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I. Overview for U.S. Parole Commission

The mission of the U.S. Parole Commission is to promote public safety and strive for justice and fairness in the exercise of its authority to release, revoke and supervise offenders under its jurisdiction.

For FY 2016, the President’s Budget includes a total of $13,547,000, 85 positions (7 attorneys) and 75 FTEs for the U.S. Parole Commission (USPC). This request includes adjustments to base totaling $239,000, and no program changes.

Electronic copies of the Department of Justice’s Congressional Budget Justifications and Capital Asset Plan and Business Case exhibits can be viewed or downloaded from the Internet using the Internet address: http://www.justice.gov/02organizations/bpp.htm.

Organizational Structure

- The Chairman and Commissioners render decisions in National Appeals Board cases; create and maintain a national parole policy; grant or deny parole to all eligible federal and District of Columbia prisoners; establish conditions of release; modify parole conditions and/or revoke the parole or mandatory/supervised releases of offenders who have violated the conditions of supervision; and administer the USPC crime victim notification program.

- The Office of Budget and Management provides management and advisory services to the Chairman, Commissioners, management officials, and staff in the areas of human resources management, workforce development and training; budget and financial management; contracts and procurement; facilities and property management; telecommunications; security; and all matters pertaining to organization, management, and administration.

- The Office of Case Operations conducts parole hearings with federal and D.C. prisoners and parole revocation hearings with parole violators; plans and schedules parole hearing dockets.

- The Office of Case Services monitors the progress of prisoners and parolees through pre-release and post-release; prepares and issues warrants and warrant supplements; drafts letters of reprimand; requests and analyzes preliminary interviews; and issues parole certificates.

- The Office of Information Systems is responsible for delivering and supporting information technology systems and services; maintaining and reporting statistical workload data; and administering the records management program.

- The Office of the General Counsel advises the Commissioners and staff on interpretation of the agency’s enabling statutes; drafts implementing rules and regulations; and assists U.S. Attorney’s Offices in defending the Commission against lawsuits brought by prisoners and parolees. The office also oversees responses to requests submitted under the Freedom of Information Act and Privacy Act.
Jurisdiction

The U.S. Parole Commission has jurisdiction over the following types of cases:

All Federal Offenders who committed an offense before November 1, 1987;

All District of Columbia Code Offenders;

Uniform Code of Military Justice Offenders who are confined in a Bureau of Prisons’ institution;

Transfer Treaty cases (U.S. citizens convicted in foreign countries, who have elected to serve their sentence in this country); and,

State Probationers and Parolees in the Federal Witness Protection Program.

In all of these cases, the Parole Commission has the responsibility for:

• making determinations regarding the initial conditions of supervision;
• managing the offender’s risk in the community;
• modification of the conditions of supervision for changed circumstances;
• early discharge from supervision, issuance of a warrant or summons for violation of the conditions of supervision; and
• revocation of release for such offenders released on parole or mandatory release supervision.

Federal Offenders (offenses committed before November 1, 1987): The Parole Commission has the responsibility for granting or denying parole to federal offenders who committed their offenses before November 1, 1987, and who are not otherwise ineligible for parole. Supervision in the community is provided by U.S. Probation Officers.

District of Columbia Code Offenders: The Parole Commission has the responsibility for granting or denying parole to D.C. Code offenders who committed their offenses before August 5, 2000, and who are not otherwise ineligible for parole. Supervision in the community is provided by Supervision Officers of the Court Services and Offender Supervision Agency (CSOSA) of the District of Columbia and U.S. Probation Officers.

Uniform Code of Military Justice Offenders: The Parole Commission has the responsibility for granting or denying parole to parole-eligible Uniform Code of Military Justice offenders who are serving a sentence in a Bureau of Prisons institution. Supervision in the community for military parolees is provided by U.S. Probation Officers.

Transfer-Treaty Cases: The Parole Commission has the responsibility for conducting hearings and setting release dates for U.S. citizens who are serving prison terms imposed by foreign countries and who, pursuant to treaty, have elected to be transferred to the United States for service of that sentence. The Parole Commission applies the federal sentencing guidelines promulgated by the U.S. Sentencing Commission in determining the time to be served in prison before release for offenders who committed their offenses after October 31, 1987. For those offenders who committed their offenses before November 1, 1987, the U.S. Parole Commission applies the parole guidelines that are used for parole-eligible federal and military offenders.
**State Probationers and Parolees in Federal Witness Protection Program:** In addition to its general responsibilities, the Parole Commission is also responsible for the revocation of release for certain state probationers and parolees who have been placed in the federal witness protection program. Supervision in the community is provided by United States Probation Officers.

- Build a collaborative community approach to assisting victims and witnesses. Enhance decision-making through cooperation with external partners in criminal justice to ensure that the victim’s input is considered prior to a decision. Develop policies and procedures to incorporate video conferencing for victim and witness input.

The Parole Commission (1) provides services and programs to facilitate inmates’ successful reintegration into society, consistent with community expectations and standards; (2) supervises, revokes, and releases federal and District of Columbia offenders; (3) establishes and applies sanctions that are consistent with public safety and the appropriate punishment for crimes involving sex offenders, gangs, crimes of violence with firearms, and domestic violence; (4) establishes and implements guidelines to reduce recidivism; and (5) works collaboratively with the Court Services and Offender Supervision Agency (CSOSA), Federal Prison System, U.S. Marshals Service, U.S. Attorneys (USA), U.S. Probation Office (USPO), Public Defender Services (PDS), D.C. Metropolitan Police Department, D.C. Superior Court, and others to facilitate strategies that support anti-recidivism programs.

The following is a brief summary of the role USPC plays in supporting the Department of Justice’s Strategic Goal 3.

**Strategic Goal 3: Ensure and Support the Fair, Impartial, Efficient, and Transparent Administration of Justice at the Federal, State, Local, Tribal, and International Levels**

**Strategic objective 3.4** – Reform and strengthen America’s criminal justice system by targeting only the most serious offenses for federal prosecution, expanding the use of diversion programs, and aiding inmates in re-entering society.

- Develop and implement enhanced strategies to evaluate reentry and supervision that will ensure community safety, reduce serious violent crime, and reduce recidivism.
- Establish short term intervention sanctions for administrative violators.
- Establish and implement guidelines to reduce recidivism.
- Enhance current sanctions and develop new alternatives to incarceration to reduce recidivism for low-risk, non-violent offenders, such as the Reprimand Sanction Hearings, Short-term Intervention for Success, and Mental Health Sanction Hearings.
- Establish conditions of release. Develop risk assessment instruments and guidelines to identify high risk offenders to require intense supervision sanctions to reduce the chances of recidivism. The Parole Commission targets those offenders involved in gang activity, sex offenses, gun-related offenses, and domestic violence.
- Issue warrants in a timely fashion to remove violent offenders from the community.
- D.C. Jail and Corrections: Develop new procedures for conducting probable cause and revocation hearings for Technical Parole Violators.
1. Full Program Costs

The FY 2016 budget request for USPC is $13,547,000, 85 full time permanent positions (including 7 attorneys) and 75 FTE. USPC’s budget is integrated with its own priorities as well as the Department’s Strategic Goals and Objectives, and therefore each performance objective is linked with the costs of critical strategic actions.

<table>
<thead>
<tr>
<th></th>
<th>Positions</th>
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<td>FY 2015 President’s Budget</td>
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<tr>
<td>FY 2016 Adjustments-to-base</td>
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<tr>
<td>FY 2016 Program Changes</td>
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<tr>
<td>FY 2016 Request</td>
<td>85</td>
<td>75</td>
<td>13,547</td>
</tr>
</tbody>
</table>

The total costs include the following:

- The direct costs of all outputs
- Indirect costs
- Common administrative systems

The performance and resource tables define the total costs of achieving the strategies the USPC will implement in FY 2016. The various resource and performance charts incorporate the costs of lower level strategies which also contribute to achievement of objectives, but which may not be highlighted in detail in order to provide a concise narrative. Also included are the indirect costs of continuing activities, which are central to the USPC’s operations.

2. Environmental Accountability

The Parole Commission continues to be proactive in its environmental accountability and towards that goal is consistently taking measures such as purchasing from recycled paper and products, as well as recycling all used toner cartridges and participating with the building’s green program.

3. Challenges

The challenges that impede progress towards achievement of agency goals are complex and ever changing.

**External Challenges:** There are many external challenges, outside of its control, that the USPC has to address to be successful in meeting its goals. A major task before the Parole Commission is to take immediate action on violent offenders, while reducing recidivism rates for low-risk, non-violent offenders. While the Parole Commission’s workload depends heavily on the activities of its criminal justice partners, it has developed programs to reduce recidivism, reduce prison overcrowding, reduce violent crime, and promote the public’s safety.
**Internal Challenges:** The USPC faces two significant internal challenges in the years ahead, one dealing with its aging workforce and the other with technology. Both challenges are intertwined and will require creative and resourceful solutions.

The caseload challenges are increasing, especially in the areas of mental health and sex offenses. There continues to be greater emphasis by the courts on the growing population with mental health disorders and the USPC needs to adjust internally by defining the special skill sets needed to address this growing workload and to develop its staff so we can address this particular workload. The staff must have the expertise to evaluate these disorders and set conditions of supervision that adequately address them. This is especially challenging because of USPC’s small size. Innovation and creative, more flexible, recruitment options will have to be employed to meet this challenge.

A somewhat related and pressing second challenge is the Commission’s need to expand its paperless process and take full advantage of technological innovation, especially in light of a potential “brain drain” over the next five years. In preparation for this eventuality, the Commission is implementing its Offender Management System (OMS). Moving to a paperless process will require sensitivity to a number of issues, including: access to case files; the need to meet statutory deadlines; the need to capture more reliable data; security concerns; working with multiple stakeholders, such as BOP, CSOSA, USPO, USA, and PDS; continuity of operation; and finally, having remote access at hearings.
II. Summary of Program Changes

*No program changes*

III. Appropriations Language and Analysis of Appropriations Language

**Appropriations Language**

United States Parole Commission
Salaries and Expenses

For necessary expenses of the United States Parole Commission as authorized, [[$13,308,000]] *[$13,547,000]*. (Department of Justice Appropriations Act, 2015.)

**Analysis of Appropriations Language**

No substantive changes proposed.
IV. Program Activity Justification

A. United States Parole Commission

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<th>United States Parole Commission</th>
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<th>Amount</th>
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<tr>
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<td>Adjustments to Base and Technical Adjustments</td>
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<td>2016 Request</td>
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<tr>
<td><strong>Total Change 2015-2016</strong></td>
<td></td>
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1. Program Description

The USPC continues to collaborate with CSOSA to develop new performance measures that will identify the effectiveness of the Parole Commission’s strategy to reduce recidivism.

In its effort to reduce recidivism, the Parole Commission has developed graduated sanctions to address non-compliant behavior thereby reducing the number of low-risk, non-violent offenders returning to prison. The flow chart below displays the process the Parole Commission follows after it receives a violation report and determines the best approach for a particular offender:

One major goal of the Parole Commission is to issue warrants for those that willfully violate the conditions of their release and for those with the most egregious behavior, typically tied to violence, child abuse, sex offenses, etc. This approach will keep our communities safe while also returning the more productive, low-risk offenders back to the community in a timely and cost efficient manner. The long-term goals and outcomes USPC plans to track include:
– the percentage of low-risk, non-violent cases that are provided drug treatment, quick hits, and warnings instead of incarceration,
– the percentage of offenders with low-level violations offered reduced sentences without a hearing, and
– the percentage of warrants approved and issued for offenders violating their conditions of release while under USPC supervision in the community.

For low-risk non-violent offenders, USPC's implementation of an “Alternatives to Re-Incarceration” agenda emphasizes the development of strategies, to decrease prison overcrowding by reducing the number of low-level, non-violent offenders revoked to re-incarceration. USPC’s efforts parallel the Attorney General’s Smart on Crime Initiative by incorporating a fundamental principle founded in “not locking our way out of addressing low-level, non-violent offenders.” Currently, we have six strategic processes occurring throughout the Commission to aide in our recidivism reduction efforts.

**Reprimand Sanction Hearings:**
Implemented in 2006, Reprimand Sanction Hearings are specialized hearings designed with the intent to reduce parole revocation hearings, reduce offender re-incarceration risk levels for offenders who have shown a pattern of noncompliance, and to improve offender compliance with release conditions. The hearing are conducted in person by the Chairman of the USPC, select members of the Commission and CSOSA with the offender. Suggestions for improving compliance are given to the offender to improve their chance of remaining on supervised release. The intent of the hearings are to limit the number of offenders the USPC revokes supervision. Revocation of supervision results in the offender being returned to prison. Hearings are scheduled once a week, the first week of the month, with approximately 5 offenders per meeting. Since 2006, USPC has held 719 hearings. We continue to see significant reductions in positive drug test results and technical violation patterns among the offenders who have participated in this intervention.

**Mental Health Docket:** USPC created the Mental Health Sanctions Hearing Docket in early 2012, to identify the needs of the offenders with Mental Health diagnosis, provide greater collaboration with stakeholders in the acquisition of effective services, and increase the treatment engagement of program participants. This subset of offenders is one of the most challenging populations within the realm of Community Corrections, because of their irrational, anti-social thoughts and behaviors, oftentimes as a result of failed or absent medication management. To date, the USPC has held 325 hearings, with approximately 59 warrants issued for continued non-compliance.

**Notice to Appear (NTA):** In an effort to reduce hardship on offenders and their families by allowing the offender to remain in the community until revocation proceedings commence, USPC implemented Notice to Appear Hearings. These efforts resulted in a reduction in overall time in custody for the revocation process. To date, the USPC approved 159 hearings, with 108 violators continuing on supervision, 51 violators revoked.

Throughout this process, there has been a decrease in warrants for non-violent offenders, decreases in the number of non-violent offenders being re-incarcerated for minor violations, and decreases in the number of days violators are housed in the Department of Corrections (DOC) custody. Ultimately, there’s a reduction in prison overcrowding which inevitably equates to significant costs savings. The average wait time is 65 days for an offender to have a hearing and allowing these offenders to remain in the community while those hearings are pending results in
a substantial savings to The Department of Corrections. It costs approximately $129 a day to house an inmate at the DC Jail. At that rate, USPC saved the DOC approximately $427,635 for the average time period of 65 days of incarcerating 51 revoked offenders during the revocation process.

**Residential Substance Abuse Treatment Program (RSAT) and Secure Residential Treatment Program (SRTP):** RSAT and SRTP were implemented in 2009 to deliver substance abuse treatment in a correctional facility setting as an alternative for offenders who would otherwise face revocation for low-level violations related to drug addiction and community reintegration failures. Operating out of the DC Department of Corrections, the RSAT program has a capacity of 75 beds for males, 25 beds for women, and a program length of up to 120 days with 30 days community based inpatient or outpatient treatment. The SRTP supports a capacity of 32 beds for males and a program length of 180 days, with 90 days of transitional living, followed by 54 sessions of outpatient treatment.

Since 2009, approximately 923 offenders have served in the RSAT program with approximately 792 successfully completing the program.

The SRTP program served approximately 453 offenders with about 280 offender’s successfully completing the program.

**Short-Term Intervention of Success (SIS):** In 2011 the SIS program was implemented to reduce recidivism by applying immediate short-term incarceration sanctions to administrative violators of supervision that demonstrate a commitment to modify their non-compliant behavior. To date, 986 offenders were approved to enter the SIS program and 49 offenders were denied entry. During this time 233 warrants were issued for offenders and the USPC subsequently revoked SIS program entry.
2. Performance and Resource Tables

<table>
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<tr>
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<td>**Alternatives to Re-</td>
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Decision Unit: United States Parole Commission

Strategic Goal: Strategic objective 3.4 – Reform and strengthen America’s criminal justice system by targeting only the most serious offenses for federal prosecution, expanding the use of diversion programs, and aiding inmates in re-entering society.
### PERFORMANCE MEASURE TABLE

**Decision Unit:** United States Parole Commission

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</tr>
</tbody>
</table>

* Includes terminations, transfer treaty cases, parole hearings, reprimand sanction hearings, pre-hearing assessments

** The USPC has added Alternatives to the Re-Incarceration performance measure. This measure includes Reprimand Sanction hearings. Mental Health Docket, Residential Substance Abuse Program (RSAT) and Secure Residential Treatment Program (SRPT)
PERFORMANCE MEASURE TABLE – PROPOSED

<table>
<thead>
<tr>
<th>Decision Unit: U.S. Parole Commission</th>
</tr>
</thead>
<tbody>
<tr>
<td>% of offenders with low-level violations eligible for reduced sentences without a hearing.</td>
</tr>
<tr>
<td><strong>Outcome</strong></td>
</tr>
</tbody>
</table>

*The USPC is working to establish baselines for these measures and will report for FY 2015 in the FY 2017 President’s Budget.*
2. Performance, Resources, and Strategies

The USPC contributes to the Department’s Strategic Goal 3: Ensure and Support the Fair, Impartial, Efficient, and Transparent Administration of Justice at the Federal, State, Local, Tribal, and International Levels. Within this Goal, USPC’s resources specifically address one of the Department’s Strategic Objectives: 3.4 – provide for the safe, secure, humane, and cost-effective confinement of detainees awaiting trial and/or sentencing, and those in the custody of the federal prison system.

On August 12, 2013, the Attorney General in a speech before the American Bar Association’s (ABA) House of Delegates, announced a modification of the Justice Department’s charging policies so that certain low-level, nonviolent drug offenders who have no ties to large-scale organizations, gangs, or cartels will no longer be charged with offenses that impose draconian mandatory minimum sentences. He noted that: “…by reserving the most severe penalties for serious, high-level, or violent drug traffickers, we can better promote public safety, deterrence, and rehabilitation – while making our expenditures smarter and more productive.”

The United States Parole Commission (USPC) is committed to providing alternatives to incarceration in an attempt to make low level, non-violent offenders, including drug offenders, more productive in our communities. Evidence from a number of state initiatives, such as those in Kentucky and Texas, has shown that investments in drug treatment for nonviolent offenders and other changes to parole policies cannot only reduce prison populations, saving taxpayers millions of dollars, but can also reduce recidivism rates. Spending our dollars wisely can result in a return on investment that we can all be proud of – declining rates of recidivism, safer communities, and more productive citizens.

The USPC has undertaken a number of initiatives that support the Administration’s position on lowering the rates of recidivism, including a number of alternatives to incarceration. These alternatives include increasing the numbers of offenders referred to the Secured Residential Treatment Program and Residential Substance Abuse Treatment Program in the District of Columbia. Other alternatives include expanding the Reprimand Sanction Hearings Program to increase the number of offenders referred to the USPC for violating the administrative conditions of their release. Frequent and early intervention by the USPC has improved the offender compliance in the community and reduced the need for re-incarceration. Also, the expansion of the mental health dockets will increase the treatment engagement of mentally ill offenders to reduce their risk in the community, and reduce the cost of incarceration.

The USPC has expanded its Short-Term Intervention for Success (SIS) program, which is designed to provide for shorter periods of imprisonment for technical violators in exchange for potentially longer periods of incarceration. The success of the pilot program suggests a decrease in the re-arrest rates for those participating and has ultimately reduced overall prison costs. The USPC approves approximately 318 offenders per year to participate in the SIS program.

The Attorney General, in his August 12, 2013 remarks to the ABA, noted: “Even though this country comprises just five percent of the world’s population, we incarcerate almost a quarter of the world’s prisoners,” adding that “…almost half of them are serving time for drug-related crimes, and many have substance use disorders.” Finally, the Attorney General commented that “…roughly 40 percent of former federal prisoners – and more than 60 percent of former state
prisoners – are rearrested or have their supervision revoked within three years after their release, at great cost to the American taxpayers and often for technical or minor violations of the terms of their release.”

As noted above, the USPC has developed programs to reduce recidivism, reduce prison overcrowding, reduce violent crime, and promote the public’s safety. It complements the Department’s efforts to reduce rates of recidivism among Federal and District of Columbia (D.C.) offenders and supports Departmental priorities, including:

- Reducing prison overcrowding as recently emphasized by the Attorney General:
  - Reduce escalating and crippling costs for the federal and D.C. governments to house offenders while waiting for delayed hearings and stays of release, as well as untimely incarceration decisions

- Lowering recidivism rates:
  - Greater emphasis on reentry strategies, such as substance abuse, mental health, housing, and employment
  - Measuring the effectiveness of the conditions imposed on offenders in the community
  - Establish graduated sanctions that permit the Parole Commission to address non-compliant behavior without returning the offender to prison

- Promoting alternatives to incarceration:
  - Identifying and implementing directives and/or special conditions to assist offenders in maintaining success under supervision
  - Developing and implementing a program to send offenders to treatment programs
  - Establish graduated sanctions that permit the Parole Commission to address non-compliant behavior without returning the offender to prison

- Reducing violent crime, especially crime perpetuated with guns or by gangs:
  - Significantly reduce delays in the issuance of warrants needed to apprehend violent offenders
  - Sharing information and collaborating with other federal, state, and local law enforcement partners

a. **Changes in Population and Workload**

In FY 2014, the Parole Commission’s total prisoner and parolee population, federal and D.C., including D.C. supervised releases, was 17,118. The D.C. population under the Parole Commission’s jurisdiction is 14,717, including 6,820 prisoners and 7,897 parolees and supervised releases. There was an overall 14% decrease of prisoners from the previous year. The remaining 2,401 individuals consist of federal offenders (including federal prisoners, parolees, transfer treaty, and military justice offenders) and state probationers and parolees in the Federal Witness
Protection Program. There was a slight decrease of 108 individuals from this small section of the population.

Much of the D.C. caseload is driven by the management and evaluation of the progress of offenders in the community; the tracking of those at risk; the imposition of additional sanctions or conditions to ensure public safety; and finally, requests for warrants as a result of violations of the terms and conditions of parole. When a warrant is issued, a request for a preliminary interview follows, and a hearing follows. The decrease in the population can be attributed to the overall decrease in criminal activity in DC. However, it is possible to not realize a decrease in workload due to the number of offenses still being generated by the remaining offenders.

Local revocation hearings are held at facilities in the locality where a parolee has been arrested, and they require much more work because the hearings are adversarial. An offender may contest the charges and is entitled to representation by an attorney, along with the ability to call witnesses. Additionally, these hearings are more costly to the Parole Commission, because they often involve travel to a remote location, where the examiner is only able to handle a particular case. In an institutional hearing, the parolee has admitted to the charges or been convicted of new criminal activity, and the issues to be heard involve the degree of responsibility and the length of additional incarceration. Institutional hearings are less costly, because the examiner can handle several cases during one docket. The Parole Commission has determined that local revocations are about 2-3 times as labor intensive as institutional hearings.
VII. EXHIBITS