

**REPORT BY THE
AUDITOR GENERAL
OF CALIFORNIA**

**A REVIEW OF THE DEPARTMENT OF CORRECTIONS'
IMPLEMENTATION OF ITS SUBSTANCE ABUSE
TREATMENT AND EDUCATION SERVICES**



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April 3, 1991

P-860

Honorable Robert J. Campbell, Chairman
Members, Joint Legislative Audit Committee
State Capitol, Room 2163
Sacramento, California 95814

Dear Mr. Chairman and Members:

Summary

The Office of the Auditor General presents its first of two reports concerning whether the Department of Corrections (department) has implemented the tasks outlined in its December 1989 report to the Legislature entitled, "Substance Abuse Treatment and Education Services For Inmates and Parolees." These tasks, which the department scheduled to implement by January 1, 1991, will allow the department to establish additional substance abuse programs. During our review, we found that the department has not implemented 17 (45 percent) of the 38 outlined tasks. For example, the department has not implemented the task of creating programs to assess inmate and parolee substance abuse treatment and educational needs. If the department does not provide inmates and parolees with substance abuse education and with early intervention and treatment services, inmates and parolees may not have access to information that may assist them in their recovery from addiction.

Background Chapter 93, Statutes of 1989, required the department to submit to the Legislature, before December 1, 1989, a plan to identify the number of inmates needing substance abuse treatment and education programs, an outline of components of the treatment and education programs, and the tasks that need completion before these programs can begin, along with specific timelines and estimates of costs. We analyzed those tasks, as outlined in the department's December 1989 report to the Legislature, and determined which tasks have not been implemented.

Scope and Methodology The Legislature asked us to periodically review and report on the department's progress in completing the tasks outlined in the department's December 1989 report. To fulfill the Legislature's request, we asked the department to respond to us in 60 days, six months, and one year on its efforts to implement the outlined tasks. The department submitted a 60-day response in August 1990 and a six-month response in January 1991.

To determine whether the department implemented the tasks outlined in its report, we contacted department officials responsible for administering the department's substance abuse programs. We also contacted department officials at six of the correctional institutions where these programs have been conducted. Further, we reviewed the department's requests for federal funds, Requests for Proposal, and contracts for substance abuse education and treatment programs.

Some Tasks Not Implemented Chapter 93, Statutes of 1989, required the department to submit to the Legislature, before December 1, 1989, a plan to identify the number of inmates needing substance abuse treatment and education programs, an outline of components of the treatment programs, and an implementation plan for the programs, along with a specific estimate of costs.

The department's goal is to establish substance abuse treatment and education programs for all inmates and parolees over a three-year period. Accordingly, the department scheduled 38 tasks to be implemented by January 1, 1991. As the following table shows, the department has not implemented 17 (45 percent) of the 38 tasks.

**Tasks Not Met for Treating and Educating
Substance Abuse Offenders**

Project	Number of Tasks Scheduled To Be Implemented by January 1991	Number of Tasks Not Implemented by January 1991
Bay Area parole services network, Parole Region II	4	4 (100%)
Community services implementation	5	3 (60%)
Administrative sanctions	1	1 (100%)
Community-based demonstration project	3	1 (33%)
Planning, evaluation, and coordination	4	1 (25%)
Education for inmates and parolees	2	0 (0%)
Individual needs assessment	3	3 (100%)
Individual parolee needs assessment	1	1 (100%)
Prison-based demonstration project	4	0 (0%)
Urine testing demonstration project	5	0 (0%)
Program development (improving existing programs)	1	1 (100%)
Technical assistance	3	0 (0%)
SB 1591 substance abuse programs	2	2 (100%)
Total	38	17 (45%)

**Lack of State
Funding**

According to department officials, eight tasks were not implemented because the department lacked the funds for these programs. For instance, although the department, through a contractor, has conducted a survey of parole services in the Bay Area, the assistant director for the department's Office of Substance Abuse Programs stated that the department has not implemented any of the four scheduled tasks for creating a Bay Area parole services network because it has not been able to fund this program. Prison officials, parole administrators and agents, public and private community service organizations, and department administrators will form a network that helps parolees released in the Bay Area to locate services for continued substance abuse education and treatment.

Additionally, according to the assistant director for the department's Office of Substance Abuse Programs, the department has not implemented three tasks needed to develop the 12-step community services programs for substance abuse parolees because unspecified budget reductions eliminated the position of community resources manager, who would have coordinated community services programs. Twelve-step programs are self-help programs for recovering addicts, which are based on the literature developed by Alcoholics Anonymous. The assistant director stated that the three tasks not implemented by the department are the development and maintenance of an automated system for tracking the use of 12-step programs at selected sites, the set-up of local coordination meetings between site management and 12-step resource contacts, and the development of volunteer recruitment efforts for each site.

Finally, according to the chief of the department's Education and Inmate Programs Unit, the department has not implemented the task for evaluating its existing model pre-release programs as scheduled because the contract for evaluating this program was not renewed for fiscal year 1990-91. The chief stated that pre-release education programs allow inmates to enhance the life skills necessary for success after release on parole. The model programs are based on a comprehensive pre-release education curriculum, which incorporates orientation and instruction on release skills, employability, and substance abuse.

**Application for
Federal Funds
Rejected**

Four tasks were not implemented because the department's request for federal grant money was rejected. According to the department's director, the department has not created a process for assessing parolees' and inmates' substance abuse treatment and educational needs in one institutional reception center as scheduled, nor has it implemented a second task by expanding this process to include two additional reception centers as planned.

Additionally, the director stated that the department did not begin a third task for including annual assessments of inmates at three institutions. Moreover, the assistant director for the Office of Substance Abuse Programs stated that the department did not implement the fourth of these tasks, which would create a program to assess the parolee's individual substance abuse treatment and educational needs in San Diego, Parole Region IV, for those inmates with substance abuse problems who are paroled in the San Diego area. According to the assistant director of the Office of Substance Abuse Programs, the department has not implemented these four tasks because the federal Bureau of Justice Assistance dropped its program to assist states in corrections substance abuse programs and because the department's subsequent request to the federal Office of Treatment Improvement was rejected.

Other Reasons

Five tasks were not implemented for other reasons. For instance, in one task, the department planned to change the regulation that allows institutions to restore worktime credits taken away for substance-abuse-related disciplinary offenses. Although the department has proposed revising the California Code of Regulations to change this restriction, the assistant director stated that more immediate priorities have delayed further review of the proposed change.

According to the assistant director, the department has not instituted another of these five tasks because of delays in implementing a community-based demonstration project in San Diego County. This demonstration project would increase community services and referrals by parole agents and include

assessing and monitoring each participant's progress. The assistant director for the Office of Substance Abuse Programs stated that, because of delays with the start of the substance abuse treatment and education program at the R.J. Donovan Correctional Facility in San Diego County, the department did not need to work with Parole Region IV until now.

According to the assistant director for the Office of Substance Abuse Programs, the department did not implement the third of these five tasks because of delays in developing a data system. More specifically, the assistant director stated that the department has not added substance abuse data fields to the existing information systems as scheduled because of delays in developing the Distributed Data Processing System for the Parole and Community Services Division. This data system will automate parole functions in each field office by allowing many people to use the parolee database system and provide word processing, forms printing, and electronic mail capabilities.

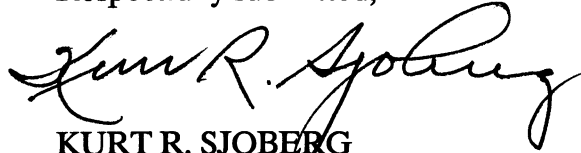
Finally, the assistant director stated that the department has not implemented two tasks needed to begin Senate Bill 1591 Substance Abuse Programs because of a lack of procedures. Under the authorization of Senate Bill 1591, the department plans to contract with at least six cities to build facilities to incarcerate offenders locally. The two tasks for implementing Senate Bill 1591 Substance Abuse Programs in these facilities are to establish a complete program plan, including an information system, evaluation criteria, and implementation schedule, and to complete protocols and operating procedures for ensuring program integrity. These tasks were to have been implemented by January 1, 1991. According to the assistant director for the Office of Substance Abuse Programs, the department cannot establish an evaluation model and an information system until each facility develops program procedures.

If the department does not provide inmates and parolees with substance abuse education and with early intervention and treatment services, inmates and parolees may not have access to information that may assist them in their recovery from addiction.

Recommendation To enhance inmates' and parolees' opportunities to participate in substance abuse education and treatment programs, the department should reschedule the completion dates of the unmet goals. In its rescheduling, the department should take into consideration the impact of budget and other resource restrictions.

We conducted this review under the authority vested in the auditor general by Section 10500 et seq. of the California Government Code and according to generally accepted governmental auditing standards. We limited our review to those areas specified in the audit scope section of this letter report.

Respectfully submitted,



KURT R. SJOBERG
Auditor General (acting)

**Response to
the Audit** Department of Corrections

DEPARTMENT OF CORRECTIONS
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March 25, 1991

Kurt Sjoberg
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Dear Mr. Sjoberg:

This letter responds to your draft report number P-860 entitled "A Review of the Department of Corrections Implementation of its Substance Abuse Treatment and Education Services." Your report shows that the Department has implemented 21 (55 percent) of the 38 outlined tasks for implementing substance abuse programs. You recommend that with regard to those tasks not completed as of the January 1, 1991 target date included in the Department's December 1989 Report to the Legislature "the Department should reschedule the completion dates of the unmet goals."

We agree with your recommendation that the Department should reschedule completion dates for the unmet tasks. This will be done in our one-year report to be submitted to you on August 8, 1991. This report will include detailed program plans and will be accompanied by a new multi-year substance abuse treatment and education plan.

As you note, much work remains to be done in the area of providing substance abuse treatment and education to our institution and parole populations. We are making demonstrable progress toward that as evidenced by the tasks already completed. Following is an update on additional efforts underway which bear on the comments contained in your report.

On page four of your draft report, you indicate that "the Department has not implemented any of the four scheduled tasks for creating a Bay Area Parole Services Network." The Department has contracted for and received a report on the steps which will need to be taken to effect this network. This plan was developed by Dr. Mimi Silbert and Associates and was funded by the Bureau of Justice Assistance planning grant funds obtained by the Department. Although additional funds have not

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been available to implement the recommendations outlined in Dr. Silbert's report, the report has helped parole agents in Parole Region II (the Bay Area) and newly trained substance abuse counselors at San Quentin State Prison to work together to improve the involvement of substance abusing parolees in community treatment programs.

Concerning the completion of individual needs assessments, you accurately state that several tasks related to this area were not completed because "the Department's request of federal grant money was rejected." Your report also correctly identifies the importance of assessing individual inmate and parolee substance abuse treatment needs. In-depth individual needs assessments are being conducted, albeit on a limited basis, with the 200 inmates in the Amity Rightturn program at the Richard J. Donovan Correctional Facility (RJDCF) and will be conducted at the female offender substance abuse program being developed at the California Institution for Women (CIW). The CIW program will involve approximately 350 inmates per year, and the RJDCF program approximately 250.

You further state that the Department did not implement tasks to assess the treatment needs for parolees who are paroled to San Diego County. As we reported to you in our six-month report, this did not occur because of delays in starting the Amity Rightturn program at RJDCF. We are very pleased and proud to report that the Amity Rightturn program, started in November, is at full capacity (200 participants) and is operating well. The Department is developing the necessary procedures for ensuring a continuity of care for the Amity Rightturn participants who will parole to San Diego County starting in July or August 1991.

On page five of your draft you also discuss the Department's efforts to revise disciplinary procedures concerning substance abuse-related rule violations. While not completed at the time of your review, progress on these tasks has continued. The Department has incorporated administrative sanctions to reduce substance abuse-related problems as part of an overall revision of the inmate disciplinary regulations. These revisions of the California Code of Regulations, Title 15, include the use of urine testing as a requirement for the restoration of good time credit lost due to substance abuse-related disciplinaries.

It is anticipated that this revision package will be reviewed by departmental administration within the next 60 days and submitted to the Office of Administrative Law for review. A draft of these regulations will be included in our one-year report.

On page six of the draft report you indicate that specific tasks identified for a substance abuse data system involving the Parole and Community Services Division (P&CSD) portion of the Distributed Data Processing System (DDPS) have not been accomplished. This is correct. The Department is conducting a thorough review of DDPS and cannot implement partial amendments and revisions to the system at this time. However, a major accomplishment in tracking parolees in substance abuse programs has been achieved. The California Department of Corrections, in close cooperation with the Department of Alcohol and Drug Programs (DADP), developed a special data field in DADP's funded drug abuse program reporting system. This system will greatly assist the Department in identifying parolees participating in community substance abuse programs.

Also on page six of your draft, you state that tasks associated with the development of substance abuse programs in Senate Bill (SB) 1591 facilities have not occurred. Again, the Department has not lost sight of the goal of ensuring effective substance abuse programs in these facilities. The Office of Substance Abuse Programs (OSAP), in close cooperation and coordination with P&CSD, has worked with every SB 1591 facility Director and provided them with substance abuse program guidelines and program models. We continue to work with local jurisdictions to bring their programs on line in a timely fashion.

We want to express to you our agreement that we must inform inmates about the possibility of recovery from drug and alcohol addiction. These programs have been developed by innovative parole administrators and institution wardens and reflect a steady commitment to substance abuse training and education services. Also, to increase the information about inmate/parolee drug and alcohol problems, including overcoming denial, achieving recovery and relapse prevention, over \$106,000 of pamphlets, brochures, books and video presentations have been distributed by OSAP to institutions and parole regions. A survey we have conducted preliminarily indicates that over 8,000 inmates are involved in education, treatment and self-help programs.

In your letter you discuss the importance of education and note that the Department had not implemented an evaluation of its model pre-release education program. The status of our evaluation effort will be included in our one-year report.

In closing, we want to express our appreciation to you and your staff for the careful review of the volumes of material the Department has provided concerning its substance abuse efforts.

Kurt Sjoberg
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Your staff have been thorough, courteous and exhibited a genuine interest in our programs. We believe our one-year report and multi-year plan, which will be sent to you in August, will further inform you and the Legislature of our commitment to continue these efforts.

Sincerely,



Joe
JOE SANDOVAL, Secretary
Youth and Adult Correctional
Agency



JAMES ROWLAND
Director of Corrections