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# INTENSIVE SUPERVISION PROGRAM EVALUATION



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YEAR TWO

INTENSIVE SUPERVISION PROGRAM EVALUATION  
YEAR TWO

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Deborah G. Wilson, Ph.D.  
Research Consultant

Judith L. Denton  
Research Specialist

Coleen E. Williams  
Research Analyst

Planning and Evaluation Branch  
Kentucky Corrections Cabinet

INTENSIVE SUPERVISION PROGRAM EVALUATION  
YEAR TWO

MARCH, 1987

COMMONWEALTH OF KENTUCKY CORRECTIONS CABINET  
Office of Administrative Services  
Planning & Evaluation Branch  
Fifth Floor, State Office Building  
Frankfort, Kentucky 40601  
502/564-4360

## EXECUTIVE SUMMARY

The Intensive Supervision Program was designed to provide enhanced public safety and an option to reincarceration for felons. It is simultaneously a mode of crime prevention and a means of addressing prison overcrowding. Under intensive supervision, caseloads are limited to 25 clients, and an enormous range of sanctions and controls are enforced. Probation and parole conditions govern the residence of the offender, inhibit movements, require regular reporting, forbid contact with certain persons or areas, forbid the use of alcoholic beverages and nonprescription drugs, and require participation in treatment programs. There is a 10:00 p.m. - 6:00 a.m. curfew seven days per week, and curfew checks are made in person and by telephone during these hours. A major emphasis of the Intensive Supervision Program is surveillance. An analysis of the second year of the program revealed the following:

1. The caseload of ISP increased 200 percent, to 1337 cases, during the second year period.
2. Even with the increased caseload, only 17 percent of the cases supervised during the program year resulted in failures. Fifteen percent of the cases resulted in reincarceration for a technical violation and two percent for a new felony conviction.
3. Probation cases had the highest success rate (91%).

4. The success/failure rate varied by district. The more populated, urban districts with proportionately more parole cases had lower success rates. The less populated, rural districts had higher success rates. This was especially true of those districts which were part of the program expansion during the second year.
5. The overall success rate for year two equaled that for year one. In both program years 17 percent of the cases resulted in failures. The number of cases supervised increased 200 percent while the failure rate did not increase.
6. The greatest percentage of cases under ISP supervision were parole (72%) cases. The greatest increase from year one to year two was in administrative movement cases (49% in 1985 to 51% in 1986).
7. The overall demographics of the ISP cases did not alter in the second program year. The clients were predominantly white, male, property offenders who were on the average, 29 years of age.
8. The one change noted in the characteristics of ISP clients was a decrease in the employment rate from 86 percent in 1985 to 65 percent in 1986.
9. The more populated, more urban ISP districts supervised proportionately more parolees directly placed on ISP and more probationers placed on ISP through administrative movement than the less populated, more rural ISP districts.

10. The Louisville District supervised the greatest proportion of violent offenders. The remaining districts supervised proportionately more property than other types of offenders.
11. Those districts with lower percentages of ISP administrative movement cases had higher rates of employment among ISP clients.
12. The total number of days on ISP varied by type of entry, type of case, type of outgoing action, and supervisory district.
13. In general, the ISP program continued to meet its program goals during its second year of implementation. It is a means of providing public safety and alternatives to incarceration that is not only programmatically successful but also results in substantial savings to the Commonwealth.

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## INTRODUCTION

The 1984 session of the Kentucky General Assembly funded a new community based program in response to: 1) the need for enhanced supervision of community based offenders, and 2) the rate of growth in the institutional population. The program, the Intensive Supervision Program (ISP), was designed to place selected offenders in the community who would otherwise be in prison and to provide for greater supervision of these offenders.

Historically, punishment has been equated solely with prison. This overlooks the fact that probation and other sanctions can be even more effective forms of punishment.

Construction and operating costs have forced public officials to reassess the long standing practice of incarceration. It is estimated that it will cost \$70,000 per bed to construct a new prison; in addition, operating costs currently average nearly \$12,000 per inmate per year. The Kentucky Legislature, working with a "no tax increase" budget, chose to fund the Intensive Supervision Program as a less expensive alternative without compromising security concerns.

Intensive Supervision creates an alternative to regular supervision for both direct placement and transfer of offenders. Under this program, offenders who require more surveillance than regular supervision have the option of community placement. Offenders under regular supervision who pose a risk under the less restrictive supervision are likewise provided an option in lieu of reincarceration.

For those who may believe that incarceration is the only just punishment, it is important to remember that probation and parole entail a loss of liberty. Under intensive supervision, an enormous range of sanctions and controls can be enforced. Probation and parole conditions govern the residence of the offender, inhibit movements, require regular reporting, forbid contact with certain persons or areas, forbid the use of alcohol, and require participation in treatment programs.

The Intensive Supervision Program permits the placement of offenders in the community under conditions which enhance public safety. Offenders in the Intensive Supervision Program are monitored closely. This minimizes their risk of committing another crime while in the community. The increased restrictiveness of the conditions of supervision also force the offender to adhere to standards of responsible prosocial behavior.

The primary difference between probation and parole services already available in the Commonwealth and the new program is smaller caseloads which will allow closer surveillance. Caseloads of regular officers range up to 126 depending on location and job responsibilities in addition to caseload management. Large caseloads do not permit close contact. The caseload of each Intensive Supervision Officer is limited to a total of 25.

The Intensive Supervision Officer has primary responsibility for the case and focuses on employment, continuing education, counseling, community resource

referrals, maintenance of court ordered fees, and special alcohol and drug treatment. A major emphasis of the program is surveillance and includes home visits on weekends and at night.

An important element of intensive supervision is a realistic appraisal of the offender's performance and a readiness to act if he fails to perform properly. Technical violations need not take the extreme of prison commitment. Rather, an alternative is to impose additional conditions, closer supervision, or placement in a residential facility. However, if alternatives to reincarceration are not deemed appropriate or, if alternatives to reincarceration are exhausted, offenders on intensive supervision are returned to the institution.

#### THE OBJECTIVES OF THE INTENSIVE SUPERVISION PROGRAM

- A. Increased protection of the community through closer surveillance of the offender.
- B. Provide the Courts with a viable alternative to incarceration.
- C. Substantial savings to the Commonwealth through more appropriate use of prison beds.
- D. Aid the clients in accepting their responsibilities to themselves, their families, and to the community in which they reside.
- E. Reduction of prison population.

## PROGRAM OVERVIEW

Clients are placed in the program through three different avenues: parole, probation, and administrative movement.

### Parole

A candidate for ISP parole is an individual who is within 12 months of parole eligibility and who has not been given a serve-out or deferment by the Parole Board. Maximum custody cases and individuals who have any outstanding statutory good time loss for serious incidents less than one year old will not be considered for ISP. Candidates must not have any out-of-state detainers and may not have a prior violent felony conviction within the last five (5) years (see specific details in Appendix A).

Candidates are first screened by an interdepartmental commission to see that they meet all the criteria outlined in the above document. The names of individuals who meet these criteria are sent to the Parole Board for further review. After review, the Parole Board determines whether to interview the candidate for possible acceptance into the Intensive Supervision Program. The Parole Board, at its own discretion, may also select any eligible individual not screened by the interdepartmental commission to be placed into the Intensive Supervision Program.

### Probation

A candidate for ISP Shock Probation is an individual who has been convicted and sentenced to an institution. The individual's background, as well as the ISP guidelines

for inclusion, (see Appendix A), are reviewed by the candidate's presentence investigating officer. If the offender meets these guidelines, the case is further reviewed by the District Supervisor, who submits a list of possible candidates to the Circuit Court for final determination. In addition, the Circuit Court, at its own discretion, may select any shock probationer and place the individual into ISP without prior referral by the District Supervisor.

#### Administrative Movement

Probationers and parolees under regular supervision may be transferred to the Intensive Supervision Program. Administrative movement of clients may be used as an alternative to revocation for technical or misdemeanor violations in an effort to prevent a return to prison. For probationers, the recommendation for transfer to ISP is presented to the Court during the revocation hearing. For parolees, the recommendation is made to the Administrative Law Judge during the preliminary revocation hearing.

If a client is wavering close to revocation or preliminary violation status, the supervising officer, after review by the District Supervisor, may transfer the case to Intensive Supervision as an alternative prior to the client being placed in revocation status. This intervention is done to enhance the public safety and to reduce reincarceration rates.

## Procedures

The conditions of ISP are presented to the client (Form CC-1046, Appendix B) for his signature. The ISP Officer makes sure that the new person entering ISP fully understands all ISP conditions. The conditions of ISP are the same regardless of how the individual enters the program. No client can stay in the Intensive Supervision Program longer than twelve months without the approval of the District Supervisor and Assistant Director of Probation and Parole. Because the Intensive Supervision caseload is limited to 25 clients, the officer can effectively maintain closer contact with the client. There are a minimum of two face-to-face contacts and two additional contacts required per week; one in the office, one in the home or at work, and one weekly employment verification. A minimum of two additional contacts in person will be made per month. In addition to the total of ten face-to-face contacts per month, the client must be at home during the hours of 10:00 p.m. to 6:00 a.m. daily. Curfew checks are made at random times by the Intensive Supervision Officer. (Other procedures, i.e., employment verification, law enforcement notification, local record checks, neighborhood watch, case reviews, special reports and travel permits are outlined in Appendix B.)

The first Intensive Supervision Program clients were received into the program in September, 1984. The program was expanded during the second year, September, 1985



INTENSIVE SUPERVISION  
PROGRAM EVALUATION



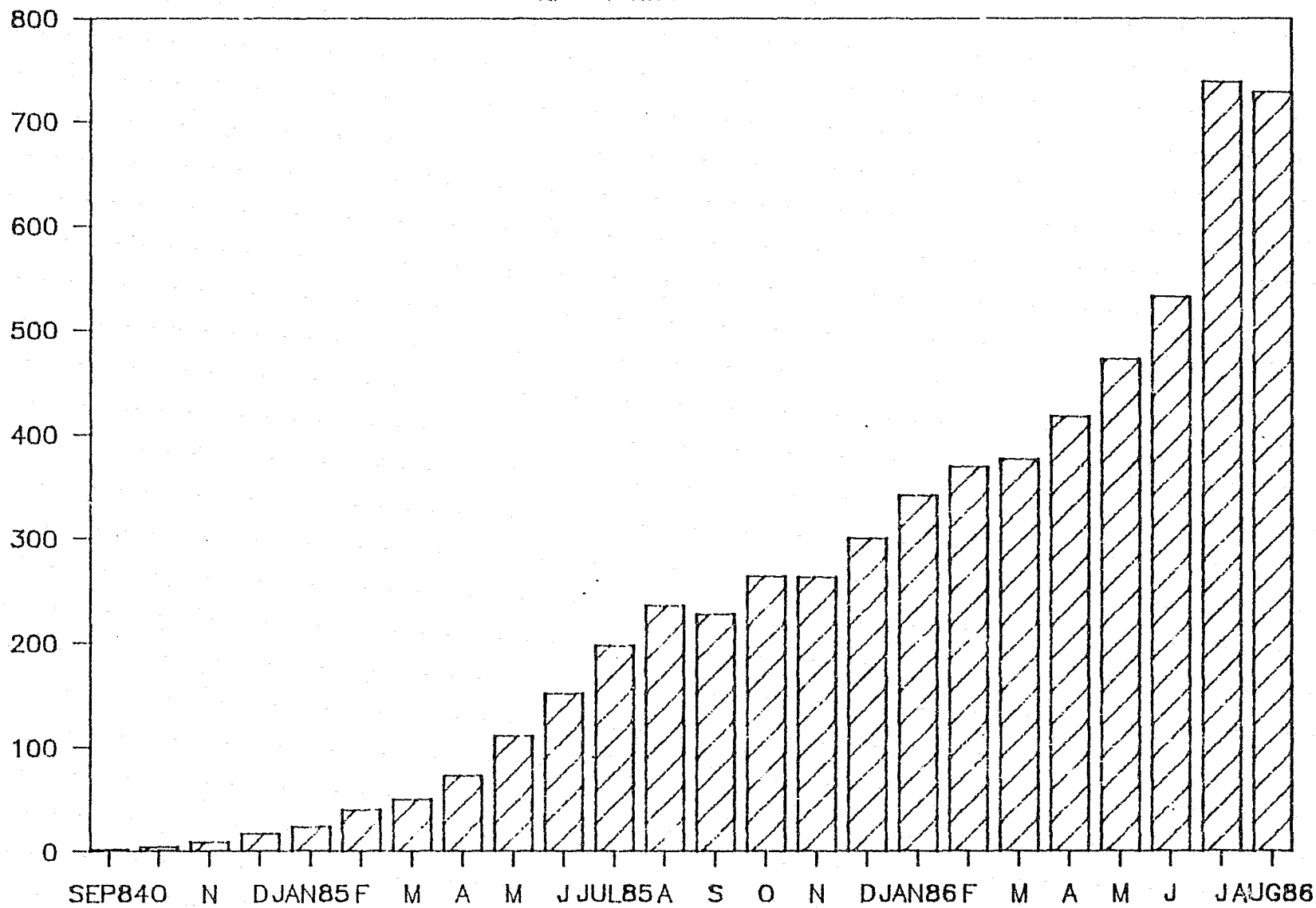
YEAR TWO

through August, 1986, to include 21 Intensive Supervision Program sites.

The total number of active cases in the Intensive Supervision Program increased from 400 the first year to 1337 in the second year of operation. For ease of discussion all incoming actions will be treated as cases not clients. The small number of second time clients will not significantly affect the statistical results in this report.

# ISP MONTHLY CASELOAD HISTORY

SEP 84 TIL AUG 86



ISP POP.

## GENERAL CASELOAD CHARACTERISTICS

The ISP cases included clients who were predominantly white (68%) and male (93%) with an average age of 29 years at the time of entry into ISP. The majority of clients (68%) were employed full or part time or in school at the time of entry into ISP. Overall, property crimes accounted for 49% of the offenses committed by incoming cases. The average length of time clients spent in ISP was 128 days.

TABLE 1  
CHARACTERISTICS OF CASES SUPERVISED  
September 1, 1985 to August 31, 1986

	<u>1986</u>
White	68%
Male	93%
Average Age	29
Average Number of Days in ISP	128

Of the 1337 cases on active supervision between September 1, 1985 and August 31, 1986, 959 (72%) were on ISP parole and 378 (28%) were on ISP probation. Approximately half (51%) of all cases entered as new cases and half (49%) as administrative movement cases. A new case is one in which the individual is paroled directly to ISP or probated to ISP as a part of shock probation. The administrative movement cases are those cases transferred to ISP due to technical violations, misdemeanor convictions or indications that the client has an increased tendency to commit a technical or criminal violation.

TABLE 2  
 TYPE OF SUPERVISION AND TYPE OF ENTRY  
 FOR CASES SUPERVISED  
 September 1, 1985 to August 30, 1986

<u>Type of Supervision</u>		<u>Type of Entry</u>	
Parole	72%	New Case	51%
Probation	<u>28%</u>	Administrative Movement	<u>49%</u>
	100%		100%

Comparison of Selected Characteristics  
 of Probationers and Parolees, Second Year

There were 959 cases on active parole supervision during the report period. Sixty-one percent of these were new cases and 39% were administrative movement cases. Of the 378 cases on probation, 28% were new cases and 72% were administrative movement cases.

TABLE 3  
 CASES ON ISP: TYPE OF ENTRY BY TYPE  
 OF SUPERVISION

<u>TYPE OF ENTRY</u>	<u>PAROLE</u>		<u>PROBATION</u>	
	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
New Case	583	61	105	28
Administrative Movement	<u>376</u>	<u>39</u>	<u>273</u>	<u>72</u>
TOTAL	959	100%	378	100%

The average ages at entry for parole and probation cases were 30 and 27, respectively. The younger age of those on probation is due to their greater probability of first offender status. The parole cases are more likely to involve repeat offenders and/or individuals who have served

time in institutions prior to being placed in ISP and, therefore, are older. The percentage of clients employed at time of entry to ISP was 68 percent. The percentage employed at time of entry was highest for parole cases directly placed on ISP (74%). The lowest rate was for administrative movement probation cases (57%). (Employment includes full and part-time employment as well as participation in educational programs.)

TABLE 4  
 PERCENTAGE OF CASES WITH CLIENT EMPLOYED  
 BY TYPE OF ENTRY FOR PROBATION AND PAROLE CASES

	<u>PAROLE</u>	<u>PROBATION</u>
New Cases	74%	69%
Administrative Movement	68%	57%

The higher rate of employment for parole cases is the result of the importance of this factor as a requirement for parole as well as an objective of the pre-parole release plan for inmates. The lower rates of employment for the administrative movement cases under both parole and probation supervision may be indicative of the importance of the factor in successful supervision. Additionally, the weight of employment as a criterion for administrative movement is not as critical as the weight of this criterion for direct placement.

The length of time spent on ISP for cases active during the second year varied by type of entry into the program and type of supervision.

TABLE 5  
 AVERAGE NUMBER OF DAYS IN ISP  
 BY TYPE OF ENTRY FOR PROBATION AND PAROLE SUPERVISION

<u>Type of Entry</u>	<u>Probation</u>	<u>Parole</u>
New Cases	193	134
Administrative Movement	108	118

The longest average length of stay was for cases resulting from a direct placement on ISP probation (193 days). Parole cases resulting from direct placement had the second longest length of stay on ISP (134 days) followed by parole cases resulting from administrative movements (118 days) and probation cases resulting from administrative movements (108 days).

The relatively longer stay for offenders directly placed on ISP is the result of a number of factors. Individuals who receive shock probation are by definition higher risk offenders than offenders probated directly to regular probation. They are, therefore, retained on ISP for longer periods of time. Parolees directly placed on ISP are, similarly, a greater "risk" population; and therefore, would remain on ISP for a relatively longer period of time. The longer stay on ISP for new probation cases relative to new parole cases may be the result of a judicial decision or the decision of the probation and parole officer. In either case, since these offenders are "high risk" and more likely to be under supervision for their first adult felony conviction, the need to sustain strict supervision to ensure successful adjustment may be

more necessary for the probationers. Additionally, the longer period of time may be used as an attempt to deter future crime given that the more restrictive supervision is more punitive. Parolees who are placed on ISP directly following their release have probably had prior experience under community supervision and may adjust more quickly to the conditions of supervision.

The administrative movement cases were retained on ISP for shorter periods of time. In the cases involving both probationers and parolees, the increased level of supervision results in either a relatively swift improvement of behavior or incarceration. Those offenders moved to ISP due to problems at the regular level of supervision should respond to the enhanced conditions and threat of incarceration should they fail on ISP within a short period of time if ISP has a positive impact. If not, they will quickly violate one of the enhanced conditions of ISP and be institutionalized.

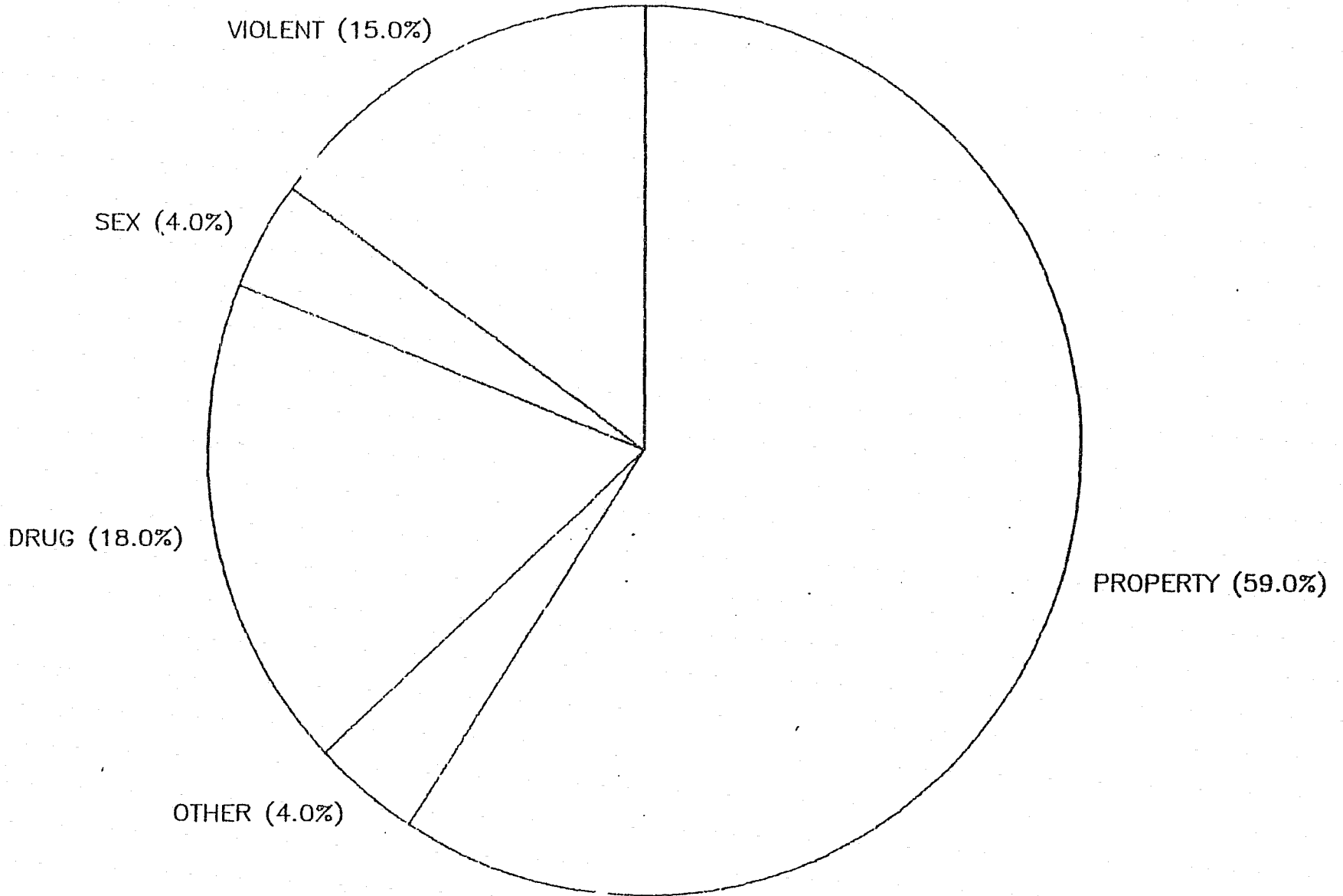
As would be expected, a higher proportion of probation cases involved property offenders, 59 percent, compared to 46 percent of the ISP parole cases which involved these offenders. Parole cases involved a higher percentage of violent offenders than those entering probation, 39% and 15% respectively. Convictions for violent offenses, especially the more severe types, generally carry sentences to be served in institutions. Consequently, violent offenders have a greater likelihood of institutionalization and parole. On the other hand, property offenders have a



greater likelihood of probation relative to violent offenders. They would then comprise a greater portion of the ISP probation population.

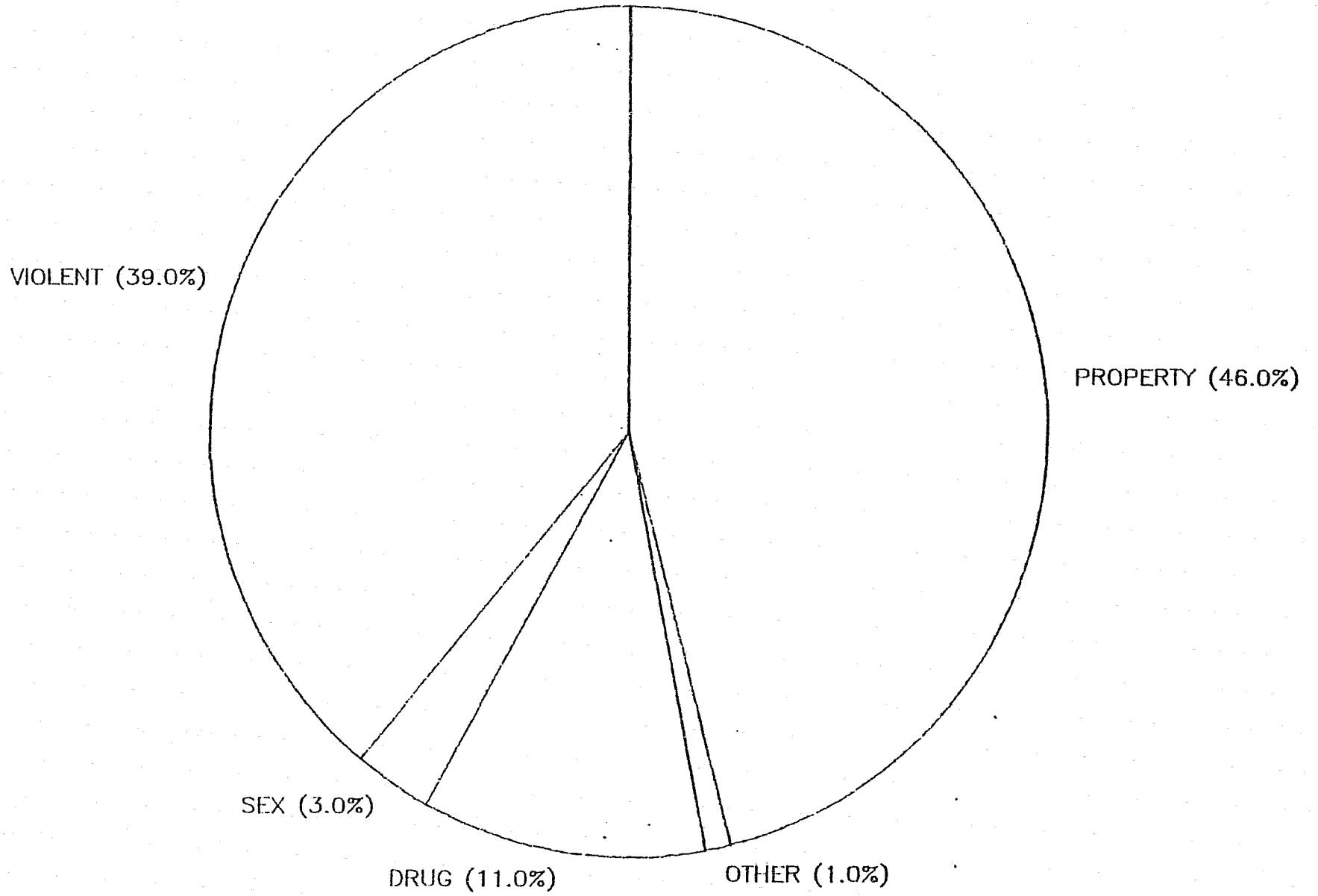
# TYPE OF CRIME COMMITTED

PROBATION ISP



# TYPE OF CRIME COMMITTED

PAROLE ISP



### Intensive Supervision Contacts

Increased surveillance of offenders' activities is one of the major features that distinguishes ISP from regular probation and parole supervision. The program requires a minimum of 10 contacts per month between officer and client as described in Appendix B. Intensive supervision officers have exceeded the required minimum number of contacts, averaging 10.9 contacts per month during the second year. This is a slight increase over the first year's average number of 10.6 contacts per client per month.

Supervision fees totalling \$8,813 were paid by clients. Restitution was made in the amount of \$7,293 and 218 hours of community services work were performed.

### Selected Characteristics of ISP Cases by Supervision District

The nature of ISP cases should vary across supervisory districts on a number of factors. The differences among districts are anticipated for a number of reasons, the most obvious being variations in the types of crimes and frequencies of crimes committed in the districts.

The percentage of the total ISP caseload by district is contained in Table 6.

# KENTUCKY

## PROBATION & PAROLE SUPERVISORY DISTRICTS and Intensive Supervision Program Sites

- 1st - Paducah
- 2nd - Hopkinsville
- 3rd - Bowling Green
- 4th - Louisville
- 5th - Elizabethtown
- 6th - Lawrenceburg
- 7th - Covington
- 8th - Mount Sterling
- 9th - Lexington
- 10th - Monticello
- 11th - Whitesburg

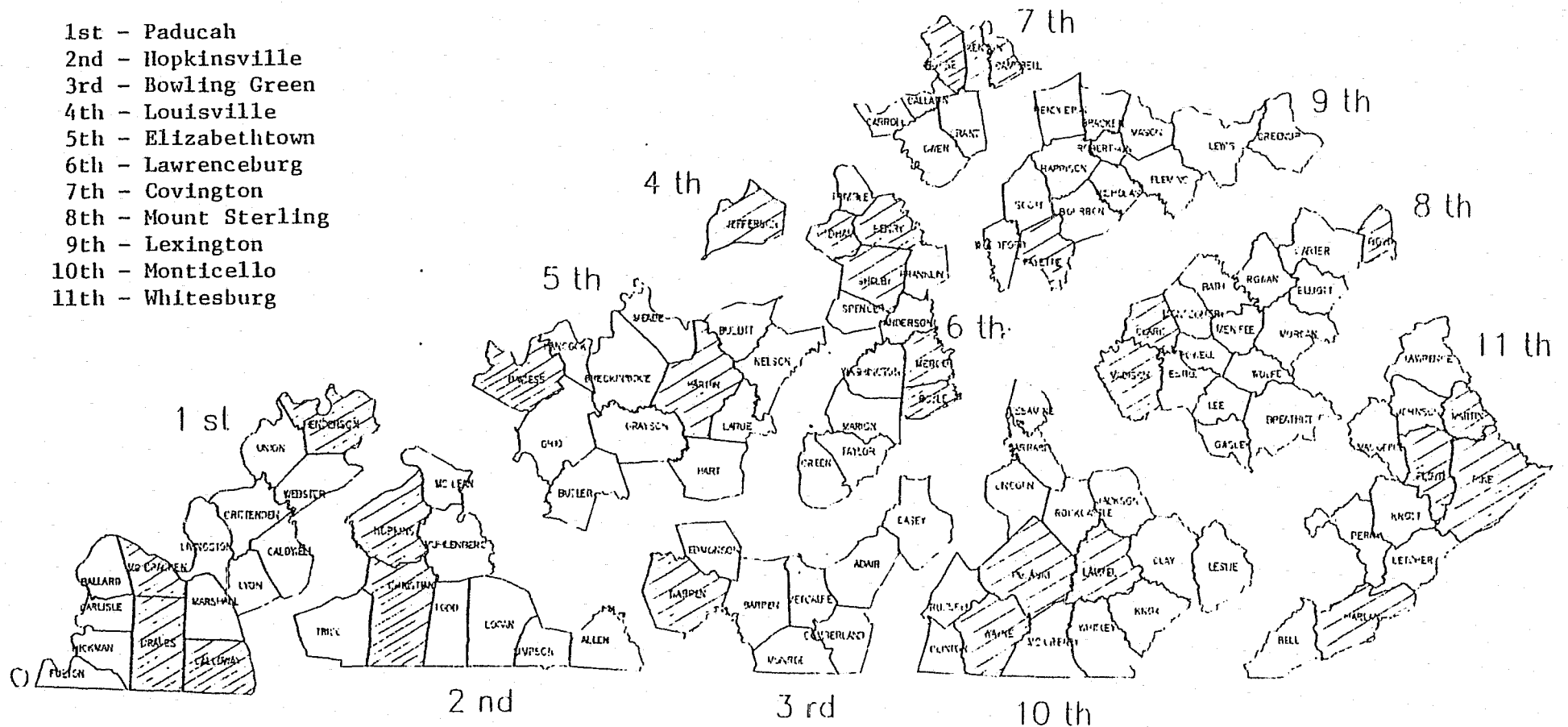


TABLE 6  
DISTRIBUTION OF ISP CASES BY DISTRICT

<u>District</u>	<u>N</u>	<u>%</u>
Louisville	382	29%
Lexington	220	16
Paducah	132	10
Newport/Covington	112	8
Mt. Sterling	96	7
Whitesburg	87	6
Elizabethtown	78	6
Hopkinsville	65	5
Lawrenceburg	62	5
Monticello	62	5
Bowling Green	<u>41</u>	<u>3</u>
TOTAL	1337	100%

Most of the ISP cases active during the second year of the program were cases within the Louisville district (29%). The four districts which constitute the most highly populated districts accounted for more than half (63%) of all ISP cases supervised during this year.

The percentage of parole or probation ISP cases supervised in each district is contained in Table 7.

TABLE 7  
TYPE OF SUPERVISION BY DISTRICT

<u>District</u>	<u>Parole</u>	<u>Probation</u>
Louisville	81%	19%
Lexington	89	11
Paducah	75	25
Mount Sterling	83	17
Whitesburg	53	47
Newport/Covington	78	22
Hopkinsville	52	48
Lawrenceburg	59	41
Monticello	52	48
Elizabethtown	43	57
Bowling Green	42	58

The percentage of parole cases ranged from 89 percent in Lexington to 42 percent in Bowling Green. The average percentage for all jurisdictions was 64 percent. The three districts, Louisville, Lexington and Newport/Covington, with the highest percentage of parole ISP cases are those districts with the highest crime rates and from which the greatest percentage of convicted and incarcerated felons originate.

Table 8 compares the percentage of administrative movement to new cases for each district.

TABLE 8  
TYPE OF CASE ENTRY BY SUPERVISORY DISTRICT

<u>District</u>	<u>New Case</u>	<u>Administrative Movement</u>
Louisville	68%	32%
Lexington	57	43
Paducah	42	58
Mount Sterling	39	61
Whitesburg	22	78
Newport/Covington	61	39
Hopkinsville	42	58
Lawrenceburg	26	74
Monticello	27	73
Elizabethtown	41	59
Bowling Green	39	61

The range of percentages of new cases was from 68 to 22 percent. Those districts with the highest percentage of new cases were Louisville (68%), Newport/Covington (61%) and Lexington (57%).

Table 9 contains a comparison of the new and administrative movement cases within the parole and probation supervision categories.



TABLE 9  
TYPE OF ENTRY TO ISP FOR PROBATION AND  
PAROLE CASES BY DISTRICT

<u>District</u>	<u>PAROLE</u>		<u>PROBATION</u>	
	<u>New Cases</u>	<u>Adm. Movement</u>	<u>New Cases</u>	<u>Adm. Movement</u>
Louisville	74%	26%	42%	58%
Lexington	60	40	33	67
Paducah	55	45	13	87
Mount Sterling	40	60	37	63
Whitesburg	36	64	5	95
Newport/Covington	74	26	24	76
Hopkinsville	41	59	45	56
Lawrenceburg	37	63	11	89
Monticello	45	55	7	93
Elizabethtown	60	40	27	73
Bowling Green	82	18	7	93

This table shows that 6 of the supervisory districts have proportionately more parole cases as a result of direct placement into ISP by the Parole Board rather than through administrative transfer. These same districts also receive proportionately fewer probation cases as a result of direct placement by a judge. Instead, the greatest percentage of probation cases in these districts is by administrative transfer. With the exception of the Elizabethtown and Bowling Green Districts, these districts are also those which contain the highest percentage of ISP parole cases (range = 89-75 percent).

The six districts with the highest percentage of new parole cases are those districts which contain the largest concentrations of the state's population. They also have the most frequent and most serious crime. Together, the counties within these six supervisory districts are the counties of conviction for 58 percent of the state's incarcerated felon population. Therefore, they would be more likely to have cases paroled to their districts and, consequently, paroled directly to ISP.

The variation in new versus administrative transfer cases is the product of several factors. Many of the districts with a high rate of administrative movement probation cases are those with a high rate of serious crime. The probationers in these districts may be relatively more serious offenders than the probationers in other districts. They may then be more likely to be transferred to ISP from regular supervision (Lexington, Paducah, Newport/Covington). The rate of administrative movement versus new cases in the districts may also be related to the relative proportion of all probation versus parole cases in that district. The more probation cases supervised in a district, the greater the opportunity to move cases from regular to intensive supervision.

Table 10 suggests that this may be a factor in some instances which accounts for the high rate of administrative movement probation cases in some districts.

TABLE 10  
 RANK ORDERING OF DISTRICTS FOR PERCENT  
 OF PROBATION CASES IN TOTAL CASELOAD AND  
 PERCENT OF ADMINISTRATIVE MOVEMENT CASES IN ISP

	<u>Percentage of Probation Cases in Total Caseload</u>		<u>Percentage of Administrative Movement Probation Cases on ISP</u>	
	<u>Rank</u>	<u>%</u>	<u>Rank</u>	<u>%</u>
Louisville	6	58	9	52
Lexington	9	44	7	67
Paducah	7*	57	4	87
Mount Sterling	8	54	8	63
Whitesburg	5	59	1	95
Newport/Covington	4*	61	5	76
Hopkinsville	7*	57	10	55
Lawrenceburg	1	67	3	89
Monticello	3	65	2*	93
Elizabethtown	2	66	6	73
Bowling Green	4*	61	2*	93

\*These districts tied for the rank.

While there is not a direct correlation, the top six districts in the rank order for percentage of probation cases on district caseload (Whitesburg, Lawrenceburg, Mt. Sterling, Hopkinsville, Monticello, Paducah) are also the top 6 districts in the rank order of percentage of ISP probation cases placed by administrative movement.

The dominant type of crime among ISP offenders also varied across the districts. Using the categories of violent, property, sex, drug and other to classify the most

serious charge of conviction for offenders on ISP supervision, Louisville was the only district with proportionately more violent offenders (47%). The remaining districts all had property offenders as the largest category of offenders under ISP supervision.

TABLE 11  
OFFENDER CATEGORY WITH THE GREATEST  
PROPORTION OF OFFENDERS BY DISTRICT

<u>District</u>	<u>Offender Type</u>	<u>%</u>
Louisville	Violent	47%
Lexington	Property	46
Paducah	Property	55
Mt. Sterling	Property	60
Whitesburg	Property	45
Newport/Covington	Property	48
Hopkinsville	Property	64
Lawrenceburg	Property	65
Monticello	Property	64
Elizabethtown	Property	60
Bowling Green	Property	58

The percentage of offenders employed at time of entry into ISP was compared across districts. Table 12 contains these figures.

TABLE 12  
 PERCENTAGE OF OFFENDERS EMPLOYED AT  
 TIME OF ENTRY TO ISP BY DISTRICT

<u>District</u>	<u>Percent Employed</u>
Louisville	84%
Lexington	60
Paducah	64
Newport/Covington	70
Mt. Sterling	71
Whitesburg	47
Elizabethtown	73
Hopkinsville	49
Lawrenceburg	60
Monticello	53
Bowling Green	<u>63</u>
TOTAL	68%

The employment rate by district varies from 84 to 47 percent. This measure of employment includes both full and part-time employment at the time of placement on ISP and could be related to a number of factors: community employment opportunities, the priority placed on employment by the District Supervisor and the district's ISP officers, as well as the proportion of cases placed on ISP by administrative movement.

The relationship between administrative movement and employment at time of placement can be indirectly assessed by comparing the percentage of cases placed by

administrative movement to the employment rate for each district. If administrative movement is affecting the employment rate, those districts with high employment should have low administrative movement rates and those with low employment rates, high administrative movement rates. Table 13 contains this comparison.

TABLE 13  
EMPLOYMENT AND ADMINISTRATIVE  
MOVEMENT PERCENTAGES BY DISTRICT

<u>District</u>	<u>Percent Employed</u>	<u>Percent Administrative Movement</u>
Louisville	84%	32%
Lexington	60	43
Paducah	64	58
Newport/Covington	70	39
Mt. Sterling	71	61
Whitesburg	47	78
Elizabethtown	73	59
Hopkinsville	49	58
Lawrenceburg	60	74
Monticello	53	73
Bowling Green	<u>63</u>	<u>61</u>
TOTAL	68%	58%

This table reflects a trend which suggests a relationship between the rate of administrative movement cases and employment rates for cases within each district. With some exceptions, those districts with employment rates

above the average of 68% across all districts are those with a percentage of administrative movement cases below the statewide average of 58 percent. The exceptions to this trend may then be explained by the community employment opportunities and priority placed on employment by the Supervisor and/or officers within the district.

The total number of days spent on ISP varied by district. Table 14 contains the average number of days spent on ISP for cases active during the second year of the program.

TABLE 14  
AVERAGE NUMBER OF DAYS ON  
ISP BY DISTRICT

<u>District</u>	<u>Days on ISP</u>
Louisville	152
Lexington	131
Paducah	91
Newport/Covington	160
Mt. Sterling	91
Whitesburg	66
Elizabethtown	172
Hopkinsville	91
Lawrenceburg	98
Monticello	117
Bowling Green	<u>176</u>
TOTAL	128

The average number of days on ISP ranged from 176 to 91 days. The data from an earlier section of this report

shows a relationship between type of entry, type of supervision and days spent on ISP. Table 15 contains this information for each district.

TABLE 15  
 AVERAGE NUMBER OF DAYS ON ISP  
 BY TYPE OF SUPERVISION AND TYPE OF  
 ENTRY FOR EACH DISTRICT

<u>District</u>	<u>PAROLE</u>		<u>PROBATION</u>	
	<u>New Cases</u>	<u>Adm. Movement</u>	<u>New Cases</u>	<u>Adm. Movement</u>
Louisville	160	132	174	128
Lexington	111	145	182	179
Paducah	79	108	33	152
Newport/Covington	150	159	151	241
Mt. Sterling	98	92	117	56
Whitesburg	93	58	90	59
Elizabethtown	144	220	244	103
Hopkinsville	100	74	119	81
Lawrenceburg	148	74	124	90
Monticello	112	109	57*	129
Bowling Green	<u>171</u>	<u>195</u>	<u>305*</u>	<u>147</u>
TOTAL	134	118	193	108

\*Average days were based on fewer than 5 cases.

This table reflects some interesting trends across districts. Generally, the probation cases were on ISP for longer periods of time than the parole cases. New probation cases were those with the greatest number of days on ISP. The range of days on ISP for each category exhibit



a great deal of variation across districts. This could be related to a number of factors: risk level of offenders, discretion of the District Supervisor and ISP officers, the failure or success rate for each district and/or the distribution of incoming cases across the evaluation year.

While it would be impossible to establish the causes of this variation, some indirect evidence to support these various contributors can be developed. For example, Louisville has an average number of days on ISP which exceeds the statewide average for all categories with the exception of two probation cases. Louisville also has the greatest proportion of violent offenders on ISP.

A number of the districts with average numbers of days on ISP which are shorter than the statewide average are those districts which were part of the second year program expansion (Mt. Sterling, Whitesburg, Hopkinsville, Lawrenceburg, Monticello).

The average days spent on ISP may also be related to the number of cases with outgoing actions during the evaluation year and the type of outgoing actions for these cases. Overall, 600 cases resulted in some type of outgoing action related to supervision. For those cases with an outgoing action, the average number of days on ISP were as follows:

Transfer to Regular Supervision	173 days
Discharge on Expiration of Sentence	158 days
Removed due to Technical Violation	144 days
Removed due to New Conviction	191 days

The numbers of cases with these outgoing actions within a district may impact the number of days on ISP for that district. Table 16 contains the percentage of outgoing cases for each category by district.

TABLE 16  
TYPE OF OUTGOING ACTION BY DISTRICT

	<u>Transfer to Regular</u>	<u>Discharge/ Expiration</u>	<u>Technical Violation</u>	<u>New Conviction</u>	<u>Total N</u>
Louisville	54%	1%	41%	4%	205
Lexington	56	2	34	8	125
Paducah	83	4	13	-	54
Newport/Covington	56	4	34	6	73
Mt. Sterling	56	--	41	3	32
Whitesburg	69	19	12	--	16
Elizabethtown	59	10	21	10	29
Hopkinsville	75	--	15	10	20
Lawrenceburg	13	13	74	--	8
Monticello	45	28	27	--	11
Bowling Green	70	4	4	22	27

Once again, a trend can be identified. Those districts such as Bowling Green, Elizabethtown and Lexington have a higher proportion of new convictions among their outgoing actions. They are also districts with average days on ISP which are greater than the statewide average. The greater length of stay on ISP may be a product of the longer period of time cases resulting in new convictions stay on ISP. However, this trend is not evident for the percentage of

outgoing cases in the other three categories. If type of outgoing action has an impact, it would appear to be primarily through the length of time cases which result in new crimes remain on ISP.

The districts also varied in the rates of success/failure among ISP cases. Success is measured in three ways: successful reduction to a less restrictive level of supervision, successful release due to discharge from parole or expiration of probation and successful maintenance in the program. Failure is measured in two ways: removal due to a technical violation and removal due to a new conviction.

Table 17 and 18 contain the success/failure rates for each district.

TABLE 17  
DETAILED SUCCESS/FAILURE BY DISTRICT

<u>District</u>	<u>Success</u>			<u>Failure</u>	
	<u>Successful Reduction</u>	<u>Successful Release</u>	<u>Successful Maintenance</u>	<u>Technical Violation</u>	<u>New Conviction</u>
Louisville	29%	5%	40%	22%	2%
Lexington	32%	1%	43%	20%	4%
Paducah	34%	15%	46%	5%	—
Newport/ Covington	37%	3%	33%	23%	4%
Mt. Sterling	19%	—	66%	14%	1%
Whitesburg	13%	3%	82%	2%	—
Elizabethtown	22%	4%	62%	8%	4%
Hopkinsville	23%	—	69%	5%	3%
Lawrenceburg	2%	2%	86%	10%	—
Monticello	8%	5%	82%	5%	—
Bowling Green	46%	2%	35%	2%	15%

TABLE 18  
SUMMARIZED SUCCESS/FAILURE RATES BY DISTRICT

<u>District</u>	<u>Success</u>	<u>Failure</u>
Louisville	76%	24%
Lexington	76%	24%
Paducah	95%	5%
Newport/Covington	73%	27%
Mt. Sterling	85%	15%
Whitesburg	98%	2%
Elizabethtown	88%	12%
Hopkinsville	92%	8%
Lawrenceburg	90%	10%
Monticello	95%	5%
Bowling Green	83%	17%

As with a number of factors discussed earlier, the success/failure rates exhibit a great deal of variation across districts. Covington (27%), Louisville and Lexington had the highest failure rates (24%) and Whitesburg, Paducah and Monticello the lowest failure rates (2%, 5% and 5% respectively). The relatively higher failure rate of the Covington, Louisville and Lexington districts is probably a result of the high rate of serious crime in these areas. The very low rate of districts such as Lawrenceburg, Whitesburg and Monticello may be due to their status as part of the program expansion during the second year. The greatest part of their successful cases are maintenance. This suggests that they have not supervised a full caseload long enough for cases to be

transferred to regular supervision or for the cases to result in failure. During the third year of the program, these districts will probably reflect failure rates more similar to those of other districts.

COMPARISON OF SELECTED PROGRAM CHARACTERISTICS  
YEAR 1 AND YEAR 2

In any program, certain differences between the initial start-up year and the years following may be evident. This section compares the first year of the Intensive Supervision Program (September 1, 1984 - August 31, 1985) to the second year of the program (September 1, 1985 - August 31, 1986). This comparison utilizes all ISP cases from the first year (N=400) and all new incoming cases during the second program year (N=1145). Only the cases with new incoming actions in the second year are analyzed to avoid a duplication of the 192 cases which came in during the first year and so are part of the total of 400 for that year, but were carried over into the second year.

Table 19 contains a comparison of the type of supervision and type of entry for both program years.

TABLE 19  
COMPARISON OF TYPE OF CASE AND TYPE  
OF ENTRY FOR INCOMING CASES IN PROGRAM  
YEARS 1 AND 2

<u>Type of Case</u>	<u>1985</u> (N=400)		<u>1986</u> (N=1145)	
	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
Probation	84	21%	321	18%
Parole	316	79%	824	82%
<u>Type of Entry</u>				
New Case	256	64%	559	49%
Administrative Movement	144	36%	586	51%

The relative proportion of probation and parole cases remained constant from year 1 to year 2. In 1985, 79 percent of the incoming cases were parole cases. In 1986, 82 percent of the incoming cases were parole cases. As explained in the report for year 1, the greater percentage of parole cases is to be expected. The parole population is a more dangerous, higher risk population than the probation population. Therefore, there is a greater need and justification for the higher levels of supervision provided by ISP for the parole cases.

During the second year of the program, Table 19 reflects a trend toward a proportionate increase in cases entering ISP as the result of an administrative movement. During the first year of the program, 36 percent of the cases entered as administrative movement cases. During the second year, 51 percent of the cases resulted from administrative transfers. When interpreting these percentages, the fact that new cases doubled in absolute numbers during the second year (256 to 559) must be kept in mind. The Parole Board and Judges directly placed twice as many individuals on ISP during the second year of the program than was the case for the first year.

The proportionate increase in administrative movement cases is the result of two major factors. First, as the number of available ISP positions increased as the program was expanded during the second year, probation and parole officers had an increased ability to transfer clients to ISP rather than reincarcerating these clients. Secondly,

probation and parole officers had more immediate access to these expanded positions than Judges or the Parole Board and so were able to take more immediate advantage of the expansions in the program. These factors are consistent with the public safety and reduction of institutional overcrowding goals of the Intensive Supervision Programs.

Table 20 compares the type of program entry for each type of supervision across the two evaluation years.

TABLE 20  
COMPARISON OF TYPE OF ENTRY FOR EACH  
TYPE OF SUPERVISION  
YEAR 1 TO YEAR 2

Type of Entry	<u>1985</u>				<u>1986</u>			
	Probation		Parole		Probation		Parole	
	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
New Case	49	58%	207	66%	73	23%	486	59%
Administrative Movement	<u>35</u>	42%	<u>109</u>	34%	<u>248</u>	77%	<u>338</u>	41%
TOTAL	84		316		321		824	

Table 20 shows that the greatest contribution to the proportionate increase in cases entering by administrative movement is within the probation cases. The percentage of probation cases which entered ISP as new cases decreased from 58 to 23 percent. The percentage of probation cases entering ISP as administrative movements increased from 42 to 77 percent.

This trend is, in part, a reflection of program start-up and program expansion factors. During the initial



start-up of the ISP program, the number of ISP positions became available on a gradual basis. Use of ISP for parolees was higher given the higher risk parolees pose to the community. The total number of ISP probationers during the first year is very small. These percentages, therefore, are based on absolute numbers which may not be representative of the trends in years after the start-up year of the program.

The second year program numbers for probationers and the percentages based on these numbers are more reflective of program trends which will continue in the future. Parolees constitute a greater initial risk to the community and are, therefore, more likely to be directly placed on ISP. Probationers, by virtue of their release to probation, are lower risk, less serious offenders and are less likely to be placed on ISP. When probationers show evidence of an inability to meet the conditions of regular supervision, their status as less serious offenders results in a greater tendency to use ISP rather than to incarcerate these offenders. Therefore, the percentage of administrative transfers among probationers is much higher (77 percent) than that for parolees (41 percent).

The greater percentage of probationers transferred to ISP from regular supervision during the second year is also a simple arithmetic product. The small numbers of probationers directly placed on ISP tends to make the numbers of transfers proportionately larger.

Few differences were found in the demographic characteristics of individuals involved in incoming cases over the two year period of the program. During the first year of the program, the incoming cases involved predominately white (62%) males (91%) who were on the average, 29 years old. Given the second year, the incoming cases also involved mostly white (70%) males (93%) who were 29 years old.

The first year report did not contain data on the most serious crime of conviction for the offenders placed on ISP. However, the distribution for the most serious crime of conviction for incoming cases during the second program year shows that most individuals placed on ISP had been convicted of a property crime -- 50 percent. The second largest group of offenders had a violent conviction as their most serious current conviction -- 32 percent. This was followed by drug convictions, 12 percent; sex offense convictions, 4 percent; and other conviction, 2 percent.

The violent offenders were more likely to be parolees (88 percent). Both ISP probationers and parolees were predominately property offenders (probationers -- 59% property offenders, parolees -- 46%). The greater percentage of violent offenders who were parolees reflects the tendency to incarcerate rather than probate violent offenders. The prominence of property offenders within both the parole and probation status is a result of the higher rate of incidence of the commission of property offenses.

A final factor to consider is a first and second year comparison in the rate of employment of individuals involved in ISP cases. During the first program year, 86 percent of the incoming cases to ISP involved an individual who was employed upon entry to the program. (This includes full and part-time employment as well as enrollment in school programs.) During the second year this percentage dropped to 65 percent.

This reduction of the proportionate number of cases involving individuals who were employed at the time of entry to ISP is significant. It may be due to the increased number of administrative movement cases as discussed in the district comparison. It may also be due to the inherent factors involved in the start-up of any new program. The first year employment figure may reflect the inherent conservatism present in selecting clients for program involvement in the first year of any program. The literature on factors related to successful completion under regular parole and probation supervision repeatedly identifies employment as a significant factor. During the first year of this program, as is true of any program, placement is more selective and more conservative. Therefore, ISP placements may have been more likely to be those individuals who were employed and were, therefore, viewed as posing relatively less risk than those who were unemployed.

During the second year of the program as placement agents have greater confidence in the program, the

selection of individuals for placement may be based on less stringent criteria and the relative weight of employment may be reduced.

#### OUTCOME MEASURES FOR PROGRAM

The goals of any form of community program are multiple: public safety, crime prevention, reintegration of the offender into the community, punishment, and rehabilitation. Attainment of these goals can be assessed by a number of measurable criteria. The measurable success criteria for Intensive Supervision are:

1. Successful Release from Supervision

Offenders were supervised for a period of time during the evaluation period and were released from intensive supervision during this period as a result of discharge from parole or expiration of sentence.

2. Successful Reduction of Supervision Level

Offenders were supervised at the intensive level of supervision for some period of time during the evaluation year. They were then transferred to regular supervision status during this time period due to their acceptable behavior under the intensive program.

3. Successful Maintenance

Offenders were supervised for some period of time during the evaluation period without serious violations of the conditions of supervision that initiated revocation proceedings.

Criteria 1 and 2 are the highest levels of success. In these two instances, the level of intensive supervision met its goal of community supervision in the most complete fashion. Criterion 3 represents success at an intermediate level. The offenders were supervised without serious violations of their supervisory status but have not moved from this level of status during the evaluation year.

The failure criteria for the Intensive Supervision Program are:

1. Failure Due to Technical Violation

Offenders were removed from the Intensive Supervision Program and reincarcerated due to a violation of some condition of their supervision.

2. Failure Due to New Convictions

Offenders were removed from the Intensive Supervision Program and reincarcerated due to conviction of a crime while on intensive supervision.

Failure of criterion 2 is the most serious failure to meet program goals. Criterion 1, though less serious in nature, is nonetheless a program failure.

TABLE 21  
 DISTRIBUTION OF TYPES OF SUCCESSES  
 AND FAILURES FOR INTENSIVE SUPERVISION CASES  
 September 1, 1985 to August 31, 1986

<u>Success</u>		
	<u>N</u>	<u>%</u>
Successful Release	21	2%
Successful Reduction	348	26%
Successful Maintenance	<u>724</u>	<u>55%</u>
Total Success	1093	83%
 <u>Failure</u>		
	<u>N</u>	<u>%</u>
Technical Violation	191	15%
New Conviction	<u>34</u>	<u>2%</u>
Total Failure	225	17%
TOTAL CASES	1318	100%

NOTE: In this table and those that follow in this section, the total number of cases will not equal the base of 1337. This is due to two factors: 1) missing outgoing program action data on 10 cases, 2) outgoing actions which would not reflect success or failure, i.e., death, removal by court order in 9 cases.

Table 21 contains the success/failure measures. Based on the 1318 cases under supervision during the evaluation year, the overall success rate was 83%. The greatest percentage of "successful" cases were those maintained under intensive supervision for some period of time during the evaluation year without serious violations of the

supervision (55%). An additional 26 percent of all cases resulted in success because the level of supervision was reduced to a lower level. The final successes, 2 percent, involved cases in which the period of supervision was successfully terminated while the offender was under intensive supervision.

The small number of cases which terminated supervision while at intensive status is to be expected given the inherent goals of this program. Supervision at the intensive level should be only one phase of the offender's time on parole or probation. Movement from intensive to regular supervision prior to release from the program should be the norm. Offenders can then show positive adjustment to the community while under less restrictive conditions of supervision which are similar to life prior to community supervision.

The percentage of cases resulting in either successful reduction of level of supervision (26%) or successful maintenance while under intensive supervision (55%) are indicative of the impact of the increased level of supervision on prosocial behavior. The individuals involved in these cases exhibited either enough prosocial behavior to be supervised at a less restrictive level or enough prosocial behavior to avoid reincarceration. The enhanced conditions of intensive supervision provided an option for high risk inmates to be supervised in the community. The overall success rate of 83 percent is evidence of the effectiveness of this program.

The 26 percent of these cases which resulted in a reduction of the level of supervision (intensive to regular) also suggests that offenders are not being unduly retained on intensive supervision. Instead, it suggests that a good number are in fact being transferred to regular status when their level of risk diminishes.

The 17 percent failure rate is low given the numbers of conditions imposed on offenders under intensive supervision and the level of risk of these clients. The rate of failure due to technical violations (15%) is reasonable given the number of conditions imposed under their level of supervision. In fact, given the number of restrictive conditions, it could have been predicted to be higher. The low rate of extreme failure (2%) is indicative of the success of this program. Only 2 percent of the cases involving the high risk offenders in this program resulted in criminal activity while under supervision.

The success or failure rate may be affected by two program variables: 1) type of supervision - probation or parole and 2) type of entry into the program - new cases (direct placement into the program by an agent or agency external to the Corrections Cabinet, i.e., Parole Board, Judge) or administrative movement (placement into the program at the discretion of agents within the Department of Community Services.)



Outcome by Offender Status

TABLE 22  
 SUCCESS AND FAILURE RATES BY TYPE  
 OF SUPERVISION FOR CASES ACTIVE  
 September 1, 1985 to August 31, 1986

	<u>Type of Supervision</u>			
	<u>Parole</u>		<u>Probation</u>	
<u>SUCCESS</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
Successful Release	15	2%	6	2%
Successful Reduction	256	27%	92	25%
Successful Maintenance	<u>488</u>	<u>51%</u>	<u>236</u>	<u>64%</u>
Total Success	759	80%	334	91%
 <u>FAILURE</u>				
Technical Violation	167	18%	24	6%
New Conviction	<u>23</u>	<u>2%</u>	<u>11</u>	<u>3%</u>
Total Failure	190	20%	35	9%
TOTAL CASES	949	100%	369	100%

Table 22 compares the success/failure rates of probation and parole cases. Overall, the success rates for both forms of supervision are high, 80 percent for parole and 91 percent for probation. The higher success rates for probationers are predictable. Offenders placed on probation are generally less serious, lower risk offenders than those who are incarcerated and eventually paroled.

The higher rate of failure for parolees (20% versus 9% for probationers) is accounted for by the higher rate of technical violations among parolees. Parolees are more likely to be more serious, repeat offenders. They are more likely to have a history of community adjustment problems and problems living within social parameters. Therefore, the likelihood of their revocation due to a technical violation is greater than that for probationers. Overall, the program within both probation and parole can be deemed a success given the high success rates.

The success or failure of offenders under intensive supervision varies by type of entry into the program: new cases versus administrative transfer. The new cases are those cases which were placed in the Intensive Supervision Program by an agent or agency external to the Cabinet, i.e., Parole Board, Judge. The administrative movement cases are those cases transferred to intensive supervision at the determination of Cabinet personnel. These cases involve offenders moved from regular to the intensive level of supervision. Table 23 contains a comparison of the success/failure rates by type of entry into intensive supervision.

Cases which entered as new cases and those which were the result of an administrative movement exhibit comparable success rates (New Cases - 84%, Administrative Movement - 82%). The most apparent difference seems to be in the type of success criteria. More cases resulted in a reduction to regular supervision when the form of entry was a new case

TABLE 23  
 SUCCESS AND FAILURE RATES BY  
 TYPE OF PROGRAM ENTRY FOR CASES ACTIVE  
 September 1, 1985 to August 31, 1986

	<u>Type of Entry</u>			
	<u>New Case</u>		<u>Administrative Movement</u>	
<u>SUCCESS</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
Successful Release	4	1%	17	3%
Successful Reduction	231	34%	122	19%
Successful Maintenance	<u>332</u>	<u>49%</u>	<u>387</u>	<u>60%</u>
Total Success	567	84%	526	82%
 <u>FAILURE</u>				
Technical Violation	97	14%	94	15%
New Conviction	<u>14</u>	<u>2%</u>	<u>20</u>	<u>3%</u>
Total Failure	111	16%	114	18%
TOTAL CASES	678	100%	640	100%

(34%) than those cases which were upgraded to intensive due to an administrative decision (19%). This, however, is expected. New cases are placed on intensive supervision at the onset of an individual's parole or probationary period. Those offenders transferred from regular to intensive supervision were transferred because they exhibited some indication of difficulties under regular supervision that meant they posed a risk of violation of the conditions of probation. Therefore, fewer of these

offenders are likely to be returned to regular supervision during a year than the new cases offenders. Administrative movement cases are more likely to be retained in the successful maintenance category.

When the failures are categorized, it would appear that the rate of failure is not related to the type of entry. Cases resulting from both types of entry were more likely to fail due to a technical violation (New Cases - 14%, Administrative Movement - 15%) than a new conviction (New Cases - 2%, Administrative Movement - 3%).

The types of failures and the types of successes for the two modes of entry into supervision suggest that the increased level of supervision is being applied in an effective fashion and has an impact on offender behavior. Those who enter as an administrative movement are not more likely to commit a new crime or technical violation. They are, however, less likely to be returned to regular supervision as it should be since they have already shown signs of pending failure at the regular level.

Outcome for Type of Supervision  
By Type of Program Entry

To further assess the success/failure rates of the intensive supervision program, the success/failure rates for each type of entry for parole status were compared to those for probation status. Table 24 contains the results.

This table suggests that the status of the offender (probationer, parolee) and the inherent differences between offenders in these types of cases is more related to

success or failure than whether the case resulted from a direct placement into the program or a move from regular to intensive supervision. New parole cases had a success rate of 83% and administrative movement parole cases had a success rate of 76%. Both new cases and administrative movement probation cases had a success rate of approximately 90 percent.

TABLE 24  
 TYPE OF SUCCESS/FAILURE BY  
 TYPE OF CASE WITHIN SUPERVISION  
 STATUS FOR CASES ACTIVE  
 September 1, 1985 to August 31, 1986

	<u>Parole</u>				<u>Probation</u>			
	<u>New Cases</u>		<u>Adm. Movement</u>		<u>New Cases</u>		<u>Adm. Movement</u>	
<u>SUCCESS</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
Successful Release	3	0.5%	12	3%	0	-	6	2%
Successful Reduction	182	32%	74	20%	45	46%	47	18%
Successful Maintenance	<u>289</u>	<u>50%</u>	<u>196</u>	<u>53%</u>	<u>44</u>	<u>45%</u>	<u>185</u>	<u>70%</u>
Total Successes	474	83%	282	76%	89	91%	238	90%
<u>FAILURES</u>								
Technical Violations	91	16%	76	20%	5	5%	19	7%
New Convictions	<u>10</u>	<u>2%</u>	<u>13</u>	<u>4%</u>	<u>4</u>	<u>4%</u>	<u>7</u>	<u>3%</u>
Total Failures	101	18%	89	24%	9	9%	26	10%
TOTAL CASES	575	100%	371	100%	98	100%	264	100%

Within the probation and parole cases, the earlier tendency for a higher rate of successful return for new cases, especially for probationers is also evident. However, these data suggest that the difference in percentage of cases successfully maintained and percentage of cases successfully reduced is due more to the type of status, probation or parole, than type of entry. Similarly, the higher failure rate of parolees is due to their status and their rate of technical violation as a parolee rather than whether they were paroled directly into the program or transferred by administrative decision.

The conclusions that can be drawn from these findings are multiple.

1. Overall, the rate of success for this program greatly exceeds the rate of failure.
2. The failures are primarily among parolees who commit technical violations.
3. Whether the case resulted from a direct placement or an administrative movement is less determinant of success than whether the individual was placed on parole or probation.
4. The data also suggest that the Parole Board, Judges, and community service personnel are equally accurate in their predictions of the offenders who are most likely to be successful in this program.
5. It would appear that the probation and parole officers are extremely effective in this placement

and monitoring of the parolees who reach intensive supervision through administrative movement. The parolees moved from regular to intensive supervision are the highest risk offenders. Their incarceration is a reflection of their inability to be placed initially on community supervision. Their movement from regular to intensive supervision is an added risk factor. Comparable success/failure rates for parolees in the two entry categories is the strongest evidence for the utility of this program.

The variation in rates is then not due to who or what agency is making the determination for placement but in the risk level associated with parolees versus probationers. The program has been successful in achieving its goal of reintegration of high risk offenders into the community while still meeting the need for public safety. Additionally, this program shows evidence that it is a viable alternative to incarceration. When cases result in failure it is due to a violation of the conditions of parole rather than a new conviction.

#### OUTCOME COMPARISON: YEAR 1 TO YEAR 2

The program outcomes for year 1 are compared to year 2 in Table 25.

TABLE 25  
 SUCCESS/FAILURE COMPARED, YEAR 1 TO YEAR 2  
 FOR INCOMING CASES DURING PROGRAM YEAR

<u>Success</u>	<u>1985</u>		<u>1986</u>	
	<u>N</u>	<u>%</u>	<u>N</u>	<u>%</u>
Successful Reduction	97	24%	348	26%
Successful Release	1	--*	21	2%
Successful Maintenance	<u>234</u>	<u>59%</u>	<u>724</u>	<u>55%</u>
TOTAL	332	83%	1093	83%
 <u>Failure</u>				
Technical Violation	65	16%	191	15%
New Conviction	<u>3</u>	<u>1%</u>	<u>34</u>	<u>2%</u>
TOTAL	68	17%	225	17%
TOTAL CASES	400		1318	

\*Less than .50%

Table 25 shows that the overall success rate for ISP during the second year of the program is equivalent to that of the first year. Even the distribution for types of successes and failures is comparable. This is an unexpected finding. The usual expectation is that the number of program failures during the second year will increase. This finding means that the quality of identification and supervision of clients has been retained in the second year even with the accompanying program expansion which increased the numbers of clients supervised by more than 200 percent.



## IMPLICATIONS AND CONCLUSIONS

During the second year of the Intensive Supervision Program, the high quality of supervision instituted during the start-up year was maintained. This quality was sustained even with a 200 percent increase in ISP caseload and an expansion of ISP to additional supervisory districts. During the second year the major changes found in comparison to year one were an increase in the number of administrative movement cases and a decrease in the rate of employment among ISP clients.

The Intensive Supervision Program has two major goals: 1) public safety through enhanced supervision of high risk offenders and 2) an alternative to reincarceration for offenders who violate some condition of regular supervision. The large number of cases supervised during the second year (1337) and the corresponding small number of new felony convictions for offenders on ISP (34) is evidence that ISP is providing public safety. The large number of administrative movement cases (549) are evidence of the viability of ISP as an alternative to revocation and reincarceration for offenders who violate conditions of regular parole supervision.

The attainment of these two goals results in a number of benefits to the Commonwealth. One of these benefits is cost-effectiveness which translates into a savings in tax dollars. Some of this savings is direct, that is, savings resulting from the lesser costs of community supervision in

comparison to the costs of incarceration. Other cost savings are indirect but nonetheless worth consideration. For example, clients on ISP are able to work in the community. This saves tax dollars that might otherwise be spent on public support for their families if they were incarcerated. These clients as workers also contribute to the tax base of their communities rather than detracting from the Commonwealth's general fund. Clients on ISP may also engage in community service work and may make restitution payments. Both of these activities are productive activities that benefit the community economically. If these offenders were incarcerated, these benefits would not be forthcoming. While it is impossible to calculate the total monetary value of these indirect cost savings, they are benefits provided by this program at very little cost to the Commonwealth.

The direct costs of the Intensive Supervision Program to the Commonwealth were initially projected to be approximately \$3.66 per client per day once the average daily client caseload reaches maximum capacity over an annual period. This maximum capacity caseload will be reached in fiscal year 1988. The projected costs for the program during FY 88 are \$3.72 per client per day. This should be the case at the end of the third program year. Over the last two years, as the program has been gradually expanded and increasing numbers of clients served daily, the "economy of scale" has resulted in a decreased per diem cost for clients served each year.

During the first year of the program, the direct cost was \$446,700. (This does not include items such as electricity, gas, water and janitorial services, but these items did not significantly impact the cost of the program.) During this first year the average monthly caseload supervised grew from an average of 8 to 244 clients. The average daily population was 130 clients. This factors to a cost per day per client of \$9.41. During the same time period, the average daily cost to incarcerate an inmate was \$29.39 per day.

During the second program year, currently under evaluation, the daily client caseload grew from 243 on September 6, 1985 to 779 on August 29, 1986. The average daily client population was 383 and the total expenditures for ISP amounted to \$890,227. Therefore, as the program grew, the average cost per day per client decreased to \$6.37. During the same time period, the average daily cost to incarcerate an inmate grew to approximately \$32.00 per day.

A conservative method to calculate the cost savings of ISP is to base the calculations exclusively on felons placed on ISP in lieu of revocation and reincarceration (administrative movement cases). Three hundred seventy-six (376) parolees were placed on ISP by administrative movement. The average stay was 118 days. This is 44,368 supervisory days. This cost the Commonwealth \$282,624.16 (44,368 x \$6.37). Had these parolees been reincarcerated

for an average of 118 days the cost would have been \$1,419,776.00 (44,368 x \$32.00). In addition to the parolees, 273 probationers were transferred to ISP in lieu of incarceration. They served an average of 108 days on ISP. This is 29,484 supervisory days. This cost \$187,813.08 (29,484 x \$6.37). Had these offenders been reincarcerated for an average of 108 days the cost would have been \$943,488.00 (29,484 x \$32.00).

All totaled, the administrative movement cases were supervised at a cost of \$470,437.24. Had these offenders been reincarcerated the cost would have been \$2,363,264.00. The Intensive Supervision Program through the supervision of administrative movement cases alone, based on a conservative estimate saved the Commonwealth \$1,892,826.80.

It is difficult to precisely calculate the cost savings of any program such as ISP. As discussed earlier, indirect cost savings such as taxes paid cannot be calculated with any precision. Similarly, the costs saved through direct placement of parolees and probationers cannot be calculated. We simply do not know how long offenders would have remained in prison were ISP not available nor how many ISP probationers would have been incarcerated and for what period of time. We do know savings were produced in these two instances but have no basis to calculate these savings. Even the conservative calculation of \$1,892,826.80 is based on the assumption of only one option

-- reincarceration in a state facility. If the time spent in controlled intake by all or a portion of these offenders had been calculated into the formula, the savings would be less. On the other hand, had the savings been calculated in relation to Commonwealth's cost to construct a 549 bed facility, they would have been substantially more. Given these caveats, the conservatively estimated savings -- \$1,892,826.80 -- seems realistic. It is difficult to ignore this benefit and while no program in corrections should be judged exclusively on costs or savings, this cost effectiveness coupled with the high success rate of clients in the program is substantial evidence that the program is meeting its intended goals.

In the future, the cases directly placed on ISP should increase as judges become more familiar with the program. Similarly, the number of offenders paroled directly to the program should increase as the Parole Board takes increased advantage of this option.

The success of this program is due to a number of factors. Primary among these factors is the clear specification of program goals, a careful articulation of these goals into clear objectives, policies and procedures, and a careful monitoring of this program by community services management. Similarly, the commitment of field staff and field supervisory staff to the goals of this program account for its success.

During the third year the program will continue to be monitored and improved, if necessary. An identification of some characteristics which predict success or failure on ISP is planned as a means to assist field staff. Additionally, the greater detail of the second year program evaluation will be replicated in the third year report to allow for comparability in program status evaluation.

Intensive Supervision has proved to be a viable alternative within corrections. As the public's desire for enhanced safety and the need for alternatives to incarceration increase, ISP will increase in its value and utility as a correctional option.

APPENDIX

APPENDIX A  
INTENSIVE SUPERVISION PROGRAM - PAROLE  
ELIGIBILITY CRITERIA

The selection of participants for the Intensive Supervision Program will be made by the Kentucky Parole Board after the Corrections Cabinet's screening of those residents who meet the following criteria:

1. Candidate must be within 12 months of their parole eligibility date. Persons who have been given serve-outs or deferments by the Board are not eligible.
2. Maximum custody cases will not be considered for entry into the program.
3. Candidate cannot have any outstanding statutory good time loss for serious incidents less than one year old.
4. Candidate must not have any outstanding detainers in other states. However, candidates may have a felony or misdemeanor detainer in Kentucky, but local authorities will be notified by the Institutional Parole Officer prior to release on parole. Corrections staff will ascertain whether a detainer is for a felony or misdemeanor or merely an order for a court appearance.
5. Other than the present sentence, candidate must not have a prior felony conviction reflecting violence or violent tendencies within the last five years.



6. Candidate must remain in the Intensive Supervision Program for at least four months before consideration for moving to regular supervision. The only exception is for those who have reached their expiration of sentence. Those persons who have been assigned a longer period of intensive supervision by the Parole Board may not be transferred to regular supervision until the Parole Board requirement has been met.
7. Candidates serving sentences for the following offenses will not be considered for the Intensive Supervision Program:
  - a. Rape - any degree or Attempted Rape
  - b. Sodomy - any degree or Sexual Abuse I
  - c. Escape or Attempted Escape - within last five years
  - d. Robbery, First Degree
  - e. Assault, First Degree
  - f. Murder
  - g. Persistent Felony Offender I

#### CLASSIFICATION AND SELECTION PROCESS - PAROLE

1. All eligible inmates will be reviewed monthly for possible placement in the Intensive Supervision Program by an interdepartmental commission comprised of institutional and community service staff.
2. Once qualification for the Intensive Supervision Program has been established, the inmate is

recommended for advanced parole review by the Kentucky Parole Board.

3. The Parole Board has the option of placing regular, deferred, and parole violator cases into the program without prior screening by the interdepartmental commission.
4. If not granted parole, inmate will remain in present custody level and status.
5. If granted parole, inmate will be released through existing policies and procedures governing regular parolee's release to the community.

INTENSIVE SUPERVISION PROGRAM - PROBATION  
ELIGIBILITY CRITERIA

1. Candidate must not have any outstanding detainers.
2. The Intensive Supervision Program will accept any shock probation case that has been referred by the Circuit Court Judge provided they have a home in one of the site locations. Those who are shock probated to the program and have a residence in a county where the program is not available will be transferred for regular probation supervision. The Court should be notified during the shock probation hearing that the Intensive Supervision Program is not available in these particular cases.
3. Candidate must remain in the Intensive Supervision Program for at least four months before consideration for moving to regular supervision. The only exception is for those who have reached their expiration of sentence.

4. Candidate must have been formally sentenced to a period of incarceration by the Circuit Court in one of the Intensive Supervision Program site locations.
5. Persons formally sentenced but not in custody due to an appeal bond will not be considered for the program.

CLASSIFICATION AND SELECTION PROCESS - PROBATION

1. After conviction and sentence to incarceration, the Probation and Parole Officer who completed the pre-sentence investigation report will review the offender's background. If the offender meets established guidelines, the offender's name is submitted to the District Supervisor for consideration for the Intensive Supervision Program.
2. The District Supervisor will review each case and submit a list of eligible candidates to the Circuit Court for further consideration.
3. The Circuit Judge has the final and absolute authority in regard to shock probationing a candidate into the program.
4. The Circuit Court Judge, in any of the site locations, may place any shock probationer into the program without referral by the Probation and Parole Officer if caseloads permit.

NOTE: This is a pilot program with limited staff and resources. The District Supervisor has the responsibility for maintaining caseloads at 25 per officer. Referrals to the Court will depend on the availability of caseload openings, as will referrals from the Court.

ADMINISTRATIVE MOVEMENT OF CLIENTS  
CURRENTLY UNDER SUPERVISION

1. The Intensive Supervision Program may be used as an alternative to revocation for technical or misdemeanor violations. In the case of parolees, the officer will discuss his/her plans with the District Supervisor prior to the preliminary hearing. In the case of probationers, the Court may be advised of our recommendation at the hearing. If the regular probationer, shock probationer, or parolee is granted supervision under the Intensive Supervision Program, the case will be transferred to an Intensive Supervision Officer.
2. If a case is simply wavering close to revocation or preliminary violation status, the supervising officer, after review with the District Supervisor, may transfer the case to an Intensive Supervision Officer. The clients need not apply nor necessarily agree to placement in the Intensive Supervision Program. Any questionable case on the part of the Supervisor should be addressed to the Assistant Director of Probation and Parole.

APPENDIX B  
PROCEDURES

1. This level of supervision requires the following:
  - a. One office contact per week with client.
  - b. One home visit per week during the month. Of the home visits per month, two visits must be made during curfew hours. Of the two curfew home visits, one must be on a weekend.  
  
(curfew checks - 10:00 p.m. to 6:00 a.m.)
2. A minimum of two additional contacts per month will be required. This will include:
  - a. Home, community, or family contact.
  - b. Verification of attendance or participation in community agency programs (example, drug, alcohol, vocational, educational, and sex abuse).
3. Employment verification will be once per week either by check stub when the client reports, telephone or in person.
  - a. If client is unemployed, a list must be submitted to the officer on report day with places visited for employment, with the company name, telephone, and person contacted. The Probation and Parole Officer will randomly check this list for verification.
4. Law enforcement notification - A list of offenders placed under intensive supervision will be given to local law enforcement agencies in order to solicit their assistance and support in providing more thorough surveillance.

5. Local record check - The Probation and Parole Officer will make at least a weekly check of arrest records to ensure that the offender has been arrest free.
6. Neighborhood watch - The Probation and Parole Officer will attempt to identify one or more responsible individuals in the community where the offender lives and attempt to solicit their assistance in monitoring the parolee's activities.
7. Case reviews will be conducted continuously.
8. Special reports as needed on client progress will be forwarded to the Court or Parole Board.
9. In state transfers between intensive supervision sites may be considered; however, it must be approved by the District Supervisor.
10. Travel permits will not be considered during the first four months on intensive supervision unless conditions warrant such; then, it must be reviewed and approved or disapproved by the District Supervisor.
11. No client's placement in the Intensive Supervision Program shall exceed 12 months.

COMMONWEALTH OF KENTUCKY  
CORRECTIONS CABINET  
DEPARTMENT OF COMMUNITY SERVICES AND FACILITIES

APPLICATION FOR INTENSIVE SUPERVISION PROGRAM

Present Institution

I \_\_\_\_\_ volunteer for the Intensive Super-  
(Resident's Name) (Number)  
vision Program without any duress of the Corrections staff personnel.

I further understand that making application does not guarantee that I will be accepted into this program nor will I receive any response if I am not.

I understand that I must have a residence in one of locations listed below.

Home Placement

RULES:

- I My level of supervision will be intensive.  
(Two or more face-to-face contacts per week; one in office, one in my home or at work; and weekly verification of employment. I further understand that additional contacts will be made either on the weekends or in the evenings.)
- II I understand that I will be under a curfew and must be in my home during the hours of 10 p.m. to 6 a.m. seven days per week. I understand that curfew checks will be made during those hours by the Parole Officer either by telephone or in person.
- III I understand that instate transfers between intensive supervision sites may be considered; however, it must be approved by the District Supervisor.
- IV I understand that travel permits will not be considered during the first four months on intensive supervision, unless conditions determine such; then, it must be reviewed and approved or disapproved by the District Supervisor.
- V I understand that the Court, the Parole Board and the Corrections Cabinet have the authority to provide special conditions to which I must adhere.

I have read and understand the conditions of this program and agree to abide by its conditions.

Date \_\_\_\_\_

Resident's Signature \_\_\_\_\_

Witness \_\_\_\_\_

LOCATIONS:

Jefferson	Daviess	McCracken	Oldham	Harlan
Fayette	Warren	Henderson	Clark	Pike
Kenton	Calloway	Christian	Boyle	Boyd
Boone	Floyd	Hopkins	Pulaski	Shelby
Campbell	Madison	Hardin	Laurel	Harlan

COMMONWEALTH OF KENTUCKY  
CORRECTIONS CABINET  
DEPARTMENT OF COMMUNITY SERVICES AND FACILITIES

PAROLE { }  
PROBATION { }

CONDITIONS OF INTENSIVE SUPERVISION

The Court and/or Parole Board has granted your release. In order to remain in good standing with the Court and/or Corrections Cabinet, it is necessary that you abide by the following conditions:

1. I understand that I have been placed under intensive supervision of the Kentucky Corrections Cabinet and I agree to the following:
  - A. I will report regularly as directed by the Probation and Parole Officer.
  - B. My level of supervision is Intensive.  
(Two or more face-to-face contacts per week; one in office, one in my home or at work; and weekly verification of employment. A minimum of two additional contacts will be made either on the weekends or in the evenings per month.
  - C. I understand that I am under curfew and must be in my home during the hours of 10 p.m. to 6 a.m. seven days per week.  
I further understand that curfew checks will be made during those hours by the Probation and Parole Officer either by telephone or in person.
  - D. Instate transfers between intensive supervision sites may be considered; however, it must be approved by the District Supervisor.
  - E. My designated area of supervision is:  
County of Residence \_\_\_\_\_ Judicial District \_\_\_\_\_
  - F. Travel permits will not be considered during the first four months of intensive supervision, unless conditions determine such; then it must be reviewed and approved or disapproved by the District Supervisor.
  - G. I will not leave the designated area without the written permission of my Probation and Parole Officer.
2. I will permit my Probation and Parole Officer to visit my home and place of employment at any time.
  - A. I will work regularly and support my legal dependents. When unemployed, I will report this fact to my officer and make every attempt to obtain other employment.
  - B. I will discuss any change in home situation or marital status with my officer.
  - C. I will immediately report any change of home address or employment to my Probation and Parole Officer.
3. I understand that I am to avoid association with those persons who may contribute to my being involved in further criminal activity by not:  
( ) Associating with any convicted felon, visiting residents of penal institutions or associating with \_\_\_\_\_.
4. As a convicted felon, I am aware of the following restrictions and procedures for obtaining a final discharge and restoration of my civil rights.
  - A. I will not be permitted to purchase, own or have in my possession, a firearm or other weapon. Purchase or possession of a firearm by a person who has been convicted of a felony is a violation of the Federal Gun Control Act of 1968 and Kentucky Statutes.  
  
Dangerous instrument interpretation: Any instrument, article, or substance which under the circumstances in which it is used or threatened to be used is capable of causing death of serious physical injury. For example: A tire tool jack not normally a dangerous weapon becomes one when waved in a threatening manner.  
  
Deadly weapon-interpretation - Example: Any weapon, from which a shot readily capable of producing death of serious physical injury, may be discharged, or any knife other than an ordinary pocket knife, a billy, night stick, or club, blackjack, slapjack, nun chaku karate sticks, shuriken or death star or artificial knuckles made from metal, plastic, or similar hard material.
  - B. I have lost the right to vote and to hold public office and these rights can only be restored by the Governor of this Commonwealth. If I register or re-register prior to restoration of civil rights, I will be in violation of the law which provides a maximum penalty of five years in prison.



I am eligible to make application for civil rights upon receipt of my final discharge from the Parole Board or expiration of probation and if I am not under indictment. Restoration of my civil rights will not give me the right to purchase, own or possess a firearm.

- C. If my sentence is from 1 to 5 years, I am eligible to apply for a final discharge at the expiration of my sentence or 24 months, whichever is shorter, provided I maintain clear conduct from the date I was paroled.

If my sentence is greater than 5 years, up to and including a life sentence, I may apply for a final discharge after I have served one-half of the time remaining from my parole release date to my maximum expiration date, or ten years, whichever is shorter, provided I maintain clear conduct from the date I was paroled.

Applications to apply for a Final Discharge or Restoration of Civil Rights may be obtained from the local Probation and Parole Office or by writing the Department of Community Services and Facilities, 5th Floor, State Office Building, Frankfort, Kentucky 40601.

- D. I agree that I may be subject to a search and seizure if my Probation and Parole Officer has reasonable suspicion to believe that I may have illegal contraband on my person or property.
5. I understand that I am under the following restrictions regarding the use of alcohol:
- A. Refrain from the use of alcoholic beverages.
  - B. Avoid any place where alcoholic beverages are sold as a primary commodity.
6. The possession and/or use of any narcotic or controlled substance unless prescribed by a licensed physician is a violation of my release conditions.
7. I agree that the falsification of my Releasee's Report to the Probation and Parole Officer will constitute grounds for revocation of my release.
8. I agree not to enter into any contract to act as an "informant" or special agent for any law enforcement agency unless previously discussed with the law enforcement agent, the Court, and my Probation and Parole Officer.
9. I understand that I shall not violate any laws or ordinance of this state or any other state or of the United States.
10. I understand that I am obligated to pay restitution (or child support) in the amount of \$ \_\_\_\_\_.
- A. This is to be paid directly to: Name/or Court \_\_\_\_\_  
Address \_\_\_\_\_
11. The Court, the Parole Board and the Department of Community Services and Facilities have the authority to provide special conditions to which I must adhere.

I agree to abide by the following special conditions set out by the Court, the Parole Board or my Probation and Parole Officer.

A. Supervision Fee: Total Fee \$ \_\_\_\_\_ Per Month \$ \_\_\_\_\_ to be paid directly to the Circuit Court Clerk. A copy of the receipt is to be brought to the Probation and Parole Officer as record of payment and accounting purposes.

B. \_\_\_\_\_  
C. \_\_\_\_\_

12. I agree to refrain from harassing or threatening any Probation and Parole Officer by words or actions and further agree to cooperate fully with any Probation and Parole Officer in the carrying out of my supervision plans.

13. REMARKS: \_\_\_\_\_  
\_\_\_\_\_

I have read, or have had read to me, the above conditions of my release that I must observe while under intensive supervision. I fully understand and accept the above conditions and realize that any violation will be reported, and failure to abide by these conditions can be grounds for revocation of my release. I have been given a copy of these conditions.

Date \_\_\_\_\_ Client \_\_\_\_\_ # \_\_\_\_\_  
Date \_\_\_\_\_ Probation and Parole Officer \_\_\_\_\_