

Chapter 1

Correctional Service Canada

Reintegration of Offenders

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Correctional Service Canada

Reintegration of Offenders

Main Points

1.1 Correctional Service Canada has made a concerted effort to respond to our 1994 and 1996 observations concerning the management of its offender reintegration activities. However, there are some important areas that require further improvement.

1.2 The Service is now moving in the right direction. It has recently implemented change initiatives in several areas. Among them, it has strengthened the ability of national headquarters to direct and co-ordinate offender reintegration activities Service-wide; implemented a major initiative to streamline its reintegration operations; achieved international recognition for some of its offender rehabilitation programs; and improved its ability to measure the results and performance of its reintegration activities.

1.3 Progress notwithstanding, improvement is still needed in some key areas:

- more timely acquisition of official documents for initial offender assessment;
- more timely casework preparation to meet the offender's first parole date;
- a clear operational strategy for offender employment programs;
- better-quality offender reintegration reports for the National Parole Board; and
- improved adherence to national standards for frequency of contact with offenders in the community.

Background and other observations

1.4 Correctional Service has as one of its main responsibilities the safe reintegration of offenders into the community. This entails assessing offender risk and needs; preparing the offender for release into the community; reassessing offender suitability for release and making a recommendation to the National Parole Board; and providing supervision and programs for offenders in the community until the end of the sentence.

1.5 Overall spending on reintegration has risen by \$38 million (13 percent) over the past three fiscal years. Correctional Service Canada spends about \$329 million or 28 percent of its total expenditures for the reintegration of offenders.

1.6 In 1997–98, there were 13,449 incarcerated offenders in federal institutions and 8,744 offenders in the community, most of whom were supervised by Correctional Service parole officers. Until recently, the proportions of federal offenders in institutions and under community supervision have remained fairly constant. However, in 1997–98, the number of offenders supervised in the community increased by about 500.

1.7 Under the *Corrections and Conditional Release Act*, there are several different ways that an offender can be released into the community: day parole (six months prior to full parole); full parole (at one third of the sentence) and statutory release (after two thirds of the sentence). Some offenders will be detained until the end of their sentence.

1.8 A recent change allows offenders serving their first federal sentence who have not been convicted of a violent crime or serious drug offence to be released on day parole at one sixth of their sentence (accelerated parole review).

1.9 Our previous audit work, in 1994 and 1996, identified systemic weaknesses in the Service's management of reintegration activities. Those audits identified concerns in such areas as work standards, quality assurance procedures, performance information, implementing basic changes and learning from successes and failures. This chapter revisits those issues.

1.10 As promised to the Public Accounts Committee in April 1998, we reviewed changes made by the Service to the custody rating scale and looked at whether the Service had implemented the new offender security reclassification instrument. We found that the changes to the custody rating scale reduced overrides with minimal impact on the number of escapes. The Service has just implemented a new reclassification instrument, as promised.

1.11 In addition to their institutional security responsibilities, senior correctional officers still do not consistently perform their required offender reintegration duties, a necessary input to offender assessment reports to the National Parole Board. The Service has undertaken an initiative to address this issue.

1.12 While the Service has developed a continuum of rehabilitation programs from the institution to the community, its ability to deliver these programs to offenders in the community falls short of current needs. Research indicates that many intervention programs that deal with offenders' criminogenic needs are more effective when delivered in the community.

Correctional Service's responses to our recommendations are included in this chapter. The Service concurs with the recommendations made and its responses indicate its commitment to take the necessary corrective action.

Introduction

1.13 Correctional Service Canada has two main responsibilities — the incarceration of offenders and their safe reintegration into the community. In 1998, the Solicitor General emphasized that since offenders come from the community and almost all will return there, the best way of protecting Canadians is by preparing offenders for release. Recently, the Commissioner of the Correctional Service directed all managers and officers to focus on what they could do to get the inmates (not just their casework) ready for a safe return to the community.

1.14 In 1997–98 the Service spent \$329 million or about 28 percent of its total expenditures on activities related to reintegration of offenders. Overall spending on reintegration has risen by \$38 million (13 percent) over the past three fiscal years.

1.15 The Appendix provides an overview of trends over the last five years

in inmate population, admissions and releases. From 1994–95 to 1997–98 the proportion of federal offenders in institutions and under community supervision remained fairly constant. However, the number of offenders supervised in the community increased in 1997–98 by about 500.

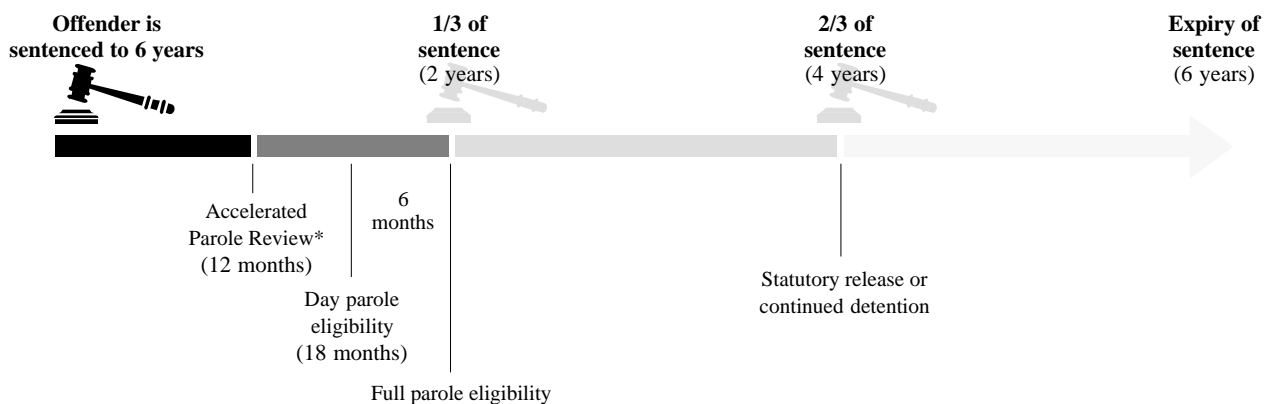
1.16 Offender admissions have declined by 10 percent in the past five years. The number of releases increased significantly in 1997–98, after declining from 1994 to 1997. The data also show that offenders are being released at later points in their sentences. For example, the number of full paroles from institutions is down and statutory releases are up.

1.17 The *Corrections and Conditional Release Act* (1992) provides the National Parole Board with the authority for the conditional release of offenders on full parole at one third of their sentence and on day parole six months before the full parole date (see Exhibit 1.1). Offenders serving their first federal sentence who have not been convicted of a violent crime

Since offenders come from the community and almost all will return there, the best way of protecting Canadians is by preparing offenders for release.

Exhibit 1.1

Milestones in a Fixed-Term Sentence (Six Years)



* Accelerated Parole Review: All offenders serving their first federal sentence who have not been convicted of a violent crime or serious drug offence must have their parole eligibility reviewed by the National Parole Board using the Accelerated Parole Review process and criteria. For those offenders, day parole eligibility is set at one sixth of the sentence rather than six months prior to the parole eligibility date.

Source: *Corrections and Conditional Release Act*

or serious drug offence can be released on day parole at one sixth of their sentence (Accelerated Parole Review), unless there are reasonable grounds to believe they will commit a violent offence before the end of their sentence.

1.18 Most offenders are entitled by law to be released (statutory release) after serving two thirds of their sentence, if the offender is not on parole at that time. A small number of offenders will be detained in prison until the end of their sentence, based on a recommendation from Correctional Service to the National Parole Board. The Board detains offenders when it is likely that, if released, they will commit an offence involving death or serious harm, a sexual offence against a child, or a serious drug offence before the end of their sentence.

1.19 Under the Act, the purpose of conditional release is to contribute to public safety by releasing offenders at a time and in a manner that increases their chance for successful reintegration into the community. There has been a significant decrease in the number of offences committed by offenders while under the Service’s supervision in the community, that is, a 37 percent decrease

in offender revocations for new offences since 1993–94. Revocations for violent offences also declined over the same period, from 210 to 161 (see Exhibit 1.2).

The offender reintegration process

1.20 Correctional Service uses a case management process to manage the reintegration of offenders (see Exhibit 1.3). The current process consists of a number of stages, including:

- obtaining official documents required for assessing the security risk and the needs of the offender;
- assessing offenders when they enter the federal corrections system to identify the factors that led to their criminal behaviour and developing a correctional plan to address them;
- assessing whether participating in programs or other interventions has helped reduce the risk that an offender will commit another offence after release;
- making recommendations to the National Parole Board on the offender’s suitability for release to the community;
- releasing the offender on parole by the National Parole Board, or by law after serving two thirds of the sentence

Exhibit 1.2

Federal Offenders Under Community Supervision Charged With Violent Offences

Fiscal year ending 31 March

Revocations for Violent Offence	1993–94	1994–95	1995–96	1996–97	1997–98
Murder	16	16	15	10	9
Attempted Murder	9	13	15	7	9
Sexual Assault	43	49	22	31	23
Major Assault	27	25	21	28	34
Hostage Taking	4	5	3	1	1
Unlawful Confinement	9	3	5	4	6
Robbery	102	113	71	90	79
Subtotal	210	224	152	171	161
Other Revocations for Offence	1,353	1,065	999	838	819
Total	1,563	1,289	1,151	1,009	980

Source: Correctional Service Canada

(statutory release) or at warrant expiry (end of sentence);

- providing supervision, further programs and assessment in the community until the end of the sentence; and
- reporting to the National Parole Board on cases where circumstances elevate the risk presented by the offender, and thus warrant review by the Board.

Focus of the audit

1.21 The focus of this audit was to follow-up and re-audit key observations and recommendations made in our 1996 Report Chapter 30, Reintegration of Offenders; 1996 Chapter 10,

Rehabilitation Programs for Offenders; and 1994 Chapter 18, Supervision of Released Offenders. As a result, this audit covered the major aspects of offenders’ reintegration, from their intake into Correctional Service Canada until the end of their sentence.

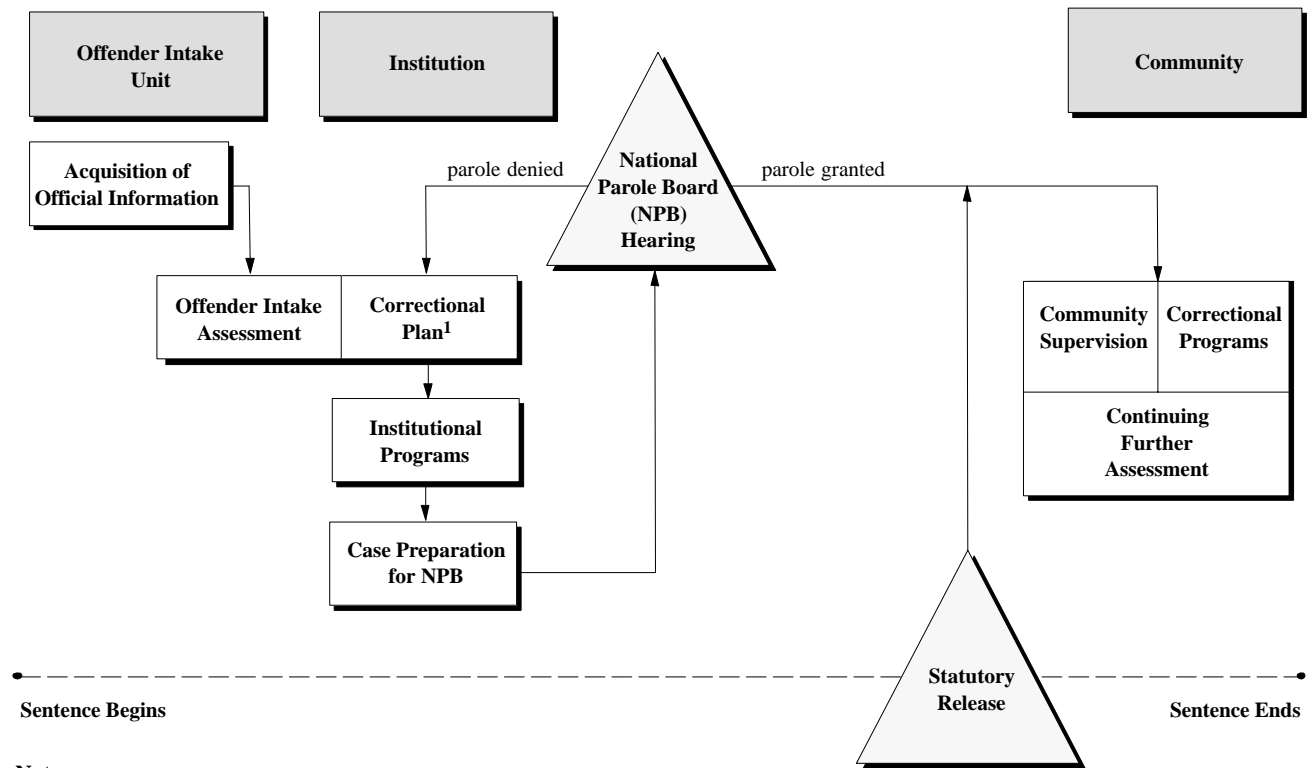
1.22 Our objectives in this audit were:

- to determine the extent to which Correctional Service has acted on our earlier recommendations; and
- to assess the extent to which the Service’s changes in the management of offender reintegration have contributed to sustainable improvements.

1.23 The audit also included follow-up audit work on the Custody Rating Scale

Exhibit 1.3

The Offender Reintegration Process



Note

¹ As a result of Operation Bypass implemented in February 1999, correctional plans are completed in the Service’s Offender Intake Units and amended if required to deal with changes in the factors affecting the offender’s criminal behaviour.

Source: Office of the Auditor General

and Security Reclassification instrument (components of offender risk assessment) in response to a request by the Public Accounts Committee in April 1998.

1.24 As in our previous audits, this audit did not include women offenders or issues specific to Aboriginal offenders. Further details on the audit can be found at the end of the chapter in **About the Audit**.

Observations and Recommendations

Offender Assessment and Case Management

1.25 In September 1996, Correctional Service established a Reintegration Taskforce to devise short-term and long-term strategies for improving the management of offender reintegration activities. As a result of the Taskforce's recommendations, in 1997 the Service undertook three national reviews of major components of the offender reintegration process (offender intake, institutional case management and community case management).

1.26 Taskforce and national review recommendations culminated in the July 1998 approval of a major change initiative called Operation Bypass. The objective of this initiative was to reduce duplication of tasks and information; consolidate offender reports; and strengthen communication and co-ordination between institutional and community parole officers. Several regions piloted aspects of Operation Bypass in 1998. The Service implemented it in all regions in February 1999. This chapter's discussion of our audit observations outlines the details of this initiative and its potential impact on each aspect of the reintegration process.

Standard for official information is defined

1.27 In 1996 we indicated that Correctional Service had difficulty obtaining official documents from provinces and municipalities, including police reports, Crown briefs and judges' reasons for sentence. The lack of such information can affect the quality of rehabilitation planning, slow the process of preparing offenders for parole and affect the quality of National Parole Board release decisions. Correctional Service internal investigations showed that missing documentation had been a contributing factor in some incidents involving violent offences committed by released offenders. We recommended that the Service decide on its minimum information needs and, with its partners in the criminal justice system, speed up the acquisition of relevant information.

1.28 As part of the Operation Bypass initiative, Correctional Service approved a policy requiring the following official documents as a prerequisite to assessing the offender's risk and needs, leading to the development of the offender's correctional plan:

- an official version of the offence (court documents, police report or pre-sentence report);
- the offender's criminal history from police records; and
- the Post-Sentence Community Assessment — a document prepared by Correctional Service community parole officers that includes such elements as offender employment history, family relations, behavioural problems and victim information.

Document acquisition standards are not being met

1.29 In 1997, the Service conducted a national review of its intake assessment operations and procedures. It found that not all required documents were being

The Service has established its minimum information needs.

obtained before Offender Intake Assessments were completed. Among other things, the review reported regional variations in the timely acquisition of documents; uneven quality of police reports; and difficulty accessing Crown files. In addition, the Post-Sentence Community Assessments completed by parole officers in the community were of poor quality. The review concluded that the quality of the Offender Intake Assessment “is highly dependent on the experience of the Parole officer who completed it and on the information available at the time the report was completed”.

1.30 From the date of admission to the Intake Unit, Correctional Service policy allows a maximum of 56 days to complete the Offender Intake Assessment. To ensure that the standard is met, the parole officer needs to receive the necessary documents promptly. The Service compiles data showing when many of these documents (police reports, Post-Sentence Community Assessments and judge’s comments) are received.

1.31 We examined a sample of these data to assess the level of improvement since our last audit; we found that documents are arriving sooner. However, about one quarter of the documents are still not received within the 56-day time frame (see Exhibit 1.4). We also found that parole officers were completing many Offender Intake Assessments before receiving either the desired police reports or the Post-Sentence Community Assessments (or both).

1.32 Correctional Service has a standard of 30 to 45 days (depending on the length of the offender’s sentence) to prepare the Post-Sentence Community Assessment, a report generated within the Service itself. Correctional Service data indicate that between July and September 1998, less than 40 percent of the assessments met this standard.

1.33 In the four regions that we visited, the Service has memoranda of understanding and agreements with provincial governments and municipalities for the timely acquisition of required official documents. Regional intake units are using a variety of techniques to speed up acquisition of documents. For example, all regions have some kind of system to track and follow up specific documents. Some regions have made direct contact with each external agency and agreed on document turnaround targets. They are also pursuing new ways to transmit documents electronically.

1.34 Although the timeliness of document acquisition continues to improve, much remains to be done. Under Operation Bypass, the need for improvement will increase as the Service shortens its time frame for completing both the Offender Intake Assessment and the Correctional Plan. While Correctional Service Canada is resolving many of the interagency issues with its partners in the justice system, it needs to further improve the results and level of performance.

1.35 Correctional Service Canada should seek ways to further improve the timeliness of its acquisition of required information on offenders.

Although the timeliness of document acquisition continues to improve, much remains to be done.

Exhibit 1.4

Official Information Available Within 56 Days After Date of Offenders’ Admission*

(percentage of cases)

June to August	Police Reports	Judges’ Comments	Post-Sentence Community Assessments
1996	64%	58%	60%
1997	74%	68%	70%
1998	72%	76%	74%

* For male offenders admitted under warrant of committal.

Source: Office of the Auditor General of Canada using data obtained from Correctional Services Canada

Correctional Service’s response: The Service agrees with this recommendation and is actively working to address the issues. In the area of collection of information from other agencies, Correctional Service has no authority to compel those agencies to provide the required information in a timely manner.

The number of offenders incarcerated beyond their first parole eligibility date remains high

1.36 Failure to prepare offenders in time for their first parole eligibility date may adversely affect their chances for safe reintegration. It also has cost implications, since federal statutes require Correctional Service to maintain offenders in the least restrictive level of custody. However, the protection of society must remain the paramount consideration.

1.37 Correctional Service data indicate that as of November 1998, 21 percent (2,782) of incarcerated offenders had not had a National Parole Board release hearing and were past their eligibility date for either day parole or full parole. In some of the cases this may be acceptable — for example, offenders may choose to waive or postpone a hearing for their own reasons. In other cases, however, the reason may be the Service’s inability to prepare the offender’s case in time.

1.38 Each year a significant number of scheduled hearings before the National Parole Board are waived or postponed by the offender (see Exhibit 1.5). In 1997–98, 14 percent (1,444) of all day parole hearings and 38 percent (4,617) of all full parole hearings were waived or postponed. Although these percentages dropped between 1996–97 and 1997–98, the overall number still remained high. Correctional Service has yet to analyze why so many hearings are waived or postponed.

1.39 Furthermore, the National Parole Board can defer a parole hearing by means of an administrative adjournment. The Board does so when it feels that information on the offender is incomplete or the offender’s case has not been prepared sufficiently for a hearing. National Parole Board officials estimated that they adjourned about seven percent of all full parole hearings due between April and September 1998.

1.40 Correctional Service Canada should regularly analyze the reasons for the number of offenders incarcerated beyond their first parole eligibility date in order to minimize late casework as a reason for cancelling parole hearings.

Correctional Service’s response: The Service agrees with the recommendation and while it monitors the number of waivers, it will conduct more specific analysis on the reasons for waivers. While the rate of waivers sometimes appears high, it is still the offender’s right to apply for or waive reviews for any form of conditional release. The issue of waivers will be further discussed in the context of the Corrections and Conditional Release Act review.

Completing offender programs in time for first parole date remains a challenge

1.41 As we did in 1996, in this audit we reviewed how long it takes to process and program offenders serving two- to three-year sentences for their first day

Exhibit 1.5

Scheduled Parole Board Hearings Waived or Postponed

(numbers and percentages*)

	Day Parole	Full Parole	Total Waived or Postponed
1995–96	2,371 (23%)	6,529 (43%)	8,900
1996–97	1,981 (23%)	6,441 (46%)	8,422
1997–98	1,444 (14%)	4,617 (38%)	6,061

* percentages of all hearings that were scheduled

Source: Correctional Service Canada

parole eligibility date. These offenders are eligible for day parole in 189 days, on average approximately six months after sentencing. Because the National Parole Board requires all relevant case documents at least 21 days before a parole hearing, the Service would have to complete prescribed programs, prepare case documentation, and evaluate the offender within 168 days of sentencing.

1.42 Processing the offender through the intake assessment unit is the first step

in the reintegration process. In 1995–96 it took an average of 87 days after sentencing to complete an Offender Intake Assessment (see Exhibit 1.6). Between January and April 1998, this was down to 71 days. As noted earlier, the Service has established the maximum time frame to complete Offender Intake Assessments at 56 days from admission. Correctional Service data indicate that about one third of offenders with two- to three-year sentences are not assessed in time to meet that standard.

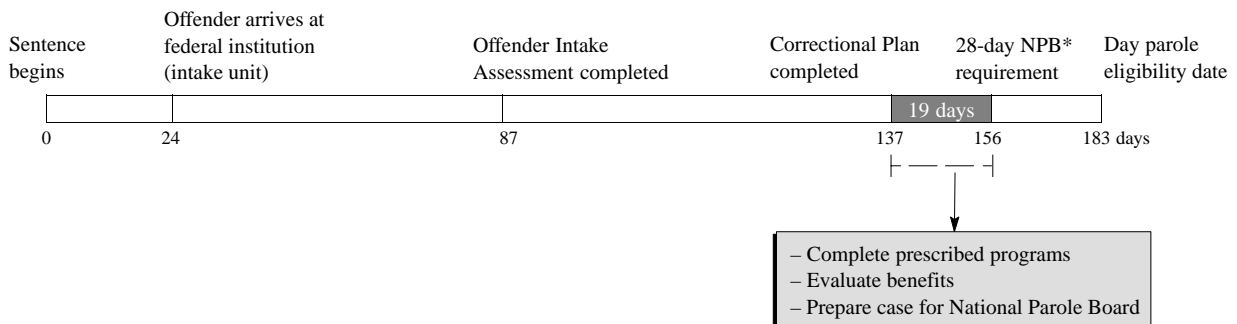
About one third of offenders with two- to three-year sentences are not assessed in time.

Exhibit 1.6

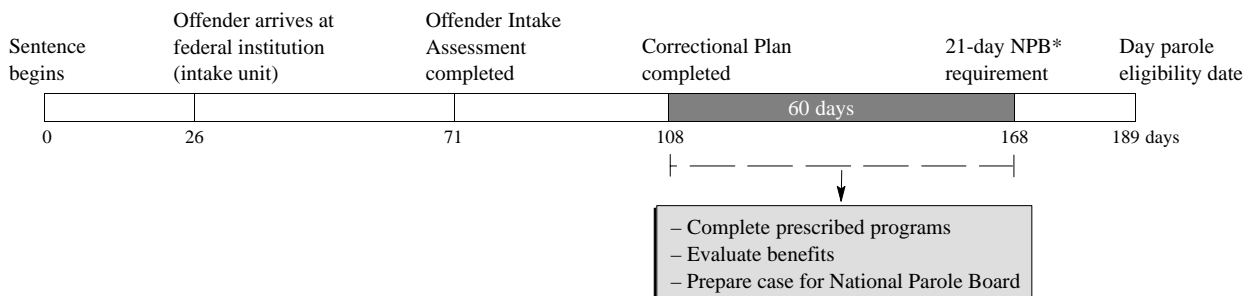
Average Time to Complete Case Management Process

1995–96 and January–April 1998 data are based on a sample of male offenders with 2- to 3-year sentences admitted to federal institutions during these time frames, with sample sizes of 1,800 and 618 offenders respectively.

1995–96



January–April 1998



* National Parole Board

Source: 1995–96 data are from the 1996 Report of the Auditor General (Chapter 30). January to April 1998 data were obtained from Correctional Service’s offender management system.

1.43 The second step in the process is the completion of correctional plans. The offenders are then moved from intake units and placed in penitentiaries, where they can participate in prescribed rehabilitation programs. In 1995–96 it took 137 days to complete a correctional plan. Between January and April 1998, this was down to 108 days. The Operation Bypass standard is now 70 days.

1.44 We estimated in 1996 that, on average, three rehabilitation programs were prescribed for low-risk/low-need offenders, and the shortest possible time in which they could complete the three programs was 105 days. In 1996, only 19 days were available for offenders to complete programs before their earliest eligibility date for day parole. Although this had increased to 60 days by 1998, there was still not enough time to complete prescribed programs by the earliest possible parole date.

1.45 Correctional Service expects that Operation Bypass will address this problem by having the correctional plan done in the Intake Unit and the community strategy completed before the offender's release. As a result, the Service forecasts that the time available for programs, assessments and report preparation before the National Parole Board's cut-off date will increase from the current 60 days to 106 days.

1.46 **Correctional Service's Canada should further improve the efficiency and timeliness of its offender case management and report preparation to meet its approved time standards.**

Correctional Service response: The Service agrees with this recommendation and has taken steps to improve efficiency and timeliness. The Auditor General has noted improvements to that effect. The results of reintegration operations will be regularly reviewed to monitor progress and determine if adjustments are required.

Parole officer training is improving

1.47 An effective offender reintegration process requires both competent parole officers and the involvement of senior correctional officers. In 1996 we found that training for parole officers was inadequate, and correctional officers were not fulfilling their case management responsibilities.

1.48 We noted that while parole officers received only eight days of orientation training, many did not begin their initial training until after starting their job. Our follow-up work indicates that the amount and variety of training available to parole officers has increased to some extent. Ten days of orientation training is now a formal requirement for new officers. In 1996–97, 60 new parole officers received orientation training in reintegration; this rose to 232 in 1997–98. The Service indicates that about 200 new officers have been trained from April 1998 to January 1999.

1.49 Officers' participation in such non-mandatory courses as risk assessment and quality assurance has also increased. In general, experienced officers have received less reintegration training annually than new officers. Plans are under way to design and provide refresher training for experienced officers in the near future.

1.50 The Service is now providing training for the implementation of Operation Bypass to about 4,000 staff. In addition, existing orientation training for parole officers is being redesigned as a proposed program of at least 20 days.

Senior correctional officers are still not fulfilling their case management responsibilities

1.51 The offender reintegration process requires teamwork between parole officers and senior correctional officers (senior staff with security responsibilities) in institutions. Their collaboration and exchange of information is crucial for

them to understand changes in offenders' attitudes and behaviours and to prepare assessment reports for the National Parole Board.

1.52 In 1996 we observed that senior correctional officers were not consistently performing the case management duties required of them by Correctional Service policy, despite management's continuing awareness of the problem. These officers are expected to, among other things, complete clear, concise reports for case management, inform colleagues of significant incidents or behavioural changes of inmates, and participate in the assessment and planning of case management for inmates.

1.53 Our audit work in four regions found a wide variance in the involvement of senior correctional officers in offender case management and reintegration, and in their support for it. Senior correctional officers continue to perform these duties inconsistently. Parole and senior correctional officers we met cited a lack of time and training, particularly in such areas as computer skills, as reasons why correctional officers have not adequately performed their duties in offender case management.

1.54 Correctional Service has recently revised a Unit Management Accountability Matrix to further clarify national policy in this area. The Matrix outlines in detail the responsibilities of senior correctional officers and parole officers in light of the operational changes required by the Operation Bypass initiative. Regional management has agreed to these changes and plans to implement the matrix in early 1999.

1.55 **Correctional Service Canada should ensure that senior correctional officers perform their offender case management duties, as required by policy.**

Correctional Service's response: The Service agrees with this recommendation.

The decision in April, 1998 to recruit 1,000 additional correctional officers was made in large part so that senior correctional officers can fulfill their case management duties. The revised Division of Responsibilities Matrix was implemented in February, 1999. In the past, the attention and commitment required on the part of CSC management to deal with this issue was lacking, and the Service is resolved to do better. This will require close and regular monitoring of performance against the new matrix, and firm and fair action regarding both compliance and non-compliance with it.

Offender Programs

1.56 The Service has a wide range of rehabilitation programs to treat offenders in order to reduce offender risk. These programs can be broken into two broad categories: intervention and employment. Intervention programs have been developed to address characteristics related to criminal behaviour. They deal with such areas as treatment for sex offenders, substance abuse, family violence initiatives and living skills. Employment programs are designed to enhance the offender's employability on release, and also serve to keep them busy with meaningful work during incarceration. They include vocational training, prison industries (CORCAN), adult education and Institutional Services (areas such as the kitchen, laundry, institutional maintenance and stores).

1.57 In 1996 we concluded that both intervention and employment programs lacked a management framework by which senior management could reassess and strategically reallocate funds. We had expected that the Service would have mechanisms in place to monitor both the effectiveness and the costs of all programs. This, in turn, would enable management to verify progress toward strategic objectives and to make any necessary adjustments.

We found a wide variance in the involvement of senior correctional officers in offender case management and reintegration.

Intervention programs are being internationally accredited.

Cost information for rehabilitation programs has improved

1.58 Our previous audit indicated that Correctional Service had limited information on the costs of its rehabilitation programs. In April 1998, national headquarters implemented a new system for capturing the costs of offender programs. This will improve the Service’s ability to collect and assess program costs and cost trends.

1.59 Exhibit 1.7 compares most rehabilitation program expenditures for 1994–95 and 1997–98. Total expenditures

were \$110 million in 1994–95 and \$126 million in 1997–98. The costs of intervention programs increased by \$6 million (18 percent) between 1994–95 and 1997–98. Costs of employment and education programs were \$8 million greater (22 percent) in 1997–98 than in 1994–95.

A framework is in place for evaluating intervention program effectiveness

1.60 For the past 10 years, Correctional Service has made a concerted effort to provide intervention programs that have a potential for reducing

Exhibit 1.7

Rehabilitation Programs Expenditures

(\$ millions)

Intervention Programs¹	1994-95	1997-98	Increase
Sex offender	9	10	1
Substance abuse	8	8	–
Locally designed	3	4	1
Living skills	5	5	–
Administration	3	5	2
Other ²	6	8	2
Subtotal	34	40	6
Employment and Education			
Basic adult education	13	14	1
Vocational training	4	4	–
Administration for education and vocational training	3	3	–
CORCAN (prison industries) ³	16	23	7
Subtotal⁴	36	44	8
Other Activities			
Social and cultural programs (visits, hobbycraft, recreation)	14	15	1
Inmate pay	20	20	–
Chaplaincy	6	7	1
Subtotal	40	42	2
Total	110	126	16

Notes

- ¹ Except for CORCAN, figures above exclude regional and national headquarters management and administration.
- ² Aboriginal programs, family violence programs, community psychological counselling.
- ³ For the purpose of this exhibit, CORCAN’s costs consist of a training and correctional fee paid to it by the Service (\$18 million in 1997–98) and CORCAN’s use of borrowing authority (\$7 million in 1997–98). They exclude interest (\$1 million in 1997–98) on borrowings paid to the Consolidated Revenue Fund by CORCAN. Its annual financial statements are the best source of information to understand its overall financial results.
- ⁴ The training expenditures associated with offenders employed in institutional and offender services (i.e. kitchen, groundskeeping) are not included.

Source: Correctional Service Canada

recidivism. These programs are delivered mainly in institutions, although some continue after the offender’s release into the community.

1.61 Under the new policy on rehabilitation programs, each program that targets offenders’ criminogenic factors and contributes to their rehabilitation shall have clearly articulated objectives, criteria for the selection of participants, a process for evaluating participants’ progress, and a process for measuring program effectiveness. Programs are to be delivered as they were designed, and by trained, qualified staff.

1.62 Using these criteria for programs, Correctional Service is now setting up panels of internationally recognized experts in both corrections and specific subject matters (such as substance abuse); the panels provide independent accreditation of programs as state-of-the-art. Programs will be reaccredited every five years, with site accreditations on a three-year cycle. If a program at a local site is not accredited, regions are being advised to upgrade it so that it can meet accreditation standards or to discontinue it and switch to an accredited national program. This is to ensure that all programs being delivered are equally effective.

1.63 Exhibit 1.8 summarizes the programs the Service has submitted for accreditation to date, as well as the results. Some programs have been accredited; others have been accredited with conditions that are to be satisfied within a stated time frame; and some have not been accredited and must be resubmitted at a future date. As one of the additional benefits of the accreditation process, the Service has identified an overprescription of institutional substance abuse programs. This is now being addressed.

1.64 The information used to present programs to the accreditation panel will provide the basis for subsequent

evaluations of the programs’ impact on inmate recidivism. An evaluation of substance abuse programs is currently being completed. These evaluations, combined with information on actual program costs, should enable management to make any adjustments needed to fulfil intended policy direction.

More intervention programs in the community are needed

1.65 According to research, many intervention programs that deal with offenders’ criminogenic factors are more effective when delivered in the community setting than in the institution. In 1996, we stated that the Service had not established a continuum of programs from the institution to the community to properly support offenders in their transition to the community.

1.66 Correctional Service is seeking a more balanced approach to institutional and community programming for

Correctional Service is still seeking a more balanced approach to institutional and community programming for offenders.

Exhibit 1.8

Status of Intervention Programs Submitted for Accreditation

Programs	Status
Substance Abuse	<ul style="list-style-type: none"> • 2 national programs accredited • a number of local programs still to be reviewed
Living Skills	<ul style="list-style-type: none"> • 2 national programs accredited with conditions to be met (anger and emotion management and cognitive skills) • more national programs to be reviewed
Sex Offender	<ul style="list-style-type: none"> • 1 local program fully accredited • 2 local programs not accredited, to be revised and resubmitted • next panel will review 4 more programs
Offender Violence	<ul style="list-style-type: none"> • next panel will review 4 programs
Family Violence	<ul style="list-style-type: none"> • a panel to review these programs is planned for 2000
Other Programs – i.e. Women Offenders, Aboriginal Offenders	<ul style="list-style-type: none"> • need for accreditation is being assessed • if needed, strategy will be developed in consultation with stakeholder groups

Source: Correctional Service Canada

offenders. The objective is to deliver in institutions only correctional programs needed to reduce the offender's risk upon release. Community programs include maintenance and "booster" programs that build on institutional programs, as well as programs better suited to delivery outside the institution. The Service has developed intervention programs in the community that address substance abuse, treatment for sex offenders, cognitive skills, violence prevention and family violence.

1.67 Implementation of this change in approach has begun. Spending on offender programs in the community remained at generally the same level from 1994–95 (\$8.2 million) to 1997–98 (\$8.4 million). But it decreased as a percentage of the total spending on all intervention programs, which grew from \$34 million to \$40 million over the same period. In its National Capital Accommodation and Operations Plan for 1999–2000, the Service acknowledges that its community organization is not adequately structured to deliver correctional programs and its community program resources are insufficient to meet current needs.

1.68 As one of the requirements for program accreditation, the content of institutional programs is to be continued and reinforced in the community. The Service has determined that some released offenders with substance abuse problems are not receiving required follow-up treatment programs in the community. This came to light during the current program accreditation process and is now being addressed.

1.69 There are obstacles to effective delivery of community programs. Typically, the Service has delivered such programs to groups of about 10 offenders. Often there are not enough offenders with similar programming needs in any given area (except in large urban centres) to make such groups viable. The Service is considering alternative approaches with smaller group sizes (down to

four offenders) in smaller cities and towns, and individual consultations delivered by trained community parole officers for offenders released to rural communities. These changes will make the delivery of programs more costly on a per capita basis but nevertheless more cost-effective than continued incarceration.

1.70 In 1996 we also noted specific areas where offenders with identified needs were not receiving required programs in the community. The Service does not yet have data to show whether this gap has been addressed. It has modified its information systems to provide such data in the future. However, Correctional Service indicated that it now requires that parole officers in institutions plan programs and interventions to manage risk in the community.

1.71 Correctional Service Canada should ensure that there is an appropriate balance between institutional and community intervention programs.

Correctional Service's response: The Service agrees with this recommendation. CSC has recognized the problems and adjusted the National Capital Accommodation and Operations Plan to secure additional resources in 1999–2000 to increase program capacity in the community. This will improve the balance between institutions and the community.

An overall strategy for employment programs is needed

1.72 Research indicates that the risk of re-offending is much greater among offenders with unstable employment patterns than those with a stable employment history. The Service provides employment programs such as adult basic education, vocational training, CORCAN (prison industries), Institutional Services such as kitchen, laundry, maintenance and stores, and services to offenders such as recreation and library services. Exhibit 1.9 provides the results of a Correctional

Service national survey that estimated offenders' participation in these employment areas in 1997. As well, the importance of keeping offenders busy in a meaningful way in the institutional setting should not be minimized.

1.73 In 1996 we stated that Correctional Service did not have a coherent strategy for employment programs. Resources dedicated to these programs were not well managed and the Service did not have the ability to make any needed trade-offs among all employment programs, including CORCAN.

1.74 Since our 1996 audit, Correctional Service has undertaken a number of studies to examine the state of all employment programs. Some critical themes have emerged from this work:

- The cost effectiveness of employment programs in reducing recidivism is not known.
- Offenders' employment needs are not consistently well identified.
- Inmates are not systematically assigned to work based on their needs.
- Parole officers do not generally see work as a valid correctional intervention.
- There is no accountability for the extent to which an inmate's needs are addressed.
- There is no continuum between institutional and community employment.

1.75 These studies have recommended that the Service adopt practices to ensure that the validity and correctional value of employability programs match their costs, as it has for intervention programs. Senior management recently approved the creation of two short-term task groups to explore these issues of offender employment.

1.76 In their January 1999 report to the Executive Committee, the task groups

made several key recommendations related to offender employment. Some key messages in this report included the following:

- inmate employment needs should be better assessed and entered consistently in the correctional plan;
- work assignments should be meaningful and should be seen as a correctional intervention and managed accordingly;
- Grade 12 should be the new education norm for offenders (previously Grade 10); and
- inmate career planning, job search and community employment assistance need improvement.

1.77 The Service continues to spend a significant portion of its rehabilitation program expenditures on employment programs. However, little information is available on the cost effectiveness of various types of employment programs. Uncertainty remains about the relative priority of employment programs and their role in effective reintegration of offenders.

1.78 Correctional Service has invested much of its effort over the past three years

Uncertainty remains about the role of employment programs in effective reintegration.

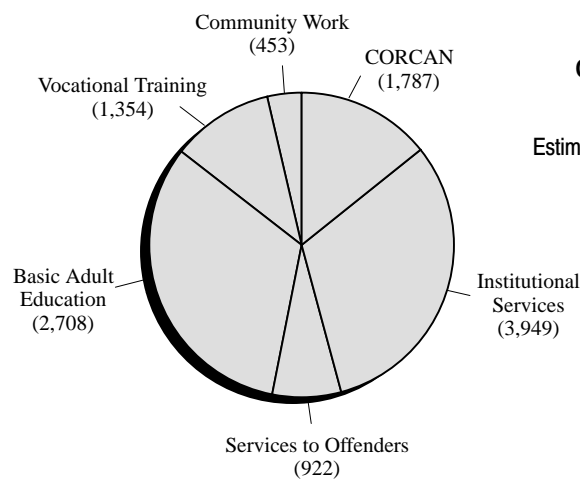


Exhibit 1.9
Offender Participation in Employment Programs
Estimate as of September 1997
(full-time equivalents*)

* A full-time equivalent represents one offender working full-time for one year. Two offenders each working half a year represent one full-time equivalent.

Source: Correctional Service Canada

Many institutions still have no clear process for matching offender's employment needs with programs.

in the institutional offender intake and case management processes. It has made progress in setting a strategic direction for intervention programs and establishing an accreditation process to ensure their quality. However, a clear operational strategy for employment programs is needed.

1.79 In its strategic planning of offender programs, Correctional Service Canada should clarify the role that employment programs have in offender reintegration and should manage and fund these programs accordingly.

Correctional Service's response: The Correctional Service recognizes that employment assignments must be treated in the same manner as other correctional programs. With effective planning and scheduling of all interventions during the initial assessment process, employment assignments should complement other correctional interventions. CSC is confident that the work currently under way will effectively address the management of employment programs within the Service.

Offenders with employment needs are not targeted for suitable programs

1.80 CORCAN provides a good illustration of the need for clear direction in employment programs. In 1996 we examined CORCAN in some detail because of its unique status in the Service as a special operating agency, and the level of its expenditures. We followed up in this audit with the same focus, namely, CORCAN's ability to train properly the inmates who need training most, and its financial self-sustainability.

1.81 CORCAN's charter states that one of its main objectives is to provide offenders with work-related training and work experience in accordance with needs identified in their correctional plans. In 1996, we reported that CORCAN had not targeted offenders who lacked

employability skills. In the majority of cases we examined, neither the files nor, more specifically, the offender's correctional plan indicated that the offender needed the employability training provided by CORCAN.

1.82 Offenders are evaluated during Intake Assessment to identify the level of their employment needs as considerable, some or no needs. In this audit, we examined the employment needs of a random sample of 1,526 offenders working for CORCAN in institutions at various security levels (see Exhibit 1.10). We found that the majority of these offenders had at least some employment needs. We also noted that offenders with considerable employment needs constituted less than a quarter of the CORCAN work force in minimum and medium security institutions. In maximum security institutions, about half of the offenders working for CORCAN had considerable employment needs.

1.83 In the regions we visited for this audit, we found that many institutions still have no clear process for matching identified offender needs for employability skills with employment programs. While inmates are encouraged to participate in employment programs, their participation is voluntary. Inmates are generally left on their own to look for work in the institution. CORCAN instructors assess their need for workers and seek those inmates best suited to the jobs. Many CORCAN officials do not easily have access to correctional plans. In two institutions, we compared the employment needs of offenders working for CORCAN with those of offenders working in other institutional jobs. We found no significant differences in levels of need.

1.84 To be successful, an employment program needs to deliver the right kind of training to the most needy offenders, and for a long enough period to make a difference. However, offenders tend not to work for CORCAN for very long. We

examined the employment records of offenders released between April and October of 1998 who had worked for CORCAN. We found that two thirds of these offenders had worked for CORCAN for less than six months over their entire period of incarceration. About half of their job assignments were for three months or less. Neither the Service nor CORCAN has studied the minimum length of work experience needed to make a difference in an offender's employability.

CORCAN's self-sustainability is still in question

1.85 As a special operating agency, CORCAN has a continuing goal to attain financial self-sustainability. The Service pays CORCAN a training fee of about \$18 million per year for the employment services it provides to inmates. When CORCAN became a special operating agency, it was given access to a \$45 million revolving fund to be used to acquire capital and cover any operating losses. Approximately \$12 million remains in its revolving fund.

1.86 In 1996 we concluded that CORCAN was not meeting its goal of financial self-sustainability. Between

1994–95 and 1997–98, it increased the employment of offenders by 21 percent and lowered its cost per offender by 29 percent. Over the same period, it had cumulative operating losses totalling \$12 million (see Exhibit 1.11). CORCAN projects further losses over the next two years.

1.87 When it approved CORCAN's creation in 1992, the Treasury Board stipulated that initially CORCAN would not pay for institutional structures and services, agricultural land and corporate services. A fee structure for these costs was to be developed and implemented in 1995–96; this has not yet been done. If it were, we project that CORCAN's costs would increase by millions of dollars, directly affecting its financial self-sustainability.

Community Supervision

Supervision of offenders in the community is crucial

1.88 Supervision in the community is the final link in the offender reintegration process. It is the last point at which the system can directly influence or control offenders. It is also the point at which offenders are separated least from the

Level of Employment Needs*	Minimum Security Institutions	Medium Security Institutions	Maximum Security Institutions
Considerable	19	25	46
Some	36	39	39
None	32	29	12
Asset	13	7	3
Total	100%	100%	100%

* The Correctional Services rates needs into different levels of severity from "considerable need for improvement", "some need for improvement", "no immediate need for improvement" to "seen as an asset".

Sample: 1,526 offenders working in institutions at various security levels:
 minimum – 410
 medium – 939
 maximum – 177

Note: Excluded are 160 offenders whose employment needs were not readily available.

Exhibit 1.10
Employment Needs of Offenders Working for CORCAN
 October 1998

Source: Correctional Service Canada

Most offenders will complete their sentence in the community without re-offending.

public and therefore present the greatest risk to society.

1.89 Virtually all offenders currently in prison will some day be released into the community. Experience shows that most will complete their sentence in the community without re-offending. Nevertheless, when an offender in the community commits a violent offence, the lives of not only the victims but also their families can be shattered.

1.90 In the Auditor General’s 1994 Report, we indicated that it was crucial that supervision of offenders in the community be managed well. However, we noted that the Service management was not giving this area of corrections enough attention. We concluded that the senior management of the Service needed to provide more direction and guidance for the supervision of offenders in the community.

More focus is placed on community supervision

1.91 We recommended in 1994 that Correctional Service designate a senior official who would report directly to the Commissioner and be responsible for managing improvements in the practices

for supervising offenders in the community.

1.92 In November 1994, an advisor on community corrections was appointed. He chaired the National Community Corrections Council, whose objective was to enhance the contribution of community corrections to the safe reintegration of offenders in the community. The Council consists of Correctional Service senior managers in the community and representatives of non-government organizations.

1.93 A permanent Director at headquarters subsequently replaced the position of advisor. Reporting to the Director General, Offender Programs and Reintegration, he is responsible for community corrections and chairs the National Community Corrections Council.

1.94 In April 1997, most parole districts created the position of reintegration manager to improve the efficiency and effectiveness of the reintegration process. The role involves conducting special projects, monitoring caseloads and liaising with reintegration managers in the institutions.

Required frequency of contact with offenders is still not maintained

1.95 In 1994, we observed that face-to-face contact with the offender, as

Exhibit 1.11

CORCAN's Financial Performance

(\$ millions)	Actual					Planned	
	1993–94	1994–95	1995–96	1996–97	1997–98	1998–99	1999–00
Revenue	52	52	56	67	76	75	83
Expenditures	(54)	(59)	(58)	(67)	(79)	(78)	(84)
Profit or (Deficit)	(2)	(7)	(2)	0	(3)	(3)	(1)
Unused portion of \$45 million limit revolving fund	18	17	18	18	12	N/A*	N/A

* Figures not available

Source: Actual figures from Public Accounts of Canada. Planned figures provided by CORCAN.

well as information obtained from the offender's family, employer and program officers, were key components of offender supervision in the community. The average time available for direct supervision of offenders varied widely among district and local offices. We concluded that resources for supervision were not allocated appropriately.

1.96 In February 1998, the Correctional Service found that there were still problems in achieving the frequency of contact with offenders that is required by policy. The percentage of offenders who were not contacted with the required frequency varied from a low of 11 percent to a high of 38 percent across the five regions.

1.97 In November 1998, we selected a random sample of 150 offenders under community supervision in five major urban centres. These were offenders considered by the Service to require the most frequent contact. The percentage of offenders in our sample who were not contacted with the required frequency ranged from 10 percent to 20 percent. These results are particularly significant given that our sample population was made up of offenders who require close supervision.

1.98 One way to address this would be to ensure that parole officers in the community have reasonable caseloads. As a result of significant variances in parole office caseloads, Correctional Service recently initiated a study to establish a system for determining appropriate workload levels. The outcome of the study was a community workload formula that uses data from the automated offender information system. We applied this formula to June 1998 data on parole officer workloads and found that it would result in a more balanced distribution of caseloads than in 1994. The Service plans to approve and implement the formula during 1999.

1.99 Correctional Service Canada should ensure adherence to the standards for frequency of contact with offenders required by its policy, and should implement the new workload formula as planned.

Correctional Service's response: The Service agrees with this recommendation. CSC will continue to regularly audit the application of the supervision standards to determine if they are being met and will take firm and fair action regarding both compliance and non-compliance. The workload formula, a method for allocating resources based on activities required to supervise offenders, will be implemented nationally in June 1999.

Approaches vary in managing offenders who need a high level of supervision

1.100 In our 1994 Report we expressed concern that the Service was not identifying high-risk offenders consistently and accurately. During that year, the Service developed a course in risk assessment and provided training to all case management officers by the end of the fiscal year. Included in the course material was the National Parole Board's definition of risk, which states that risk is determined on the basis of two primary considerations:

- an assessment of the likelihood that the offender will re-offend; and
- a determination that, should the offender re-offend, there is no undue risk to the public, taking into consideration the nature and seriousness of the anticipated offence.

1.101 We noted in 1994 that there were several different approaches used to manage these offenders in the community. In one area office, two people were assigned full-time to the high-risk caseload. Each offender was seen twice a week by a team of two parole officers — once in the office and once in the parolee's home. In other area offices, however, mainly because of the workload,

offenders requiring close supervision might be seen only once a month, perhaps for as little as 15 minutes in the parole office.

1.102 In 1998, the Service approved a revised set of standards to specify how offenders should be supervised in the community. Several offices have developed related supervisory practices over and above these minimum standards, to deal with offenders who are particularly difficult to manage in the community. In one office, a team of two parole officers is assigned full-time to see each offender twice a week. In another office, difficult offenders are assigned only to the more experienced parole officers. In some offices there is a specialized unit for sex offenders. It has been a long-standing practice to manage these offenders using different approaches in different locations without any evaluation of their effectiveness.

1.103 **Correctional Service Canada should evaluate existing approaches to managing offenders who require a high level of supervision in the community in order to identify and implement the most cost-effective approaches under different circumstances.**

Correctional Service's response: The workload formula will provide management with the information required to ensure more consistency in the types of supervision across CSC. At the same time, CSC will conduct evaluations of the results of such supervision practices regarding safe reintegration in order to determine their relative cost effectiveness and to make improvements.

Managing Reintegration Activities to Achieve Desired Results

1.104 Perhaps the greatest challenge any public organization faces is to manage its operations and programs in a way that ensures desired results. Our 1997 Report, (Chapter 11 - Moving toward Managing

for Results) outlined a framework for managing for results. We indicated that managing for results requires a supportive organizational environment (leadership, incentives, a capacity to learn and share experiences), agreement on expected results (outcome objectives, performance indicators and expectations) and the ability to measure and report results. We noted that making the change from managing inputs to managing for results takes time, usually four to five years.

1.105 In 1996 (Chapter 30) we observed that there were persistent weaknesses in the management of reintegration activities across the Service. We concluded that there was a need for commonly accepted work standards across all regions, quality assurance procedures and performance information on results. We noted that the Service was having difficulty implementing basic changes, applying offender reintegration activities consistently across all regions and learning from its successes and failures.

The continuity of offender risk assessment is improving

1.106 To reintegrate offenders safely, the Service needs to consistently apply scientifically dependable risk assessment tools at each stage in the process — intake assessment, institutional case management, reports to the National Parole Board and supervision in the community. In 1994 we noted that there was no common set of practices and processes to identify and track changes in an offender's risk and needs. At that time, the Service had already begun to address this concern.

1.107 One of the key tools in the risk assessment process is the Custody Rating Scale, used to determine the appropriate institutional security level in which to place the offender. In some instances, the parole officer will use professional judgment to override the score indicated by the scale, and place the offender in a different security level.

1.108 Our 1994 audit found that the Custody Rating Scale was quantitative and objective; however, not all regions used it. We recommended that the Service monitor the rate of overrides and the appropriateness of decisions on security classification. By 1997, the Service had validated the Custody Rating Scale and made its use mandatory.

1.109 In response to the Public Accounts Committee's concern about the continuing high rate of overrides, Correctional Service adjusted the Custody Rating Scale in June 1998 so that 34 percent of offenders would be placed in minimum-security institutions (previously 15 percent). This reduced the national override rate from 25 percent to 17 percent within a month. We could find no evidence that this change had a significant impact on the number of escapes by offenders between June and December 1998.

1.110 Once the offender is placed in an institution, a security reclassification procedure is used periodically to determine whether his security level should be changed. The Commissioner assured the Public Accounts Committee that by the end of 1998 the Service would implement a new, more objective reclassification instrument. Since the beginning of 1996, the Service has devoted a considerable amount of work to developing a new, more quantitative instrument for reviewing security classifications. We can confirm that it has begun implementing the new reclassification instrument as promised.

1.111 We also examined all risk assessment tools used by parole officers from the perspective of their scientific integrity, continuity and application as designed. We found that Correctional Service has adequately tested the scientific basis for the risk assessment instruments, especially the validity of their measurement of offender risk to reoffend. However, testing of their

reliability (that is, demonstrating that different parole officers will use the tool in a consistent and predictable way) is not as thorough as would be expected. Although some typical tests of reliability are available for these instruments, few or none have been conducted. It would be good practice for the Service to test the dependability of these tools.

Quality controls are not applied consistently

1.112 In 1996 we reported that the mechanisms for quality control of release recommendations were weak and the Service had no standard approach to quality control of reports that the National Parole Board used as a basis for making release decisions.

1.113 In making these decisions, the National Parole Board places a great deal of emphasis on the quality of the parole officers' analysis in reintegration reports submitted by the Correctional Service. The Service recognizes that the quality of its reports is a key factor in release decisions. The parole officer's Case Management Manual states that the analysis is the most important stage in writing those reports. The Reintegration Task Force established by the Service to respond to our audits indicated similar concerns, and stated that the point at which the National Parole Board decides on an offender's release is the point at which the report quality is most critical.

1.114 The Case Management Manual outlines responsibilities for quality control of reports produced throughout the reintegration process. Reports going to the National Parole Board for release hearings are prepared by parole officers, who are responsible for ensuring that they are complete, properly formatted, on time and of appropriate quality. The Reintegration Task Force stated that institutional parole officers were the first point in the quality assurance process.

1.115 In this audit, we found in reviewing reports to the Board on

As promised the Service has begun implementing a new reclassification instrument.

The quality of reports to the National Parole Board still requires improvement.

offenders that quality controls were not applied consistently. Unit Managers (supervisor responsible for a team of correctional and parole officers) sign these reports and, in some institutions, the Co-ordinator of Case Management shares responsibility for their quality. However, the Reintegration Task Force found that Unit Managers currently cannot fulfil their role in assuring the quality of reports, because their background in case management is insufficient or they are not given enough direction, training or support. Their daily duties of managing the offender population generally take precedence. We observed some use of “lead hand” senior case managers or specific quality control personnel, to help improve case management in general and report preparation in particular. The Reintegration Managers in some institutions have also helped with quality control.

Offender report quality remains a concern

1.116 In 1997 the Service conducted a National Review of Case Management, which assessed the quality of documents used by the National Parole Board in deciding on inmate releases. As detailed in Exhibit 1.12, the review found that of

over 3,000 documents sampled across all regions, 48 percent to 78 percent complied with quality requirements. It concluded, “Supervision, direction and quality control appear to be absent or poorly delivered. ...compliance and quality levels were generally below expectation.” One regional follow-up review that we examined, conducted in June 1998, indicated that the quality of case management was “effectively stagnant at 1997 levels and requires immediate management action to improve performance”.

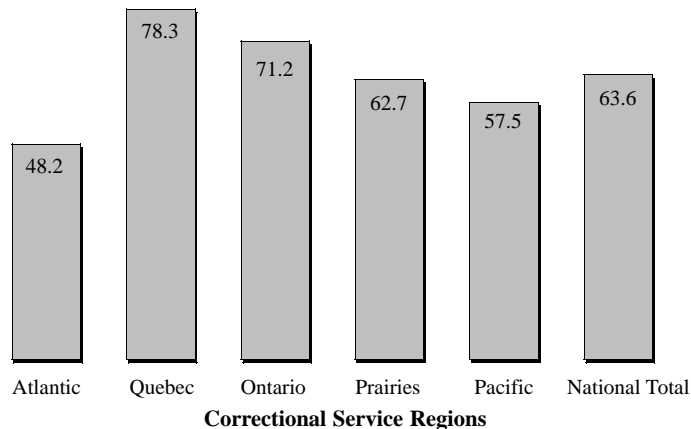
1.117 We conducted our own test of report quality. We selected a random sample of all offender reports sent to the National Parole Board in 1998 for release decisions. The test was designed to determine the extent to which Correctional Service reports help Board members make informed release decisions. We examined the clarity, completeness and quality of analysis supporting recommendations on offender release. We also considered whether the quality of each offender report corresponded with the level of risk involved in the case.

1.118 Our test of these reports examined whether they would enable the Board member to make a decision based

Exhibit 1.12

Quality of Reports to National Parole Board

Quality Requirements Met (percentage)



Source: Final Report, National Review of Case Management (1997) – Correctional Service Canada

solely on the information in them (good reports); whether they had some gaps in information or analysis that would require additional review of the offender's file (adequate reports); or whether they were of little value and the decision would require a full file review (poor reports). Our findings concurred with those of Correctional Service's reviews. Overall, we found that 43 percent of the reports submitted to the Board for release decisions were "good", 46 percent were "adequate"; and 11 percent were "poor". Of reports on high-risk offenders, 16 percent were of poor quality.

1.119 Two major recurring concerns emerged across these reviews. The first was the number of reports sent to the Parole Board members that were incomplete and unclear. The second was the need for parole officers to improve their reporting of risk assessment and their analysis of the extent to which the offender has changed and is likely to be manageable in the community.

1.120 **Correctional Service Canada should address known deficiencies in the quality of its reports to the National Parole Board and ensure that quality control is exercised in accordance with approved policy.**

Correctional Service's response: The Service will continue to place a high priority on ensuring responsibility and accountability for quality control is exercised by staff, supervisors and managers at all levels of the Service.

The nature and extent of performance information has improved

1.121 In 1996 we indicated that there was a lack of good performance information on case management activities. We said that Correctional Service managers at all levels (particularly at the institutional level) needed performance measurement systems to determine to what extent their activities were contributing to reintegration. We

encountered difficulty at that time finding any data on the results of the Service's reintegration activities.

1.122 The Service now has an increased capability to acquire, organize and analyze performance data in a more timely manner. Performance information that we gathered manually in 1996, on such things as the timeliness of acquiring documents and average time to achieve case management milestones, is now available from the Performance Assurance Branch at headquarters and from regional data systems.

1.123 The Performance Assurance Branch prepares a Corporate Results Book for discussion at each executive committee meeting. The book outlines both national and regional performance in several aspects of the Correctional Service mission. It provides performance data and summary analysis on several key aspects of offender reintegration (offender admissions, releases, incidents, escapes, waivers and postponements). In addition, upon request the Research Branch undertakes statistical and trend analysis of data on the safe reintegration of offenders, covering such areas as offender population trends, offender reintegration without reoffence and offender potential for reintegration.

1.124 The Service is also developing a Reintegration Tool Kit for local managers and parole officers to manage, plan and monitor the performance of reintegration activities on an ongoing basis. The first tool is Action Indicators, an instrument that monitors in each institution the ongoing status of offender reintegration documents received, offender assessments, steps completed in the case management process for each offender and status of offender reports against time standards. These tools are being designed by the supervisors and staff who will ultimately use them. Implementation is planned for early 1999.

The Service has now enhanced its capability to measure its performance.

1.125 The Service also uses national and regional reviews as another means of measuring local and regional compliance with approved policy and procedures. In February and March 1998, Correctional Service completed national reviews of the Intake Assessment units, Institutional Case Management and Community Supervision. In addition to assessing compliance with regulations, these reviews examined areas such as the quality and timeliness of reports and the quality of community supervision. These reviews and subsequent regional reviews have identified some performance deficiencies and requirements that the Operation Bypass initiative is addressing.

1.126 The Service has now enhanced its capability to measure its performance at the national, regional and local levels. It recognizes that further refinement and acceptance of performance measures will be needed to improve managing for results.

Lessons learned are being shared

1.127 In 1994 and again in 1996 we observed that Correctional Service was not learning from its successes and sharing its best practices to make needed changes. Recently, however, the Service has made a concerted effort to share best practices among and within regions.

1.128 Management and staff involved in offender reintegration activities, from intake to community supervision, have used such mechanisms as conferences, working groups and publications to share information on what is working and what is not. It is now an established practice that one region presents its current best practices at one of the two annual meetings of senior management. Meetings and workshops involving regional reintegration staff and National Parole Board officials are used to find ways to improve the quality of reports sent to the Board.

1.129 Correctional Service Canada has increasingly promoted and participated in the learning and sharing of best practices with other countries. In recent years, it has participated increasingly in international forums, international visits, training and assistance in correctional reform and technical assistance projects in developing countries. The Service has received several awards for its offender research, offender risk assessment tools and rehabilitation programs.

Conclusion

1.130 The findings of our previous audits led us to conclude at the time that there were systemic weaknesses in the Service's management of its reintegration activities. We noted weaknesses throughout all aspects of the reintegration process.

1.131 Since then, Correctional Service has made a concerted effort to respond to our observations through a wide range of initiatives. It has strengthened its national headquarters organization, which provides overall direction and co-ordination for changes in the reintegration process. It has begun to make substantive improvements in its intake assessment process, and has increased its efforts to prepare offenders for parole hearings in a timely manner. Program accreditation has had a positive impact on offender intervention programs. The Service now has the means to allocate workload in the community more effectively.

1.132 Overall progress notwithstanding, improvement is still needed in some areas:

- more timely acquisition of official documents for offender assessment;
- more timely casework preparation to meet the offender's first parole date;
- a clear operational strategy for offender employment programs;
- better-quality offender reintegration reports for the National Parole Board; and

- improved adherence to national standards for frequency of contact with offenders in the community.

1.133 Efforts to implement a number of significant change initiatives have just begun and need to be sustained. As highlighted in the recommendations throughout this report, action is required to improve results in these critical areas.

1.134 At the end of our audit work in 1996, we expressed concern about inconsistent practices and results across the five regions of the Service. We believe that the Service is now moving in the right direction. Its biggest challenge is to implement new initiatives effectively across all regions. In addressing this challenge, it must continue to move from managing inputs to managing for results.



About the Audit

Objectives

The objectives of this audit were:

- to determine the extent to which Correctional Service Canada (CSC) has acted on our earlier recommendations; and
- to assess the extent to which the Service's changes in the management of offender reintegration have contributed to sustainable improvements.

Scope

The focus of this audit was to re-audit key observations and recommendations made in our Report Chapter 30 (1996) Reintegration of Offenders; Chapter 10 (1996) Rehabilitation Programs for Offenders and Chapter 18 (1994) Supervision of Released Offenders.

We focussed our examination on the major aspects of offenders' reintegration, which included offender assessment and case management, offender programs, community supervision and the management of the reintegration activities. This included continuity of offender risk assessment, quality controls, performance information and sharing lessons learned.

In response to a request by the Public Accounts Committee, the audit also included follow-up audit work on the Custody Rating Scale used to determine the initial security level of inmates' institutional placement and the Security Reclassification instrument, which determines whether the security level of the inmate should be changed.

This audit did not include female offenders or issues specific to Aboriginal offenders.

Criteria

We expected that:

- CSC would have programs and policies in place that result in a sustainable management framework for offender reintegration, as demonstrated by:
 - leadership and management attention to address reintegration matters;
 - performance measurement systems that support operational decisions at all levels (national, regional, institutional);
 - the ability to assess, share and apply lessons learned to improve existing and future practices; and
 - a level of staff training and development to meet internal professional requirements.
- CSC would perform effectively the critical functions that enable an offender (while incarcerated) to be ready for safe reintegration into the community at the earliest possible date. Performance of critical functions require:
 - proved and consistent risk assessment practices;
 - accurate and timely offender information from external agencies;

- accurate and timely assessment of offender criminogenic factors, community support and program requirements;
 - quality programs delivered on time; and
 - complete, timely and accurate reports to the National Parole Board for release decisions (Risk Assessment Profile).
- CSC would supervise offenders in the community to facilitate safe and sustainable reintegration into society. Essential components of offender supervision in the community are:
 - continuity with institutional risk assessment practices;
 - availability of beds and the provision of required and relevant programming;
 - an appropriate and consistent level of parole officer contact with, supervision of and assistance to offenders; and
 - consistent methods used to minimize release revocations.

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Appendix

Offender Population, Admission and Release Trends (1993-94 to 1997-98)

Offender Population

Offender Location	1993-94	1994-95	1995-96	1996-97	1997-98
Institution ¹	13,560 59%	14,274 62%	14,195 63%	14,163 63%	13,449 61%
Community ²	9,405 41%	8,688 38%	8,415 37%	8,246 37%	8,744 39%
Total	22,965	22,962	22,610	22,409	22,193

¹ Institutional figures do not include escaped offenders and provincial offenders housed in federal institutions. (226 as of March 1998).

² Community figures do not include offenders deported upon release, and provincial offenders under federal supervision (787 at March 1998). Included are offenders unlawfully at large (707 at March 1998) and offenders on parole who have been temporarily detained (667 at March 1998).

Offender Admissions

Type of Admission	1993-94	1994-95	1995-96	1996-97	1997-98
Warrant of Committal	5,117	4,783	4,401	4,569	4,501
Revocation* without Offence	2,174	2,434	2,148	2,346	2,389
Revocation* with Offence	1,563	1,289	1,151	1,009	980
Total	8,854	8,506	7,700	7,924	7,870

* Conditional release suspended and offender returned to federal prison.

Offender Releases

Type of Release	1993-94	1994-95	1995-96	1996-97	1997-98
Day Parole	3,288 (40%)	2,592 (33%)	2,105 (27%)	1,761 (22%)	2,663 (31%)
Full Parole ¹	1,282 (16%)	912 (12%)	924 (12%)	839 (11%)	571 (7%)
Statutory Release	3,409 (41%)	3,887 (50%)	4,458 (56%)	4,789 (61%)	4,877 (57%)
Warrant Expiry	281 (3%)	369 (5%)	419 (5%)	438 (6%)	424 (5%)
Total	8,260	7,760	7,906	7,827	8,535

¹ These figures do not include offenders who change from day parole to full parole. These are shown below.

1993-94	1994-95	1995-96	1996-97	1997-98
1,262	1,147	908	792	1,315

Source: Correctional Service Canada

Source: National Parole Board