halfway House Services: 0. No. 1. Yes. 9. No information.

Source of Information	Column Number	Code
Halfway House File, or Official Records	34 - 35	If Reincarcerated, How Long after Receiving Halfway House Services: 0. Not reincarcerated. 1. One month. 2. Two months, etc. 11. Eleven months, etc. 30. Thirty months, etc. 61. Unable to locate. 62. No information.
Halfway House File	36	How Long has Client Been Terminated from Services: 0. Not terminated. 1. One month. 2. Three months. 3. Six months. 4. One year. 5. Two years, etc. 8. Five years or more. 9. No information.

SUMMARY OF RECOMMENDATIONS
FOR
STANDARDS AND GUIDELINES
FOR
COMMUNITY - BASED PROGRAMS

Appendix J

RECOMMENDATIONS FOR STANDARDS AND GUIDELINES FOR COMMUNITY-BASED PROGRAMS

I. ADMINISTRATION

1. Any agency establishing or operating a community-based treatment center will be a legal entity or a part of a legal entity.
2. Each community-based treatment center, whether public or private, will establish personnel policies and make them available to all employees.
3. The agency will manage its financial affairs in accordance with standard accounting practices, legal requirements, as well as the guidelines and regulations of any public body or other agency, foundation or funding source sponsoring the program.

II. PROGRAM

1. The physical facility to be used for the community-based treatment program should either be constructed or renovated, as well as adequately equipped and located, so as to promote the most efficient and effective operation possible in order to achieve program goals.
2. It is preferable to utilize and, if necessary, renovate an existing structure, than to design and construct a new facility for use as a community-based treatment program.
3. The physical condition of the building will be such as to meet the minimum electrical, plumbing, sanitation, building, fire and other applicable codes of the governmental jurisdiction in which the community-based treatment center is located.
4. Adequate food service facilities, meeting all sanitation and health codes, will be made available for community-based treatment centers.
5. The community-based treatment center should be located in an area reasonably close to public transportation, employment and vocational opportunities, medical, psychiatric, recreational and other community resources and agencies to be utilized by the center for its clients.

6. The community-based treatment center must be adequate in size to meet the needs of the program and comfortably accommodate the number of clients it serves.
7. The resident capacity of a community-based treatment center must not exceed twenty clients. There should be no more than three residents per sleeping room.
8. First aid equipment will be available at all times to handle cases of medical emergency.
9. The agency will develop, have in written form, distribute to its staff, and post in a conspicuous location, the details of an emergency fire plan. New staff members will be given a complete orientation of the fire plan, while older staff members should be tested at least quarterly to insure their awareness of what action to take in case of fire.
10. The agency will clearly state in writing its purposes, programs, and services offered. This will be done in a form suitable for distribution to staff, clients, referral sources, funding agencies and the general public. Its program and services must have a direct relationship to its stated purposes as they appear in the agency's constitution, articles of incorporation, by-laws or statutes, if the agency is part of a public entity. The programs and services must be based upon identified needs in the community in which it is located.
11. An agency operating a community-based treatment program will provide the following services:
 - a. shelter.
 - b. food service.
 - c. temporary financial assistance.
 - d. individual counseling.
 - e. group counseling.
 - f. vocational counseling.
 - g. vocational training referral.
 - h. employment counseling and referral.

12. The agency, if it does not provide the service itself, will see that its clients have ready access to:

- a. Medical services, including psychiatric and dental care.
- b. psychological evaluation.
- c. psychological counseling or therapy.
- d. vocational training.
- e. vocational and/or employment evaluation.
- f. employment placement.
- g. academic upgrading, e.g., G.E.D., college courses, etc.
- h. any other services as needed by the type of program operated, and the particular need of an individual client.

13. In general, the agency will provide clearly identified resources that are relevant and essential to the successful conduct of its programs and will utilize the resources of other agencies in order to provide services needed by its clientele but which cannot or should not be provided by the agency operating a community-based treatment program.

14. The agency will establish clearly defined and written intake policies and procedures. Such policies and procedures will state the type of client acceptable for admission to the program.

- a. Intake policies will be disseminated to all referral sources.
- b. Clearly defined age limits for admission to the program will be established by the agency.
- c. Any category or categories of potential clients not eligible for admission into the program must be clearly stated in the intake policies.
- d. Prospective clients ineligible for admission for services and their referral sources must be informed of the reasons for their ineligibility. When possible, the ineligible clients should be referred to other agencies for services.

15. Program goals and services to be offered will be discussed with each individual client.

16. The individual treatment program established will be done with a maximum degree of client involvement.

17. The agency will develop procedures for the evaluation of its clients in order to determine client progress in the program. Conferences, formal or informal, will be held regularly to review such progress and to alter or develop further treatment plans. For the greatest effectiveness, clients must be involved deeply in their own evaluation process.

18. The agency should participate actively in community planning organizations as they relate to the agency's field of service, and should conduct a program of public information, using appropriate forms of communication - such as the news media, brochures, speaking engagements, etc., to encourage understanding, acceptance and support of its program.

19. The agency will maintain accurate and complete case records, reports and statistics necessary for the conduct of its program. Appropriate safeguards will be established to protect the confidentiality of the records, and minimize their possibility of theft, loss or destruction.

20. A single case record for each client admitted to the program or served by the agency will be maintained so as to communicate clearly, concisely and completely, appropriate case information.

21. Individual case records will be maintained on a current basis, and will include:

- a. Identification data.
- b. Reports from referral sources.
- c. Pertinent case history.
- d. Diagnosis when appropriate.
- e. Problems and goals.
- f. Referrals for service to other agencies.
- g. Evaluation or progress reports.
- h. Correspondence pertinent to client's case.

- i. Record of any significant incidents, both positive and negative.
- j. Signed release of information form, where appropriate.
- k. Current employment data, including place of employment, date of employment, job title, rate of pay, record of client earnings.
- l. Discharge report, including summary statement.
- m. Other information necessary and appropriate to the program and/or individual client's case.

22. Agencies operating community treatment center programs will establish methods and procedures for evaluating the effectiveness of the programs.

23. Evaluation must measure the outcome of the program and services in relation to the agency's stated purpose and goals. Program and service effectiveness must be measured by recognized evaluation techniques, and when possible, by formal research.

24. The results of evaluation and research should be reviewed on a systematic basis by the staff and governing body to determine:

- a. the effectiveness of program and services in fulfilling the stated purposes and goals of the agency, and
- b. as the basis for change, modification or addition to the program and services offered by the agency.

III. PERSONNEL

1. The agency must employ competent and qualified staff to provide the services essential to achievement of program goals and client needs.
2. The agency must provide competitive salaries and benefits in order to attract and retain competent personnel.
3. Minimum qualifications for professional staff will be four years of college plus two years of experience in social service, or a Master's Degree in one of the behavioral sciences. Experience may be substituted for educational background, but the ratio of such substitutions must be spelled out clearly in job qualifications. However, when standards of qualification have been established by recognized professional groups, the agency will not adopt less than those as minimum standards for its professional staff.
4. The agency will establish standards of qualification for its para-professional personnel.
5. When standards of qualification have not been established by an organization or group for a particular position, the agency must establish reasonable qualifications and an on-going assessment of competence in job performance.
6. A balance of professionals, para-professionals and ex-offenders is the preferred staffing pattern.

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