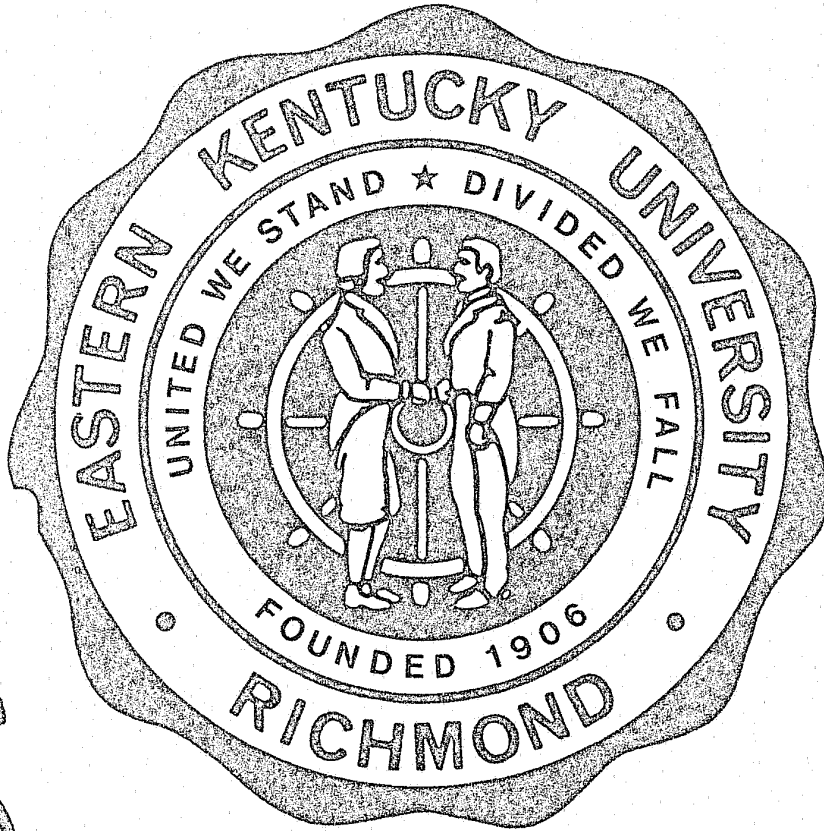


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FORWARD

Bruce I Wolford

ACQUISITIONS

Classification: Innovative Correctional Programs provides seven timely articles on correctional classification. The contributors to this publication are a mixture of practioners and researchers all with a sense for the need for application of correctional information. The articles in this publication were drawn from selected papers presented at the Fourth Annual Correctional Symposium (November, 1987). The theme of the Symposium was Casework and Classification. The annual event is held in Lexington, Kentucky, and is co-sponsored by the Federal Correctional Institution, Lexington, the Kentucky Corrections Cabinet and the Department of Correctional Services at Eastern Kentucky University.

The monograph opens and closes with articles by **Michael Forcier**, Deputy Director of Research for the Massachusetts Department of Corrections. The opening article provides a concise review of major historical trends in the development of correctional classification. This section also provides the reader with a clear delineation between the objective and subjective approaches to classification.

The concluding article by Forcier is a report on the Massachusetts Department of Corrections' Classification and Program Agreement (CAPA) System. CAPA is described as an effort to provide an equitable and open system with the capacity for a reliable population management tool. Along with a discussion of the evaluation of a classification system the article includes samples of a CAPA form and the Standard Movement Chronology in use in Massachusetts.

The assessment planning intervention model is the focus of the second article by **Carl B. Clements**. The author discusses the integration of the various trends in correctional classification. Measurement criteria for determining the adequacy of correctional assessment, planning, intervention and linkages are illustrated.

The contribution by **Robert H. Hoellein** and **Nancy H. Yauger** focuses on the needs of learning handicapped youthful offenders. The authors provide a thorough review of the correctional/special evaluation literature. The primary focus of the article is the psychoeducational assessment process used at George Junior Republic, a private non-profit facility for boys operated in Pennsylvania. The authors provide a variety of practical recommendations for the assessment of special needs populations in correctional settings.

A common sense twelve-step process for the development, implementing and revision of an objective classification system is presented in the fourth article. **Karen L. Whitlow** and **Robert A. Buchanan** review the efforts of various jurisdictions which have adopted an objective classification model. The authors provide an easily readable and practical guide for the development of a correctional classification system.

The developing case/unit management approach to classification and the delivery of services is examined in the fifth article. **William Carter Smith** reports on a study of the effect of case management on the social climate of a correctional institution. The author provides data based upon the administration of the Correctional Institution Environmental Scale.

A review of the direct supervision system in a large metropolitan detention center is included in the sixth article. **Sandra Denise Thacker** discusses the effect of direct supervision on the classification process. Key issues in both detention classification and supervision are identified.

About the Author:

Bruce Wolford is a Professor of Correctional Services at Eastern Kentucky University where he also directs the Training Resource Center. He is a coordinator of the Annual Correctional Symposium which provided the manuscripts for this publication. He is a past president of the Correctional Education Association and a member of the American Correctional Association Board of Governors.

Classification: Innovative Correctional Programs

Published by
Eastern Kentucky University Department of Correctional Services

A limited number of copies of a monograph from the Correctional Symposium: Casework and Classification are available to individuals, libraries and institutions. The publication includes articles on the development of the modern classification system, jail suicide prevention, prison adjustment of youthful mentally retarded prison inmates, reality therapy in probation and correctional counseling, executive management training and privatization in corrections.

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The Massachusetts Department of Corrections Classification and Program Agreements System	Michael W. Forcier

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The Development of the Modern Classification System

Michael W. Forcier

Abstract

This article provides a brief review of the historical background and development of the modern classification system. Subjective versus objective classification systems are compared and contrasted. The elements of an objective classification system are described and lessons from classification research are presented.

HISTORICAL BACKGROUND

The history of correctional classification has been marked by changes in philosophy, approach, and practice. The concept of classification itself can be traced to a significant turning point in correctional philosophy from the pre-19th century era which was characterized by a punitive orientation to the early 19th century which saw offenders as possessing the same inherent human dignity and potential as other individuals. The task for corrections was thus to correct those defects of offenders which resulted from improper socialization and which were seen as major etiological factors in criminal behavior. Corrections was to rehabilitate offenders by assisting them in redirecting their energies and capacities toward positive self-development and social adjustment.

Hippchen (1978) has identified three general periods of development which emerged from this new philosophy. The "segregation period" of the early 19th century was simply classification of prisoners on the basis of age, sex, severity of offense, and mental functioning. Prisoners were then sent to specialized institutions developed for rehabilitating these different types of offenders. The second period, that of "classification for diagnosis and treatment planning," arose in the early 20th century in partial response to the developing social and behavioral sciences. This period was evidenced by the first institutional classification clinics or committees, forerunners of the centralized reception and diagnostic centers which began to develop after World War II. The third period cited in the development of classification began in the 1950s and was evidenced by the trend of "classification for treatment" as exemplified by the emergence of individual and group therapy, therapeutic communities, treatment teams, evaluative research, and classification at the community level. To these might be added a fourth period which emerged in the wake of Martinson's (1974) proclamation that rehabilitation efforts have not been shown to reduce recidivism. This final period is characterized by a move away from classification for rehabilitation purposes toward "classification for security and custodial purposes."

Classification schemes have not been confined to the efforts of prison classification staff. Ever since Lombroso's

efforts in 1876 to distinguish types of criminals on the basis of physical characteristics, scholars have devoted considerable attention to the development of typologies of offenders. A review of the literature by Megaree and Bohn (1979) noted that there have been offender typologies based on physiology; the instant offense; repetitive crime patterns and criminal careers; social class, subcultures, and reference groups; psychological, psychiatric and psychoanalytic theories; and developmental theories. Among the more recent research on typologies of offenders was the research on varieties of criminal behavior by Chaiken and Chaiken (1982) that identified ten subgroups of offenders who committed specific combinations of crimes which were distinguishable in terms of crime commission rates, persistence in committing crimes, and personal characteristics.

Yet despite a literature replete with typologies of offenders, the utility and predictive validity of offender typologies has been called into question by some. For example, Gibbons (1975), who himself devoted considerable attention to developing offender typologies, has commented in assessing the field: "After two decades of work in this tradition, relatively little progress in typological directions can be discerned." Similarly, Megaree and Bohn (1979) have written: "Despite the proliferation of typologies, using a variety of approaches and data bases, there is no system currently available that meets the need for a broadly applicable, economical, reliable and valid classification system for adult offenders . . .".

Offender typologies have proven to be of particularly limited value in the correctional classification of inmates where other variables are as, if not more important than, the instant offense which resulted in incarceration. Thus sentence length, prior criminal and incarceration histories, institutional adjustment, and programmatic and security needs are usually considered in the classification process. In overcrowded prison systems, bed space availability is also a frequently noted consideration in classification.

SUBJECTIVE VERSUS OBJECTIVE CLASSIFICATION SYSTEMS

The limited utility of offender typologies for correctional practice has not obviated the need for classification systems. As was true of offender typologies, a number of different classification systems incorporating different criteria and variables have been developed. Generally, systems may be divided into two types: subjective or traditional systems versus objective or point-based systems. Within these broad types exist a variety of classificatory schemes.

Subjective systems have typically relied on the expertise and clinical judgments of individuals or teams in making security, custodial, and programmatic decisions on inmates. By contrast, objective systems usually assign points to inmates based on certain characteristics shown by research to be correlated with institutional adjustment which, when totaled, determine the level of security to which the inmate is assigned.

Austin (1983) has distinguished between objective models which are predictive-based versus those which are equity-based. Predictive models attempt to differentiate

inmates in relation to their potential for risk of escape, institutional adjustment, and future criminality on the basis of clinical, socioeconomic, and criminal characteristics which are ranked, scored, and applied to each inmate to obtain an appropriate security level. Austin notes that this approach meets the goal of equity since all inmates are classified according to explicit criteria. The predictive validity of the characteristics, however, needs to be established.

By contrast, equity-based models discourage the use of inmate characteristics for predictive purposes, relying instead in classification decision-making on a few explicitly defined legal variables such as current and previous criminal attributes to achieve the goal of equity in decision-making. Non-legal variables such as demographic characteristics tend not to be used since their predictive validity is questionable and their use raises legal issues. Austin notes that in practice both models use similar variables to classify inmates but different methods for doing so. Whereas predictive models use empirical validation methodologies to determine classification factor weights and cutting points, equity models use consensus-building processes among practitioners and classification experts. These consensus building processes may be as subjective as traditional classification approaches.

What are the Features of an Objective Classification System?

There is no uniformity in definition or criteria as to what constitutes an objective classification system and thus, a system described as objective by one person may be seen as subjective by another. As described by Buchanan et al., (1986), objective classification systems must have at least the following features:

- "uses test and classification instruments that have been validated for prison populations;
- contains the same components and scoring/classification approach for all offenders;
- arrives at decisions based only upon application of factors shown to be related to placement decisions;
- assigns offenders to security classifications consistent with their background;
- promotes similar decisions among individual classification analysts on comparable offender cases, while minimizing overrides;
- involves inmates and is readily understandable by both staff and offenders; and,
- is capable of systematic and efficient monitoring."

Objective classification systems are felt to perform more consistently and equitably than subjective systems in the three major functions of classification as described by Kane (1986):

- "Risk Assessment-based upon certain factors, the inmate level of risk of involvement in serious disciplinary problems and escapes is estimated.
- Assignment of the inmate to membership in a group characterized by a likelihood of involvement in misconduct commensurate with his or her own.

- Minimization of misconduct by managing each group with the security and custody restrictions deemed appropriate."

Objective classification systems are also felt to be more in line with the following principles which experts agree should govern the classification process (Gettinger, 1982):

- "No inmate should be placed in a higher security classification than his/her individual background warrants;
- Inmates should be informed of the reasons for their current classification and should be present at classification hearings;
- Classification decisions should be objective and consistent;
- 'Overrides' - placement of an inmate in a security classification other than the one they qualify for -- should be defined, limited and open to review; and,
- Reclassification should occur at regular intervals, and inmates should know what they need to do in order to qualify for a lower security classification."

The extent to which classification systems, subjective or objective, are consistent with the above principles is something that needs to be determined empirically.

Recent years have witnessed the increased adoption and development of objective classification systems by states in response to a number of factors. First, inmate litigation resulting in court rulings that traditional or subjective classification systems were based on unfounded assumptions regarding inmate behavior and criteria that were not uniformly applied. Therefore, states should implement objective systems (Gettinger, 1982). **Second, substantial evidence existed that subjective systems violated one of the cardinal rules of classification by "overclassifying" or, in other terms, unnecessarily placing many inmates in higher levels of security than required given the risks they posed.** For example, using three objective models (i.e., the Federal Bureau of Prisons, the National Institute of Corrections, and the California Department of Corrections), Austin (1983) was able to reclassify 53 to 57 percent of Nevada's admission population from maximum and medium to minimum security in contrast to the 16 percent rate historically produced by a subjective committee process. Third, pressured by overcrowding and fiscal constraints, many states have moved toward objective systems in the hope that the phenomenon of overclassification found with subjective systems, will allow them to classify to lower security and release sooner, those inmates who pose less risk. Fourth, empirical research indicates that statistical predictions out-perform intuitive or clinical predictions (S. Gottfredson, 1987). Finally, critics have contended, and there is some empirical evidence to support the view, that subjective classification decision-making processes are pre-determined or affected by the physical characteristics of the prison system itself. In other words, inmates are assigned to a particular security level based on available bed space rather than their characteristics or risks they pose. Austin (1983) found that to be the case in Nevada with a close fit between inmate classification decisions and

the type of cells constructed, leading him to state: "This relationship is not surprising since correctional officials would have little reason to assign inmates to cells which did not exist."

Objective or point-based systems, however, are not without their critics. First, classification officials may resist them because their role is changed from that of a therapist to that of a bookkeeper. Second, correction officers and others concerned with security often fear that point systems will result in too many inmates classified to minimum security. A few escapes from minimum security by inmates who need greater security could result in a backlash against point systems (Gettinger, 1982). Third, despite increasingly sophisticated statistical methodology for evaluating the validity of classification systems (see Gottfredson, 1977 and Brennan, 1987 for reviews), many of the new systems remain either unsystematic, untested, or based on little research (Bennett, 1986; Austin, 1983). Fourth, objective systems have also been criticized for classifying too many people as needing high security and making predictions of escape or violence which are too unreliable to justify restrictive placements (Gettinger, 1982). By contrast, in some states with overcrowded prisons system, particularly in higher security levels, and with high proportions of violent offenders, point systems are said to be of less utility since too many are "scored" for high security beds which may not exist. Fifth, some have expressed concern that a reliance on numbers, points, or scores is more impersonal and will result in a dehumanization of the criminal justice process, leading to increased alienation among inmates and staff (Gettinger, 1982). Finally, there is some sentiment that overcrowding wreaks havoc with classification efforts and that once a correctional system reaches ninety percent of capacity, classification falls apart (Gettinger, 1982). By contrast, some (Clements, 1982) argue that properly conceived and properly implemented classification can be used as a management tool for combatting the effects of overcrowding.

Classification systems vary in terms of the factors or variables which are considered in classifying inmates and the points or weights assigned to each factor. For example, the National Institute of Corrections model considers the seriousness of the current offense, detainers and warrants, criminal record (prior escapes, felony convictions, and assaultive offenses), previous institutional behavior, and social factors (age, education, employment, alcohol/drug abuse). By contrast, the Federal Bureau of Prisons model considers only three variables: current offense; detainers; and prior criminal record. Although the criteria used in classification decisions vary greatly, the most prevalently used criteria in initial classification are escape history, detainers and prior commitments. In reclassification, most systems emphasize measures of in-custody behavior such as disciplinary violations, time to release, and institutional adjustment. Even across systems which examine the same factors or variables, the points, scores or weights may be set at different cutting points so that someone assigned to medium security based on three variables in one system may be assigned to minimum security in another system.

What Is Known from Research

What has classification research indicated with respect to predictors of inmate behavior? While many classification decisions are guided by the maxim, "the best predictor of future behavior is past behavior," Alexander (1986) has noted that no strong predictors have emerged out of over 100 studies of correlates of institutional disciplinary adjustment. Although prior history and disciplinary adjustment (e.g., escape history, detainers, and prior commitments) are among the most commonly used predictive criteria in initial classification, no research has considered these variables. Instead, only preincarceration variables have been tested, and aside from the weak but consistent predictors of age, marital status, and race, such variables are the least likely to have predictive value. A major national survey of objective classification systems funded by the National Institute of Justice, found that many of the 39 state correctional agencies responding reported that in making reclassification decisions, they placed considerable emphasis on measures of in-custody behavior such as disciplinary violations, time to release, and institutional adjustment (Buchanan et al., 1986). Reclassification decisions using measures of in-custody behavior have been shown by research to tend to downgrade an inmate's custody level (Austin, 1986). Austin (1986) has criticized a reliance on sentence length as the principal factor in initial classification since it means that the courts rather than corrections, are more influential in determining an inmate's classification level.

Stephen Gottfredson (1987) has best summarized the research by noting that empirical studies indicate that statistical methods out-perform intuitive or clinical predictions. Although there are a variety of statistical methods available for making predictions, no one method has been shown to possess a clear cut advantage over another. This is partly due to the poor quality of the data available in criminal records. Moreover, certain criterion measures such as escape are difficult to predict because they occur so rarely. As a result, the ability to predict inmate or offender behavior is modest.

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About the Author

Dr. Michael W. Forcier is Deputy Director of Research in the Massachusetts Department of Correction. He holds a Doctorate in Social Policy from Brandeis University. His current research projects are an evaluation of the inmate classification system and a survey of the substance abuse histories of inmates in a minimum security facility.

Eastern Kentucky University Department of Correctional Services

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The Measurement and Evaluation of Correctional Resource Management

Carl B. Clements

Abstract

The improvement of correctional resource management is a major objective of offender classification systems. Toward that end, and partly in response to the crisis of prison crowding in the last decade, a number of classification trends have developed, including: increased emphasis on risk assessment; development of objective approaches to classification; the integration of needs assessment; and the use of a systems approach to management. Within each trend, the goal of effectively allocating scarce resources is balanced by pressures to achieve equity and accountability.

Any framework for correctional resource management logically includes assessment, planning, and intervention components, each presumably linked in some meaningful way. How are these critical tasks assessed? This article defines each component and describes preliminary guidelines for measuring and evaluating their adequacy. The rationale for such an approach is based on the need for concrete indicators of resource management as well as the current lack of an adequate research base for comparative correctional evaluations.

... classification ... is now viewed as a major management tool for corrections. (Baird, 1986)

Offender classification systems were historically intended to promote effective assignments and programming in correctional settings (ACA, 1964). Unfortunately, classification became a shallow promise during the 1970's when prison systems found themselves under the stress of extreme crowding. Objective decision making and rational planning were sacrificed to emergency procedures and "space-available" assignments (Clements, 1982). Interestingly, in the wave of prison-conditions suits brought on by overcrowding (Angelos & Jacobs, 1985), courts often found the breakdown of classification procedures as much culprit as victim (e.g., Ramos v. Lamm, 1981; Palmigiano v. Garrahy, 1977; Pugh v. Locke, 1976). That is, the absence of a rational, comprehensive approach to classification was seen as further increasing the negative impact of crowding. Those same conditions threaten us again.

As a correctional tool, classification has the obvious objective of maximizing the "fit" of the individual offender to various assignments, including custody and supervision, "treatment" services, or some amalgam of management strategies (Levinson, 1982b). Its purpose is twofold: to match offenders to current resources and to identify needed resources. As the Court noted in a suit against the Rhode

Island prison system, "Classification is essential to the operation of a safe orderly prison . . . a prerequisite for the rational allocation of program opportunities . . . (and) indispensable for any coherent future planning" (Palmigiano v. Garrahy, 1977).

Increasingly, classification is being recognized as not merely a function of an individual case worker who moves offenders from assignment to assignment but as a "driving force" in major correctional systems (ACA, 1986). There has been a recent increase in government-sponsored research and professional publications on the topic of classification, as well as an upsurge of specialized professional meetings and training seminars. Classification is prominent on the agenda of such groups as the National Institute of Corrections, the National Institute of Justice, the ACLU National Prison Project, and the American Correctional Association. There is little question that classification has emerged from its former "ad hoc" status to a place of importance in American corrections.

Recent Trends

Recent advances in classification may be described as following four interrelated trends. Each is consistent with the assumption that improvement in the assessment-planning-intervention link directly benefits correctional management (ACA, 1982).

Risk Assessment

A dominant trend — the focus on risk prediction — developed from increased awareness that risk management is a financially and socially explosive issue. To under-supervise offenders is to expose staff, inmates and the public to potential victimization and to place correctional environments at risk for disruption. Correctional administrators have also discovered the fiscal and legal liabilities that often accompany these interpersonal and social costs. By contrast, to over-supervise is to both misapply very expensive correctional resources and to suffer (or inflict) the potentially deteriorative effects of maximally restrictive confinement. Risk prediction research has sought to increase the efficiency of these important correctional decisions. Typically, person-centered factors such as criminal history or personality "type" are assessed as to their predictive value (e.g. Gottfredson & Gottfredson, 1981; Megargee & Bohn 1979; Monahan, 1981). Unfortunately, management strategies that logically relate to these predictors are often not well developed.

Objective Approaches

A second trend which emerged concurrently with the risk assessment focus was an effort to more "objectively" measure and evaluate alleged behavioral predictors. As the actual practice of correctional classification was scrutinized in the mid-to-late 1970's, the reliance on subjective criteria and the operation of inconsistent procedures was exposed as an obvious weakness. Initiatives by the National Institute of Corrections (Solomon, 1980) as well as efforts by the Federal Prison System (e.g. Levinson, 1982a; Levinson & Williams, 1979) and selected state jurisdictions seemed to support the use of more objective criteria. These models usually include point systems and decision rules. Early

results indicated that a general reduction in the use of expensive secure space could be achieved with no increase in negative outcomes (e.g., escapes, assaults).

The hallmarks of an "objective" approach to classification have been described in detail elsewhere (Clements, 1985a). Currently, a number of jurisdictions are beginning to adopt or develop objective procedures for their classification systems. Termed by one author (Austin, 1983) as "a new generation of prison classification models," these objective approaches represent the evolution toward sophisticated information management and strategic planning (NCCD, 1987). The presumed benefits include improved fairness and consistency, cost reduction, and more explicit decision-making criteria. Obviously, the most telling yardstick will be the extent to which objective systems result in the appropriate match of offender to resource. Evaluating that match is one of the issues addressed in this article.

Needs Assessment

A third trend is the evaluation of the role of offender "needs" in the management of correctional facilities (Clements, 1987). This focus has the same basic rationale as risk assessment, namely, the identification of salient offender factors that warrant a particular type or level of intervention. Parallel objectives also exist: (1) to identify problem (needs) areas to which particular responses (or lack thereof) impact on both the offender and the correctional environment; (2) to establish a basis for more efficiently allocating scarce programmatic resources. Historically, needs assessment has been linked to goals of rehabilitation. However, poor "matching," inadequate treatment delivery, recent overcrowding, and the ascendance of custody concerns, coupled with probably misguided optimism and inadequate models of criminal behavior, have been associated with a retreat from this goal (Cullen & Gilbert, 1982; Toch, 1985).

Nevertheless, offender characteristics or needs (e.g. behavioral style, mental health status, work skills) continue to be described in the literature as being strongly influential in both prison adjustment (e.g., Bohn, 1981; Toch, Adams, & Greene, 1987) and community reintegration (Latessa & Vito, 1985). Contemporary classification approaches demand that we go beyond basic, albeit important, initial decisions regarding security and custody levels. For example, Megargee and Bohn (1979) and Quay (1984), as well as researchers in the Canadian penal system (e.g. Bonta & Motiuk, 1985) have identified "needs" components based on personality types, behavior patterns, and need-status categories. Each of these investigators has developed management profiles that are responsive to particular subgroups of offenders. Another variant, the "prisoner management classification system," has been developed specifically as a management approach and is currently being tested in the state of Washington (Austin & Baird, 1987). A number of other states now routinely include needs assessment as part of their overall profiling of offenders, e.g., Missouri, Pennsylvania, Oklahoma, Wisconsin, Kentucky -- (Clements, 1986).

A Systems Approach

A final trend, one that is quite consistent with the other

three, is a "systems approach" to classification. To a considerable extent, a systems approach is content free; that is, it serves as a model for building and evaluating information and decisions (Weatherbe, 1984). A systems approach requires stated objectives, measurement, and feedback capabilities; it also requires integration among many aspects of the working environment. Interestingly, a systems approach is quite compatible with the criteria Megargee (1977) claimed were prerequisite to a "good" classification system.

A systems approach obviously supports the use of objective criteria in offender profiling; less apparent is its requirement of a typology of correctional responses. For example, it is fine to identify minimum, medium and maximum security offenders; but it is equally critical to describe explicitly how these offenders in these categories will be responded to differentially. What are the distinguishing and unique features of housing and supervision associated with each level of security? How do those features logically relate to the criteria that are employed for inmate placement? Early leadership by NIC (1982) and the Federal Prison System helped establish this important, if often neglected, principle.

A systems approach also identifies tasks that are necessary to accomplish stated objectives; it provides a structured framework, requires an analysis of needed steps, and helps establish priorities. A systems approach is biased toward data (rather than opinion) and is theoretically (and, presumably, politically) neutral. Thus, its use may help shed light on inherently complex and sometimes heated issues in classification and correctional management.

An Integration of Trends

Taken together, these trends hold great potential for determining how best to allocate treatment resources within the correctional setting. ("Treatment" is used in its broadest, generic sense.) It is clear that inmates similarly categorized with respect to custody/security issues can have highly divergent profiles with respect to other needs and characteristics. To stop the classification process at the level of first-order "risk" factors is to ignore major features of the offender-environment transaction (Toch, 1977). Decision makers who claim that matching is a worthy correctional goal must seek to strengthen all the important assessment-programming-intervention links (Palmer, 1984).

Although improved matching may have a long-term rehabilitative benefit, the more immediate objective is to reduce disruptions and misapplication of resources by addressing multiple levels of offender needs. Some of these dimensions are mandated by courts (e.g., medical, mental health) or are endorsed through ACA or similar standards (e.g., special needs offenders, potential victims). Others have historical and logical precedence (e.g., job skills, academic/vocational training, drug and alcohol treatment). And still other areas are relatively newly developed, for example in areas of differential unit management or the treatment of sex offenders.

A systems approach to needs assessment and intervention offers a framework which allows each agency or jurisdiction to determine its priorities and demands for services. It does not dictate any particular assessment tool or intervention method. Rather, it ensures that the allocation

and development of resources is based on a sound, publicly articulated rationale, high quality "objective" assessment, relevant intervention/management strategies, and continuous data feedback. Such an approach should provide both individual and aggregate information on how well resources are being utilized and how closely offender needs are being addressed (Clements, 1985b). Historically, the issues of offender needs assessment and program assignments have been artificially split from custody/security concerns. These important aspects of offender classification are no less deserving of rigorous, systematic analysis.

Measuring Resource Management

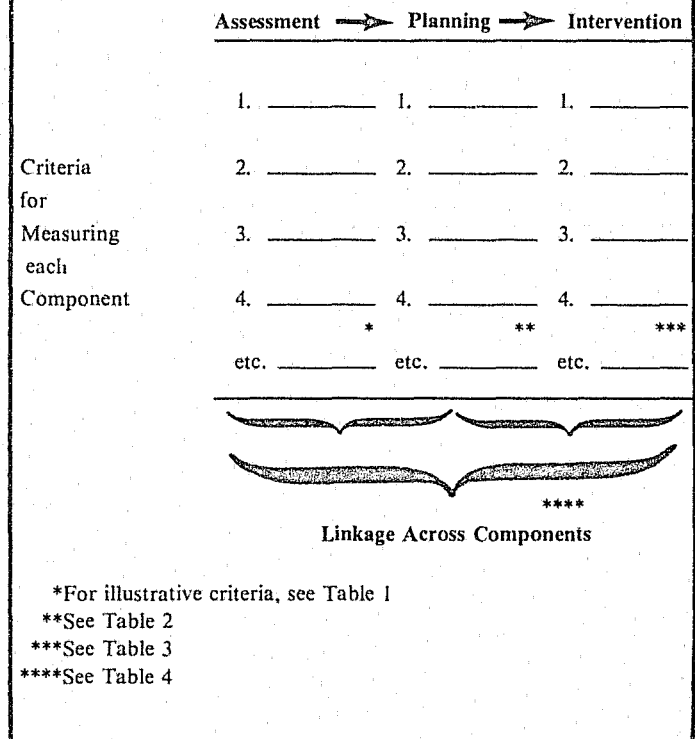
In the preceding paragraphs, a number of trends and assumptions have been described that arguably should enhance correctional resource management. Little is actually known about how one might measure whether and how well these promising approaches are actually being implemented. No shortage of instruments and techniques exists to assess individual offender characteristics; that is not the problem. The major obstacle to high quality offender classification and its associated management benefits is the absence of a comprehensive, systematic approach — one that addresses concretely the essential components and links that comprise such a system.

The Assessment-Planning-Intervention Model

Logic as well as customary practice suggest that the components of an effective classification system include assessment, planning/selection of interventions, and actual delivery of the prescribed interventions. These milestones are depicted as the major headings in Figure 1. The reader will note the generic nature of this model. That is, regardless of the content area or objective (e.g., risk management, alcohol treatment, vocational training), a similar process and sequence must be followed. What remains unspecified (blank lines in Figure 1) are the key elements or criteria of each of the model components — that is, what are the ingredients to effective assessment, planning, and intervention? By what yardstick does one judge efforts to assess, plan, and intervene? How can one determine the degree to which correctional units adhere to the model components? Are there means by which the continuity across model components can be measured? The remainder of this article offers ideas and guidelines to address these questions. The discussion begins with a review of each model component.

Assessment. (Definition: Appraisal, estimation, determination of importance.) Many criminologists and correctional practitioners find only partial relevance in a medical, curative model for treating criminality; however, appropriate assessment techniques (and "diagnosis"), tied to publicly stated correctional objectives, are an important beginning point. An educational, skills-deficit model is also relevant: What are the required skills and behaviors? By how much and in what way does the client fall short? "Prescriptive" possibilities should follow from these determinations. As suggested in a recent work (Clements, 1986), some basic principles and standards can be described

Figure 1.
A Model of Correctional Resource Management



that distinguish an effective (and efficient) approach to needs assessment from those that are either inadequate, wasteful, or both. However, additional, validated benchmarks are needed to evaluate and to improve this first step in the matching sequence.

Planning. (Definition: Formulating, designing, arranging a program of action to achieve some end.) A necessary and obvious second step is the translation of assessment results into a format that increases the probability that targeted needs will be addressed. Evidence of this planning or "programming" can vary from vague recommendations, hidden in offender files, to specific, detailed, well-communicated "treatment plans." Although a few general guidelines are available (e.g., AACP, 1980; APA, 1978), little exists in the way of concrete criteria to guide the planning component. If current practice is to be evaluated and improved, such measures are needed.

Intervention. (Definition: Insertion of specific action to alter a course of events or modify a state.) The ability to document the actual delivery of interventions is even less well-developed than the previously cited steps (Sechrest & Redner, 1979; Quay, 1977). Few models exist which evaluate offenders' actual program involvement. Among those jurisdictions that track such factors, the Federal Prison System (1981) and the Washington Department of Corrections (1984) appear to have promising methodology. In the probation and parole area, Texas, Illinois, and Washington, among others, have apparently installed Information Management Systems which help inform

decision makers about the degree of service usage. When combined with offender profile analysis, such an approach can identify over- and under-utilized services and provide data to document the need for additional or re-directed resources. Despite these advances, few objective criteria exist to assess and foster appropriate program utilization. An additional existing weakness is the relative absence of guidelines to measure program adequacy.

Linkage. (Definition: A quality of being connected; the manner or style of being united.) The three preceding steps — assessment, planning, and intervention — should be connected and integrated, both in theory and in practice. Of course, the system is compromised when each (or any) component is defective. Equally damaging are contextual features which degrade or undermine adherence to the model — factors such as custody/security overrides, lack of available resources, and even assigning offenders who will not benefit to scarce and costly services. **The point is this: high quality assessment methods, well-articulated program planning, and wide involvement in intervention services all promote, but do not ensure, effective use of correctional resources.** A critical feature, then, of each model component is linkage — from assessment to planning and from planning to intervention. This linkage or continuity would appear to be a potent ingredient in influencing actual correctional

outcomes and is thus an important hallmark of a good classification system. Evaluation of the linkage component depends on the presence of assessment, planning, and intervention systems; that is, components that do not exist cannot be integrated. Once other components are in place, however, criteria must be developed to measure or guide the linkage function.

Regardless of the particular methods or criteria by which these components are to be measured, an overriding principle can be expressed: a resource management (classification) system must examine important offender needs so that both individual and system characteristics may be identified and addressed. That is, correctional managers must know both specific offender needs and the system's current capacity to address those needs.

Proposed Criteria

Based on the foregoing logic and proposed model of resource management, each component requires a means by which its adequacy can be evaluated. Potential criteria are listed in Tables 1-4 for each of the assessment-planning-intervention (and linkage) components. These items are not meant to be exhaustive but rather illustrative. The premise of this article is that adherence to these criteria, or to similar ones that might be developed, will have an impact on both resource utilization and correctional outcomes.

Table 1

Illustrative criteria for measuring the adequacy of the ASSESSMENT component

- Written guidelines exist which specify and define each "need" area.
- A rationale is provided for each "need" area (i.e., Why is it important?).
- At least one assessment tool is identified for each need.
- Standardized information is collected from a variety of sources when possible (including family and community).
- The assessment tool(s) has adequate reliability and validity specific to its current or planned use.
- Assessment outputs are specified by levels or degree (e.g., high, moderate, low need for each need area).
- Assessment conditions (e.g., timing, physical environment, rapport) are conducive to achieving reliable and valid information.
- Tools and measures are applied and interpreted consistently.
- Measurement tools are selected which examine relevant behaviors and skills across multiple settings.
- Assessment results are categorized in such a way as to provide unit, facility, and system-wide information.
- Specific staff are assigned to review ASSESSMENT components.

Table 2

Illustrative criteria for measuring the adequacy of the PLANNING component

- Treatment or management plans specify the degree and type of necessary intervention.
- Priorities are established for access to programs or services.

- Planning involves a multidisciplinary team and includes input from the offender.
- Plans contain stated goals and provision for review.
- Specific interventions are described or referenced to an existing set of protocols.
- Referrals are made to specific services or individuals.
- Provision for follow-up or more intensive assessment is made.
- Treatment plans are clearly communicated.
- Such plans are highly visible and readily accessible in the offender file.
- Specific staff are assigned to review PLANNING components.

Table 3

Illustrative criteria for measuring the adequacy of the INTERVENTION component

- An identified individual or program unit is responsible for specific interventions.
- Interventions are managed and delivered by adequately trained staff.
- The offender is involved in a particular intervention for a specified number of hours/week.
- The rationale for and conceptualization of an intervention is logical and clear.
- The intervention has some known value or effectiveness in related, perhaps less complex settings.
- The specific details of interventions are contained in treatment "protocols."
- The degree and length of involvement in an intervention are measured and reported.
- Interventions are delivered at a strength or intensity that provides some realistic hope for impact.

- Contextual/environmental surroundings do not systematically defeat the planned intervention.
- Supervision and monitoring are provided to ensure adequate treatment delivery.
- Progress/gains are documented.
- Specific staff are assigned to review INTERVENTION components.

Table 4
Illustrative criteria for measuring the adequacy of the LINKAGE component

- When assessment, planning, and intervention are provided by different staff, clear procedures for communication and input exist.
- A matrix of services-by-location exists so that planners

may determine which unit or facility provides maximum access to needed interventions.

- All assessment areas (needs) are shown to relate to available or proposed interventions.
- A system of priorities exists so that more critical services/interventions may be addressed as early as possible.
- A monitoring system tracks offenders as to their involvement with interventions, status on waiting lists, etc.
- The monitoring system determines the appropriateness of program involvement by reviewing original assessments and management plans.
- Aggregate data are collected on needs-by-levels (so that planners may assess resource needs and demands).
- Specific staff are assigned to review LINKAGE components.

These sets of guidelines do not automatically call for the wholesale creation of more resources. While the existence of correctional deficiencies is widely known and lamented (Conrad, 1985), new initiatives will be increasingly based on demonstrated utility toward some stated correctional objective. Ironically, the model outlined here may well reveal the over-utilization of some programmatic resources. The question might be asked, are we working on the right problem? The approach suggested here can provide the structure for answering that question at several levels.

A second benefit of these or similar criteria is to provide a basis for comparative research. The indices cited in Tables 1-4 can be used to identify similarities and differences among institutions, units within institutions, and groups of offenders. Generally, correctional research has used relatively crude comparisons (e.g., institutional size, staff ratios, criminal offense categories) in its search for causal factors. Disruptions, violence, victimizations, prison adjustment, program participation and similar outcome measures are certainly influenced by correctional management processes. Thus, any attempt to evaluate the nature and extent of that influence requires a clear specification of just what processes were operating.

One might predict, for example, that higher compliance with the criteria for the Assessment and Planning components should lead to a reduction in the negative indicators associated with ad hoc programming (e.g., high turnover, inappropriate placements, low participation, poor staff morale, etc.). In addition, the degree of adherence to Assessment and Planning criteria should correlate with more efficient use of Intervention services. In turn, greater compliance across all model components should predict positive results at both an institutional level and for individual inmates on such factors as rates of infractions, morale, violence, program participation, work adjustment, skill acquisition, and other status measures.

Conclusion

The model and related criteria proposed in this article are by no means complete. The lists of hallmarks of adequate assessment, planning, intervention, and linkage could be expanded, contracted, or otherwise altered. All criteria are not necessarily equally potent. Also, there may

exist large-scale barriers which have not been addressed and which may undermine attempts to meet the evolving criteria of adequacy.

At some point, correctional outcomes, both short-term and long-term, must relate to what transpires inside the corrections system. That relationship will remain difficult to evaluate until usable criteria are developed to measure the delivery of resources. Nor can one expect to increase the efficiency of resource use without some model or guidelines to assess current practice. Finally, the justifications that will be increasingly required by governing bodies for new resource proposals will be more credible when current needs and practices and their relationship to correctional outcomes are clearly documented.

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Psychoeducational Assessment and Special Education Programming for The Juvenile Offender

Robert H. Hoellein
Nancy H. Yauger

Abstract

The psychoeducational assessment of juvenile offenders in a correctional institution requires the cooperative effort of all staff members to evaluate a youth's multiple skills in the academic, behavioral, and vocational areas. The goal of multi-factored evaluation is to fulfill the ultimate good of returning the juvenile to society better able to become a positively functioning member. The history and present functioning of assessment by the school psychologist and special education personnel within the juvenile correctional population is discussed. A comprehensive assessment procedure utilizing the school psychologist and special education staff of a private juvenile correctional facility in Pennsylvania is presented as a model for institutional programs. Special education programming within a private correctional facility is described as well as future directions for school psychologists in the correction's field.

BACKGROUND: SPECIAL EDUCATION IN CORRECTIONAL FACILITIES

Because the assessment of the juvenile delinquent population in correctional facilities, both in public and private institutions, is such an important part of both educational and behavioral programming, this article explores the role of psychoeducational assessment in the provision of special education programs. The school psychologist, special education staff, and other professionals serving the delinquent population must collaborate to provide a broad-based and in-depth assessment of the juvenile's skill levels, to diagnose strengths and determine appropriate weaknesses, and to identify areas in need of remediation. This attention on assessment and programming has been focused in great part due to the implementation of Public Law 94-142, which mandates an appropriate educational program to be provided to handicapped school-aged learners. Both assessment and programming are mandated to be of a Multi-Disciplinary nature to assure appropriate assessment and programming for handicapped learners. Research studies and present statistics indicate that a high percentage of juveniles assigned to correctional facilities are exceptional or handicapped learners and in need of special education programming.

The problems of delivery of special education services to incarcerated juvenile handicapped offenders has recently

received national attention. Because of the inordinately high percentage of exceptional or handicapped learners within correctional facilities, appropriate psychoeducational assessment to identify and program for these students is essential. Various researchers have attempted to pinpoint a relationship between handicapping conditions and delinquency (Sabatino, 1978; Nelson, 1987). Other researchers have concluded that there are a high percentage of juvenile delinquents that are handicapped learners within any correctional facility who have mandated rights through Public Law 94-142 for an appropriate educational program (Rutherford, 1985; Smith, 1980). Coffey (1983) has estimated that 42 percent of juvenile offenders in correctional facilities have some type of handicapping condition that interferes with learning.

Correctional education, which consists of formal educational programs ranging from basic literacy training to post secondary vocational and university education, is offered in the vast majority of correctional facilities in the United States. Such programs typically are voluntary in adult facilities, but mandatory for juveniles. The administrative regulations for Public Law 94-142 specifically includes correctional education programs in the mandate for a free and appropriate public education for handicapped persons 21 years of age and under. Less than 10 percent of State Departments of juvenile and adult corrections are in compliance with this statute (Coffey, 1983). States not in compliance are experiencing heightened pressure through litigation and administrative sanction to provide special education programs (Woodin, 1983).

Increased interest in correctional special education is reflected in federally funded demonstration and training projects, receipt of Public Law 94-142 state flow-through monies by correctional education programs, and the development of training programs for correctional special educators. In an article published in the 1985 *Journal of Special Education*, Pennsylvania was designated as serving only 3 percent of their identified special education or handicapped population in correctional facilities (Rutherford, 1985). Increased interest in providing appropriate special education programming within both public and private correctional facilities has prompted the establishment of a program position within the Pennsylvania Department of Education to assist with the implementation of special education programs within correctional facilities across the state. During the last three years, the Department of Education has been involved in reviewing the educational and institutional programs in the public juvenile facilities in Pennsylvania. From these reviews, recommendations have been made and a long range plan developed to upgrade special educational programs. The most recent move in this direction has been the development of three Regional Assessment Support Teams (RAST) to provide special education consultative services to juvenile correctional facilities in the Western, Middle, and Eastern zones of the state (Peifer, 1984).

The essential need for correctional special education services in juvenile correctional institutions across the United States has caused much discussion in the professional literature. One study questioned what

constitutes an effective correctional special education program delineated of the components of a program (Smith, 1983). These components were: (1) procedures for conducting functional assessments of the skills and learning needs of handicapped offenders; (2) existence of a curriculum that teaches functional academic and daily living skills; (3) inclusion of vocational special education curriculum; (4) existence of transitional programs and procedures between correctional programs in the community; (5) a comprehensive system for providing institutional and community services to handicapped offenders; and (6) provision of in-service and pre-service training for correctional educators in special education.

Some of the problems of implementation of Public Law 94-142 include the following: shortage of trained staff; shortage of money; lack of inter-agency agreements and cooperation; high turnover of inmate population (6 months is the average time for a juvenile); frequent transfer of inmates from one institution to another; lack of IEPs on admission; inadequate time, staff, and money for the required in-depth assessments; difficulty in locating and involving the parents; and difficulty in finding and training legally acceptable surrogate parents as needed (Coffey, 1983). **Finding implementation difficult, many correctional agencies have chosen to ignore, or give only token attention to, this federal mandate** (Nelson, 1987). The courts, although not entirely idle in this regard, have not interfered either frequently or vigorously. As a result, data indicates that only 5 states can claim full compliance with Public Law 94-142 in their correctional facilities. The evidence also shows that, however difficult it might be, PL 94-142 can and has been successfully implemented in corrections. Exemplary programs do exist and they can be replicated. For these to multiply at this time, corrections desperately needs the assistance of special educators and education agencies (Coffey, 1981).

THE ROLE AND FUNCTION OF THE SCHOOL PSYCHOLOGIST IN CORRECTIONAL FACILITIES

Because the goal of school psychology is to deliver effective and efficient services to handicapped children, the juvenile delinquent population has recently come to the attention and interest of school psychology. The implementation of PL 94-142, dictated that the school psychologist become involved with the juvenile delinquent population in both public and private institutions. Delinquents that have been found to be exceptional and in need of special educational programming must receive individual psychological evaluation through the services of a certified school psychologist. Although the area of corrections has utilized the services of clinical psychological services for many years (Pacht, 1966), the inclusion of clinical and school psychological services working together to provide a coordinated treatment and educational program for juvenile clients has only recently been proposed (Timm, 1982). Because it is estimated that such a large percentage of the adjudicated delinquents have been or should be assessed as exceptional and in need of special education programming, the need for school psychological services also should

include consultation to provide appropriate educational services, evaluation to assess educational needs, assessment to identify exceptional learners, and assistance to staff with educational and vocational assessment and programming to aid in vocational planning.

The school psychologist functioning within the correctional facility provides both direct and indirect services. The major roles of the school psychologist include:

1. Secure appropriate instructional program to meet the special needs of the handicapped juvenile;
2. Psychoeducational evaluation to determine intellectual, personality, emotional, academic, and vocational factors which are crucial to the individual's educational, vocational, and inter-personal growth;
3. Development of an individualized educational program plan (IEP) with institutional and educational staff to determine responsibilities of carrying out the program plans;
4. Consultation with instructional, administrative, and other pertinent personnel within the judicial system;
5. Therapist and/or psychoeducational counselor (Timm, 1982).

Because the role of the school psychologist within a correctional setting involves skills that go beyond the knowledge base of most beginning school psychologists, those wishing to specialize and practice within the correctional setting should pursue an additional knowledge base in the following areas: (1) adolescent and adult psychology; (2) juvenile justice and criminal justice system; (3) career and vocational evaluation and assessment, and life skill functioning (Timm, 1982). If the school psychologist truly wants to be an effective member of the team within the correctional facility, competencies and additional training as outlined should be undertaken.

The role of school psychology in corrections is new and a major portion of the school psychologist's role is yet to be defined. It is the task of the school psychologist now entering the corrections field to further develop and define their role. The needs of this population and their right to education should be the guide to this role definition (Timm, 1982).

DESCRIPTION OF THE CORRECTIONAL FACILITY

George Junior is a private, non-profit, non-sectarian facility for boys in Grove City, Mercer County, PA. Two hundred juvenile male delinquents were kept at a main campus which houses them in either campus cottages or in secure, residential treatment facilities. Educational services are provided through a local public school system, whose teachers provide the educational program within an educational building on the campus. The educational faculty consists of ten regular education teachers, six vocational-technical teachers, ten certified special education teachers, one guidance counselor, and a school principal. Seven of the special education teachers have teacher aides in their classrooms. The entire range of educational subjects and services are provided on campus, including vocational education. As with other juvenile correctional facilities, the turnover rate of students is quite high. The institution

admits 8-10 new students each week. A screening assessment is completed on every juvenile admitted to the facility. This screening includes an evaluation of previous school and psychological records obtained through George Junior Republic Social Services Department; behavioral and educational assessment as completed by institutional staff, guidance, and educational personnel within the educational program; and, if indicated, an assessment by the school psychologist.

Students at George Junior Republic are male, range in age from 10 to 19 years, are of various racial and ethnic backgrounds, and come from Pennsylvania and 6 neighboring states. Length of incarceration can range from 2 months to 2 years, depending on type of offense and/or reason for incarceration. Both status (run-aways and truants) and felony (theft, assault) offenders are included in the population. Because this facility attempts to meet both the educational and emotional needs of students as part of their program, diagnostic and assessment services are provided as necessary. Students who have either been previously identified as exceptional learners or are found to be in need of special education programming while at George Junior Republic are provided appropriate programming through seven (7) mixed-category resource special education classrooms. Three separate, full-time classes provide both educational and behavioral programming for students identified as socially-emotionally disturbed. Each of these ten special education classes is taught by a certified special education teacher and has from eight to fifteen students, depending on type and severity of the exceptionality being served. At the present time, 34 percent or 103 of the 300 students at George Junior Republic are identified as exceptional and are receiving special education programming. Approximately 65 of the 103 special education students are provided vocational education on a half-day basis at the on-campus vocational-technical school.

Because the mandate of PL 94-142 dictates that the parents/guardian be fully informed and give written permission before any psychological evaluation for exceptionality is completed with any school-aged child, a system has been developed to obtain permission from the parent or guardian of the juvenile being admitted to George Junior Republic. This system involves obtaining permission from the parent or guardian through the probation officer at the time of admission when permission for other services, such as medical treatment, is obtained. An explanation of why an evaluation may be needed is provided both to the probation officer and to the parent/guardian. No individual psychoeducational assessment is completed by the school psychologist without written permission. Should either previous records or functioning on the initial screening by the guidance department indicate the possible need for special education programming, an interim placement in a modified educational program is implemented. During this interim placement, assessment is completed by four to six special education teachers who are assigned in each discrete subject area to assess educational skill levels with respect to their particular subject. This interim placement is of approximately 3-4 weeks duration. During that time records of previous special education

placements, psychological evaluations, and other school and vocational records are obtained. Obtaining previous school and psychological records has been identified as a problem by researchers in the area of correctional education (Rutherford, 1985). If no previous records are available, a Multi-Disciplinary Team evaluation is completed. If the diagnosis of exceptionality is substantiated, a working copy of the Individualized Education Program Plan is developed through the efforts of the special education teachers involved with the student, guidance personnel, school principal, and the school psychologist. The succeeding steps of the special education referral process are presented in the flow chart in Table 1.

Because control and change of behavior patterns are an important goal of the program within the correctional facility, a behavioral program involving all 300 students has been developed to interface between the institutional and educational programs at George Junior Republic. Students exhibiting inappropriate behavior are targeted, and a behavior program involving both teachers and cottage and institutional staff will be developed. The program includes continuous assessment, monitoring, and reinforcement of appropriate behaviors. Special education students are also included in the behavior program. In addition to continual general behavioral monitoring, all special education

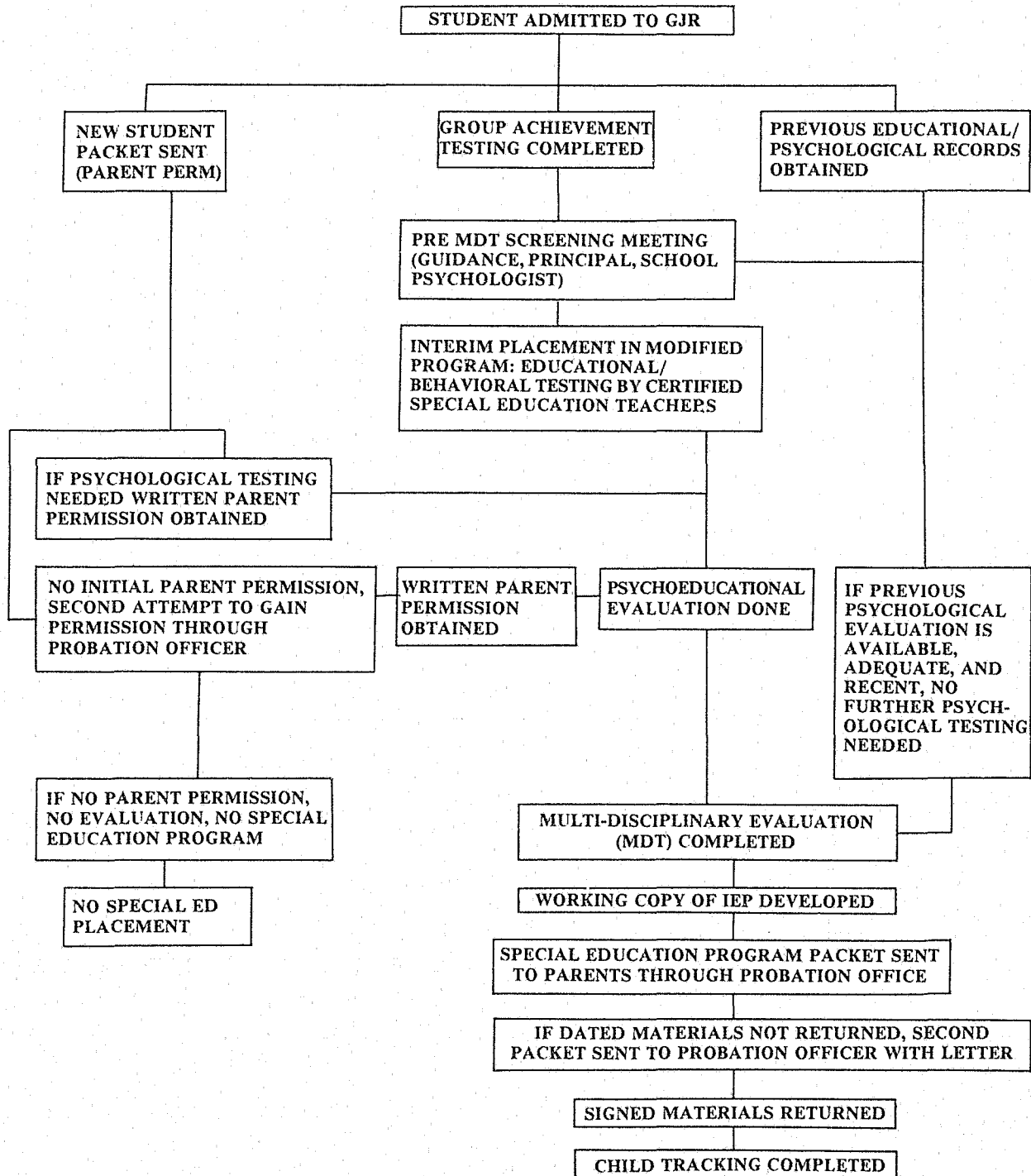


Eastern Kentucky University

A member of Kentucky's system of regional universities, Eastern Kentucky University is a responsive institution of nine colleges and a graduate school offering over 300 degree programs and options.

Many of the programs at Eastern reflect a commitment to serve in unique ways. Innovative programs in coal mining administration, business, law enforcement, industrial and technical education, allied health and nursing, and public service and special programs exemplify EKU's response to the modern requirements of higher education.

Table 1
George Junior Republic
Psychoeducational Assessment Process



students have individual behavioral programs developed and written as part of their Individualized Educational Program Plan (IEP).

Following the 3-4 week interim placement, educational goals and objectives are written into IEP form by each specific special education teacher for his/her particular subject area. The entire educational staff is involved with the assessment and in developing a behavioral program for each exceptional student. The 65 students who attend the vocational school on campus for half of their school day do not receive a formalized vocational assessment prior to being enrolled in their chosen shop. Skills within their

particular shop are continually taught and assessed during their vocational placement within the institution. A designated number of exceptional students receive a more in-depth vocational interest and aptitude evaluation through the occupational placement counselor hired by George Junior Republic. The formal evaluation completed by the occupation placement counselor utilizes the Career Occupational Placement Survey (COPS). Information concerning this instrument and other vocational instruments that would be appropriate to use with this particular population are presented in Table 2.

Table 2
Vocational Instruments

Test Name	Amount of Time Required	Reading Gr. Level Required	Normative Data	Training Required
Apticom (A5)	90 min.	Third to Fifth Gr.	Yes	No
Microcomputer Evaluation and Screening Assessment (MESA)	4 Hrs.	Sixth Grade (?)	Yes	Minimum
System for Assessment and Group Evaluation (SAGE)	4 Hrs. plus	Fourth Grade	Yes	
Singer	2-1/2 Hrs. per job sample (24 work stations)	Instructions presented orally	Yes	No
Career Occupational Preference System (COPS)	55 Minutes to	Fourth to Sixth Grade	Yes	No
Jewish Vocational Service Work Sample System (JEVS)	5 to 7 days	Fourth Grade	None	Extensive
Becker Reading-Free Vocational Interest Test	55 Minutes	---	Yes	No
General Aptitude Test Battery (GATB)	4 Hours	"literate" 6th Grade	Yes	Yes
Differential Aptitude Test (DAT)	3 Hours	Tenth Grade	Yes	Some

A listing of the various instruments used by educational staff within George Junior Republic can be found in Table 3. Instruments are selected by personnel for use with

individual students as directed by their learning problems, behavioral problems, and educational program plan. Not all the instruments listed are used with each student.

Table 3
Most Frequently Used Assessment Instruments
George Junior Republic Educational Staff

Area	Instrument
Overall Achievement:	Metropolitan Accomplishment Test
Wide Range Achievement Test	
Peabody Individual Achievement Test	
Reading/Oral Language	Slosson Reading Test
Iowa Silent Reading Test	
Dolch Sight Word Test	
Barnes-Roe Informal Reading Inventory	
Stanford Diagnostic Reading Test	
Fry Diagnostic Test	
San Diego Oral Paragraphs	
San Diego Quick Assessment	
Spelling/Written Language	Test O Written Language
Test of Written English	
Criterion-referenced (spelling words taken from reading assignments)	
General Language	Test Of Language Development
Peabody Picture Vocabulary Test	
Basic Skills	Brigance Inventory of Essential Skills
Inventory of Basic Skills	
Detroit Test of Learning Aptitude	
Stanford Test of Academic Skills	
Mathematics	Monroe Arithmetic Achievement Test
Shaw-Hiehle Arithmetic Skills Inventory and Computation Test	
Success in Mathematics	
Proctor-Johnson SRA Diagnostic Test	
Stanford Diagnostic Mathematics Test	
Key Math Test	

The staff uses both norm-referenced and criterion-referenced instruments in their initial and subsequent testing to evaluate functioning levels to develop appropriate educational objectives. These educational objectives are used to choose appropriate curricular materials. Because teachers in the educational program teach by discrete subject area on the whole; the evaluative instruments are chosen to appropriately assess that area.

A complete list of assessment instruments used by each staff member is available upon request.

Proactive planning is possible to deal with the problems that arise from attempting to provide special education programming for the delinquent population. The educational staff members, guidance counselor, principal, and the school psychologist meet on a monthly basis to discuss various problems of an educational nature that arise within the facility. Assessment results on exceptional students are exchanged in order to provide an optimal educational program for each student. Problems with particular students or with general programming are discussed in-depth. Discussions on how to improve educational assessment and programming are a continuing subject at each meeting.

THE ROLE AND FUNCTION OF THE SCHOOL PSYCHOLOGIST

The role and function of the school psychologist assigned to the George Junior Republic Correctional Facility mirrors those mentioned by Timm (1982) in his discussion concerning the school psychologist in corrections. These roles include consultation to both regular

and special educational staff with respect to educational programming, involvement with development and implementation of IEP's, consultation with institutional staff regarding special education students' programming, liaison between George Junior's staff and administration of the school district providing educational staff to the facility, vocational and psychoeducational counselor, contact person for parents and probation officers with respect to special education students and programming, and psychoeducational evaluator. A recent time/motion study of the amount of time needed in each function indicated the greatest percentage of time is spent with direct and indirect assessment. Because students often enter the correctional institution having never been evaluated and identified as exceptional, the number of assessments that need to be completed is always high and places great demands on the school psychologist's time.

Table 4 outlines a basic battery of suggested, appropriate instruments that could be used with a juvenile offender population. A description of each assessment area follows:

Table 4
Basic Assessment Battery

Assessment Domain	Instruments
Intelligence	WISC-R WAIS-R Stanford-Binet 4
Perceptual Motor	Bender Gestalt, or Berry Developmental Test of Visual Motor Integration
Achievement	BASIS Stanford Diagnostic Reading Test Metropolitan Achievement Test Achievement test results done by educational staff.
Vocational	Self Directed Search (Form A or E) All students if in vocational program. Career Orientation Placement and Evaluation Survey (COPES) Apticom - Selected Students
Adaptive Behavior	Vineland Adaptive Behavior Skill AAMD Adaptive Behavior Scale or
Personality	(battery selected based on reason for referral) HTP KFD 16 PF MMPI Mooney Problem Rotter Incomplete Sentences Blank TAT Hand Test
Social Behavior	Stephens Social Skills Assessment

The area of intellectual evaluation is an important one for the school psychologist in the correctional facility, both for the identification of students needing special education programming and for determination of particular types of disabilities that may be peculiar to this population. The many references to the analysis of the Wechsler Scales subtests (Hubble, 1982 et. al.) indicate that these instruments can provide us with more information than just an IQ score. The ability to do an analysis of the Wechsler Scales provides information about student strengths and weaknesses. Therefore, because of the amount of information that can be obtained for both present use and possible future research, the Wechsler Scales are proposed as part of the basic battery for the student in correctional facilities. Although the ratio of minority students within the correctional population is above that found in the general population, use of the Culture-Fair Intelligence Test as the sole instrument to assess intelligence is not supported by research (Smith, 1977). Studies indicate that if there is a concern about cultural bias, both the WISC-R and Culture-Fair Intelligence Test should be used (Hays, 1980). The Stanford-Binet - 4th Edition is the newest member of the instruments to assess the intellectual area. Because it is so new, and because there is no research to substantiate or discount its use as an assessment tool with the correctional population, at this time it can only be recommended to be used as an ancillary measure of intelligence, and not the sole instrument.

The visual-perceptual-motor area of assessment is one that is often omitted by the school psychologist when assessing secondary aged students, unless neurological involvement is highly suspect. However, multiple studies have revealed that this area of assessment cannot be ignored in the juvenile delinquent (Haynes, 1983; Spellacy, 1977). It is proposed that both the Bender-Gestalt and Beery Developmental Test of Visual Motor Integration be part of the ideal battery. The age of the student should determine appropriateness of the instrument used in the assessment process.

The area of achievement is one that often finds school psychologists using assessment data from other educational staff. Utilization of other members of the multi-disciplinary team to attain valid achievement measures is proposed. The Stanford Diagnostic Reading and Mathematics Tests have been found to provide extremely valid and reliable information in the achievement areas (Ysseldyke, 1982). These tests can be given either individually or in a group by educational staff, guidance personnel, or a reading specialist.

The assessment of juvenile offenders with respect to social/emotional functioning is an area that can involve a great deal of time and can be very frustrating for the school psychologist in corrections. If the concept is accepted that every juvenile delinquent exhibits a behavior disorder, then it is the responsibility of the school psychologist to do an in-depth evaluation of each and every student within the correctional facility to assess the severity of that emotional disturbance, identify the student as exceptional, and provide an appropriate program. However, if the school psychologist believes that learned deviant functioning and/or lack of social skills do not constitute emotional

disturbance, then assessment to identify students as truly emotionally disturbed becomes more of a challenge. Because of an almost complete inability to meaningfully interact with parents of students in corrections, assessment of family dynamics and family systems is not available to support or reject a hypothesis of emotional disturbance. Therefore, the school psychologist must attempt to complete a meaningful assessment without some of the most important pieces of the puzzle. Students who have been previously diagnosed as emotionally disturbed certainly must receive appropriate programming within the correctional facility. Students whose adjustment, behavior, or offense for which they were sent to the correctional facility causes personnel to suspect emotional disturbance must receive a complete Multi-Disciplinary team evaluation as soon as possible after admittance to the correctional facility. This team evaluation should involve multiple measures of behavior in various settings by a variety of personnel in different disciplines. If these measures indicate a problem that needs further exploration, a more in-depth individual analysis of the affective/personality area can be undertaken. Results of assessment of the personality areas should provide enough basic information to make an informed decision concerning the student's emotional functioning. As with the results of research with all of these instruments, **discovering that delinquents behave in a somewhat different way from non-delinquents on a particular instrument does not provide meaningful information on how to develop a program to change behavior.**

The area of social skills or adaptive behavior are components of social competence (Reschly and Graham, 1981). The social competence domain has recently come to the attention of educators working both in public schools and correctional settings. Because the philosophy of programming within the correctional facility has moved from one of incarceration to rehabilitation to re-education (Johnson, 1982), the area of social skills assessment and programming has gained new support. The school situation is ideal for teaching skills, whether they be academic or social.

Because of the high number of students functioning in the Educable Mentally Retarded Range of mental ability, the area of adaptive behavior must be assessed to determine personal independence and social competence. Due to time constraints and the fact that the informant on this instrument will either be the social worker or the cottage parent, an instrument to assess adaptive behavior in a brief, valid, and meaningful way is needed. The two instruments proposed are the AAMD Adaptive Behavior Scale and/or the Vineland Adaptive Behavior Scale. Since both instruments lack normative data on correctional populations, it is proposed that both instruments be used to evaluate students identified as EMR in order to determine the most appropriate evaluation instrument.

With an estimated 40-50 percent of the correctional population identified or in need of special education, vocational programming to provide these students with skills that they will not receive from regular academic education is imperative. Although several studies have indicated that vocational education was available in the

majority of correctional facilities (Abram, 1977; Wiederanders, 1978; Nuttall, 1977), the efficacy of those programs was often questioned (Day, 1982). The role of the school psychologist in corrections with respect to vocational assessment certainly underlines the need for additional training in the vocational assessment/programming areas in order that the school psychologist can be better able to provide what is needed for juveniles. Although the school psychologist may or may not be involved in direct vocational assessment, the psychologist must have a working knowledge of the types of instruments available and how they measure vocational skills (work experience, simulated work experience, work sampling, performance test, behavioral observation, interview, and paper/pencil tests) (Seligman, 1980). A particular problem with the correctional population is that many of these students are reading at a level of 2-8 years below grade placement. Should the vocational assessment instrument have a reading component, it must be a level commensurate with the student's reading abilities. Table 2 contains a listing of vocational instruments with information about testing time, normative data training required for the evaluator, and the reading grade level required for independent completion. The school psychologist must be able to use the results of the vocational assessment to counsel the juvenile to help him make an informed decision concerning the vocational areas that would best fit both his interest and ability levels. This type of assistance requires that the school psychologist have a working knowledge of the vocational and career education.

FUTURE DIRECTIONS

Because the role and function of the school psychologist in corrections is new to school psychology, role definitions have yet to be defined and developed (Timm, 1982). This definition and form will take shape as personnel in corrections see the potential of school psychological services in the correctional setting. Some examples of these new directions include implementation of social skills assessment/intervention systems, improvement of contact and involvement with the families of the juveniles, implementation of more meaningful and in-depth vocational assessment of all students including those identified as exceptional, the use of curriculum-based assessment to better assess and remediate educational deficits in a valid and continuous manner, improvement of behavioral programming, improvement of the transitional program involving planning and provision of information to home school districts, and ever more involvement of all staff members in the planning and implementation of improved educational programming for students. Some of these goals are more easily obtainable than others. **Lack of future planning, which has often been a weakness of both education and corrections, is a problem that those interested in serving the juvenile correctional population must overcome.** Appropriate academic, behavioral, and vocational education and re-education can and will produce improvement in the quality of life both for the juvenile and for the society in which the student will ultimately function. Continual monitoring by checking the progress of juveniles who are released from the institution will need to be a part of

future research on the efficacy of new educational programming and treatment. It is hoped educationally-based assessment and interventions will be part of the answer that corrections has been looking for in the attempt to provide relevant services to the juvenile offender.

Conclusion

This manuscript has discussed the assessment of juveniles in correctional institutions from the perspective of the school psychologist and special education personnel who work in corrections. Assessment in the correctional institution covers a broad range of academic, behavioral, and vocational roles for the school psychologist and special education teachers. Assessment has little or no meaning if the results of the assessment do not change, in a positive way, the educational programming for the juvenile offender in the correctional facilities. An ideal assessment evaluation utilizing the services of multi-disciplinary teams will make no difference for the student if those results are not used to improve the juvenile offender's education and training.

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Eastern Kentucky University College of Law Enforcement

The College of Law Enforcement is one of the nine colleges that comprise the academic structure of Eastern Kentucky University. Within the College are the Departments of Correctional Services, Police Administration, and Loss Prevention and Safety.

The purposes of the College include: preparation of teachers, conducting research in law enforcement, loss prevention, driver and traffic safety, and fire safety; providing public and consultative service programs pertinent to law enforcement, corrections, security and safety, driver and traffic safety, and fire safety.

Certificate, associate, baccalaureate, and master's degree programs are offered by the College of Law Enforcement. The College is committed to the career-ladder concept by providing opportunities for students enrolled in or completing the Associate of Arts (two-year) degree programs to transfer to a corresponding baccalaureate program within the same department with little or no loss of credits.

Guides To Developing, Implementing, and Revising an Objective Classification System

Karen L. Whitlow
Robert A. Buchanan

Abstract

This article offers a practical, step-by-step process for developing, implementing, and revising an objective inmate classification system. The guidelines presented here are based on the results of a survey of agencies using objective classification systems, an in-depth evaluation of the effectiveness of the objective systems employed by three state agencies, and the authors' experience in designing and implementing classification approaches. As a result, the article highlights both emerging trends in objective classification and aids to system development and implementation. Beginning with the decision of whether an agency should develop an objective classification system, the authors lead the reader through such crucial activities as selection of system planning staff, choice of development approach, preparation of development plan, pilot test of system, preparation of policies and procedures, and training of staff in system use. While agencies will have to particularize the guidelines to meet their own needs, the article provides a practical framework for completing a complex, but ultimately valuable, process.

INTRODUCTION

One of the most critical problems facing correctional agencies today is prison crowding. Overpopulation, however, is not a problem that exists in isolation. Its consequences spill over into all areas of correctional operations, arousing concern about such issues as institutional security, health and safety of staff and inmates, and compliance with court-mandated standards for care and control.

In response to the growing concerns of correctional administrators, as well as those of governmental officials, the National Institute of Justice designated efforts to deal with prison crowding as one of its top priorities. Improved classification of inmates is viewed as an essential component of these efforts. With proper classification, for example, only those inmates presenting a substantial risk to others are placed in costly maximum security facilities, while those evidencing less threat can be assigned to lower security institutions. Appropriate classification also can assist in determining which inmates can be considered for early

release or for retention in the community under careful supervision. Most importantly, effective classification helps assure the safety of the public, agency staff, and prisoner population.

In recent years, numerous correctional agencies have turned to objective classification systems as a means of enhancing inmate classification. Objective classification is a decision-making approach characterized by such features as:

- Use of instruments validated for prisoner populations;
- Distinction between security (architectural constraints) and custody (staff supervision);
- Assignment of inmates to security levels consistent with their behavior; and
- Promotion of similar decisions among classification analysts on comparable offender cases.

Because relatively little is known about the effectiveness of these new systems, the National Institute of Justice funded a national evaluation of objective prison classification. This study consisted of two separate components: (1) a comprehensive survey of existing objective classification systems, and (2) an assessment of objective classification effectiveness.

Prior to conducting the survey, it was necessary to identify those agencies employing objective classification approaches. In response to a preliminary questionnaire distributed to all state and federal correctional agencies, 39 jurisdictions reported use of objective classification systems. These agencies were then sent a more detailed survey designed to obtain specific data concerning system development, implementation, and evaluation. Thirty-three agencies responded to all or part of this survey, depending on the completion status of their systems. Their responses were later supplemented by interviews conducted during site visits to eight agencies that have implemented objective systems.

The second component of the study was an in-depth assessment of the effectiveness of the objective classification systems used in California, Illinois, and Wisconsin. Statistical analyses were employed to examine the scoring processes of these systems; the validity of the individual items and scales used to score inmates; and the impact of these systems on inmate misconduct, escape, and fatalities.

The results of the comprehensive survey and the effectiveness assessment, along with experiences of project staff, were used to formulate the guidelines presented here. These guidelines are intended to assist agencies contemplating the introduction of objective prison classification systems or the revision of existing ones. They highlight emerging trends in objective classification, aids to effective development and implementation — as well as common pitfalls to avoid, and issues to consider in designing or modifying an objective classification system. While agencies will have to particularize the guidelines to meet their unique needs, it is hoped that this guide will provide a practical framework for system development implementation, and revision.

OVERVIEW OF CLASSIFICATION SYSTEM CHANGE

It is apparent from the comprehensive survey that an agency's approach to developing and implementing an objective prison classification system is as important or even more important than the type of objective system devised. Changing a correctional agency's classification process is a formidable task, not only insofar as the new system is concerned, but because of classification's ripple effect in all areas of prison operations.

In many respects, agencies contemplating modification of their objective classification systems are in the same position as agencies considering introduction of an objective classification system, and both are likely to profit from a structured plan for changing their classification procedures. The survey of correctional agencies instituting objective classification systems found that they approached the change process in a variety of ways, some quite effective and others not nearly as satisfactory. However, there does appear to be a commonality among successful approaches. Important to completion of the entire change process are a minimum of 12 steps that should be considered in developing, implementing, and revising an objective classification system. (See Figure 1) These steps are discussed in the sections that follow.

Step 1: Decision to Develop an Objective Classification System

Some correctional agencies have no choice about whether to develop an objective classification system because the courts have mandated such a change. More often, as survey respondents indicated, other factors (e.g., impetus from new administrators or perceived misclassification by staff) will lead an agency to think about altering its classification process. In such cases, the first activity is to determine whether the agency should in fact begin development of a new system. In doing so, numerous questions must be answered:

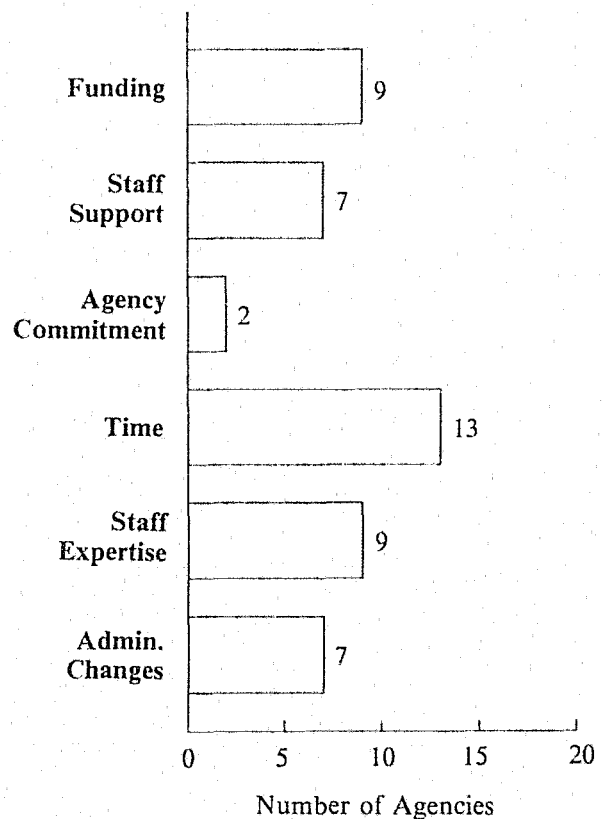
- Does the agency have a real need for a new classification system, and is this need recognized by most staff and key officials outside the agency?
- Do top management staff and others responsible for overseeing the system's development comprehend the magnitude of the effort they are undertaking?
- Is there a clear understanding of the risk involved in not developing an objective system?
- What short- and long-term purposes are to be served by the classification effort?
- How much will it cost to develop a new system and to operate it once implemented?
- What period of time is anticipated to develop and implement a new classification system?
- Can an organizational climate be created to support successful completion of the classification project?
- Are there qualified and experienced staff available to design and implement an objective classification system?

Step 2: Commitment of Top Agency Personnel

The agency director and other top level staff must be aware of the magnitude of the project in terms of staff time, funding, and time frame for development and implementation, or revision. More important, according to survey respondents, they must be committed to seeing the project through to completion. This is particularly true when it comes under attack, which it will, by those who continue to support the previous system. Missouri, New York, and Illinois, in particular, found that backing from top-level administrators helped to alleviate staff resistance to the new system.

In committing to such a weighty undertaking, administrative staff should determine the practical limitations that they will face. Responses to the comprehensive survey, shown in Figure 2, suggest that several major obstacles frequently crop up during the development process.

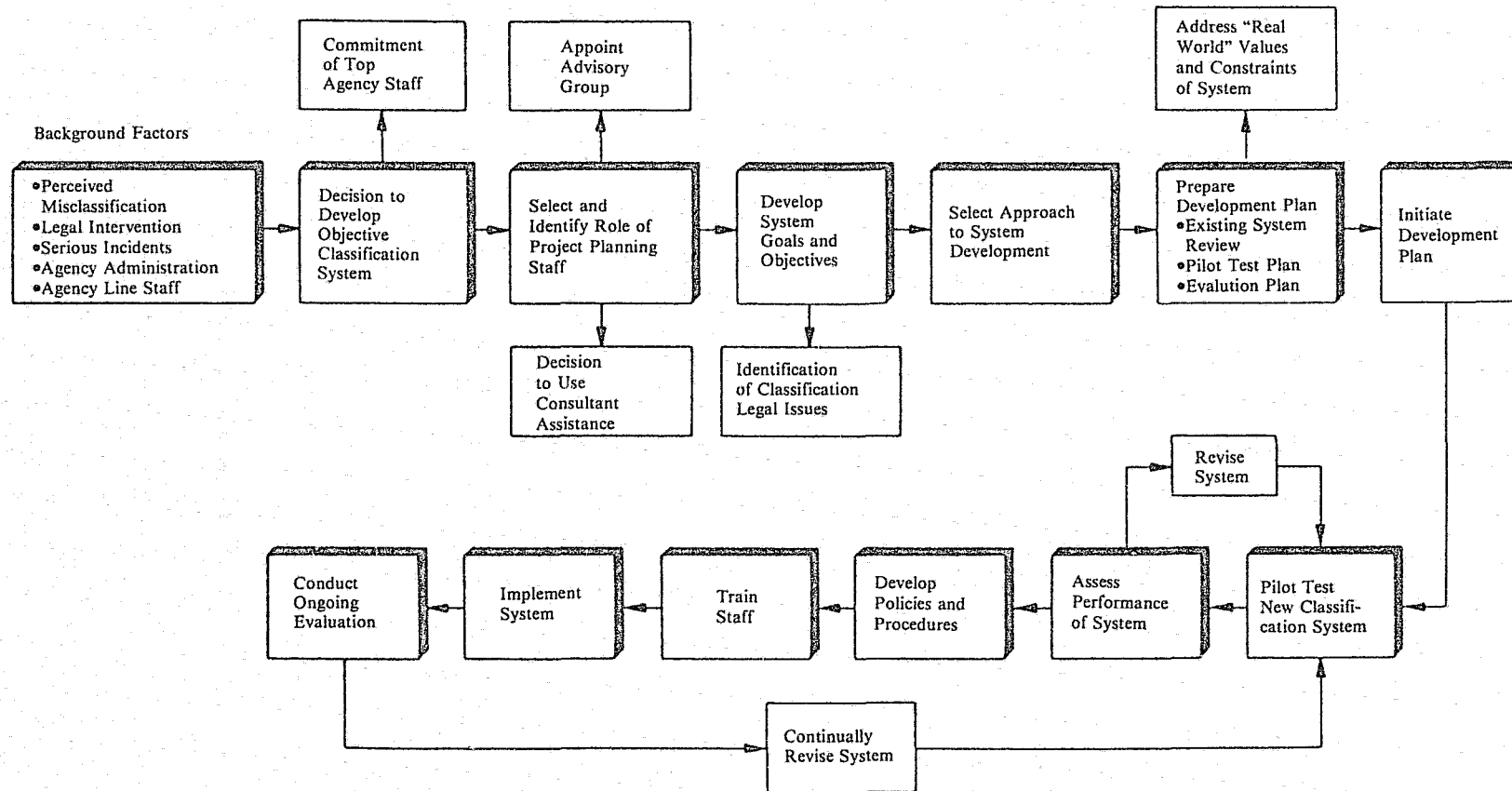
Figure 2
Major Problems Encountered During Development



N = 33

Figure 1

Suggested Process for Developing and Implementing
An Objective Prison Classification System



Among the most serious limitations confronting the agency will be the budget and timetable for developing the classification system. The restrictions placed on these factors will have implications for the size and salary of planning staff, the caliber of resource persons to be utilized, the amount of effort involved in system preparation, and the number of subtopics to be dealt with in the developmental process.

Another constraint in most agencies is planners' practical knowledge and skill. Their expertise will determine the extent to which the agency will be able to actualize the system's goals and objectives, which should be set forth early in the developmental process. Planners need to be familiar with the problems and job realities of developing a classification system for an inmate population. They also need to know where to find resources for the developmental process, as well as how to solicit them. If planners have to acquire this knowledge as they go along, many decisions will be made at the last minute in an uninformed manner.

Step 3: Selection and Use of Project Planning Staff

It is obvious that a number of systems developed by surveyed agencies were less than successful due to the selection of persons who were not sufficiently qualified or experienced to oversee such a complex and time-consuming undertaking. Agency administrators must put aside personal friendships and political considerations and utilize staff who are either currently knowledgeable of objective approaches and their developmental processes or who possess the skills to acquire such knowledge through training, document review, and/or examination of other objective classification approaches.

Agency officials must also decide what role project staff will play in developing the classification system. Their role will be heavily dependent upon whether the system is statistically devised or developed through consensus.

The classification system, if based upon a consensus approach, may be designed exclusively to find and meet the needs and interests of agency personnel. In Missouri, for example, a variety of staff were involved in all stages of the process. They provided input on the system's objectives, content, and implementation methods. The planners then designed a system to meet these needs, periodically asking agency personnel for additional feedback. Such staff involvement was credited with increasing acceptance of the new system.

Alternately, planners may decide that they have either a special expertise in classification system development or a statistically based approach that does not warrant other staff input. They would then structure the system based on this knowledge. Project planners in Illinois employed this approach to identify classification criteria that were significantly associated with dangerous behavior. The Illinois planners believe that the use of such research in designing the new system enhanced its credibility among agency staff.

Some agencies may find that they either do not employ sufficiently qualified personnel or, if they do, are unable to commit them full time to the project. In this event, consultants familiar with objective classification system development should be retained. It is important, however, that the agency maintain control over all project activities.

Step 4: Development of Classification System Goals and Objectives

The agency should prepare a statement of purpose summarizing the overall aim of the classification system and the general impact it is expected to have on the correctional system. The agency also should develop written classification goals and objectives. Goals specify the major areas that the classification system will address, such as protection of the public, use of least restrictive confinement consistent with prisoners' risk, etc. Objectives explicitly describe the results to be achieved, such as a 40 percent reduction in escapes during the next fiscal year, 25 percent reduction in the number of interinstitutional transfers, etc.

In preparing classification system objectives, attention should be afforded to both the aims of the system (end-result objectives) and the process for accomplishing these objectives (process objectives). End-result objectives specify the impact of the system on inmate behaviors, while process objectives describe the implementation activities of agency staff.

Step 5: Appointment of Advisory Group

Results of the comprehensive survey suggest that most successful classification systems are the product of input from not only project staff but also an advisory group. For instance, California developers used advisory committees to develop goals for the new system, review its additive scoring process, and help weight classification variables. In New York, an advisory committee, composed of top-level personnel from various departments, assisted in developing classification guidelines.

Since any classification system planner's expertise and skills are limited, it is beneficial to form a group of "knowledgeable others" who embody the crucial viewpoints of the agency. This group should include staff representing administration, security, programs, services, industries, planning, and information systems, as well as officials from other criminal justice agencies affecting the classification system's development and eventual implementation. They will be able to provide information that greatly improves the performance of the system while enhancing its acceptance by other agency personnel.

Step 6: Identification of Legal Issues

Litigation pertaining to inmates' rights has become increasingly common in recent years, and the classification process has not been exempt from this trend. The judicial system has not only been carefully scrutinizing classification policies and procedures, but also directly involved in shaping classification practices.

Not surprisingly, many survey respondents identified the courts as one of the primary impetuses for developing their objective prison classification systems. Half of the respondents reported legal challenges to their previous classification processes.

In light of such litigation, correctional agencies should work closely with their legal counsel to ensure that their classification systems meet due process and equal protection safeguards, as well as other legal requirements. This will extend to inmates those rights that seem justified and should limit litigation pertaining to classification following implementation of objective systems.

Step 7: Selection of Approach to System Development

Most survey respondents indicated that they had adapted a system used in another jurisdiction. These correctional agencies elected to "borrow" another agency's classification system for a number of reasons, including a lack of expertise within the agency, a desire to save time and money, and the apparent success of the system under consideration.

According to survey respondents, the four most replicated systems were the National Institute of Corrections Custody Determination Model (adapted by 11 survey respondents); the Federal Prison System Security Determination/Custody Classification System (9 respondents); the Correctional Classification Profile developed by Correctional Services Group, Inc. (5 respondents); and the Uniform System of Inmate Custody Classification, the decision-tree approach developed by the Florida Department of Corrections (2 respondents).

In adapting another system, a number of important questions must be answered to promote its effective use by the correctional agency:

- Does the system address the agency's overall goals and objectives, as well as its classification needs?
- Is the offender information available to the agency consistent with the informational requirements of the system?
- Are the criteria now employed by the agency to assess security and program needs consistent with those used by the system?
- Does the system promote the matching of inmate needs and agency resources?
- Does the system address classification legal issues?
- Does the system incorporate a monitoring plan to permit periodic evaluations of classification decision-making and outcomes?
- Can the system be automated and incorporated into the agency's management information system?

Step 8: Preparation of Development Plan

Once the agency has determined whether it will adapt another system or develop its own classification approach, it is time to prepare a development plan. Planning the developmental process is a complex task, one that proved more problematic than many survey respondents expected. Thirteen agencies, for example, found that they did not allot enough time to system development. The experiences of these agencies suggest that any time frame under 12 months is unrealistic and likely to diminish the system's effectiveness.

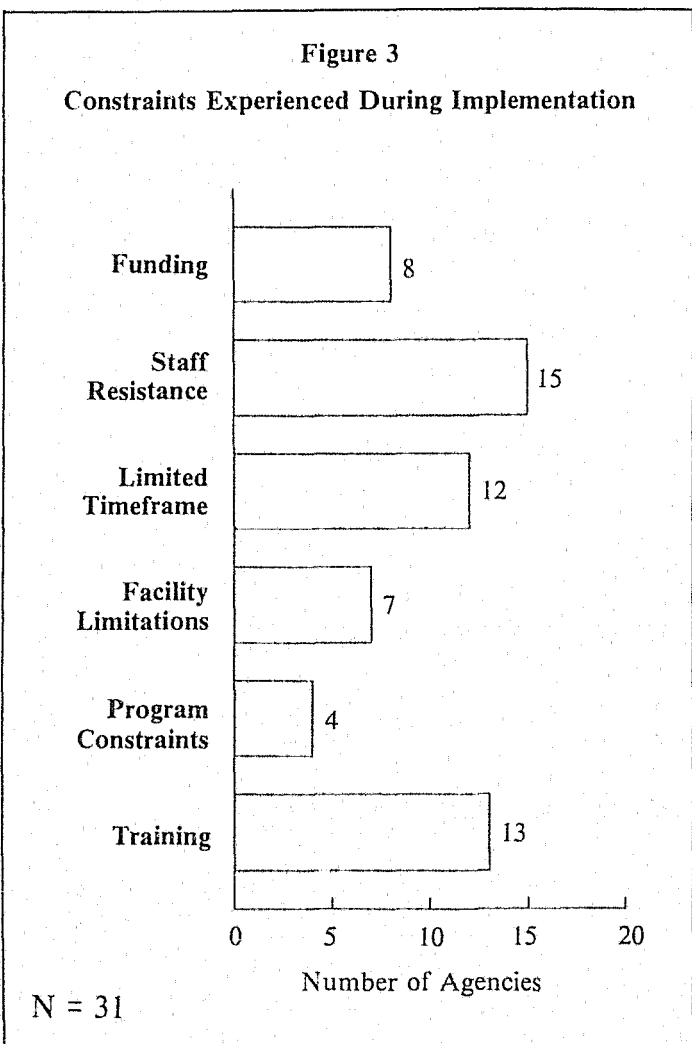
To enhance the developmental process, the agency should prepare a plan that incorporates, at a minimum, the following elements:

- Development of a management and reporting system;
- Preparation of a budget;
- Establishment of a timetable; and
- Development of a work plan incorporating the following tasks:
 - Analysis of existing and proposed system goals and objectives;

- Assessment of agency classification policies and procedures;
- Review of offender information and information sources;
- Assessment of offender measurement and testing instruments;
- Analysis of agency's capabilities to assign inmates to appropriate housing and programs;
- Review of present security and custody classification;
- Evaluation of the relationship between the classification system and other components of the criminal justice system;
- Development of uniform criteria for determining security and custody levels;
- Preparation of draft security risk determination instruments;
- Assessment of security and programmatic capabilities of agency institutions; and
- Development of evaluation and validation plan.

Step 9: Preparation of Implementation Plan

The successful introduction of an objective classification approach does not end with its development, for the new system must still be implemented. However, as evidenced in Figure 3, many survey respondents found that



the implementation phase can be hampered by time and budgetary limitations, insufficient training, and staff resistance. It can also lead to redesign of classification instruments and modification of classification criteria, further tightening budget and time constraints. For example, Oklahoma decided to include a "positive adjustment factor" in its reclassification instrument; Illinois altered its scoring instrument in order to eliminate an over-consideration of age.

To minimize such problems, the agency should prepare a comprehensive implementation plan that includes the following components:

- Pilot testing of classification instrument;
- Development of classification system policies and procedures; and
- Training of staff.

Planning staff in Kentucky and Missouri also emphasize that agencies should avoid allowing too much time to elapse between system development and implementation since a long delay can dampen staff enthusiasm.

Step 10: Pilot Testing of New System

It is important for an agency to pre-test its classification instrument. Pilot testing can help the agency avoid making piecemeal modifications to correct problems as they crop up during implementation. The experience of Kentucky serves to point up the usefulness of pilot testing. The agency tested its objective scoring instrument on the files of approximately one thousand inmates who had already been assigned to medium and maximum security. As a direct result of this testing, planning staff were able to make several important scoring adjustments prior to agency-wide use of the new system. **In assessing the various activities involved in system development and implementation, Kentucky planners view pilot testing as "a must."**

Pilot testing will be either the last task in the development of the objective classification system or the first in the implementation phase. The testing process should include both a "paper" test of the system using available data and a formal test by institutional staff. The intent is to determine both how well the instrument performs using a sample of the present inmate population and what modifications may be necessary prior to implementation system-wide.

The pilot test should be conducted with the established goals and objectives for the classification system in mind. For example, if an objective of the system is to distribute the inmate population proportionately among the various security categories, the pilot test should measure the extent to which the new system addresses this objective. If the system does not respond to the previously established objective, the agency must make one of two decisions: either alter or reweight the factors comprising the security scale, or modify the original security assignment objective.

Another method of pilot testing is to compare the new system via a simulation with an established classification system such as that developed by the Federal Prison System. In the simulation approach, a statistically representative sample of the agency's overall inmate population is classified using both the new system and the validated system. The results of the two simulations are then

compared to examine the extent of misclassification. For example, should the Federal Prison System custody determination instrument assign 13 percent of the sample to a high security status, in contrast to 27 percent for the new system, several questions need to be answered. First, does the Federal Prison System security approach consider the unique characteristics of the agency's inmate population? Second, are there any criteria, such as gang affiliation and protective custody requirements, that influence the agency's system but are not included in the federal model? Finally, are the security categories employed by the Federal Prison System correlated with those used by the agency? Approximate comparability may be lacking in the pilot test so as to depict some misclassification when in fact little or none exists.

Step 11: Development of Policies and Procedures

Written policies and procedures are necessary for the effective introduction of a new classification system. Without such written direction, staff may deviate from the structure of the system — to the detriment of the general public, other staff, and the inmate population.

Policy statements should explain why the classification system does what it does. At a minimum, they should include direction for successfully interpreting the purpose, goals, and objectives of the new classification system.

In addition, written procedures should provide specific steps for carrying out the new classification system. They must state who will be responsible, what must be done, where the activity should occur, and when the task should be completed.

Policies and procedures should be incorporated into a comprehensive manual that prescribes classification practices for all institutional settings and populations. It also should delineate areas of classification responsibility. This manual should be updated regularly to include all revisions in policies and procedures.

The classification manual should be completed prior to training in system use so that staff can be given a thorough introduction to the new classification process. An inadequate manual in Missouri, according to some agency personnel, created problems in training and ultimately impeded implementation of the new system. Because the manual was not sufficiently detailed or complete, some confusion regarding the scoring process arose among participants. This confusion was one of the reasons the agency conducted a second training session. Oklahoma encountered a similar problem. Its new policies and procedures were not officially approved until after training had been conducted. By then, some modifications had been made, resulting in temporary misunderstandings among staff.

Step 12: Training of Staff

Training agency personnel at all levels is critical if staff are to be able to adequately understand and use the new classification system. Most survey respondents reported training supervisory and line staff prior to formal implementation of their new systems. Typically, this training lasted between 8 and 16 hours. However, since nearly 40 percent of the respondents indicated that insufficient training hindered effective implementation of their new

systems, an agency instituting an objective system should consider a longer period of training.

For existing personnel, a comprehensive orientation program of at least 16 to 24 hours is recommended. Training should cover such topics as instrument use, information management, resource allocation, and program development decisions. It also should include, at least in the initial training sessions, an overview of how the system was developed so that staff who were not involved will be acquainted with its background.

In addition to this introductory program, training should be provided on both a pre-service and in-service basis for all agency personnel. A minimum of eight hours should be devoted to system use on the pre-service level and four hours on an in-service basis.

Methods for presenting the material will vary according to the nature of the information to be learned and the role of staff in the learning process. Subject matter may be taught in one-way presentations such as lectures, symposiums, films, panels, and debates or in participatory methods involving discussion and problem-solving groups, brainstorming sessions and role playing. Numerous survey respondents, such as the Federal Prison System, Kentucky, and Minnesota, also found it useful to involve staff in hands-on application of the scoring instrument using case files. This activity would be followed by discussions to enhance interrater reliability.

Another important component of the training program is the selection of the instructional staff. Instructors should be chosen on the basis of their expertise and teaching ability. Involvement in developing the classification system, while helpful, does not necessarily mean that participants can translate that knowledge to agency staff. Instructors also may be drawn from within the agency and from professional fields outside the agency.

FINAL CONSIDERATIONS

The national evaluation of objective classification systems yielded several findings that need to be highlighted to expedite system development and implementation.

- First, the criteria incorporated into the new system should generally be comparable to those factors previously employed by classification staff.

- Second, the system should attempt to mesh the perspective and inferences of staff with data used in deriving security decisions.

- Third, planning staff should emphasize that the classification system takes a fairly common-sense view of prediction and therefore is easy for agency personnel to recognize as a restructuring of their own experience.

- Fourth, careful consideration should be given to the design, or redesign, of reclassification instruments that are independent of initial scoring criteria. The effectiveness assessment that was conducted as part of the national evaluation found initial classification items, particularly those related to current offense, to be relatively weak predictors of behavior. Reclassification, consequently, should rely heavily on measures of in-custody conduct that promote a "just desserts" orientation to decision-making.

- Fifth, to ensure effective operation of the new approach, the groundwork for monitoring and evaluation efforts should be laid during system development. Means for obtaining the quantifiable information needed to assess classification decision-making should be built into the system design.

- Finally, the new system should be presented as a tool or guide to effective classification and not as the final word. The ultimate decision should belong to the classification officer, who can enact overrides when essential, assuring the responsible participation of staff in the classification process.

In conclusion, the development and implementation of an objective prison classification system is a complex process that depends upon the commitment of agency staff and resources, the support of key people outside the agency, the allocation of sufficient time to accomplish the agency's goals and objectives, and, most important, a well-conceived plan to guide the system's development and implementation.

About the Authors

Karen L. Whitlow has been involved in criminal justice research and planning for over six years. She has worked and reported on numerous studies related to inmate classification in prisons and jails.

Robert A. Buchanan is co-founder of Correctional Services Group, Inc. A former warden, he has more than ten years experience in criminal justice research and planning. He was responsible for developing the Correctional Classification Profile, which has been adapted for use in seven states.

Eastern Kentucky University

Eastern Kentucky University, a member of the Commonwealth's system of regional universities, is the culmination of more than a century of higher education development on its 350-acre main campus at Richmond.

Beginning with the 1874 founding of Central University, continuing with Walters Collegiate Institute from 1901-1906, and perpetuated by today's modern Eastern, a university offering over 300 major degree options, it stands as a testimonial to its founders.

Historic Richmond, where the famed Blue Grass region meets the foothills of the Cumberlands, is an urban college

community of about 25,000 in a rich agricultural area. Madison County is considered one of the largest beef cattle-producing counties east of the Mississippi, and the Richmond burley market is among the tobacco belt's largest. New inter- and intra-state highway systems enhance Richmond's accessibility. Interstate 75 (north-south) passes within a mile of the campus and I-64 (east-west) is only 30 minutes away. Kentucky expressways — the Blue Grass, Mountain, Daniel Boone, and Cumberland Parkways — are also less than an hour's drive from Richmond.

The Effects of Case Management on the Social Climate of a Correctional Institution

William Carter Smith

Abstract

An attempt was made to correlate case management audits with measures of social climate in a close custody prison. Using the Correctional Institutions Environment Scale (Moos, 1970), no significant difference was found in the social climate of the high and low functional units measured. Questions were raised regarding the measurement audits. Implications are suggested for further research in case management and classification practices.

INTRODUCTION

The purpose of this study was to better understand the relationship between case management strategies and the social climate of correctional institutions. Case management, a more contemporary and descriptively accurate definition of the classification process, is conceptualized as a design to assure the most effective utilization of institutional resources for the incarcerated.

There are, however, problems of organizing for case management: Who, for instance, has the responsibility for its inception, deployment, and maintenance? What are the duties of managers, clinicians, staff, or inmates? How will one know if the plan is being implemented?

There are also problems in case worker skills and knowledge: What skills are required in "good" case management practice? What is the nature of the interactive relationship between staff and inmate? How is this relationship monitored, documented, and adjusted?

Last, how do consumers (inmates) relate to case management efforts? Are they aware of the process? Are their goals similar to those of staff? Most importantly, does case management practice impact on the environment in which they live?

In this study the author wished to quantify the concepts of case management and social climate to determine if more effective case management strategies lead to more positive climates in a prison setting.

Eastern Correctional Center, a 500 bed, close custody facility was chosen for the study. This is a modern institution, divided into five semi-autonomous units, (Co-Op, Delta, Essex, Fore, and Gentry), each a functional specialty. The management style at the time of the study was based on the functional unit management concept modeled

after the Federal Prison System (Levinson and Gerard, 1973; Lansing *et al*, 1977).

The Co-op Unit houses regular population inmates who have work assignments in maintenance, medical, dental, chapel, and kitchen work. There were no industries in operation at the time of the study. The Delta Unit houses regular population inmates who have exhibited past aggressive and assaultive behaviors. The Delta inmates have been classified as "aggressive types." The Fore Unit houses regular population inmates who have had difficulty in adjusting to institutional life and have been classified as "passive types." The Essex Unit is a control unit housing those inmates who, for disciplinary or administrative reasons, must be segregated from the rest of the population. In addition, the Essex Unit houses pre-trial safekeepers. The Gentry Unit houses a special population of mentally ill or mentally retarded inmates.

When the institution opened in 1983, case management became part of the operational strategy for each of the five autonomous units. Although there was centralized review and control, unit managers were allowed to develop their own unique styles for monitoring their inmate populations. Thus, each unit developed its own case management system.

In subsequent attempts to measure the effectiveness of case management in each unit, an audit instrument adapted from the Federal Prison System (Guides for Internal Audits of Unit/Case Management N/D) was developed and employed. This audit instrument included: (1) a review of unit case management plans, (2) questions concerning case worker skills and knowledge, (3) measures of inmate awareness of the case management system, and (4) information about the completeness of progress notes in individual case management folders. A second audit instrument, "Case Worker Interview," was also developed and used in an attempt to get at case worker opinions and attitudes concerning case management. This study was an attempt to determine, quantitatively, the relationship between these unit case management audits and subsequent measures of unit social climates.

REVIEW OF RELATED RESEARCH

Until recently case management in corrections has been depicted in the literature as a counseling, casework, and/or clinical service provided by the disciplines of psychiatry, psychology, and social work to "influence change in the attitudes and behavior of the offender" (Manual of Correctional Standards, 1972). It has also been seen as a tool for population management and control (The National Advisory Commission on Criminal Justice Standards and Goals, Corrections, 1973). Whether the purpose of this correctional tool is for treatment or for management is an issue often debated.

Case Management

Under functional unit management this treatment — management dichotomy is merged. Case management becomes a method for helping inmates with a wide variety of problems (Glaser, 1982; Austin *et al*, 1986). The emphasis is on the coordination of a number of services, rather than on the direct provision of services. Levine and Fleming (1984)

identify six basic case management activities: (1) consumer identification and outreach, (2) assessment, (3) service planning, (4) linkages with needed services, (5) monitoring of service delivery, and (6) consumer advocacy. Case management thus goes much beyond traditional correctional classification strategies. It suggests a service delivery process, and the literature reflects primarily those skills and abilities required by case managers to accomplish these tasks (Powell, 1975; Ryan, 1976; Bertsche and Horejsi, 1983; Austin, 1981).

Social Climate

The measurement of social climates in correctional institutions has depended almost exclusively on surveys of inmate and staff perceptions (Street, *et al*, 1966; Wood, *et al*, 1966; Jesness, 1968; Moos, 1970, 1975, 1976; Eynon, *et al*, 1971; Wenk and Moos, 1972a, 1972b; and Smith and Ivester, 1987). The Jesness (1968) study also included the participant observation method. The scaling of responses in these studies are assumed to reflect institutional climates.

Guion (1973), James and Jones (1974), Toch (1977), Wright and Boudouris (1982) and Wright (1985) cite several methodological problems with the scaling of perceptions as a measure of institutional climates. For one thing, such constructs generally lack theoretical specificity. Too, there are problems of generalizing from individual perceptions to composite profiles, and there are problems of using these profiles to describe an organizational property such as social climate.

In spite of methodological problems, the survey method reflected in the Correctional Institutions Environment Scale (CIES) developed by Wenk and Moos (1972a) was used in this study. This instrument was used for several reasons. First, it provides a descriptive characteristic of the environment being measured. This is important for practitioners and researchers alike in attempting to "feel the pulse" of this potentially explosive environment. Second, it raises the possibility of comparing resident, staff, and other's perceptions of correctional programs. Third, findings can be compared over time and with other facilities. Last, information about the social climate can be fed back to participants to motivate them to change the environment in which they live. As such, the instrument becomes a planned interventive strategy.

The C.I.E.S. Form C has 86 items forming nine subscales which are organized around three principle dimensions relevant to correctional institutions as well as to other social environments: (1) people to people relationships, (2) institutional programs, and (3) institutional functioning. The nine subscales are: Involvement, Support, Expressiveness, Autonomy, Practical Orientation, Personal Problem Orientation, Order and Organization, Clarity, and Staff Control.

Conceptually, the first three subscales of Involvement, Support, and Expressiveness measure **relationship** dimensions. They assess the extent to which inmates tend to support and help each other, and the extent of spontaneity and free and open expression within all these relationships. These variables, thus, essentially emphasize the type and intensity of personal relationships among residents and between residents and staff which exist in the milieu.

The next three subscales, i.e., Autonomy, Practical Orientation, and Personal Problem Orientation are conceptualized as personal development or treatment program dimensions. Each of these subscales assesses a dimension which is particularly relevant to the type of treatment orientation the unit has initiated and developed. Autonomy assesses the extent to which inmates are encouraged by program and staff to be self-sufficient and independent and to take responsibility for their own decisions. The subscales of Practical Orientation and Personal Problem Orientation reflect two of the major types of treatment orientations which are currently in use in correctional institutions.

The last three subscales of Order and Organization, Clarity, and Staff Control are conceptualized as assessing system maintenance dimensions. These dimensions are system oriented in that they are all related to keeping the correctional unit or institution functioning in an organized manner.

Profiles constructed from the surveys depict the institutional environment in particular units or groups as the individual staff member or inmate resident perceives it. Similarly, by combining the scores of respondents a measure of consensual interpretation is given. If these scores are compared to the national norms in profile form, a picture of the way the group as a whole perceives the unit is obtained.

METHODOLOGY

Hypothesis and Rationale

It was hypothesized that inmates in a unit with a more effective case management system would perceive a more positive social climate than inmates in a unit with a less effective case management system.

The rationale for this hypothesis was developed from the literature review which suggests that the social climate of a correctional institution affects the inmates in predictable ways over and above what would be expected from knowledge about their background characteristics such as passive or aggressive tendencies. In other words, a number of studies have shown that treatment oriented correctional climates are associated with more positive perceptions of residents and staff, at least while they are in the program (Moos, 1970).

The concept of case management offers the correctional practitioner a blueprint for organizing and monitoring more precisely where inmates are in their incarceration. It would logically follow that the finer tuned the blueprint, the more accurate the findings.

For these and other reasons related to effective case management, some insight into the quality of life of the correctional environment is crucial.

Instrumentation and Collection of Data

To measure the effectiveness of case management at Eastern Correctional Center, each of the five unit's case management system was audited by the institutional social worker in the summer of 1986 (Suman, 1987). The audit included a review of the case management plan, case management records, case worker skills and knowledge, and evidence of inmate awareness. The results of each unit's audit was recorded on the "Eastern Correctional Center

Case Management Audit Rating Sheet." The rating categories (inadequate, marginal, fully meets standards, exceeds standards, and exceptional) were collapsed into three categories; marginal, fully meets standards, and exceeds standards, and given numerical values of 1, 2, and 3 respectively.

The results of the "Case Management Audit Worksheet #2, Case Worker Interview" was also quantified by giving numerical values of 1, 2, and 3 to responses. The results of the tabulations of both rating instruments were compiled so that the unit receiving the highest numerical score was designated to have the most effective case management system and the unit with the lowest numerical score was designated as the least effective case management system. The units were thus dichotomized in terms of most and least effective in order to have interval data.

The unit with the most effective case management system was found to be Co-Op (work assignment unit), and the unit with the least effective case management system was found to be Fore ("passive" population unit).

The Correctional Institutions Environment Scale (CIES) was administered over a period of two days in the winter of 1986 at Eastern Correctional Center. Every inmate on each of these two units was eligible for participation in the study. Participation was voluntary and no incentives were given. Eighty-five inmates (40.66 percent) participated and constituted the sample. On Co-Op unit, the response rate was thirty-six out of a total of eighty-nine inmates assigned to the unit on the day the CIES was administered (40.45 percent). On the Fore unit, the response rate was forty-nine out of the one hundred and twenty inmates assigned to the unit on the day the CIES was administered (40.83 percent).

Sample Characteristics

Demographic data shows the sample to be between the ages of 21 and 68, forty-one (48.24 percent) White, 40 (47.06 percent) Black, 3 (3.53 percent) American Indian, and 1 (1.17 percent) identified themselves as "other" with a mean age of 31.90. Racial distribution was not representative of the State of North Carolina population in general. In other words, the Black population was overrepresented in this sample.

The sample reflected a mean educational level of 12.0 grades, with a minimum of grade completion of six, and a maximum of eighteen.

The offense distribution related to the longest sentence in which the respondents are presently serving. Seventy-two (84.71 percent) were convicted of a violent crime, and 13 (15.29 percent) were convicted of a nonviolent crime, as defined by the Uniform Crime Reports (1986), Part I and Part II categories. Thirty (35.29 percent) had been convicted of a prior felony.

The number of months that the respondents had been assigned to Eastern Correctional Center was a mean of 16.50 months with a minimum of one and a maximum of 46.

In terms of the program assignments of the respondents, twenty (23.53 percent) were enrolled in school full-time; eight (9.41 percent) were involved in part-time school; twenty-five (29.41 percent) worked full-time; nine (10.59 percent) were involved in part-time work, part-time school; and twenty-three (27.06 percent) were unassigned.

Forty-nine (57.65 percent) of the respondents were active in volunteer programs. Reasons indicated by the respondents for participation in program assignment included "something to do," "gained time," "incentive wage," and "for record and promotion."

Of the respondents, sixty-two (72.95 percent) strongly agreed that work or school was important, sixteen (18.82 percent) agreed, and five (5.88 percent) strongly disagreed. Two (2.35 percent) had no opinion.

In response to a question of whether unit management was an effective method of managing a large correctional institution, forty-nine respondents (57.60 percent) indicated unit management was effective, nineteen respondents (22.35 percent) indicated it was ineffective, and seventeen respondents (20.05 percent) were undecided.

Data Analysis

To test the hypothesis that changes in case management, the independent variable, would vary with changes in social climate, the dependent variable; the results for each CIES profile were plotted following Wenk and Moos (1972a) standard scores. The results for each CIES profile are reported in standardized *t* scores. (The standardized *t* scores differ from the *t*-ratio approach used later to analyze variance.) For each of the nine dimensions the national norm of correctional institutions is a score of 50. Any institutional score that is 10 or more points above or below 50 is generally considered to differ significantly from the national norm. Also, a difference of 10 or more points between any two scores on the same dimension is generally considered significant. A profile score over 50 for any of the CIES dimensions, except Staff Control, is above the national norm and considered desirable; whereas, a score of less than 50 for any dimension, except Staff Control, is below the national norm. Regarding the Staff Control dimension, the interpretation is reverse. That is, a score below 50 is desirable and a score above 50 unfavorable.

The CIES findings, somewhat suspect because of the research of Wright and Boudouris (1982), would be analyzed by other statistical techniques. One strategy would be to utilize the *t*-ratio approach to determine if there was significant differences between the units in each of the three CIES dimensions, relationship, treatment, and system maintenance.

To further analyze the data, a Pearson Product Moment Correlation Coefficient would be employed to determine the strength and significance of the relationships of the nine subscales of the CIES.

Last, a correlation matrix of the independent variable (case management system), selected intervening variables (age, school grade, infractions, previous felonies, and voluntary participation in programs), and the dependent variables (three dimensions of the CIES) would be developed to determine if the relationships among these variables are significantly correlated.

FINDINGS

Inmate Profile

Figure 1 presents the overall profile scores for the Eastern inmates who completed the CIES questionnaire. The profile for this sample is well above the national norms

for eight of the nine subscales measured, indicating that these inmates had a very positive attitude at this particular point of their incarceration. The subscale Practical Orientation is only slightly below the national norm.

No significant differences were found between the social climates of the two units (Co-Op and Fore).

Relationship dimension. The three subscales making up the relationship dimension present several interesting findings. First, respondents feel that the program at Eastern encourages the open expression of feelings by both inmates and staff, expressiveness, $t = 77.61$. Support, which measures the extent to which inmates are encouraged to be helpful and supportive toward other inmates and how supportive the staff is toward inmates is also quite positive, $t = 69.91$. The third subscale, involvement, presents a more moderate finding, $t = 56.09$. Here the respondents are within the normal range in developing pride and group spirit.

Personal development or treatment dimension. Although the profiles of the two units are quite similar, the personal development or treatment dimension reflected by this population is mixed. They perceive autonomy, the extent to which inmates are encouraged to take initiative rather positively, $t = 72.34$. Likewise, they are moderately positive in dealing with their personal problems and feelings, $t = 67.18$. But, they are below the national norm in their belief that the institution prepares them for release from prison, $t = 47.27$. This latter finding may reflect the long-sentence status of this population. That is, their release date is so far away that they have not allowed themselves to project this far into the future. The lack of job opportunities within the institution might also be a factor in this finding.

System maintenance dimension. The subscale Staff Control which assesses the reliance on rules and schedules by

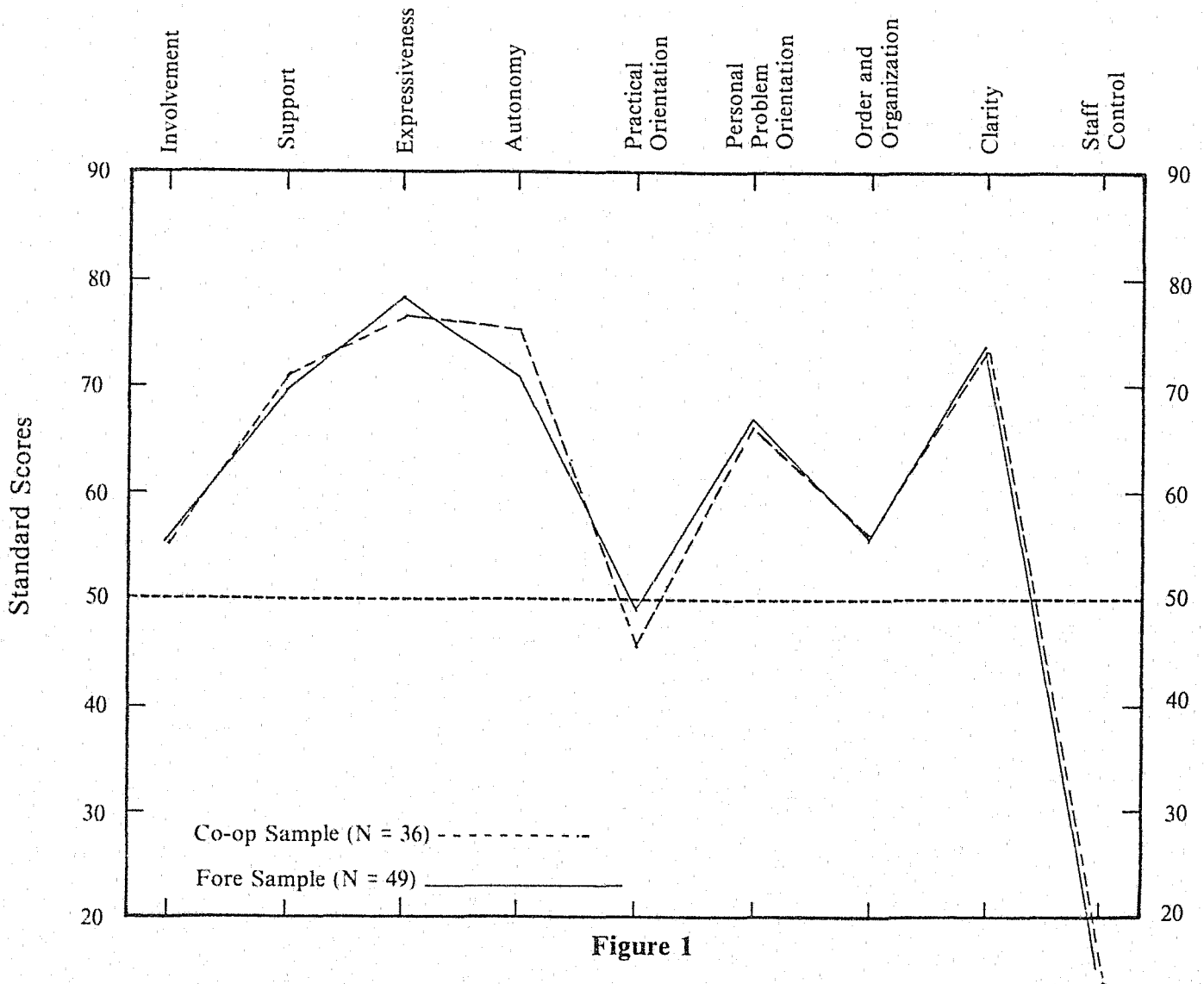


Figure 1

the institution to keep inmates under necessary controls is viewed by the respondents positively, $t = 13.62$. Remember, a negative score in this dimension is positive. Clarity, measuring the extent to which programs and staff expectations are specific, $t = 73.11$ was also significantly higher than national norms. The dimension, order and organization, measuring how inmate appearance and housekeeping standards are met, $t = 54.26$, is within the normal range.

In summary, the CIES instrument presents an overall positive picture of the social climate of this institution. The instrument seems to be sensitive to the negative aspects of long-term confinement. That is, the inmates perceptions that the institution does not prepare them for release into the free community. As noted, there was no significant difference between the social climates of the two units under study.

A second statistic was used to test these initial findings. The nine subscales of the CIES were collapsed into the three dimensions; relationships, treatment, and system maintenance and the t-method was used to compare means. No statistically significant difference was noted.

To further analyze the data, a Pearson Product-Moment Correlation Coefficient was used to determine the strength and significance of the relationships of the nine subscales which comprise the three dimensions of the CIES instrument.

In the relationship dimension, the subscales of involvement and support were negatively correlated; the subscales of support and expressiveness were positively correlated; and the subscales of involvement and expressiveness were not significantly correlated.

In the treatment dimension, all three intercorrelations among the subscales were found to be significantly positively correlated.

In the systems maintenance dimension, there exists a positive correlation between the subscales order and organization and clarity, and negative correlations between the subscales of order and organization and staff control and clarity and staff control. Thus, it was determined that the three dimensions did not vary together as would be expected.

A correlation matrix was developed on the independent variable unit, the intervening variables (age, grade, and infraction, and the dependent variables (three dimensions of the CIES). Here, no significant relationship among the variables was noted. Further, there were no significant predictors of the dependent variables (dimensions) among the independent and intervening variables, and the independent variable (unit) was found to be an insignificant predictor of the dependent and intervening variables.

In summary, the findings noted no significant difference between the social climates of the two units. Both units had a generally positive social climate. The nine subscales did not correlate significantly around each of the three principle dimensions. None of the relationships between the independent and intervening variables were significantly predicted by the independent variable. The independent variable of unit did not prove to be a significant predictor of any of the nine dependent variables.

IMPLICATIONS

Despite several methodological problems with this study such as instrument validity, case management scaling, and sampling sufficiency, the findings have several important implications for correctional practice.

First, the population surveyed was generally positive about their situation. These positive attitudes held in spite of the nature of this close custody setting. It might well suggest that case management staff are doing a good job of making this institutional climate positive.

Second, the very fact of auditing might well signal active administrative support for the case management system. The history of corrections is replete with the tendency of institutions to become non-caring, negative, human warehouses. The consequences of system intervention are multidimensional. Here, the results seem positive.

Third, we learn from our experiences. We learn for example, how to deliver services. By following the case management scheme of (1) problem identification, (2) assessment, (3) service planning, (4) linkage to resources, (5) monitoring results, and (6) case advocacy, we move beyond the overused and unproductive dichotomy of treatment versus management.

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Dr. Smith is a practitioner, teacher, and consultant in all areas of post-adjudication criminal justice, including institutional corrections and alternatives to incarceration at both adult and juvenile levels.

Eastern Kentucky University College of Law Enforcement

Career Opportunities

Graduates from the Department of Correctional Services may pursue careers as juvenile or adult probation officers, counselors in institutions, halfway houses or community centers, institutional caseworkers or parole officers, and working with rape victims, spouse abuse, battered children, court administration, pre-trial diversion, and related social service and criminal justice fields.

Fire and Safety Engineering Technology graduates may qualify for careers in industrial fire protection, arson investigation, insurance risk evaluation, industrial safety areas, fire protection equipment industry, state fire training agencies, insurance adjusting, municipal and county fire departments, structural design for fire protection, state safety programs, federal fire departments, and others.

Graduates of the Police Administration program have found jobs as patrolmen, troopers, state policemen,

narcotics agents, customs agents, military policemen, immigration inspectors, special agents for the Intelligence Division of IRS, postal inspectors, and FBI agents.

Students majoring in Security and Loss Prevention are prepared for a career in the following fields of loss prevention at the supervisory or management level: Governmental (military, education, health, banking), industrial (private, public), retail (hotel/motel, restaurant, department stores), transportation (railroad, airport/airline, maritime), insurance (investigation, adjusting, inspection), health care facilities (hospital), and financial (banks).

The Traffic Safety Institute students may pursue careers in driver education, law enforcement, accident investigation, commercial driver education, safety agencies, and organizations in both private and public sectors.

Direct Supervision Classification

Sandra Denise Thacker

Abstract

This article describes the Direct Supervision Classification Plan developed for the Bexar County Adult Detention Center in San Antonio, Texas. A description of the foundation for design, the classification process, the classification categories and the reclassification process are discussed as well as matching the classification to differential supervisory styles.

The classification mechanism in a direct supervision detention center is a very critical element in the overall operation of the direct supervision facility. It stands as one of the eight principles of direct supervision. Classification becomes a central intelligence network of information concerning individual inmates and a primary management tool for the institution. Classification serves both as a repository for receiving information and a method of transmitting this information to affected areas.

The Bexar County Adult Detention Center in San Antonio, Texas is soon to open a 1,500 bed direct supervision institution. A review of the correctional literature did not produce a classification plan written for a direct supervision detention center the size of the proposed Bexar County operation. In response to a perceived need of defining a Classification Plan for the center, the National Institute of Corrections appropriated two grants to provide funding to write policy and procedure for the plan, design a computerized system to support the defined plan and write the software system.

FOUNDATION FOR DESIGN

There were certain premises the Bexar County staff wanted to incorporate in their direct supervision classification plan. Those premises are:

1. First and foremost, one must accept the philosophical base that man is responsible for his own behavior. Inmates may earn their way from one classification to another either through good behavior or unacceptable behavior and also gain or lose privileges as their behavior dictates.
2. An inmate's behavior which was exhibited during the commission of crime does not necessarily dictate the behavior they will exhibit while incarcerated. Therefore, classification by criminal code is not always effective.
3. A basic premise of human behavior is that persons will respond to the expectations which are put upon them.

Inmates are assigned a classification which places them in housing which is the least restrictive, according to the determined custody level.

4. Homosexuals being like heterosexuals are either monogamous or promiscuous. Homosexuals who are non-overt may be assigned to general population single cell housing.
5. Inmates who have been assigned to a classification and have lived by the rules and regulations of the facility do not necessarily need to be reclassified because they have become sentenced. Therefore, classification by status in the judicial system is not always effective.
6. The management style the living unit officer will use fluctuates according to the type or classification of the inmate. Some groups of inmates will require less monitoring and control than other groups. The classification plan will assist the officer in adjusting management style to match the expected behavior of the inmate.
7. The recording instrument used by staff should be geared to an observation/research decision making rather than making classification decisions due to numerical scores. Human beings do not confine themselves to being described in terms of numbers. Other than height/weight, age, and I.Q., human beings are not generally described in numbers. Human beings are best described according to the behavior they exhibit.
8. The classification system should be cost effective in regard to facility space and staff time working with the various classification.
9. The classification instrument should consist of a blend of objective and subjective data and consist of input from a variety of staff before a classification label is assigned.
10. The classification section should provide a population and tracking data tool for use by administrators to project future trends.

The ultimate goal is to return the inmates to society no worse than when they entered the facility.

The direct supervision classification plan is based on predicting and monitoring the inmate's behavior. To achieve this the classification staff is divided into 2 groups. One portion of the classification staff conducts the classification interview while a second group conducts both the classification interview and are assigned a caseload of inmates of like classification, which involves performing timely reviews of the inmate's classification. The caseload classification officers make daily rounds of the living units in an effort to assist the living unit's officers in a pro-active approach to problem solving, and to identify behavior patterns of inmates toward the living unit officers so that the living unit officers may respond to the inmate using the

appropriate management style. Caseload Classification Officers also keep check to ensure the classification assignment is the most appropriate as the inmate evolves during the incarceration process.

THE CLASSIFICATION PROCESS

Classification is an administrative decision-making process designed to achieve the stated objectives while not bestowing any right upon the inmate to receive a particular classification assignment, nor does it obligate the administration to prove a particular classification assignment. This decision-making process is organized into a three stage data collection process designated as follows:

Stage 1 Initial Risk Assessment

Stage 1 occurs during the Intake process. Intake clerks assemble information from the booking data, observations of the transporting officer, their own observations, and information supplied by the inmate to prepare an Initial Risk Assessment questionnaire. The purpose of the Initial Risk Assessment is to identify immediate emergency needs and to determine immediate separation requirements in the intake area.

Any medical, psychological, or potential suicidal evaluation will be immediately referred to the medical/mental health staff. If the current crime was notorious, heinous, highly unusual, sex related, or a crime against a child, elderly or handicapped, temporary holding in a single cell is recommended. In the absence of a single cell, holding with inmates of a similar description is indicated. If not released, after approximately five hours the inmate will be moved from the intake area to the orientation living units.

A determination will be made as to the language the inmate speaks most fluently. This is entered into the system and serves as a flag to any subsequent persons who will come into contact with the inmate. This will save an abundance of time and energy by matching the inmate to staff who are able to communicate with the inmate.

Stage 2 Orientation Assessment/Verification

The Orientation Assessment provides an opportunity to verify information given during the Intake process. The orientation living unit officer further screens for emergency needs such as any new illness or psychological complaints, a criminal history of sex crimes or crimes against a child, elderly, or handicapped, indicators that an inmate may be a potential victim because of the nature of the crime, mental condition, physical or behavior characteristics, and/or indicators that an inmate may be an aggressor due to gang or political group affiliations and should be reviewed to ascertain any difficulty in adjusting to cohabiting with another race or if enemies exist in the facility.

During the course of stay in the orientation unit, an inmate is observed in a variety of activities such as dayroom interaction and participation in activities in the adjacent recreation yards. These observations are recorded by the Living Unit Officer on an Orientation Behavior Observation Form which describes behavior.

This form is provided to the classification staff and serves as a part of the data collection pool which can be shared with other staff in the facility. Another very essential ingredient of the orientation unit are the presentations by

Human Services staff. The orientation presentation consists of an in-depth explanation of what is expected of the inmate at the Bexar County Detention Center, program availability, and an explanation of chain of command and channels of information. The educational program staff conducts testing to place inmates in various classes. A film is shown and the inmate is provided a copy of the Inmate Handbook. Human Services staff assist the classification staff in accessing the inmate for assignment to a High or Low Program housing area.

Program assignments are divided into 2 categories and labeled High or Low Program housing. Inmates assigned to Low Program housing will be eligible to participate in any or all of the following services:

1. Basic G.E.D.;
2. English as a Second Language;
3. Religious service or;
4. At least one commissary privilege per week.

Inmates assigned to High Program housing will be eligible to participate in any or all of the following services:

1. Basic and expanded G.E.D.;
2. English as a Second Language;
3. Art class;
4. Religious service;
5. World of Work or;
6. At least one commissary privilege per week with a possibility of additional purchases or purchase on an expanded commissary list.

Stage 3 Classification Interview

Within forty-eight hours of entry into the orientation unit each inmate will be interviewed by assigned classification staff. The purpose of this interview is to gather additional information regarding personal/social needs, program interests, and other housing assignment criteria. Inmates may remain in the orientation unit up to seventy-two hours for observation and additional classification interviews. Housing in the orientation unit shall not exceed seventy-two hours from the time of intake.

The first two stages of the classification process were mostly objective. Yes or no responses clearly define particular courses of actions. The third stage encompasses a combination of objective and subjective decisions. The classification officer reviews data collected at Intake, Orientation, the Orientation Behavior Observation Form, criminal history compiled by records staff, and the results of the medical screening. The classification officer performs the Classification Interview in counseling rooms adjacent to the orientation living unit.

After the inmate is returned to the orientation living unit, the classification officer proceeds to the Human Services staff and receives the results of the testing and interests the inmate demonstrated during the Human Services staff interaction. The classification officer will return to the Classification Office with the information collected during the interview and this data is then entered into the computer system.

CLASSIFICATION CATEGORIES

Inmates assigned to the general population will be housed in four basic housing classifications:

1. Initial/Low Program;
2. Initial/High Program;
3. Subsequent/Low Program;
4. Subsequent/High Program.

Initial/Low Program

Inmates assigned to Initial/Low Program housing are generally first offenders (first time incarcerated), or offenders with minimal prior institutional experience, or who are genuinely naive to the institutional environment, and have chosen not to participate extensively in institutional programming. These inmates continue to have access to basic programs but minimal program participation is anticipated because of individual preference. Consequently the level of recreational activity within these units generally should be higher in order to compensate for low program activity.

Initial/High Program

Inmates assigned to Initial/High Program housing are generally first offenders (first time incarcerated), or persons with minimal prior institutional experience, or consciously appear to be genuinely naive to the institutional environment, and who have elected to participate in available institutional programs beyond the basic. Since these inmates will participate frequently in programming activities, other activities within the unit may be less structured.

Subsequent/Low Program

Inmates assigned to Subsequent/Low Program housing have generally had prior institutional experience, or may be criminally sophisticated, and have elected minimal participation in institutional programs. Persons assigned to this housing classification are anticipated to be somewhat manipulative and may be uncooperative. Consequently structured activities within the unit will be required in order to minimize idle time. These inmates continue to have access to basic programs.

Subsequent/High Program

Subsequent/High Program housing involve inmates with prior institutional experience, or who may be criminally sophisticated, and have elected to participate in institutional programs beyond the basic. Although behavior may be somewhat manipulative it is generally anticipated that these inmates will be cooperative and seek to make their period of incarceration as pleasant as possible. Consequently the need for highly structured activities in the housing unit should be minimal.

Special Management Housing

Special Management inmates will have services provided on the living unit. Inmates whose criminal history or current behavior indicates a need for special security or segregation from the general population will be housed in the following designated areas:

Administrative Segregation

Administrative Segregation houses inmates whose continued presence in the general population poses a serious threat to life, property, other inmates, staff members, or the security of the facility.

Protective Custody

Protective Custody groups inmates whose presence in the general population poses an **imminent** threat to life, property, or to themselves.

Homosexual

Homosexual inmates whose expressive lifestyles or physical behavior and appearance strongly advertise their homosexual tendencies should be assigned to special housing in order to avoid disruption within the general population.

Substance Abuse

Inmates whose history or whose recent activity indicates substance abuse problems will be housed in separate living units so that special attention and programming may be provided. Substance Abuse inmates who do not have acute medical needs will be housed in multiple occupancy housing and located near program service areas.

Stabilized Medical/Mental Inmates

Inmates who have been identified as mentally ill by medical staff but no longer need the acute care offered in an infirmary setting will be housed by classification in multiple occupancy housing. Multiple Occupancy housing, a small group living environment, tends to maximize human interaction.

FOR THOSE FEW WHO CHOSE NOT TO ABIDE BY THE RULES

Discipline under direct supervision should be immediate and met with certainty. Once the inmate has violated a rule of the institution and has demonstrated disruptive behavior which appears to be a risk to the security and management of the unit this inmate will be placed in the Intensive Supervision system of the facility where the greatest supervision is imposed. Placement into this unit labeled as Intensive Supervision is considered temporary and is viewed as a place where inmates will be able to collect themselves in order to function properly in a less intensively supervised housing area. Each inmate is given a discipline hearing within 72 hours of placement into the unit.

REVIEWS/RECLASSIFICATION

Since classification is an on-going collection and decision-making process, classification reviews will be conducted by classification caseload officers periodically, depending upon the specific classification category of each individual inmate. Classification reviews will take place on the last day of an inmate's disciplinary detention, a change in the inmate's judicial status or inmate worker status, upon a request by staff or the inmate and in the following timely sequence:

Intensive Supervision daily
Administrative Segregation weekly
Protective Custody weekly
General Population every 30 days interval

The caseload classification officer performing a classification review will be responsible for communicating with the security officers of the housing unit and programming staff delivering services to the housing areas as to the progress of this inmate in his assigned housing unit and classification. If deemed necessary, the inmate may be reclassified or relocated.

APPEALS

The inmate has a right to appeal the classification decision to higher authorities. The first level of appeal is to the Classification Manager. If the inmates are not satisfied with the response at the first level of appeal, they may appeal to the second level; the Detention Center Director. If the inmates again are not satisfied, the inmate may wish to appeal to the third and final level; the Sheriff. Staff involved will have a 72 hour response time to the inmate with the inmate having 48 hours from receipt of response from one level of appeal to the next level of appeal if necessary.

DIFFERENTIAL SUPERVISORY STYLES

The process of classification involves the identification of behavioral characteristics and the assignment of inmates to particular housing units based on anticipated behavior and adjustment to the institutional environment. Such a process assumes that inmates of a like classification will exhibit similar behavioral characteristics. **Consequently differential staff supervision styles are necessary to respond to and control individual and group inmate behavior.** Some groups of inmates will require less monitoring and control than others. In an effort to meet their various monitoring and control requirements and in order to provide more autonomy to inmates who exhibit positive self control in the institutional environment, differential supervisory styles will be employed throughout the institution in living units. Supervisory styles are tailored, either informally or formally, to the degree of cooperation exhibited by the inmate population in adhering to institutional rules and procedures. In a system where inmate housing and program assignment are based upon behavioral characteristics of the inmates it is appropriate that inmates be rewarded through increased autonomy and decision-making; if they exhibit sufficient ability to do so. Detention Officers and other staff assigned to housing units are expected to exercise the degree of control necessary to maintain adherence to institutional rules and regulations. They are also expected to allow increased autonomy of decision-making and increased level of activities within the living units if inmate behavior so

warrants. The three supervisory styles to be used in the direct supervision model are identified and defined as the following:

Directive Supervision

Directive Supervision is a formal or authoritative style used with inmates who are uncooperative or who may not readily understand their responsibilities. This style is characterized by staff providing specific instructions for each activity on a step-by-step basis.

Collaborative Supervision

The Collaborative Supervisory style is facilitative in nature and is used when inmates are attempting to cooperate but may not be doing so consistently. This style is characterized by a discussion of alternatives with the inmate before a decision is made or directions are given.

Democratic Supervision

When inmates consistently exhibit the ability and willingness to cooperate, it is appropriate for staff to adopt a less active role and allow inmates to make decisions and share responsibilities by mutual consent. The Democratic Supervisory style is characterized by staff attempting to help structure the decision-making powers, holding inmates accountable for the results, and insuring that the results are within the boundaries of institutional rules and procedures.

In addition to matching an inmate management style to a classification of inmate, the administration of a direct supervision institution has an obligation to analyze the talents of the line staff. The Classification Manager along with the Assistant Director of Security and Medical Director screens the staff and assigns the staff to housing units where the staff member can use their abilities. This process of matching staff and inmates is an essential ingredient in the overall pro-active approach to inmate management.

CONCLUSION

The use of this type of classification instrument and matching classification to the use of differential supervisory style is relatively new. The plan is designed for use in direct supervision institutions. The next step in this process will be to validate the system to ensure it is capturing what needs to be gathered and that communication dynamics are working toward effective management within the inmate population.

About the Author

Sandra Thacker has over ten years experience in Corrections and an M.S. Degree in Administration of Justice from Southern Illinois University. She is a part-time professor at U.T.S.A. and has co-authored an article on direct supervision. She has assisted in designing a classification plan, discipline and grievance mechanisms for direct supervision jails.

The Massachusetts Department of Corrections Classification and Program Agreements System

Michael W. Forcier

Abstract

The Massachusetts Department of Correction recently implemented a classification system entitled "Classification and Program Agreements" or CAPA. CAPA is a voluntary program agreement offered to some inmates during a classification hearing where the Department of Correction and the inmate agree to a scheduled reduction in security levels according to a "standard movement chronology" contingent upon positive adjustment and program participation in designated need areas for the duration of the agreement. All inmates serving sentences where parole eligibility date is six months away or more are eligible to sign a CAPA. Inmates with outstanding serious warrants, current mental health issues, a significant disciplinary history, extreme protection issues, housed in the Department Segregation Unit or who pose a threat to the community are not eligible for a CAPA.

CAPA was envisioned as an objective and systematic process by which the programmatic needs and security requirements of each inmate could be identified and assessed upon commitment to the Department of Correction. It was also seen as a tool for forecasting and managing bedspace, enhancing inmate management, motivating inmates to participate in programs, and increasing the likelihood for successful reintegration from higher to lower levels of security and ultimately back to society. In addition to describing the CAPA system, this article reports on an evaluation of that system.

The Massachusetts Department of Correction (DOC) classification philosophy, processes and procedures emerged from Chapter 777 of the 1972 Correctional Reform Act which "stipulated that the Commissioner of Correction establish a classification system to enable development of a rehabilitative program for each committed offender; assign or transfer an inmate to facilities appropriate for both custody and program needs, and set up necessary screening committees to make recommendations on each inmate (Massachusetts Department of Correction, 1987)." Since 1972, the DOC has experimented with different classification systems. There have been area board classification systems, reception and diagnostic centers, contract classifications, and most recently, Classification and Program Agreements or CAPA.

As listed in Volume 1 of the DOC Classification Manual (Massachusetts Department of Correction, 1987), the following are guiding objectives of the classification system:

- Massachusetts Department of Corrections Classification System Objectives**
1. "The system shall be rational, consistent and have equitable methods of assessing the relative needs and risks of each individual inmate with respect to appropriate agency resources.
 2. The system shall adhere to the principle that inmates be placed in the least restrictive security level required to ensure protection of the public, correctional staff, themselves, and other inmates.
 3. The inmates shall be classified on the basis of factual information and specific criteria.
 4. The process shall be uniformly applied so that similarly situated inmates receive similar security and program assignments.
 5. The system shall provide centralized control, monitoring, and evaluations of the process.
 6. The procedures shall ensure the systematic review of inmates as a means to transfer inmates to reduced or increased levels of security when warranted.
 7. The classification process shall be designed to maximize the potential for the inmate's reintegration to a successful, law abiding community life.
 8. The system shall provide for maximum involvement of the inmate in determining the nature and direction of individualized goals, and a mechanism for appealing administrative decisions affecting the inmate.
 9. The system shall be adequately staffed and the Department staff shall be trained in its use.
 10. The system shall provide factual and quantifiable data to facilitate research."

In assessing and balancing the security and programmatic needs of inmates versus those of the public and the resources of the DOC, particular attention is paid to the concepts of **eligibility** and **suitability** which form the parameters within which classification decisions are made. Eligibility, as defined, means that inmate placement in various security levels or participation in certain programs, is limited or conditioned by Massachusetts General Laws, Commonwealth of Massachusetts Regulations (CMR), or Department of Correction Policy. For example, forestry camps, by law, cannot accept sex offenders. Eligibility factors have an objective basis and can be stated explicitly.

By contrast, suitability factors are more subjective and answered through a staff person's judgment, common sense, and experience in the analysis of the objective data relative to an inmate's case. In short, while an inmate may be eligible for a certain program or custody level, he or she may not be suitable for it. For example, while an inmate may meet the eligibility criteria for placement in minimum security, he or she may not be suitable for it based on a history of escape attempts or poor adjustment in non-walled facilities.

The Inmate Population and Overcrowding

Inmate classification within the Massachusetts correctional system is complicated by a number of factors unique to both the inmate population and DOC facilities. First, 69 percent (3,889) of the inmate population is incarcerated for a violent offense (i.e., offense against a person or sex offense) (Holt, 1987). However, of the 31 percent (1,747) currently incarcerated for a non-violent offense (i.e., property, drug, or other), many have violent criminal histories, leading to the estimate that in fact, 80 to 85 percent of the state prison population consists of currently or previously violent offenders.

Second, although Massachusetts has the sixth lowest incarceration rate in the nation (97 inmates per 100,000 population in 1986), it has the nation's third most overcrowded prison system (after California which was first and Hawaii which was second) (Camp and Camp, 1987). On January 1, 1987, the system was operating at 68.1 percent over capacity (Camp and Camp, 1987).

Third, the violent nature of the inmate population, coupled with the severe overcrowding, has led to rapid movement of inmates through the system in what one administrator referred to as a "game of musical beds." For example, in 1986, there were 8,147 interinstitutional transfers within the system and a total of 31,361 moves involving 7,970 inmates (Lorant, 1987).

In partial response to the violent criminal history of the inmate population, severe overcrowding, and volume and rapidity of inmate movements, the Massachusetts Department of Correction recently has developed and implemented a new classification system built around the concept of Classification and Program Agreements.

CLASSIFICATION AND PROGRAM AGREEMENTS

Objectives

The Massachusetts Department of Correction's classification system is built around a concept called "Classification and Program Agreements" or CAPA. The CAPA is a voluntary program agreement offered to some inmates during a classification hearing in which the DOC and inmate agree to a scheduled reduction in security contingent upon positive adjustment and program participation for the duration of the agreement. The CAPA indicates the inmate's program needs, the actions to be taken to address those needs, the institution(s) where the sentence will be served, and the transfer schedule according to which the inmate will be moved through the system, from higher to lower levels of security contingent upon adherence to the conditions specified in the CAPA. Inmates who abide by the CAPA by participating in designated program areas and adhering to special conditions such as remaining free of disciplinary reports, are to be transferred to reduced security levels according to a Standard Movement Chronology. Inmates who either are not eligible or suitable for a CAPA or choose not to sign a CAPA are also expected to participate in designated program areas and remain free of disciplinary reports. They are not promised, however, a scheduled reduction in security levels nor do they know in advance where they will serve their sentence.

The CAPA system was envisioned as a systematic process by which the programmatic needs and security requirements of each inmate could be identified and assessed upon commitment. Given the fact that 85 percent of the DOC inmate population has a present or past violent criminal history, and the severe overcrowding problem in the DOC, it was felt that an objective or point-based classification system using a risk instrument would not work well since it would result in too many inmates being scored or classified for maximum security where there is already a strict cap on the count. Thus, in CAPA the DOC has opted for a more subjective classification scheme which relies on the expert opinions of classification staff. In effect, the CAPA developed at initial assessment and classification is viewed as an "individualized program plan by which an inmate's successful reintegration from higher to lower levels of security and ultimately to society can be maximized (Massachusetts Department of Correction, 1987)." The CAPA seeks to accomplish this by mapping out an inmate's expected length of incarceration, based upon the presumed earliest parole or discharge date which serves as the framework within which the specific components of the agreement are developed. These components include: an assessment of the inmate's programmatic needs; schedule of program participation, progress and completion; and, a schedule of institutional placement and transfer.

A second major purpose and function of CAPA is that it was seen as a management planning tool for identifying, projecting, and managing available bed space at each security level. Given the serious extent of overcrowding, it was felt that based upon the specific criteria in the Standard Movement Chronology, CAPA would allow for the forecasting of bedspace in a manner which streamlines the classification process and maximizes the usage of lower security placements, thereby assisting in reducing the severe overcrowding in the major, higher security institutions.

Finally, by integrating programs and classification, and basing this on a reintegration model, CAPA was felt to provide an incentive to inmates to participate in designated programs and maintain positive institutional adjustment. It was believed that knowing where and when they would be transferred within the system was a strong incentive to maintain positive adjustment and stay in programs.

CAPA Eligibility/Suitability Criteria

All inmates serving sentences whose parole eligibility or discharge date is six months away or more (females 90 days or more) are eligible for CAPA except for those inmates in the Department's Segregation Unit (DSU). In addition, inmates who have any of the following may not be suitable for a CAPA.

1. Serious warrants that have the potential to change (i.e., lengthen) the sentence structure.
2. Current mental health problems, where behavior is difficult to predict.
3. Significant disciplinary histories.
4. Inmates who pose a threat to the community.
5. Extreme protection issues.

Currently, about 75 percent of the DOC population meets the eligibility criteria for a CAPA. Of those eligible, about 75 percent choose to participate by signing an agreement.

The Standard Movement Chronology

In Massachusetts, the primary determinant of the level of security an inmate will be placed in is **length of sentence**. This raises the important issue of how much time an inmate must serve on his or her sentence, other factors being equal, before becoming suitable for placement in medium, minimum, or pre-release security levels. In order to meet the classification principle of placing inmates in the least restrictive security level given the risks they pose to public safety, while simultaneously making such placements in an objective, rational, and consistent manner, the Standard Movement Chronology was developed.

The Standard Movement Chronology is a timetable which establishes transfer schedules to medium, minimum, and pre-release security levels by considering an inmate's sentence and earliest presumed parole eligibility date. The Chronology was developed by classification staff who determined the optimum periods that inmates should serve in each security level based upon their own experiences in classifying offenders. It was then used by research staff to determine how many inmates in custody at that time would be placed in each security level if the Chronology alone was the only criterion for placement. Modifications were then made to the Chronology to account for the realities of the inmate population and the availability of beds.

It should be emphasized that the Standard Movement Chronology does **not** set eligibility criteria for placement in terms of time to be served by an inmate in the various security levels. It does, however, sharply define when inmates move to various security levels unless mitigating or aggravating circumstances exist. Thus, although the Chronology is to be strictly followed in determining transfer schedules, aggravating or mitigating circumstances might exist which warrant the inmate serving more or less time in higher levels of security even though they may have already served substantial portions of time on their sentences. For example, mitigating circumstances warranting quicker placement in lower security levels might include: a limited or non-existent criminal history; exemplary institutional behavior and program involvement; strong community ties; and successful bail period. By contrast, aggravating circumstances making an inmate more suitable for maximum security would include: extensive and violent criminal history; extremely serious or heinous nature of offense; and, poor disciplinary history and institutional adjustment. In sum, although the Standard Movement Chronology does not set eligibility criteria for placement, it sharply defines when inmates should move to various security levels unless mitigating or aggravating circumstances exist. A copy of the Standard Movement Chronology and its corresponding sentence conversion tables are presented in Appendix 1.

Types of Sentences in Massachusetts

There are two types of state sentences in Massachusetts. The Reformatory (Concord) sentence is for an indefinite term of years and parole eligibility is determined by Parole Board Guidelines. For example, on a typical Concord sentence of 10 years, the inmate is eligible for parole one year after his effective date of sentencing if he had no prior adult incarcerations, or in 18 months if he had a prior adult

incarceration. A state prison (Cedar Junction) sentence by contrast, is for a definite minimum and maximum term of years (e.g., 6-10 years) with parole eligibility being governed by statute. Typically, an offender convicted of a non-violent offense must serve one-third of the minimum sentence to be parole eligible while a violent offender must serve two-thirds of the minimum sentence to be parole eligible. According to the Standard Movement Chronology, an inmate must serve fifty percent of the sentence in maximum or medium security before transfer to minimum security or pre-release. For example, an inmate with a state prison sentence of more than 20 years minimum would have to spend at least 10 percent of their sentence in maximum security, 50 percent in medium security, 20 percent (or no more than 6 years) in minimum security, and 20 percent (or no more than 12 months) in pre-release.

Classification Centers

There are three reception centers to the DOC. MCI-Concord is a medium security institution for inmates with reformatory sentences that serves as the Initial Classification Center for most males committed to the Department of Correction including those who receive state prison sentences. MCI-Cedar Junction is a maximum security institution for inmates who receive state prison sentences. A small percentage of inmates receiving state prison sentences (e.g., first degree lifers) are classified at Cedar-Junction. MCI-Framingham is a medium security institution exclusively for female commitments where they are classified. In total, there is one maximum security institution, 6 medium security, and 14 lower security facilities which are either minimum, pre-release, or mixed minimum/pre-release, for a grand total of 21 institutions.

The CAPA Process

Intake

Within 24 hours of arrival, but subsequent to a medical screening, the inmate will be assigned to a correction counselor and will have an intake evaluation completed. The purposes of the intake evaluation are as follows: a) to determine any immediate areas of need and concerns as reported by the inmate or observed by the Correction Counselor; b) to determine a housing assignment within the institution; and, c) to generate referrals for needs assessments.

Upon completion of the intake, the correction counselor checks to insure that certain key issues have been addressed. Of particular importance are enemy situations or protective custody needs, escape history, history of institutional disruption, and mental health issues requiring immediate attention such as depression or suicide threats. The inmate is informed of approximately when he or she will be classified and how to contact the counselor in the weeks to come. The Correction Counselor also completes the Community Data Record portion of a Quick Reference Index and registers the inmate for Orientation. It is explained at this time that Orientation is a week long program which includes presentations by department heads, information concerning such specific topics as laundry and canteen procedures, question and answer sessions, and educational and vocational testing.

As a voluntary system, a major feature of CAPA is the

participation of the inmate in the development of the agreement. Thus, this requires that the inmate be informed and educated about CAPA, and this process starts at each institution's inmate orientation program which includes an overview of CAPA and distribution of a CAPA information package consisting of a sample agreement, Standard Movement Chronology and General Guidelines. At orientation it is explained to inmates that there is actually no benefit in not becoming involved in an agreement since inmates without agreements will also be expected to participate in designated programs and maintain positive adjustment. Inmates without an agreement do not know when and where they will be transferred while those with an agreement know this as well as what is expected of them in terms of program participation. In addition to this information package, inmates with valid agreements are instructed on the process of becoming involved in the agreed upon programming and informed of how the inmate's compliance with CAPA will be monitored.

Initial Classification

Initial classification consists of an assessment of an inmate's programmatic and security needs. Eleven need areas shown by research to be associated with criminality are assessed in initial classification: vocational; educational; alcohol control; drug control; counseling; family; social; legal; health; financial; and living arrangements. As previously noted, the inmate's programmatic needs are largely predetermined by the Standard Movement Chronology in light of the inmate's sentence length and mitigating or aggravating circumstances. It is usually at initial classification that a Classification and Program Agreement will be written although one may be developed at any time during the inmate's incarceration.

After reviewing the results of assessments conducted by professional treatment staff and discussing the inmate's personal goals, the correctional counselor formalizes these assessments and goals into a tentative program plan. In developing the plan the counselor uses the DOC Program Description Book which identifies the specific program resources available to address the inmate's needs at the institution(s) where they will serve their sentence. Programs may be developed for any of the following need areas: education; vocational; substance abuse; mental health; and financial.

Before a particular program plan is designated, the security level that the inmate will be placed in is determined using the Standard Movement Chronology and other eligibility/suitability criteria. Once a security level has been determined, a particular institution(s) within that security level is selected considering: program availability, bed space projections, documented enemy problems, and medical needs.

After determining a security level and selecting the particular institution, the specific programs offered at the particular institution can be incorporated into the agreement. In some instances certain types of programs (e.g. industries) may not exist across all institutions. Care must be taken to ensure that the counselor designates within the appropriate security level and given other considerations, the institution which does have the program resources to

meet the inmate's needs. Further, an inmate may have been committed years before CAPA was introduced or routine assessments were performed, and because an inmate's need areas may change over time, the correctional counselor must meet regularly with the inmate to ensure that an assessment has been performed by treatment staff, determine if the inmate wants to participate in CAPA, and assess changing need areas. An example of a completed CAPA, incorporating both a program plan and transfer schedule is included in Appendix 2.

After the inmate and correctional counselor draft the CAPA, it is reviewed in a classification hearing in which the inmate appears with his or her counselor before a three member Classification Board which typically consists of a correctional counselor, correctional officer, and member of the treatment staff. Once the Classification Board reviews the CAPA in this hearing, it is approved or modified by the board. It is then reviewed by the institutional Superintendent before being sent for final review to the Commissioner or his/her designee. The Classification Board, Superintendent and Commissioner's designee all have the authority to approve or modify the CAPA. If a CAPA is modified, an inmate has five days in which to submit a written appeal if he or she should so choose.

CAPA Monitoring: Subsequent Classification

Classification is an on-going process which occurs for as long as the inmate remains in DOC custody. This continual reassessment of the inmate's security and programmatic needs which occurs after the initial classification process is known as subsequent classification. The subsequent classification reviews serve to formally evaluate an inmate's status and monitor his compliance with the CAPA. These reviews must be conducted at least every 6 months and more frequently if the inmate's case warrants it. There are two types of subsequent reviews: General Reviews & Reclassification Reviews.

The General Review

The monitoring of the inmate's compliance with the CAPA is done both formally and informally. Formal monitoring takes the form of the subsequent classification general review performed every six months. For this review, a classification board reviews the report prepared by the correction counselor and interviews the inmate in order to examine if they have complied with the CAPA. The Classification and Program Services Division generates a monthly Transfer List to the different institutions which projects scheduled transfers several months in advance. In preparing their classification report, the counselor must review this transfer list and consult with program treatment staff in order to obtain their assessment as to whether or not an inmate is making a good faith effort to comply with the CAPA. Informal monitoring of the CAPA consists of the counselor meeting with the inmate on a monthly basis to review his or her compliance. In addition, there are routine contacts between counselors and program staff to discuss the inmate's progress.

The purpose of the General Review is to address all areas of concern regarding the inmate's adjustment within the institution such as placement, housing, work, and

program assignments. In addition, the inmate may use this review to apply for furlough or early parole consideration. If the inmate has a CAPA, special attention is paid to the need areas indicated so as to determine if the inmate has complied with it. If the General Review indicates that the inmate has complied with CAPA then his security level will be reduced and he will be placed in a less secure facility at the time indicated on the transfer schedule. If the inmate is not under CAPA then an Agreement can be drafted during a General Review. For non-CAPA inmates, the General Review is used to assess their eligibility and suitability for lower security placement.

The Reclassification Review

A Reclassification Review can be conducted if an inmate has willfully failed to comply with the programmatic or specific provisions of his CAPA or if the inmate has demonstrated an inability to function in a particular security level. If this occurs the Classification Board can review the inmate for possible higher security placement and recommend to the Superintendent of the institution that the transfer schedule be modified. A transfer to higher security results in an automatic modification of the CAPA. A final decision to modify the CAPA must be made by the Commissioner's or his/her designee.

CAPA Renegotiation

The CAPA is not a static document but may be modified or renegotiated at any time under certain circumstances. These include:

- **Reclassification to or Review for Higher Security.** If an inmate is reclassified or reviewed for higher security for disciplinary infractions, returns from escape, or other reasons, the CAPA must be renegotiated.
- **Legal Issues.** If an inmate receives any additional or forthwith sentences which affect parole eligibility or the discharge date, or a substantial sentence reduction due to good time or jail credits in excess of 90 days, the CAPA may be renegotiated.
- **Failure to Comply with Programs.** Renegotiation can occur if the inmate fails to comply with or put a sufficient effort into the programs specified in the CAPA. If the inmate does not participate in a program due to a failure of the DOC to provide the program, the inmate is not penalized.
- **Transfer to Minimum Security.** All agreements are subject to renegotiation once an inmate is placed in minimum security, except for those CAPA agreements developed at initial classification for inmates placed directly into minimum security or pre-release. In drafting a new agreement, the counselor and Classification Board should review the prior agreement and determine whether the programs should still apply. CAPAs developed from minimum security may include community work-release assignments and community-based programs.

Training

Training of classification staff consists of courses offered through the Department's Training Academy and

rotating membership on classification boards at the three reception centers.

In addition to a mandatory forty-hour orientation program which all Department of Correction staff participate in, classification staff may take the following classification-related courses through the Department's Training Academy:

- Basic Principles and Techniques of Counseling
- Classification
- Classification and Program Agreements
- Classification Board Chairmanship
- Classification Board Presentation and Report Writing
- Cultural Issues in Corrections: Dealing with the Black Inmate
- Identification and Management of the Mentally Ill Inmate
- Introductory Sentence/Date Computation
- Program Services
- Protective Custody Issues
- Understanding Substance Abuse and Addiction
- Spanish for Correction Officers/Correction Counselors

This coursework is supplemented by "on-the-job-training" experience in which classification staff at each institution serve on classification boards on a rotation basis at the three reception centers. This allows staff at lower security level facilities and at other receiving institutions to participate in the initial classification process of inmates as they enter the system via the reception centers.

Is CAPA Effective?

At this writing, the Research division of the Massachusetts Department of Correction is about to begin an evaluation of the inmate classification system. The primary objective of this study is to conduct an evaluation of the DOC classification system and CAPA specifically.

Just as there are different types of classification systems, there also exist different methods for studying both prediction (Gottfredson, 1987) and classification systems (Brennan, 1987). In his article on approaches to evaluating classification systems, Austin (1986) has distinguished between process analysis versus validation or impact analysis. Process analysis is a form of evaluation which examines whether or not a classification system has been properly designed, implemented, and used as intended. When applied to classification, process analysis "seeks to describe in both quantitative and qualitative terms, how the decision-making process, custody assignments and inmate movements are carried out by staff (Austin, 1986)."

Process analysis is increasingly being seen as a necessary first and essential step in evaluation research before validation or impact evaluation is conducted. This is because a narrow focus on validation and system impact runs the risk of making statements of causality without first understanding if the program is operating as intended. For example, research focused exclusively on impact may declare a program or system to be invalid when actually the failure to find impacts or validity may be due to improper implementation of the program itself and not an inherent

unworthiness to the program concept. Alternatively, research may document impressive program impacts or outcomes which are in fact fortuitous and due to extraneous or non-program factors.

By contrast, validation analysis examines whether and how well the individual items in classification instruments are predictive of inmate behavior. This is more related to what Alexander (1986) has labelled the "touchstone of classification effectiveness," namely the ability to predict inmate behavior accurately. Some, (Solomon and Baird, 1982), have argued that corrections needs to deemphasize prediction and emphasize consistency and equity in decision-making and the value of classification to management. Finally, impact analysis is focused on whether participation in a certain program has its intended effects which are presumably due to the program "treatment."

The study will consist of three phases. Phase 1 is a process analysis of the DOC classification system intended to find out whether the system was implemented as planned. Phase 2 will be a study of a classification validation in order to establish whether the classification criteria are predictive of inmate behavior. Phase 3 will examine the impacts of CAPA by comparing the institutional adjustment and program participation of inmates who have a CAPA with those who are not eligible/suitable for a CAPA and those who choose not to participate in CAPA.

Although it is not presently possible to make a statement about the effectiveness of CAPA, DOC administrators believe there are some indications that CAPA is having an impact. They point to four trends. First, the percent of inmates choosing to participate in CAPA has steadily increased from the program's inception in 1985 to 75 percent of those eligible today. This could be interpreted as an indication of the incentive value of CAPA to inmates. Second, program participation rates are on the rise. Third, disciplinary reports are on the decline. Finally, bed space is being managed more effectively with virtually all institutions operating at 100 percent or more of bed space capacity. Empirical support for these observations, however, will have to await the results of the evaluation study.

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About the Author

Dr. Michael W. Forcier is Deputy Director of Research in the Massachusetts Department of Correction. He holds a Doctorate in Social Policy from Brandeis University. His current research projects are an evaluation of the inmate classification system and a survey of the substance abuse histories of inmates in a minimum security facility.



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APPENDIX 1

STANDARD MOVEMENT CHRONOLOGY
AND SENTENCE CONVERSION TABLES

Massachusetts Department of Corrections

STANDARD MOVEMENT CHRONOLOGY FOR INITIAL CLASSIFICATION

	Maximum	Medium	Minimum	Pre-Release/Contract
First Degree Lifers	3 yrs.	7 yrs.	4 yrs.	3 yrs. Cadre
2nd Degree Lifers	18 months	6 yrs.	6½ yrs.	12 months
2/3 Walpole sentence more than 20 yrs. minimum	10%	50%	20% (or no more than 6 yrs.)	20% (or no more than 12 months)
(2/3rds) Walpole sentences 10-20 yrs. minimum	10%	40%	30%	*20% (or no more than 12 months)
(2/3rds) Walpole sentences less than 10 yrs. minimum	0%	50%	30%	20%
(1/3rd) Walpole sentence more than 10 yrs. minimum	0%	30%	50%	*20% (or no more than 12 months)
(1/3rd) Walpole sentence less than 10 yrs. minimum	0%	30%	30%	40%
Concord sentences 6 months to PE	0%	1 month	0%	5 months
Concord sentences 12 months to PE	0%	1 month	0 months	11 months
Concord sentences 18 months to PE	0%	1 month	5 months	12 months
Concord sentences 24 months to PE	0%	6 months	6 months	12 months

Percentage of time served will be calculated from effective date of sentence to the earliest parole date.

*If the time spent in pre-release exceeds 12 months, the balance shall normally be spent in minimum security. If the time spent in minimum exceeds 6 years the balance will be spent in medium.

Standard Movement Chronology for Returns & Higher Security or Escape

Escapes (Current Incarceration Only) Agreement Placement Consequences	Maximum		Medium	
	Crime On Escape	No Crime On Escape	Crime On Escape	No Crime No Escape
Escape (or Attempt) from extension of confinement (escape or attempts from furlough, work release, P.R.A., or any other community)				
Returned voluntarily within 24 hours of escape			1 year	6 months
Returned after 24 hour period voluntarily or involuntarily			2 years	12 months
Returned after 2nd escape of any nature			Remainder of Sentence	Remainder of Sentence
Escape (or attempt) from confinement (includes grounds of a correctional institution, hospital program, and industry crew site.)				
Returned voluntarily within 24 hours of escape		6 months		2 years
		12 months	18 months	
Returned after 24 hour period voluntarily or involuntarily		1 year		1 year
		2 years	2 years	
Returned after 2nd escape of any nature		12 months		Bal. of Sent.
		2 years	Bal. of Sent.	

Returns to Higher Custody Agreement Placement Consequences	Maximum	Medium
From minimum or Pre-Release security of a non-violent, non-assaultive nature.		60 Days
From minimum or Pre-Release security of a violent or assaultive nature.		6 months
Each subsequent return of any nature from minimum or Pre-Release security.		1 year
From minimum or Pre-Release security resulting in a new crime(s) and conviction.	6 months	1 year
From medium security of a non-violent or non-assaultive nature.	6 months	
From medium security of a violent or assaultive nature.	1 year	
Each subsequent return of any nature from medium or close custody.	18 months	
From medium security resulting in a new crime(s) conviction.	1 year	
Each return to higher custody resulting in DSU Commitment	DSU Plus	

APPENDIX 2

SAMPLE (CAPA)

Massachusetts Department of Corrections

FORM A

SUMMARY/KEY ISSUES

Name _____ # _____ Institution _____ Date _____

Review Status: Transfer: _____ Reclass _____ General _____ Early Parole _____ Furlough _____

Key Issues:

- * 1) Agreement status/program participation vs. need assessments established during initial classification and/or subsequent reviews.
- * 2) Time served with regard to CAPA Guidelines.
- * 3) Number and nature of returns to higher custody with regard to CAPA Guidelines.
- * 4) Number and nature of escapes or attempted escapes with regard to CAPA Guidelines.
- * 5) Inmates understanding and participating in agreement process.
- + 6) Placement restrictions — i.e.: SDP, CORI A, NCIC, FBI, mandatory sentences, legal issues, etc.
- + 7) Adjustment summary — i.e.: D History, Housing reports, Work evaluations, DSU commitment, etc.
- + 8) Nature of Criminal History/Official Version.
- + 9) Special Housing needs — i.e.: documented enemies and reviews of placement alternatives.
- + 10) Medical/Mental Health issues as they restrict placement.
- + 11) Special Programs participation — i.e.: Furloughs, Hospital Programs, OUS, etc.

Committee Recommendations:

Members: _____ Vote _____ Review Date _____

Agreement	Approved <input type="checkbox"/>	Denied <input type="checkbox"/>	Modified <input type="checkbox"/>	Recommendation	Approved <input type="checkbox"/>	Denied <input type="checkbox"/>	Modified <input type="checkbox"/>
Reasons/Conditions _____							
_____ Superintendent				_____ Date			
Agreement	Approved <input type="checkbox"/>	Denied <input type="checkbox"/>	Modified <input type="checkbox"/>	Recommendation	Approved <input type="checkbox"/>	Denied <input type="checkbox"/>	Modified <input type="checkbox"/>
Reasons/Conditions _____							
_____ Commissioner				_____ Date			

SENTENCE CONVERSION TABLE FOR CONCORD OFFENDERS

Time	Maximum Time	Medium Time	Minimum Time	Pre-Release Contract Time
6 Months	0	1 Month	0	5 Months
12 Months	0	1 Month	0	11 Months
18 Months	0	1 Month	5 Months	12 Months
24 Months	0	6 Months	6 Months	12 Months

**SENTENCE CONVERSION
TABLE FOR WALPOLE 1/3 OFFENDERS**

Minimum Sentence (Years)	Time (Yrs./Mos.)	Maximum Time (Yrs./Mos.)	Medium Time (Yrs./Mos.)	Minimum Time (Yrs./Mos.)	Pre-Release Contract Time (Yrs./Mos.)
2.5	1/0	0/0	0/4	0/4	0/4
3	1/0	0/0	0/4	0/4	0/4
4	1/4	0/0	0/5	0/5	0/6
5	1/8	0/0	0/6	0/6	0/8
6	2/0	0/0	0/7	0/7	0/10
7	2/4	0/0	0/8	0/8	1/0
8	2/8	0/0	0/10	0/10	1/0
9	3/0	0/0	0/11	1/1	1/0
10	3/4	0/0	1/0	1/8	0/8
11	3/8	0/0	1/1	1/10	0/3
12	4/0	0/0	1/2	2/0	0/10
13	4/4	0/0	1/4	2/2	0/10
14	4/8	0/0	1/5	2/4	0/11
15	5/0	0/0	1/6	2/6	1/0
16	5/4	0/0	1/7	2/9	1/0
17	5/8	0/0	1/8	3/0	1/0
18	6/0	0/0	1/10	3/2	1/0
19	6/4	0/0	1/11	3/6	1/0
20	6/8	0/0	2/0	3/8	1/0
21	7/0	0/0	2/1	3/11	1/0
22	7/4	0/0	2/2	4/2	1/0
23	7/8	0/0	2/4	4/4	1/0
24	8/0	0/0	2/5	4/7	1/0
25	8/4	0/0	2/6	4/10	1/0
26	8/8	0/0	2/7	5/1	1/0
27	9/0	0/0	2/8	5/4	1/0
28	9/4	0/0	2/10	5/6	1/0
29	9/8	0/0	2/11	5/9	1/0
30	10/0	0/0	3/0	6/0	1/0

**SENTENCE CONVERSION
FOR WALPOLE 2/3 OFFENDERS**

Minimum Sentence (Years)	Time To P.E. (Yrs./Mos.)	Maximum Time (Yrs./Mos.)	Medium Time (Yrs./Mos.)	Minimum Time (Yrs./Mos.)	Pre-Release Contract Time (Yrs./Mos.)
2.5	2/0	0/0	1/0	0/7	0/5
3	2/0	0/0	1/0	0/7	0/5
4	2/8	0/0	1/4	0/10	0/6
5	3/4	0/0	1/8	1/0	0/8
6	4/0	0/0	2/0	1/2	0/10
7	4/8	0/0	2/4	1/5	0/11
8	5/4	0/0	2/8	1/7	1/0
9	6/0	0/0	3/0	2/0	1/0
10	6/8	0/8	2/7	2/4	1/0
11	7/4	0/8	2/11	2/8	1/0
12	8/0	0/10	3/2	3/0	1/0
13	8/8	0/11	3/5	3/3	1/0
14	9/4	0/11	3/8	3/8	1/0
15	10/0	1/0	4/0	4/0	1/0
16	10/8	1/1	4/2	4/4	1/0
17	11/4	1/1	4/6	4/9	1/0
18	12/0	1/2	4/10	5/0	1/0
19	12/8	1/4	5/0	5/3	1/0
20	13/4	1/4	5/4	5/8	1/0
21	14/0	1/5	7/0	4/7	1/0
22	14/8	1/6	7/4	4/9	1/0
23	15/4	1/6	7/8	5/2	1/0
24	16/0	1/7	8/0	5/5	1/0
25	16/8	1/8	8/4	5/7	1/0
26	17/4	1/8	8/8	6/0	1/0
27	18/0	1/10	9/2	6/0	1/0
28	18/8	1/11	9/8	6/0	1/0
29	19/4	1/11	10/5	6/0	1/0
30	20/0	2/0	11/0	6/0	1/0

CLASSIFICATION AND PROGRAM AGREEMENT

Placement _____	Security Level _____	Approximate Arrival Date _____
Assessment Area	Program	
Education	Adult Basic Education	
Substance Abuse	Narcotics Anonymous	
Financial	Print Shop	

Placement _____	Security Level _____	Approximate Arrival Date _____
Assessment Area	Program	
Education	Adult Basic Education (Pre-GED)	
Substance Abuse	Psych. Services Substance Abuse Program	
Vocational	Drafting Program	

Placement _____ Security Level _____ Approximate Arrival Date _____

All agreements will be automatically renegotiated upon placement in minimum custody for community programs.

I agree to participate in the programs as stipulated in the agreement. I understand that I will be transferred in accordance with the above schedule contingent upon positive agreement status. I have discussed all classification recommendations with staff.

Inmate Signature Date

I have discussed the provisions of this agreement with _____
and believe they are mutual and understood _____
Board Chairperson

I am aware and agree to the above modifications of the agreement.

Inmate Signature Date