

**THE SECOND ANNUAL REPORT TO THE LEGISLATURE:
SHOCK INCARCERATION IN NEW YORK STATE**

JANUARY 1990

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GOVERNOR**

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**Thomas A. Coughlin III, Commissioner
Department of Correctional Services**

**Ramon J. Rodriguez, Chairman
Division of Parole**

January 4, 1990

Majority Leader of the Senate
Chairman of the Senate Finance Committee
Chairman of the Senate Codes Committee
Chairman of the Senate Crime and Corrections Committee
Speaker of the Assembly
Chairman of the Assembly Ways and Means Committee
Chairman of the Assembly Codes Committee
Chairman of the Assembly Corrections Committee

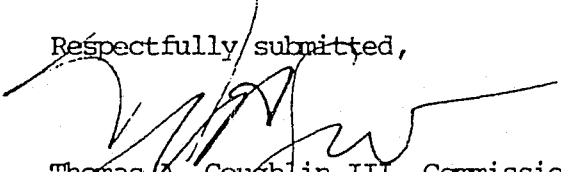
The Department of Correctional Services and the Division of Parole are pleased to submit this joint preliminary assessment of New York State's Shock Incarceration Program. This assessment, like the program itself, is a result of the cooperative effort between our respective agencies designed to provide an extensive look at this innovative program.

The Department of Correctional Services has been able to achieve substantial progress within this, the second year of program operation. Five shock facilities are now in full operation including the Medium Security prison at Lakeview which not only houses Shock platoons but also provides extensive screening and orientation to all male Shock eligible inmates. The Department has now allocated 1,750 beds to this program.

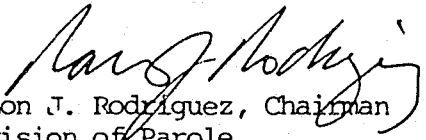
The Division of Parole has shown confidence in the program and supports this new initiative. The work of the Parole Board has been consistent from the outset as 1,310 program participants have been granted early release. In addition, the Division has developed special programming designed specifically for Shock Incarceration graduates which has enhanced program operations.

Due to our joint efforts, this report provides a complete overview of the current status and ongoing operations of the Shock Incarceration program.

Respectfully submitted,



Thomas A. Coughlin III, Commissioner
Department of Correctional Services



Ramon J. Rodriguez, Chairman
Division of Parole

Enclosure
TAC/RJR/lmb

EXECUTIVE SUMMARY

When the Legislature decided to create a program of Shock Incarceration in New York, they provided a mandate to the Department of Correctional Services to operationalize a plan which would meet certain specific criteria. Additionally, the Division of Parole felt that it was necessary to create a special supervision program for Shock Incarceration parolees, designed to build upon the intensity of programming which began at the institutional level. The result has been a joint program designed to meet the legislative intent.

Specifically, the legislation required that a program of rigorous physical activity, intensive regimentation, discipline and drug rehabilitation be created. It also required that this would be a six month program which would prepare successful participants for early parole release consideration. Additionally, the legislation required that special facilities be designed to house this program and that a process be created to select legally eligible inmates for participation.

The Division of Parole created a special supervision program utilizing reduced case-loads for Shock parole supervision. This allowed for increased contacts between the parole officer and parolees including; increased home visits, curfew checks and random drug testing. Additionally, Parole responded by making Shock parolee placements in community programming related to employment, education, relapse-prevention counseling and Network a priority.

The Legislature also required that an ongoing evaluation of Shock Incarceration be conducted to assure its programmatic objectives were being met while assessing the impact of Shock. As part of an ongoing cooperative relationship between the Department of Correctional Services and the Division of Parole, this report explores the degree to which this legislative intent has been achieved.

This report is an evaluation designed to assess the impact of Shock Incarceration. In brief, it indicates that DOCS and Parole have cooperated to create an institutional and after care program which responds to the requests and concerns of the Legislature.

This evaluation documents the creation of a rigorous multi-treatment program that emphasizes discipline, academic education, substance abuse treatment and education, with group and individual counseling, all within a military structure. It points out that after screening 7,366 legally eligible inmates between July 1987 and November 1989, 3,016 inmate volunteers were sent to one of five Shock Facilities. Of these 3,016 volunteers who were sent to Shock, 1,158 graduated and were granted an early release to parole supervision. The evaluation also notes that the Shock Incarceration program in New York State differs substantially from similar programs in other states. Although some states provide portions of the program components available in New York, no state that we have surveyed developed a Shock Incarceration program with the extensive levels of treatment provided by New York.

The report also discusses the impact of Shock Incarceration as it pertains to program costs, inmate educational achievement, inmate disciplinary activity, parole release decision-making, and community reintegration.

Pertinent findings indicate that Shock Incarceration is the only program where inmates can be granted a release to parole prior to their parole eligibility date. Thus, savings were realized by releasing Shock graduates an average of 9 months prior to completion of their court determined minimum period of incarceration. For the first 1,158 graduates, these savings amounted to an estimated \$19 million in operating costs plus \$36.6 million of avoided capital construction costs. This is a total savings of \$55.6 million.

Additionally, despite their short period of incarceration an analysis of the educational information indicated that Shock inmates have made academic progress.

Evidence also suggests that due to the rigorous yet therapeutic nature of the program, fewer minor misbehavior reports have been written at the Shock Facilities compared to Camps and small medium security facilities.

The evaluation documents the consistent release practices of the Parole Board. From February of 1988 through November of 1989, the Board conducted 1,319 initial release consideration interviews for Shock Incarceration inmates. Throughout that time period, there was only one denial because the Board felt that the early release would not be compatible with the welfare of society.

The initial release rate of Shock Incarceration inmates has been 99%, the initial release rate for other young, non-violent inmates is 67%. No inmate was ordered held at an initial interview for any reason other than to complete the special six-month program.

The confidence with which the Parole Board has responded to the program has benefited the state by assuring that all Shock graduates have been released on their earliest possible release date.

The report illustrates the Division of Parole's efforts to maintain intensive supervision standards established for the first six months of Shock Parole supervision. An analysis of parole officer compliance during the current fiscal year indicates that parole officers have attained or exceeded the contact standards established for Shock supervision.

Evidence suggests that the intensive supervision program has led to a high degree of acceptance of Shock Incarceration in the community. Private-sector employers have expressed a willingness to hire Shock graduates, and community service providers find that the intensive supervision program is beneficial for the Shock parolees. Shock parolee employment rates and program enrollment rates have consistently surpassed those of non-shock parolees.

CONCLUSION

The findings of this report indicate that the Shock Incarceration program has been able to achieve its legislative mandate of treating and releasing specially selected state prisoners earlier than their court determined minimum period of incarceration, without compromising the community protection rights of the citizenry.

THE SECOND ANNUAL REPORT TO THE LEGISLATURE:

**SHOCK INCARCERATION IN NEW YORK STATE:
THE CORRECTIONS EXPERIENCE**

JANUARY 1990

**DIVISION OF PROGRAM PLANNING,
RESEARCH AND EVALUATION**

**SHOCK INCARCERATION: THE CORRECTIONS EXPERIENCE
THE SECOND ANNUAL REPORT TO THE LEGISLATURE**

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SHOCK EVALUATION HIGHLIGHTS

LEGISLATIVE BACKGROUND

Shock Incarceration in New York State was established by enabling Legislation in July of 1987.

Legislative restrictions were placed on the age, offense type, time to Parole Eligibility, and prior prison sentences of Shock candidates. The Legislature has expanded the age of eligibility to include inmates who are between the ages of 16 and 29.

Monterey Shock Incarceration Correctional Facility (SICF) received its first inmates on September 10, 1987.

Summit SICF received its first inmates on April 12, 1988.

The first platoon of female Shock inmates was received at Summit SICF on December 12, 1988.

Moriah SICF received its first platoon on March 28, 1989.

Butler SICF received its first platoon on June 27, 1989.

Lakeview SICF received its first inmates on September 11, 1989.

New York State has the largest Shock Incarceration Program in the nation with an annual maximum capacity of 3,000 individuals - involving two six month cycles of 1,500 inmates, plus 250 beds dedicated to orientation and screening.

NEW YORK SHOCK INCARCERATION PROGRAM: ITS HISTORY AND STRUCTURE

New York's Shock Incarceration Program has historical roots in the militarization of the Elmira Reformatory in 1888.

New York is one of eleven states with a Shock Incarceration Program.

The period of incarceration for New York Shock Facilities is one of the longest in the country at 180 days.

New York Shock eligible inmates are not placed in the Program by the Courts. Instead, they are sent to Shock facilities by DOCS as one of many treatment plans for inmates.

The goals of the program are twofold: The first is to treat and release specially selected state prisoners earlier than their court mandated minimum period of incarceration without compromising the community protection rights of the citizenry, while the second is to reduce the demand for bedspace.

New York's Shock Incarceration Program places great importance on being structured as a therapeutic community, due to its foundation in the Network and ASAT programs.

Due to the documented substance abuse histories of the majority of program participants, a major emphasis has been placed on substance abuse treatment within this community.

Shock in New York State is a two phase program involving both institutional treatment and intensive parole supervision for graduates.

New York's Shock Incarceration Program is a rigorous multi-treatment Program, which emphasizes discipline, academic education, substance abuse treatment and education, with group and individual counseling, all within a military structure.

SCREENING OF LEGALLY ELIGIBLE INMATES

Up until September 11, 1989, the selection, review, and orientation of Shock eligible inmates was the responsibility of the DOCS reception centers. A second review process occurred in Albany.

A single staging facility for male Shock eligible commitments was begun at Lakeview with the goal of increasing the number of inmates participating in the program and lowering the number of early dropouts among the inmates sent to the program.

There were 7,366 Shock eligible inmates who were reviewed for Shock participation between July 13, 1987 and November 17, 1989. Of these, 3,148 inmates were approved for Shock participation and 3,016 were sent to Shock facilities. The approval rate for these inmates was 45.0%. This is the proportion of eligible inmates who are approved for participation in the Shock program.

The approval rate for women was lower than for men due to medical reasons and higher rates of refusal.

The approval rate for 26 to 29 year olds was lower than that of the younger eligibles due to extensive criminal histories and higher rates of refusals.

The approval rate for 16 to 25 year olds screened at Lakeview was 72.3% while the approval rate for 26 to 29 year olds screened at Lakeview was 45.6%.

The approval rate for male eligibles screened prior to Lakeview was 42.1% for 16 to 25 year olds and 3.5% for the 26 to 29 year olds.

Compared to the eligible inmates processed at the reception centers, the Lakeview processed inmates were less likely to be excluded for medical reasons or because of their alien status. The proportion of inmate refusers was also cut in half when the inmates went through Lakeview.

As of November 17, 1989 there were 3,016 inmates sent to Shock facilities. As of that date, 1,158 had graduated, 903 were removed from the program, and 955 were still in the program.

The overall dropout rate for graduating platoons was 33.2% and these dropouts spent an average of 38.1 days in the program before leaving. Almost half (49.2%) of these dropouts were removed for disciplinary reasons, while another third (31.8%) left the program voluntarily.

FISCAL ANALYSIS OF SHOCK INCARCERATION

The calculation of savings as a result of the Shock Program comes from two distinct sources: The first area of savings occurs as a result of not having to provide for the care and custody of these for the duration of their full sentences. The second computed savings comes from the capital construction costs avoided for those inmates who would have had to serve their full sentences.

For every 100 Shock graduates, the Department saves an estimated \$1,645,815 in the provision of care and custody.

For the first 1,158 Shock graduates, the Department saved an estimated 514 beds which translates into \$36,623,600 savings in capital costs alone.

For the first 1,158 graduates from Shock, as of November 17, 1989, the Department saved an estimated \$55,682,142 in both administrative and capital costs.

The daily expense of housing inmates at a Shock Facility was somewhat more expensive than the cost of housing them at either Medium Security Facilities or Camps, because all inmates in Shock are fully programmed and additional staff are needed to provide the level of supervision necessary to run a rigorous program.

DESCRIPTIVE INFORMATION ON SHOCK INMATES

Due to restrictions on the inmate eligibility for Shock based on age, time to parole eligibility, and crime type, the typical Shock inmate differs from the typical inmate under custody at Camps or Medium Security prisons.

Shock inmates were more serious offenders than the Camp inmates and less serious offenders than the Medium Security inmates.

There were real differences between the attributes of men and women in Shock. The women were older, more frequently committed for drug offenses, more frequently second felony offenders, were more often from New York City, were more often minimum security inmates, had more jail time, had higher IQ scores, and were more often hispanic, and were less often white or black than their male counterparts.

The restricted eligibility requirements create a population of inmates in Shock that are primarily drug offenders who have reported drug use prior to their commitment.

EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION

For Shock graduates, the average increase in Test of Adult Basic Education (TABE) reading scores was 1 grade level for six months of education. The average TABE math scores increased 1.5 grades during the six month period.

Of the graduates who had increases in their reading scores, 65.4% improved by two or more grade levels, while 11.0% increased their scores by four or more grade levels.

Of the graduates who had increases in their math scores, 70.2% improved by two or more grade levels, while 23.5% increased their scores by four or more grade levels.

In both 1988 and 1989, the number of General Education Development (GED) tests given at Shock facilities was higher than any of the comparison facilities, as was the number of inmates tested.

Overall, the passing rates for GED testing declined for the Department, and the Shock facilities were not immune to this decline, which was widely attributable to a change in the type of testing done by the GED.

Of the 509 Shock graduates who were tested for the GED between January 1988 and August 1989, 45.6% passed after a relatively short period of preparation and study.

DISCIPLINARY PROCESS AT SHOCK INCARCERATION

Only a small proportion of inmates in the Shock program get involved in misbehaviors, and those who do commit infractions typically get involved in only one incident. The data also indicates that most misbehaviors are at the less serious Tier II level.

Program graduates who break the rules are involved in less serious disciplinary activity than the inmates who commit offenses and are removed from the program.

Over 70% of the inmates involved in Tier III misbehaviors (the most serious type of misbehavior) are removed from the program.

Among the comparison facilities, Medium Security facilities had the highest rate of misbehaviors and Tier II hearings per 1,000 inmates, while Camps had the highest rate of Tier I's, and Shock facilities had the highest rate of Tier III's.

UNUSUAL INCIDENTS (UIs) AT SHOCK FACILITIES

Of the eleven incident types analyzed, the Shock facilities reported no incidents in five of them. These included absconding, mass demonstrations, inmate deaths, escapes, and self inflicted injury/suicide attempts. These five categories, though, accounted for 22.9% of the UI's reported from our comparison Medium Security facilities and 22.2% of the UI's reported from Camps.

There were three categories of UI's where Shock facilities had only one incident, ac-

counting for 7.0% of the Shock UI's. These groupings included assaults on inmates, fires, and contraband. In contrast, these three incident types accounted for 45.8% of the UI's reported from the comparison Mediums and 30.3% of the Camp UI's.

Incidents of inmate assaults on staff accounted for almost half of the Shock UIs occurring between January 1988 and September 1989. A review of these 21 incidents shows that all involved use of hands and feet by inmates which resulted in minor injuries to 9 of the 44 staff victims. It should be noted that 57.1% of these incidents occurred within the first two weeks (i.e., zero weeks), of an inmate's arrival at Shock while 76.2% occurred within one month of arrival at a Shock facility.

All 21 inmates involved in assaults on staff were removed from Shock as a result of their actions.

FOLLOW-UP STUDY

The follow-up study examined the return rates of the first 171 Shock graduates who had been on parole for at least one year, compared to the return rate of a group of 405 offenders released during the same months, who did not go to Shock but whose characteristics would have made them eligible for the program.

There was no statistically significant difference in the return rates of these two groups although Shock graduates served considerably less time under custody.

The comparison group of inmates were significantly more likely to return to custody with a new sentence, following their conviction for a new crime. In contrast, Shock graduates were more likely to be returned by the Board of Parole for rule violations than the comparison group. This finding may be attributable to the intensive level of supervision which these graduates are provided.

Despite being incarcerated for shorter periods of time, the Shock graduates appear to be returning at a rate similar to a selected comparable group of inmates, and the Shock graduates are coming back for less serious offenses.

FUTURE RESEARCH GOALS AND DIRECTIONS

There are a number of additional activities that are planned for the future evaluation and enhancement of the program. Some of the more important ones include:

- 1) the \$250,000 grant from the Bureau of Justice Assistance to enhance the drug treatment component of Shock;
- 2) the multi-site study of Shock conducted by the National Institute of Justice;
- 3) the survey of Judicial attitudes towards Shock;
- 4) the follow-up survey of the opinions of Corrections Officers working in Shock; and
- 5) the development of a typology of Shock successes and failures.

LEGISLATIVE BACKGROUND

Legislative History

New York State's Shock Incarceration Program was established by enabling legislation in July 1987 (Chapter 262 of the Laws of New York, 1987).

The expressed purpose of the Omnibus Bill that included this program was "to enable the State to protect the public safety by combining the surety of imprisonment with opportunities for the timely release of inmates who have demonstrated their readiness for return to society".

With respect to the Shock Incarceration Program, the Legislative Bill specifically stated:

"Certain young inmates will benefit from a special six-month program of intensive incarceration. Such incarceration should be provided to carefully selected inmates committed to the State Department of Correctional Services who are in need of substance abuse treatment and rehabilitation. An alternative form of incarceration stressing a highly structured and regimented routine, which will include extensive discipline, considerable physical work and exercise and intensive drug rehabilitation therapy, is needed to build character, instill a sense of maturity and responsibility and promote a positive self-image for these offenders so that they will be able to return to society as law-abiding citizens."

Pursuant to this legislation, the Department amended Title 9 NYCCR by adding Part 1800 which provided the rules which govern the Shock Incarceration Program.

At this time last year, the Department had established only two Shock Facilities under this legislation and these administrative regulations. Since then, the Department has created three more Shock Facilities, thus increasing the capacity of the program from two 250 bed facilities to four 250 bed facilities and one 750 bed facility.

The 250 bed facility at Monterey received its first platoon of inmates on September 10, 1987. The 250 bed Shock facility at Summit received its first platoon of inmates on April 12, 1988. A portion of the Summit Shock Incarceration Facility

houses the Department's program component for female inmates, which was initiated in December 1988 and has capacity for 80 women. The 250 bed Shock Facility at Moriah received its first platoon on March 28, 1989, while the 250 bed Shock Facility at Butler received its first platoon on June 27, 1989.

In view of the rapid expansion of the program, the Department made a very important decision to create the 750 bed Lakeview Shock Incarceration Facility. Lakeview serves as a 250 bed orientation and screening facility for all male shock eligible inmates while also housing two, 250 bed Shock programs. Lakeview received its first inmates on September 11, 1989.

In total, New York State operates the largest Shock Incarceration Program in the nation at this time with an annual maximum capacity of 3,000 individuals - involving two six-month cycles of 1,500 inmates, plus 250 beds dedicated to orientation and screening.

Eligibility Criteria

The substantial growth of the Shock program in New York was the result of changes which were made in the eligibility criteria by the Legislature. These changes have expanded the pool of Shock eligible inmates by raising the upper age limit for inclusion. At first, in 1987, the age of an eligible inmate was determined to be up to, but not including, 24 years of age at admission. Then, on April 24, 1988, the Legislature amended the eligibility criteria to include inmates who were up to, but not including, 26 years of age at admission.

On July 23, 1989 the Legislature amended the eligibility criteria once again to include 26 through 29 year old inmates. The inmates who were in this new age group had to meet some additional "tests" in order to qualify for Shock eligibility.

At present, the Legislative criteria for inmate eligibility for Shock are a person identified at reception, sentenced to an indeterminate term of imprisonment, who has not reached the age of 30 years, who will become eligible for release on parole within three years and who was between the ages of 16 and 30 years at the time of commission of the crime.

Notwithstanding the foregoing, no person who is convicted of any of the following crimes shall be deemed eligible to participate in this program:

- a) a Violent Felony Offense as defined in Article 70 of the Penal Law;

- b) an A-1 felony offense;
- c) Manslaughter in the second degree or Criminally Negligent Homicide as defined in Article 125 of the Penal Law;
- d) Rape in the second degree, Rape in the third degree, Sodomy in the third degree, Attempted Sexual Abuse in the first degree, Attempted Rape in the second degree as defined in Articles 110 and 130 of the Penal Law;
- e) any Escape or Absconding Offense as defined in Article 205 of the Penal Law.

These inmates must also receive both physical and psychological clearance to participate in the program. Inmates are not considered eligible to participate if, prior to their present sentence, they have ever been convicted of a felony upon which an indeterminate sentence was imposed.

As mentioned previously, the older inmates have to meet three additional eligibility criteria. These criteria make it mandatory that these inmates (a) have their anticipated participation in Shock be reviewed by their sentencing judges who must not object to their participation and anticipated early release, (b) have not been convicted of a Shock ineligible offense, and (c) spend at least one year incarcerated (including jail time, time in reception, and time in Shock) prior to receiving a certificate of earned eligibility and release to parole supervision.

In addition to the legislatively mandated criteria for exclusion, the Department has created various suitability criteria which further restrict program participation. These suitability criteria impose restrictions based on the medical, psychiatric, security classification, or criminal histories of otherwise legally eligible inmates. Additionally, those inmates whose outstanding warrants, disciplinary records, or whose alien status has made them a security risk would also be screened from participation. After screening for suitability, inmates then have to volunteer for the program.

Thus, the enabling legislation establishing Shock Incarceration and the Department's suitability criteria specifically define the attributes of inmates who could be considered for Shock participation.

The four major criteria restrict age (with a desire to have a program for younger inmates), offense type (with a desire to eliminate violent offenders, sex offenders and escape risks

from the program), time to Parole Eligibility (with the intent of setting a limit on the time reduction benefits available to a successful participant and to further assure that these inmates have not been the perpetrators of serious crimes), and prohibited prior service of an indeterminate sentence (to assure that these inmates are first time commitments).

Since Shock inmates are to be released prior to serving their judicially mandated minimum sentences, efforts have been made by both the Legislature and Department of Correctional Services to carefully restrict the eligibility criteria. The purpose of these restrictions has been to ensure that those inmates who could benefit the most from this program would be allowed to participate, while those inmates who posed a risk to society would be excluded.

NEW YORK STATE SHOCK INCARCERATION:
ITS HISTORY, STRUCTURE AND GOALS

Origins of Shock Incarceration

The common wisdom about Shock Incarceration Programs nationally is that they began in 1983 in Georgia and Oklahoma (Dale Parent 1988; Shock Incarceration Programs, Address to the American Correctional Association Winter Conference, Phoenix, AZ). In fact, there is some historical precedent for Shock Incarceration that was part of New York's Elmira Reformatory in 1888.

When Elmira was established in 1876, it was designed to house younger inmates who were convicted of first felonies and were given an indeterminate sentence. "In line with its reformative purpose, Elmira offered manual training to inmates who were to learn marketable, honest skills in building part of the institution and making several products." (Beverly Smith 'Military Training at New York's Elmira Reformatory, 1888 - 1920' Federal Probation, March 1988, p. 34).

Through the passage of a variety of anti-inmate labor laws in the early 1880's, New York's inmate labor system was deemed to be illegal. In trying to find other ways of keeping inmates occupied and trained, Zebulon Brockway decided in 1888 that military training would be a useful substitute:

"The training was instituted to meet an emergency, but survived long after the short lived trouble. The military organization permeated almost every aspect of the institution: schooling, manual training, sports teams, physical training, daily timetables, supervision of inmates, and even parole practices. In short, the training was used to discipline the inmates and organize the institution." (Beverly Smith, 'Military Training at New York's Elmira Reformatory 1888 - 1920', Federal Probation, March 1988, p. 33).

Military discipline was used at Elmira as a vehicle to provide inmates with tools to help them reform. The general belief held by Zebulon Brockway was that:

"Military discipline is found to be exceedingly beneficial in inculcating promptness in obedience, attention, and harmony of action with others. It develops the prisoner physically, quickens him mentally and, by making him a part of the disciplinary force, gives him a clearer insight into the meaning and benefits of thorough discipline. The standard

of discipline should be so fixed that each prisoner may know exactly what to expect, and know that his release can only be accomplished by reaching this standard through his own efforts. Having attained this standard he should be released upon parole, to suitable employment, under efficient supervision, for a period of time long enough for him to demonstrate his fitness for an honest life, in society..." (Fred Allen, Extracts from Penological Reports and Lectures Written by Members of the Management and Staff of the New York State Reformatory, Elmira, The Summary Press, 1928, p. 120).

This belief in the reformatory ability of military discipline still exists. The one programmatic feature that all Shock programs nationally have in common is military discipline and training.

New York's Shock Incarceration Facilities offer a six-month discipline and treatment-oriented program, where eligible inmates are provided the opportunity to develop life skills which are commonly viewed as being important for successful reintegration into society. The program includes rigorous physical activity, intensive regimentation and discipline, instruction in military bearing, courtesy, drills, physical exercise, Network Community Living Skills, a structured work program, intensified substance abuse and alcohol counseling, and structured educational programming covering materials up to the high school equivalence level.

Inmates participate in structured activities that are designed to prepare them for successful return to society.

Shock Incarceration In Other States

According to information presented in National Institute of Justice Reports May/June 1989, there were 11 states with active Shock programs. (See Table 1 for a summary of the states with similar programs). In that survey, there were clear differences between these Shock programs related to their size, length of incarceration, placement authority, program voluntariness (both entering and exiting), facility locations, and level of release supervision. Additionally, the N.I.J. sponsored survey of Shock programs nationally (Shock Incarceration: An Overview of Existing Programs, Dale G. Parent, June 1989) indicated that these Shock programs differ a great deal in their stated goals and in the amount of emphasis they place on rehabilitation, education, and treatment, in general.

Based on the Department's review of this national survey, the major program components which distinguish the New York State Shock Incarceration Program from similar programs around the country appear to be its foundation in a therapeutic community approach, known as Network, and its strong emphasis on substance abuse treatment.

When Shock Incarceration was being developed here in New York, Commissioner of Correctional Services, Thomas A. Coughlin III, directed that the Network Program be an integral part of this initiative. He stated:

"Network has been operating in New York State Correctional Facilities since 1979 and has strengthened our resolve to identify and deal with the special needs of our staff and inmates. It has proven successful in providing an opportunity for positive growth and change. That's what Shock is all about - bridging the external discipline of the military model with an internalized system of positive values."

The Foundation Of New York State Program:
Therapeutic Community Model

The New York State Shock Incarceration Program is based on a therapeutic community model known as Network. Network was designed to establish living/learning units within correctional facilities that were supervised and operated by specially trained correction officers and supervisors.

Network has been designed to promote positive involvement of inmate participants in an environment which has as its focus their successful reintegration into society.

Members participate in program management to the degree that they demonstrate their capacity to make informed, responsible decisions. The program is designed to be a total learning environment, an approach which fosters involvement, self-direction and individual responsibility. Positive behaviors which support individual and community growth are expected while negative behaviors are confronted and targeted to be changed.

Network's program objectives have been grouped into three basic areas. In order to make responsible decisions, individuals must consider 1) their own wants and needs, 2) the effect which they have on others and 3) the variables of the situations in which they find themselves.

A sense of self-worth and personal pride are the foundation of living a responsible lifestyle. Network environments are structured to foster respect for self and others and to focus on positive self-images. Standards of behavior expected from all community members have been developed, tested and refined by staff and participants.

Orientation to Network includes a review of these standards and a discussion of how they support individuals and the life of the community. Upon admission to Network, each participant is required to make a commitment to his/her own personal goals and to live up to community standards. These standards are reviewed and evaluated regularly in community meetings.

All staff at the Shock Facilities are trained in the principles of Network, thus helping to make Shock facilities function in a way which is very similar to the therapeutic community model.

As one British author noted, "The basic idea of the Therapeutic Community is to utilize the interactions which arise between people living closely together as the means of focusing on their behavioral difficulties and emotional problems and to harness the social forces of the group as the medium through which changes can be initiated." (Stuart Whiteley, Dealing with Deviants: The Treatment of Antisocial Behavior, Schocken Books, New York, 1973, p. 33).

As with all communities, there are rules and standards for behavior to which members must adhere. If rule breaking is detected, the community will react.

"The pressures of the group, accepting, yet confronting, interpreting, pointing out, suggesting modifications, understanding and facilitating problem solving will be a different reaction from the authoritarian suppression he has hitherto provoked, and he may come to see that for him also there can be the possibility of a shift of behavior roles in this different type of society. If he continues to act out, then the community imposed sanctions mount in parallel with his misdemeanors until it becomes clear that he must change his pattern if he wants to stay or if he wants to continue in his old ways (and he is welcome to do so) -- he must leave." (Stuart Whiteley, Dealing with Deviants: The Treatment of Antisocial Behavior, Schocken Books, New York, 1973, p. 56).

Under the Network design, there are confrontation groups that are used to deal with the negative attitudes of participants. These groups provide clear perspectives on the consequences of dysfunctional behavior, while suggesting positive alternatives to that behavior. Yet, we are cautioned that this only works in the context of a caring community.

Learning experiences are also used in Shock Incarceration to remind both the individuals who receive them and the community as a whole of the need to change bad habits to useful ones. These experiences may consist of physical tasks or a process which serves as a reminder of the consequences associated with a certain behavior.

Thus, the Shock Incarceration process represents a therapeutic environment which is designed to address many of the problems which inmates may have and should not be mistaken for just a "boot camp". In a sense then, New York's Shock Incarceration Program consists of numerous programs that have been used individually in the past and have provided some successes. In fact, multi-treatment programs like New York's Shock Incarceration Program have been viewed as the most successful means of achieving positive changes in inmate behavior. (Paul Gendreau and Robert Ross, "Effective Correctional Treatment: Bibliotherapy for Cynics", Crime and Delinquency, October 1979, p. 485).

In addition to voluntary participation, some of the components of these successful correctional rehabilitation programs include "formal rules, anti-criminal modeling and reinforcement, problem solving, use of community resources, quality of interpersonal relationships, relapse prevention and self-efficacy, and therapeutic integrity." (Doris MacKenzie, 'Evaluating Shock Incarceration in Louisiana: A Review of the First Year', 1988, p. 4). Shock Incarceration in New York State has all of these components as they are used within the framework of the military structure to help turn these inmates into better citizens.

A recent evaluation of the Network Program by DOCS research staff found that "satisfactory participation in the Network Program is positively related to successful post-release adjustment as measured by return to the Department" (DOCS, Follow-up Study of a Sample of Participants in the Network Program, August 1987, p. iii). The report found that the actual return rate (24.5%) of the satisfactory program participants was notably less than the projected rate (39.5%) based on the Department's overall return rates.

In light of the theoretical and practical value of Network, it was selected to be a major component of Shock Incarceration in New York State. As adapted for Shock Incarceration, Network creates a therapeutic community which can address many of the needs and problems of Shock inmates, especially drug dependency.

Emphasis on Substance Abuse Services

Within this Network therapeutic community model of the Department's Shock Incarceration Correctional Facilities (SICFs), an emphasis has been placed on substance abuse treatment due to the documented drug or alcohol abuse histories of the majority of program participants. According to the N.I.J. Report on Shock programs nationally, this strong emphasis on alcohol and substance abuse treatment provided within the context of a therapeutic community is unique to New York State:

"SI programs in six states have some form of drug and alcohol treatment, most often based on principles of Alcoholics Anonymous. New York has a more extensive Alcohol and Substance Abuse Treatment (ASAT) program which all inmates with identified drug and alcohol problems must attend. ASAT combines elements of behavioral modification, drug education, and AA/NA philosophies. It includes individual and group counseling and development of individualized treatment plans." (Shock Incarceration: An Overview of Existing Programs, Dale Parent, p. 28, underlining added.)

In fact, this quote describing New York's program was inaccurate - because all Shock inmates, regardless of their substance abuse histories, must attend these classes.

As further evidence of our emphasis on providing substance abuse services in this program, the Department has recently been awarded a substantial grant from the United States Justice Department to enhance the drug treatment components of Shock.

In contrast to other states, the Shock Incarceration Program run by DOCS is designed to be a treatment-oriented program. For every 500 hours of physical training plus drill and ceremony that has led to the media calling it a "boot camp", Shock in New York also includes 546 hours of the therapeutic approach to treating addiction, based on the Network and the A.S.A.T. programs. It also includes at least 260 mandatory hours of academic education, and 650 hours of hard labor, where inmates work on facility projects, provide community service work, and work on projects in conjunction with the

Department of Environmental Conservation. (Statement of Commissioner Thomas A. Coughlin III, New York State Department of Correctional Services, Senate Committee on the Judiciary, July 25, 1989, p. 1.)

The structure of the Department's Shock Incarceration Program was best outlined by the Department's Executive Deputy Commissioner, Philip A. Coombe, Jr., in a presentation to the American Correctional Association in January 1988. In part, his presentation noted:

"First and foremost, it is not simply a boot camp. Governor Cuomo does not believe we can turn someone's life around simply by making them do push ups, march in formation, or take orders. The strict physical regimen is a pivotal tool in teaching discipline and respect for individuals as well as teaching them about teamwork and getting along with others. But of equal importance and weight in our program are the components that deal with education, professional and peer counseling plus drug and alcohol therapy. It is the combination of programs that we believe offers young offenders the chance to get their heads on straight and their lives in order. And as part of the shock program, Governor Cuomo mandated that Parole follow inmates closely upon release to see how they perform" (underlining added).

It must be made clear at this point that Shock in New York State is a two part program involving both institutional treatment and intensive parole supervision for graduates. This intensive parole supervision and after-care treatment for Shock graduates is still another key distinction which makes the New York program unique. With the most intensive supervision caseloads in the State, parole officers working in Shock have used community service providers to help in job placement, relapse prevention, and educational achievement for these inmates. During the first six months after an inmate graduates, parole staff continue to help maintain the decision-making and conflict resolution counseling which was begun at the facilities. The report on "after shock" prepared by New York State Division of Parole describes in greater detail the aftercare components which are essential to a successful Shock program.

Goals of Shock Incarceration

In discussions with other states which have Shock programs, the goals that have been set vary quite a bit. It is generally believed that the "careful definition of program

goals is essential to effective program design. It must precede initial planning, and must inform all stages of decision making as the program progresses." (Shock Incarceration: An Overview of Existing Programs, Dale Parent, p. 11).

Some of the goals which have been cited for Shock programs in other states include deterrence (which means making the program so unpleasant so as to deter future crime), punishment (which views the program as a proportional punishment more severe than probation and less severe than regular imprisonment), and incapacitation (which uses the program to keep people from committing crime by either long imprisonment or selectively picking lower risk inmates to undergo this intense period of control).

As stated in last year's report to the Legislature, the goals of New York's Shock program were twofold. The first goal was to reduce the demand for bedspace. The second goal was to treat and release specially selected state prisoners earlier than their court mandated minimum periods of incarceration without compromising the community protection rights of the citizenry.

In order for Shock to reduce the demand on prison bedspace, the program had to target offenders who would definitely be incarcerated. Thus, in New York the only inmates in the program are those who were sentenced to serve time in a state prison. (This is not always the case in other states where Shock inmates are in the programs as an alternative to being given probation.)

In addition, the length of their imprisonment in Shock had to be substantially less than the prison term which they would have served otherwise.

Any long term reductions in bedspace demand are dependent upon inmates successfully completing the program and keeping their rates of return to DOCS custody consistent with the overall return rate for the Department.

New York has responded to these issues by:

- a) limiting judicial involvement in the decision making process of who goes to Shock, thus assuring that participants would have gone to prison anyway;
- b) creating the program as a backend based operation which is not an alternative to probation but rather a program for incarcerated felons;

c) creating a treatment oriented program which emphasizes the development of skills designed to lead inmates to successful parole outcomes;

d) creating a strong intensive parole Supervision program for Shock graduates that enlists the aid of independent service providers.

It should be clear that these two program goals are related. Saving bedspace and protecting the community from greater risks are better served by these four above-mentioned general responses. With these goals in mind, the remainder of the report examines various aspects of the program and how well the program functions are addressing these general goals.

In summary, this section has outlined some of the key ingredients which have made Shock Incarceration in New York a unique corrections program both within the state and nationally.

SCREENING OF LEGALLY ELIGIBLE INMATES

Overview Of The Screening Process

From the beginning of Shock, one of the major responsibilities of the Research staff of the Department has been to monitor the screening process used for the selection of Shock inmates. Through this monitoring process, we have been able to identify every Shock eligible inmate upon reception, determine why some go and why others do not, identify those who went, those who dropped out (and why), identify those who graduated and those who returned to DOCS custody.

This information has provided the Department with a basic understanding of the flow of inmates into Shock and has been used to change the medical screening criteria, conduct population projections, justify program expansion, conduct follow-up studies, and perform cost savings calculations. Most recently, this information was utilized in the justification for a dedicated Shock reception and orientation facility at Lakeview.

Lakeview Shock Incarceration Facility

In the last report to the Legislature, it was pointed out that the selection, review, and orientation of Shock eligible inmates was the primary responsibility of the four DOCS reception centers throughout the state. Once inmates were cleared for participation, a second review process took place in the Office of Classification and Movement in Albany.

As the program expanded, this model became cumbersome and less cost effective. The reception centers could not use their bedspace to hold onto either Shock ready or Shock eligible inmates awaiting openings at the facilities. For this reason, Shock ready inmates were transferred to medium security and transit unit bedspace in at least five different non-shock facilities in order to await an opening in the program. Additionally, there were concerns about the need to standardize the orientation and screening process with hopes of being able to increase the rate of acceptance for Shock eligible inmates.

The proposed solution to these problems was the creation of a centralized Shock screening and orientation facility where Shock eligible inmates would be sent from reception. This facility would have consistency in both the orientation and screening process for Shock eligibles and, because it would also house regular Shock platoons, the incoming inmates could get a better understanding of the program. By observing and talking with inmates already in the program, and by having some exposure to the Shock staff and the Shock regimen, these

newly arriving inmates would have the ability to make an informed decision about their own participation. Since the entire facility would be devoted to the Shock program, it was anticipated that with more information available to them, more inmates would volunteer for the program. It was thought that more informed Shock eligible inmates would be less likely to refuse to participate in the program before they have had a chance to test it.

It was also thought that a more informed group of Shock eligible inmates would be less likely to drop out of the program once they had been assigned to a Shock facility during the early weeks of the program.

The most difficult portion of an inmate's experience at Shock occurs during the first two weeks of the program in the period known as "zero-weeks". It is during this timeframe that most inmates leave the program after they are provided with a full indoctrination of what is expected of them. These zero weeks currently occur at the Shock facilities and are responsible for reductions in the size of platoons, with the remainder of that platoon continuing on for the remaining 24 weeks in the program.

Consequently, one of Lakeview's most important functions will be to provide the zero weeks for all Shock inmates. Thus, all inmates being sent to a Shock facility will have already gone through this difficult period and the anticipated number of dropouts among these inmates once they reach a Shock platoon will be diminished. As of this writing, the provision of zero-weeks at Lakeview has not yet started.

To summarize, the single staging facility for Shock eligible commitments at Lakeview should not only increase the number of inmates participating in the program, but it should also have the effect of lowering the number of early drop-outs among inmates who are sent to the Shock programs.

Additionally, this facility will serve as a training facility for new staff coming into the program, as well as a site to provide in-service training to existing staff from all Shock facilities. With a central training location, staff orientation to their roles in the program could be modeled and more easily standardized.

Inmate Flow Through The Program: Approval Rates For Eligible Inmates

According to Table 2, there were 7,366 Shock eligible inmates who were reviewed for Shock participation between July 13, 1987 and November 17, 1989. At any given point, these inmates

would have been in one of three general statuses. They could have been denied or have refused Shock, they could have been approved for Shock or been sent to the program, or they could still be under review.

In order to calculate the rate of approval, both the number of inmates sent to Shock and the number of inmates who were not sent were used. To get the best picture of the approval rates, the calculation needed to be made when the the number of inmates in the "pending review" status were at a minimum. To accomplish this we waited a month (until December 17, 1989) to review the status of all inmates who were Shock eligible on November 17, 1989. If this status review had been performed on November 17, 1989, there would have been 377 inmates in the "pending review" status. By waiting a month, the number of inmates "pending review" dropped to 90, and it was possible to calculate an approval rate that reflected the status of almost all of the eligible inmates.

In order to obtain the largest savings in bedspace, the Department has made every effort to maximize this approval rate. Although the rate of approval for eligible inmates received by the Department between July 13, 1987 and November 17, 1989 was 45.2%, Table 3 shows that screening through Lakeview has had a dramatic effect of increasing program approval rates.

Approval Rates For Lakeview

Table 3 compares the approval rate for Shock eligible males who went through Lakeview screening with those male Shock eligibles who did not. The table further sub-divides these two groups into the two relevant age groups of 16 to 25 year olds and 26 to 29 year olds.

The table indicates that Lakeview has been able to dramatically improve the approval rates for inmates being processed there regardless of their age category. Lakeview has approved 72.3% of the younger inmates (as compared to 42.3% of the younger pre-Lakeview eligibles) and 47.4% of the older inmates (as compared to 3.4% of the older pre-Lakeview eligibles.)

It should be noted that the approval rate for 26 to 29 year olds has been significantly lower than that of the 16 to 25 year olds. This is because the older inmates have had more extensive criminal histories which has made them unsuitable for the program and because they have refused to participate in the program more frequently than younger inmates. (One of the major concerns of the older inmates is that due to the amended Shock Legislation which made them eligible, older inmates must be incarcerated for at least one year prior to

their release to parole supervision. This restriction is unique to eligible inmates in this age group and does not apply to all Shock eligible inmates.)

Table 3 also provides information designed to give us a better understanding of why the approval rate for inmates processed at Lakeview has been higher than for inmates processed prior to Lakeview.

This table indicates that at Lakeview, eligible inmates have been less likely to be excluded for medical or psychiatric reasons. This has been primarily due to the existence of an extensive infirmary on the grounds of Lakeview, allowing inmates, previously excluded with minor medical problems, to participate in Shock.

The table also indicates that at Lakeview there have been fewer inmates excluded because of pending felony charges or warrants. This has been due to the ability of staff at Lakeview to spend the additional time to track down the validity of the status of these impediments to participation.

There also have been fewer inmates disqualified at Lakeview because of their alien status. Although aliens had been sent to Shock facilities in the past, problems occurred when Immigration and Naturalization made determinations that some of these aliens were deportable. There were concerns that when these aliens found out about their deportable status they might become escape risks, and because the Shock camps had no perimeter security, these inmates were removed from the program. Their removal from their platoons was generally very disruptive as most were doing well in the program prior to their removal. Due to these problems, foreign born inmates have not been considered suitable for Shock. However, since Lakeview is a medium security Shock facility, with a secure perimeter, it has become possible to reconsider these aliens for Shock participation at Lakeview only.

Finally, the proportion of inmates refusing to participate in Shock has been almost cut in half at Lakeview. This was primarily due to the benefits of using a single facility to process and orient all Shock eligible inmates and to be able to provide eligible inmates with a preview of what Shock is about.

It should also be mentioned that because of a dedicated screening process, the time that eligible inmates spend in "reception" at Lakeview is diminished, and as a result, fewer inmates are vulnerable to being disqualified because of shortened time to parole eligibility or other miscellaneous reasons.

Thus, early information about the effects of Lakeview appear to be very positive as it has achieved its major goal of increasing the number of inmates being approved for participation in Shock. Additionally, a review of the dropout rates for platoons in the first three weeks both pre- and post-Lakeview, show that there has been no real difference in the percentage of inmates leaving early since Lakeview came on line. Once Lakeview begins to take over the zero-week functions, the number of inmates leaving the program early should begin to decline, but more importantly, the number of vacant beds at the Shock facilities should also diminish.

Table 2 shows that the approval rates for men and women differ. Eligible women have been less likely to go into the program as they have proportionately more medical/psychiatric disqualifications and more refusals than men.

Inmates Sent To Shock

Table 4 indicates that as of November 17, 1989 there were 3,016 inmates sent to Shock facilities. As of that date, 1,158 had graduated, 903 were removed from the program, and 955 were currently involved in the program.

Of those inmates who left Shock before completing the program, Table 5 shows that almost half (49.2%) were removed for disciplinary reasons while another third (31.8%) left the program voluntarily.

Tables 6 and 7 show that the overall dropout rate for graduating platoons was 33.2% and that these dropouts spent an average of 38.1 days in the program before leaving.

Since the Department began to run this Shock program, there has been an ongoing effort to keep the Shock facilities as full as possible while also eliminating inmates from the program who do not want to change. In order to minimize the potential for empty bedspace, the Department has increased the size of incoming platoons (thus reducing the effects of dropouts) and has taken steps to combine smaller platoons in their last two months at a facility into one housing unit, thus leaving space for newer and fuller platoons.

It should be made very clear that the Department will not lower its expectations of inmates in the program and will not graduate program failures as a response to these concerns.

DESCRIPTIVE INFORMATION ON SHOCK INMATES

Who Gets Sent To Shock

This section briefly reviews the demographic and legal characteristics of inmates who have been sent to Shock facilities in contrast to inmates being housed at selected Camps and Medium Security facilities. The data is based upon a computer file describing inmates who were under custody on November 10, 1989.

Due to the fact that there are restrictions on the characteristics of Shock eligible inmates based on age, time to parole eligibility, and crime type, the typical Shock inmate differs from much of the undercustody population. Last year, this report indicated that Shock inmates were "more similar to Camp inmates than to Medium Security inmates, but their differences appear to show that Shock inmates are more serious offenders than Camp inmates and less serious offenders than Medium Security inmates." (Shock Legislative Report 1989, p. 25).

A review of the data in Table 8 show that these findings are substantially the same although there appear to be some shifts among the 22 categories which had been used to compare Shock inmates to inmates at other facilities last year (see Table 9). Most notably, compared to last year, this year's snapshot shows that the Shock inmates have been older, involved in more drug crimes, and their sentence lengths and time to parole eligibility have appeared to be shorter (this may be due to the fact that the proportion of male A-II drug felons who have the longest sentences among Shock inmates has also declined.)

The changes in the age and offense distribution of Shock inmates between the two years is not surprising in light of the increases in the age of eligibility and the general increase of drug commitments due to changes in crack laws and new drug enforcement policies in the state.

A review of the attributes of Shock inmates by gender shows that there are some real differences between the characteristics of men and women in the program. The women are older, more frequently committed for drug crimes, more frequently second felony offenders, more often from New York City, report more drug use, are more often minimum security inmates, have had more jail time, and higher Beta IQ scores. Additionally, they are more often hispanic and fewer of them are white or black.

Since the 1989 Legislative report was issued, one comparison facility, the medium security facility at Taconic, has been transformed into a women's prison. This change in Taconic's population has provided us with a medium security population of females who could be used for comparison purposes to the females component of Shock at Summit SICF. When the characteristics of the Shock females and Taconic females are compared, Shock women are younger, have had less jail time, higher Beta IQ scores, shorter sentences, and less time to parole eligibility. Additionally, the female Shock program participants are more likely to be drug offenders and more likely to be Hispanic, and less likely to be Medium Security inmates.

In summary, not only are Shock men different from Shock women, but the women at Summit appear to differ a great deal from the women at Taconic.

As the parameters of the eligibility and suitability criteria change, the portrait of the typical Shock inmate also appears to be changing. It has yet to be seen if these shifts in the characteristics of the Shock population will necessitate alterations in the delivery of programs to inmates in Shock, but one area the Department is placing more emphasis on is the enhancement of drug treatment components of the program.

Due to the restrictive eligibility criteria which allows only young, non-violent offenders into the program, the majority of inmates in the program (72.3% of the men and 94.0% of the women) have been convicted of drug offenses. A high proportion of these offenders (i.e., 75.0% of the men and 84.0% of the women) also reported that they had been using drugs prior to their commitment to DOCS custody.

As inmates with drug related crimes constitute an overwhelming majority of the Shock population, steps are being taken to strengthen the delivery of drug treatment to them.

Illustrative Case Histories: Drug Abusers In The Program

The typical Shock inmate has had some criminal history which either directly involved sale or possession of a controlled substance or was designed to gain money in order to support his/her drug dependency. Two case histories of Shock inmates are presented to exemplify these issues:

The first case describes a 21 year old male from New York City whose instant offense involves the sale and possession of crack. He is an admitted drug abuser and addict.

This inmate is a high school drop-out, and his work history has been very unstable. His adult criminal record began in 1983 at age 16. He has eight prior arrests resulting in two prior felony convictions. His criminal pattern involved drug related crimes or robbery offenses designed to gain money to support his drug abuse. Throughout his history of drug abuse, he has been intermittently enrolled in a variety of drug treatment programs, none of which he has completed. In fact, he was enrolled in a treatment program at the time of his arrest for the instant offense.

The second case describes a 24 year old woman from New York City whose instant offense involves the sale of crack.

She had been a drug abuser since age 19 and a crack user since age 22. The instant offense represents her third felony arrest and first felony conviction. She had previously been arrested for Petty Larceny and Prostitution which were reportedly committed for monetary gain in order to supply her drug habit. She has two sons from two different men and neither child was in her custody. Her last boyfriend was abusive and compelled her to engage in a variety of criminal activity in order to support both of their crack habits. She has had difficulty in maintaining any legitimate employment because of her drug dependency and was being maintained on public assistance. She was sentenced to probation for the instant offense and was allowed to enroll in a residential alternative to incarceration. Ten days after she completed this program, however, she was rearrested on drug related charges and sentenced to prison.

To respond to the needs of drug offenders such as these two inmates, each of the Department's Shock facilities has made a significant staffing commitment to drug abuse services and all inmates are required to attend three to five hours of drug counseling per week while in a Shock Facility.

As expressed in the Mission Statement of the Department's Division of Alcohol and Substance Abuse Services, the objective of its substance abuse services is:

To prepare chemically dependent inmates for return to the community and to reduce recidivism, the DOCS' Alcohol and Substance Abuse Program assists participants by providing education and counseling

focused on continued abstinence from all mood altering substances and participation in self-help groups based on the 12 Step approach.

It should again be noted that the Department has been awarded a significant federal grant to help enhance the drug treatment components of Shock. This grant will be described in more detail in the last section of this report.

FISCAL ANALYSIS OF SHOCK INCARCERATION

Overview

Since the last Legislative report, the size of the Shock Incarceration Program has increased from 500 beds to 1,500 beds and 250 orientation slots. The first two facilities at Monterey and Summit were converted to Shock facilities from Camps. The three new facilities which have come on line since March 1989 have been the result of new construction, and in future reports, we will be better able to document the fiscal histories of these Shock facilities from their beginnings.

This report updates the 1988-1989 Fiscal Year expenditures for both Monterey and Summit using the actual amounts spent and the number of inmates who were there. The last report was only able to examine the FY 88-89 estimated expenditures and estimates of the inmate population. The budget analysis presented here will use the same comparison facilities that were used last year.

In trying to determine the costs of running a Shock facility, information was obtained from DOCS Budget Analysts. They were asked to provide costs for three Medium Security facilities, four Camps, Lyon Mountain and both Monterey and Summit SICFs.

The Medium Security facilities that were originally selected (Altona, Wallkill, and Taconic) were chosen because they had some of the lowest rated capacities and had no particular program functions which limited the types of inmates under their supervision. Subsequently, Taconic has been converted into a female facility, but it was kept in the analysis as a good counterpart to Summit, which became co-ed in December 1988.

Of the five Camps in the DOCS system, Camp McGregor was not used in the analysis because it is located on the grounds of a Medium Security facility, thus making it difficult for Central Office Budget staff to isolate its costs. Also, it was not clear what services this Camp received from its associated Medium Security facility.

Lyon Mountain was selected because it is a Minimum Security facility without any substantial work release component.

As with last year's analysis, the fiscal information used in this section was provided by the DOCS Office of the Budget, while the relevant population figures were calculated from the daily population figures provided by Records and Statistics.

The Costs Of Shock - A National Perspective

In the recent report by Dale Parent which provides an overview of Shock programs nationally, we are provided fiscal information about four of the states which run these programs:

"In all four states officials said that the SI program costs for food, clothing and consumables were about the same as for regular prisons. Nonetheless, more intensive demands on custodial and/or rehabilitation staff in many SI programs led to higher daily costs per inmate, as compared with regular prison inmates. (Shock Incarceration: An Overview of Existing Programs p. 16).

Since only Michigan and New York have "stand alone" Shock facilities, other states have been able to use the resources of the larger facilities that they are a part of as a way of cutting costs. Although some states provide portions of the program components available in New York, no state that we have surveyed developed a Shock Incarceration program with the extensive levels of treatment provided by New York. Additional costs are accrued for New York because most states do not keep Shock inmates incarcerated for as long as New York does.

It should also be mentioned that since many states (i.e Georgia, South Carolina, Texas, Alabama, Arizona, Michigan and Mississippi) run front end programs (where Shock Incarceration is used as an alternative to probation and judges control which inmates are sent to the program), the reported savings accumulated by releasing inmates early needs to be offset by the inevitable net widening effects of Judges' decisions on who to send. This occurs when convicted offenders, who would not have been incarcerated for their offense, get sentenced to a Shock program because of its perceived benefits.

Per Diem Program Expenditures For New York

Monterey SICF began operations with 38 inmates on September 10, 1987 and did not reach its full capacity of six platoons until February 1, 1988. Summit SICF did not begin operations until April 11, 1988 and did not reach its full capacity of six platoons until October 11, 1988.

Even though both facilities had been operating during FY 88-89, only Monterey had been fully operational during all 12 months while Summit was fully operational for only 6 months. As such, the average annual population of Summit was lower than that of Monterey by 29.9%.

This process of not filling a facility with inmates all at once is unique to Shock facilities. Typically new non-Shock facilities are filled with inmates within a month after they are opened. As a result, the Shock facilities are budgeted as full running facilities even though it takes six months to reach their inmate capacity.

Additionally, during this fiscal period, Summit converted one of its dorms into housing for female Shock inmates, which resulted in the need to hire more female staff.

Although this might explain some of the differences in the per diem costs between the two Shock facilities, the differences in per diem costs between Shock, Camps, and Medium Security prisons also needs to be explained.

Last year, we pointed out that since Monterey and Summit both have intensive rigorous programs run under strict discipline in a camp setting, the costs for security, food, and clothing were higher than for Camps in general. Program rigor also made it necessary to have inmates transferred out of Shock, either because of their behavior or because it was too tough to complete, thus, the facilities would not be running at their full capacities.

By using actual expenditures for FY 88-89, Table 10 shows that the total per diem costs for Shock were 44.9% higher than those of the largest Camp, 24.7% higher than the largest Medium Security facility and 6.3% higher than Lyon Mountain, a Minimum Security facility. (It should be pointed out that the per diem costs at Monterey were less expensive than those for Lyon Mountain.)

As with last year's fiscal data, the Program and Support expenditures at the Shock facilities were somewhat higher than that of the Camps but were comparable to those of the Medium Security prisons. This is due to the fact that all inmates are fully programmed during their six months in Shock. This is not the case at any of the other comparison facilities where program involvement is optional.

Overall, at the Shock facilities, 41% of the inmates have been classified at the Medium security level. Since there is no perimeter security at these two Shock facilities, the costs for security (primarily additional personnel) were higher than those of the four Camps or the three Medium Security facilities. This need for additional security has resulted in a higher staff-to-inmate ratio at Shock.

As shown in Tables 11 and 12, which were used in last year's report, the security staff allocated for the Shock facilities expanded to include a Captain and a Network administrator which were not present at any Camp. Monterey and Summit each gained four Lieutenants and at least twenty Correction Officers. (It should be noted that the security staffing levels were also different at Shock because the role of the Drill Instructor was unique to these facilities.)

The data from Table 10 indicate that it costs more to feed Shock inmates in comparison to the costs for feeding Camp or Medium Security inmates. This is because the rigorous nature of the program means that inmates are burning more calories. Additionally, SICFs have restricted package and commissary privileges; therefore the food provided by the facility is all these inmates have available to them. All their meals are mandatory and the food taken by an inmate must be eaten. This policy eliminates the wasting of food by inmates in the program. This is very different from the food, package, and commissary policies of any other facility administered by DOCS.

The clothing costs at Shock are very similar to those of the Camps where outdoor work is a mandatory part of their programs. (The clothing and food costs are expenditures which come out of the Support Services part of the facility budget.)

Since the Shock facilities release all graduates directly to parole supervision, the costs of release clothing for the program were higher than the costs encumbered by the comparison facilities. None of the comparison facilities has the volume of releases that occur at Shock.

Although the Shock program stresses hard labor, the wages for inmates at Shock are about the same as for the inmates in any of the comparison facilities. (Both the release clothing and inmate wage dollars are a part of the program service budgets of the facilities).

It must be remembered that the per diem costs are only part of the fiscal story of the Shock program, as money is being saved due to the early release of Shock graduates and the program's ability to effect bed savings for the Department. Still, regardless of whether the actual or estimated expenditures for fiscal year 88-89 are used, the conclusion remains that it is more costly to run Shock facilities on a per diem basis when compared to Camps or selected Medium Security prisons.

Program Cost Savings Due to Shock Incarceration

To understand how it is possible to realize savings from Shock Incarceration, we must make it clear that it is the only systemic way in which New York State inmates can be released to parole supervision prior to their Parole Eligibility dates (PE dates). Thus, not only do Shock inmates spend less time incarcerated, but the length of the program allows a bed to be occupied twice a year for a six month period.

Table 13 provides information on the number of days in custody which were saved as a result of the release of 1,009 inmates from the first 33 graduating classes at the Shock facilities.

On average, the 1,009 Shock graduates would have spent 502.5 days in prison until their Parole Eligibility dates (or about 16 and a half months), if the program did not exist. As a result of Shock, these inmate graduates only spent 243.2 days incarcerated (which includes time in reception) before they were released. Thus, for each graduate there was a net savings of 259.3 days or approximately eight and a half months from date of release to his/her PE date.

Another factor to be considered is that for all DOCS inmates, the proportion who get released, in 1989, at their initial parole hearings is 62%, while all Shock graduates have been granted parole releases. Thus, if Shock were not available, we could expect that 62% of the graduates would be released at their Parole Eligibility dates, while 38% would be given additional time (which is estimated to be nine months by those analyzing parole outcomes for Earned Eligibility Program certified inmates).

Using the information from Table 10 and Table 13, we were able to generate a program cost saving figure that resulted from placing an inmate in Shock rather than having to house that inmate at either a Camp or at one of our comparison Medium Security facilities. This information is presented in Table 14. Assuming that, on average, all inmates spend the same amount of time in reception, we multiplied the average per diem cost per inmate (for each facility type) by the number of days he/she would be incarcerated.

Thus, even though the cost of providing care and custody for inmates is higher at Shock facilities on a daily basis, the number of days spent under custody by an inmate graduate is substantially less than if that inmate had to serve a full sentence at a Camp or Medium Security facility.

In fact, for every 100 inmates who graduate from Shock, there is a savings of \$933,315 because we have housed them for less time. These savings are due to the early release of inmates prior to their Parole Eligibility dates.

Additionally, if Shock were not available, it is estimated that 62 of these 100 inmates would get released at their initial parole hearing through the operation of the Earned Eligibility Program. The other 38 inmates would stay incarcerated for an average of nine months. The Department estimates the annual operational and administrative costs per inmate at \$25,000. Therefore, 9 months, or three-quarters of a year of incarceration costs \$18,750. For our purposes, that is an additional savings of \$712,500 for the 38 inmates in post-PE savings.

So, for every 100 Shock graduates, it is estimated that the Department saves \$1,645,815, which it otherwise would have had to expend for the care and custody of these inmates. Thus, for the first 1,158 graduates from Shock, as of November 17, 1989, there was an estimated savings in program costs of \$19,058,542.

Capital Savings: Bed Savings And Associated Costs

An additional set of savings from Shock Incarceration, separate from the operating costs, are the bed savings, which translate into the capital construction costs avoided as a result of not having to house Shock graduates.

If we examine the distribution of the time owed by inmates who graduated Shock, we can determine at any given point how many of these inmates would still need to be housed if Shock were not in existence. Based on these calculations for graduates as of November 17, 1989, there were 698 inmates who would have had to be housed if Shock were not available.

The cost of constructing these 698 beds would be based on portions of the estimated costs for building both Medium Security and Camp facilities. At present, a 750 bed Medium Security facility would cost approximately \$64.95 million while a 250 bed Camp would cost approximately \$13 million. By using our breakdown in the security classification of Shock inmates 41% of the 698 inmates (or 286) would be Medium Security inmates while the remaining 412 inmates would be of Minimum or Camp security classification.

Using the amount of \$86,600 as the cost of one medium bed and \$52,000 as the cost of one Camp bed, our capital costs involved in housing these 640 inmates would amount to:

\$ 86,600.00	X	286	=	\$24,767,600
\$ 52,000.00	X	412	=	\$21,424,000
		698	=	\$46,191,600

This \$46.1 million is what the Department has saved by not having to build space for these Shock graduates.

This estimated bed savings does not take into account the fact that a certain portion of Shock beds are vacant because the program structure does not presently backfill platoons when inmates are removed from the program. On average, the number of vacant beds has been a total of 184 for all four of the 250 bed Shock facilities. These 184 beds would be filled if the Shock program did not exist. Thus, they must be subtracted from the 698 bed savings for a total bed savings of 514. This adjustment reduces the dollar savings to \$36.6 million, a more accurate representation of the financial benefits of the program.

By using these figures, the savings to date for the 1,158 Shock graduates is equal to \$55,682,142, which includes savings in the provision of care and custody and savings in the cost of capital construction.

In summary, the Shock Incarceration Program is capable of reducing the demand for bedspace and saving the State money, despite the fact that it is expensive to provide this intense level of programming.

EDUCATIONAL ACHIEVEMENT IN SHOCK INCARCERATION

Overview of Educational Components

One of the central concerns of the Shock Incarceration Program is the educational achievement of inmates during their imprisonment. At Shock facilities, education is mandatory for all inmates as they must spend at least 12 hours in class each week. The education program is geared toward trying to enhance the verbal, math, reading, and writing skills of all inmates and to provide the opportunity of GED testing for those inmates who are prepared for this exam.

This educational emphasis for inmates is not a policy unique to Shock, as DOCS has an extensive educational program providing a range of academic education for inmates without high school diplomas. They include Adult Basic Education (ABE) programs in Spanish and English for those who function below the fifth grade level, English as a Second Language (ESL) for inmates of limited English proficiency, and GED classes in Spanish and English for inmates functioning above the fifth grade level.

Initial program placement is based on the results of standardized achievement tests administered upon intake as part of the reception/classification process. Achievement tests are subsequently administered to inmates participating in academic programs to measure progress and to determine eligibility for placement in more advanced level classes.

Formerly, the Department used the California Achievement Tests as the standardized measure but has recently switched to the Test of Adult Basic Education (TABE) exam.

The demographic data on Shock inmates presented in Table 8 shows that as compared to those inmates of the Mediums and the Camps, Shock inmates are significantly younger at admission and fewer have completed high school. The data also show that the math and reading achievement scores at admission of Shock inmates are lower than those of inmates in the Mediums or the Camps. These findings are not surprising as they suggest that age is an important factor in determining levels of math and reading skills among inmates.

These associations are important as they relate to the ability of the Shock Incarceration program to prepare inmates to take and pass the GED.

Although attaining a GED while in Shock is a desirable goal for all graduates, we must realize that Shock inmates only have six months to do so and education is only one of many required Shock program components. It is also important to note that Shock inmates start with lower levels of achievement and must show greater improvement in order to be prepared for GED testing.

The significance of having a GED cannot be overstated as a worthwhile personal accomplishment. Data from the Bureau of Justice Statistics and New York State DOCS indicate that higher amounts of prior education or the completion of a GED while in prison, are related to lower recidivism rates. (See Allen J. Beck and Bernard Shipley Recidivism of Prisoners Released in 1983, U.S. Department of Justice, Bureau of Justice Statistics, March 1989 p.5 and New York State DOCS Follow-up Study of A Sample of Offenders Who Earned High School Equivalency Diplomas While Incarcerated, New York State DOCS, Division of Program Planning, Research and Evaluation, July 1989).

TABE Testing

Testing for achievement levels is a valuable diagnostic tool which can be used to match educational programs with skill levels. This testing is even more valuable when it is done longitudinally so changes in achievement levels can be assessed. As such, the Department has stressed the value of at least two tests for each inmate completing Shock. The changes in these scores can then be considered as one measure of the effects of Shock on inmates in the program.

This section analyzes both the Math and Reading TABE scores for 867 Shock graduates between March 8, 1988 and November 17, 1989 who had been given at least two achievement tests. It must be pointed out that the typical interval between testing varied from six months (for those who were not tested when they arrived at a Shock facility and whose scores at reception were used) to four months (for those who were tested upon their arrival at a Shock facility).

Math Scores: The average initial math scores for these Shock graduates was 7.3, with a median value of 7.1. Additionally, only 20.3% (N=176) of the inmates had initial math scores of 9.0 or higher. In contrast, the average final math score was 8.8, with a median value of 8.4. Additionally, 41.0% (N=355) of the inmates had final math scores of 9.0 or higher.

Thus, the overall change in math scores was an increase of 1.5 grade levels.

Not all the graduates had increases in their math levels over the course of the six months. In fact, 10.7% (N=93) had declines in their scores, while 20.4% (N=177) had no changes in their scores. Yet, in six months, 68.9% (N=597) of the Shock graduates had increased their math scores by one grade or more.

Of the 597 who did increase their math scores, 70.2% (N=419) increased by two or more grades while 23.5% (N=140) increased by four grades or more during their six months in Shock.

Reading Scores: The average initial reading scores for these Shock graduates was 7.9, with a median score of 7.8. Additionally, 37.5% (N=325) had initial reading scores of 9.0 or higher. In contrast, both the average and median final reading scores were 8.8. Additionally, 45.7% (N=396) had final reading scores of 9.0 or higher.

Thus, the overall change in reading scores was an increase of one grade level. As with the math scores, not all graduates had reading score increases while in Shock. In fact, 17.4% (N=151) had declines in their scores, while 28.3% (N=245) had no changes in their scores. Still, in six months 54.3% (N=471) of the Shock graduates increased their reading scores by one grade or more.

Of the 471 who did increase their scores, 65.4% (N=308) had increases of at least two or more grades while 11.0% (N=52) increased their reading scores by at least four or more grades during their six months in Shock.

Overall, the TABE test results show some very positive accomplishments for Shock, but changes in TABE levels do not automatically mean that it will be easier for an inmate to obtain a GED.

GED Testing

As with last year's report, we have been provided GED test results for all DOCS facilities by the Division of Education. This year we will examine the GED information for 1988 and January through August 1989.

Last year, the Legislative report noted that one of the keys to a high GED passing rate was a good screening process that would allow only qualified and prepared inmates into the test. The report showed how different screening standards at different facilities produced different GED passing results. In the beginning of 1988 when Monterey was not screening, its passing rates were low, and when screening began later in the year, the passing rates became much higher.

Tables 15 and 16 show that for both years, the number of GED tests given at Shock facilities was higher than any of the comparison facilities while the number of inmates tested was also the highest among these facilities.

The tables also show a disturbing trend in the overall passing rate for GED testing. Between the two time frames, the rate for almost all facilities declined (three by over 25%). The passing rates at Shock facilities have not been immune to this decline which has been widely attributable to a change in the type of testing done by GED. According to one source, "The new GED, as of September 1988, is more difficult. It is more conceptual and requires more thought and ability to apply information than the previous GED."

Yet, there was an additional problem created for the Shock facilities when the screening standards were liberalized in order to allow more inmates to take the test. The new standard for Shock allowed any inmate with TABE Reading scores of 8.0 or higher to take the test. These liberalized standards had the effect of allowing inmates who were not fully prepared, to be tested while also creating separate, noncomparable, standards for these Shock facilities.

Under these circumstances it was not unexpected to find that there were declines in the GED passing rates at the two Shock facilities. It should be pointed out though that steps are being taken to remedy the situation by standardizing the screening criteria for all DOCS facilities.

Despite these problems, the tables also show that of the 509 Shock graduates at Monterey and Summit in the past twenty months who took the GED, 45.6% (N=232) passed, and with more consistent standards the potential for even higher passing rates at Shock is possible in the future.

GED And TABE Scores

In a recent memorandum from the Director of Education at Monterey, there is a reference to the relationship between TABE scores and GED success. The memorandum indicates that no inmate with a TABE Reading score of 9.0 or below and a TABE Math score of 8.0 or below had ever passed a GED exam at his facility.

This statement is given some support by our information on the GED results for the 867 Shock graduates who had an entry and an exit set of TABE scores.

By examining the entry and exit Math and Reading scores for four GED statuses in Table 17, we found that there is a strong association between GED success and higher entry and exit TABE scores for both Math and Reading. What this suggests is that although the majority of Shock inmates make improvements in their achievement levels while in Shock, their ability to pass a GED will be somewhat dependent upon the skills which they bring with them. As such, it may be unrealistic to expect that someone with sixth grade skills will be prepared to take a GED test and pass it within six months.

TABLE 17

ASSOCIATION BETWEEN TABE ENTRY AND EXIT SCORES
AND GED STATUS

<u>TABE Test</u>	GED STATUS			
	(N=183) <u>Had One</u>	(N=172) <u>Took And Passed</u>	(N=212) <u>Took And Failed</u>	(N=300) <u>Did Not Take</u>
Math In	9.5	8.3	6.7	5.9
Math Out	10.9	10.4	8.4	6.8
Read In	10.4	9.9	7.3	5.7
Read Out	11.3	10.9	8.5	6.2

DISCIPLINARY PROCESS AT SHOCK INCARCERATION

Overview Of The Disciplinary Process

The enabling Legislation for Shock Incarceration indicated that the program should stress "a highly structured and regimented routine, which will include extensive discipline, considerable physical work and exercise and intensive drug rehabilitation therapy."

As a result, DOCS created a program where the participating inmates were constantly being supervised, evaluated and pushed to make changes in both their behavior and attitude. This is not a new concept in corrections, yet it has been the most publicized aspect of the program. It may be more important to point out that even though inmates volunteered for this program, once these relatively young inmates arrived at a Shock facility, not all of them reacted positively to either the program goals or the means of achieving these goals.

For the first time in many of their lives, limits had been placed on the behavior of these volunteers. Many had joined the Shock program initially because all they heard was that after six months, they would be back on the streets. However, the reality of the program was that, in return for this early release, they would be pushed harder than they had ever been pushed before to make positive changes in their lives. Because of the program rigor, many did not get to finish the program.

Those inmates who realized that the program was too tough for them left voluntarily. Table 5 shows that of the 903 inmates who had been transferred from the program in the first 26 months, 31.8% (N=287) left voluntarily. On average, these inmates decided to do so within 14 days of their arrival.

The majority of inmates who left the program prematurely did so because of disciplinary problems, and they constituted 49.2% (N=444) of the inmates who were transferred out. On average, it took close to six weeks for them to leave. This group consisted of: (a) inmates who were chronic problems who continually violated the rules of the program; (b) inmates who wanted to leave the program, but, not willing to admit defeat, decided to take some action and get themselves transferred out; and (c) inmates who may not have been in trouble previously, but who got involved in a particularly blatant display of disregard for staff, peers, or the rules of the program.

The strict discipline and high level of supervision provided at Shock are part of the general treatment plan of the program. They also constitute part of the security of these facilities, the majority of which do not have perimeter security or secure areas of confinement for disruptive inmates. As a result, when problem inmates disrupt the security of the facility, they have been typically transferred out. It should be reemphasized that 42% of these Shock inmates did have a Medium Security designation.

The three Tier disciplinary process that is used in all facilities, is also used at Shock facilities, but it is not used as a measure of first resort to help adjust an inmate's behavior. Instead, the "learning experience" has been used most often as a way to make the negative habits of disruptive inmates uncomfortable. These experiences has been designed to be continual reminders to all inmates that it is necessary to change bad habits into useful ones, because there are consequences for such disruptive behavior both in and out of prison.

Shock inmates may receive a variety of informal counseling from security and civilian personnel at the facility prior to being given a misbehavior report. Disciplinary reports have also been used in conjunction with learning experiences as these experiences may be the resulting disposition for a misbehavior.

As a result of the stricter regimen and the variety of ways inmates have reacted to the program, we expected that there would be more disciplinary reports handed out at the Shock facilities than at our comparison facilities.

Disciplinary Activity At The Shock Facilities

Since last year's report, we have made an effort to automate disciplinary data for all inmates who have gone to Shock facilities. In this process, we have relied on data from the facilities, as we have requested copies of all Tier II and Tier III disciplinary reports (which are the most serious misbehaviors) as they occur. The information presented here represents data from that effort.

A review of independent information on facility disciplinary activity from the Director of Special Housing reported 684 Tier II hearings occurring at just Summit and Monterey in CY 1988 and CY 1989 (through September), while we reported 520 incidents which were Tier II in nature from all Shock facilities through November 17, 1989. Additionally, while

there were 307 Tier III hearings at Summit and Monterey for a 21 month period, we reported 316 Tier III incidents from all Shock facilities during that period.

With these comparisons in mind, this data can be viewed as a reasonable sample of disciplinary activity at Shock facilities.

The data on disciplinary activity in Tables 18 through 21 indicate the following:

(a) Only a small percentage (18.8%) of inmates in the Shock program get involved in disciplinary activity involving Tier II or Tier III hearings.

(b) Of the 566 inmates with Tier II or III reports, 68.6% were involved in one incident while the remaining 31.4% were involved in more than one incident.

(c) These 566 inmates were involved in 836 Tier II or Tier III misbehaviors.

(d) Of the 836 misbehaviors, the majority (62.2%) were of the Tier II level.

(e) Of the 1,158 graduates from Shock, 247 (or 21.3%) were involved in misbehaviors of the Tier II or Tier III level. These 247 inmates were responsible for 360 misbehaviors, the majority of which (76.4%) were of the Tier II level.

(f) Of the 903 inmates removed from the Shock program, 239 (or 26.5%) were involved in misbehaviors of the Tier II or Tier III level. The 239 inmates were responsible for 367 misbehaviors the majority of which (58.0%) were of the Tier III level.

(g) A comparison of the types of misbehaviors among graduates and program transfers shows that graduates were more often involved in inmate fights, refusals to follow orders, and disruptive behavior, while program transfers were more often involved in staff assaults, verbal abuse of staff, and acting out after being fed up with the program.

In summary, these data show that less than one-in-five inmates in the Shock program get involved in misbehaviors and those who do, typically get involved in only one incident. These data also indicate that most misbehaviors are at the less

serious Tier II level. Additionally, program graduates who misbehave are more likely to be involved in less serious disciplinary activity than the inmates who commit offenses and are transferred from the program.

Disciplinary Activity - An Inter-Facility Comparison

Last year's report compared the disciplinary activity at Monterey and Summit SICFs with that of the four Camps and three Medium Security facilities. By examining Tables 22 and 23, we made the following observations for this year's data:

1. There was a great deal of variation in the rates of misbehavior reports even among facilities of the same security level. Two possible reasons for this variation are either that the inmate populations differed a great deal (even from one Camp to another Camp) or that the disciplinary process at these facilities vary a great deal both procedurally and in their reporting threshold.

2. The average monthly number of misbehaviors at Medium Security prisons was two times greater than the Camps and four times greater than at the Shock facilities. When variation in population sizes were taken into account, the differences in the rate of misbehaviors per 1,000 inmates between Camps and Mediums diminished while the rate for Shock was still the lowest.

3. The average monthly number of Tier I hearings at Mediums were slightly larger than at Camps and over six times greater than at the Shock facilities. When population size is taken into account, the rate of Tier I's per 1,000 inmates at Camps becomes larger than at the Medium Security facilities, while the rate for Shock remains the lowest.

4. The average monthly number of Tier II hearings at Mediums were three times greater than those of Camps and almost five times greater than those of Shock. When population size was taken into account the differences between the rates of Tier II hearings per 1,000 inmates at Camps and Shock became negligible, yet both their rates were somewhat lower than those for Medium Security facilities.

5. The average monthly number of Tier III hearings at Camps and at Shock were similar and both were slightly lower than the number occurring at

Mediums. When population size was taken into account, the rate of Tier III hearings per 1,000 inmates at the Camps and the Mediums was similar and both were somewhat lower than what was reported from the Shock facilities.

Thus, Mediums had the highest rate of misbehaviors and Tier II hearings per 1,000 inmates, while Camps had the highest rate of Tier I's, and Shock facilities had the highest rate of Tier III's.

One conclusion that can be drawn from this information is consistent with our understanding of a regimented program like Shock. That is, in this program, inmates are more heavily supervised and yet there is little reliance on the Tier I process as problems at this level are handled by staff on the scene with learning experiences. Inmates who do not gain from these experiences will quickly have their cases escalated to hearings at higher Tiers. One way of interpreting some of the data presented earlier in Table 20 is that of the 298 incidents involving Tier III activity, 71.5% (N=213) occurred with inmates who were removed from the program.

One point that needs to be reiterated is that even though all the inmates sent to Shock willingly volunteered for this program, once they arrived, not all willingly followed the rules and regulations. When it was possible, the staff at Shock facilities worked with inmates in order to get them to develop appropriate behaviors and attitudes. Not only would this help inmates get through the program, but this would also help them get through the rigors of life upon release. Most inmates did conform and learned from their mistakes, but there were those who did not, and Shock could not help them. As one Facility Counselor aptly said, "it is not their time to change."

Strict and consistent discipline in Shock facilities is very important to the running of these programs. In writing about the discipline in Shock programs nationally, Dale Parent concluded:

"The programs we observed varied in the consistency with which rules were enforced. Where rules were less consistently enforced, it appeared inmates were more prone to test the limits of enforcement. Confrontations with staff seemed more numerous and overall tension levels seemed higher. Where rule enforcement was consistent, inmates seemed less prone to test their limits, confrontations were less evident, and tension levels seemed lower...In terms of molding offender behavior, consistency and

accountability in expulsion practices are important factors. The offender learns that his or her actions have clear, well defined consequences: that appropriate self control will be rewarded and inappropriate behavior punished." (Dale Parent - Shock Incarceration: An Overview of Existing Programs pp. 25-26).

UNUSUAL INCIDENTS AT SHOCK FACILITIES

Overview of Unusual Incident Activity

The relationship between misbehavior reports and Unusual Incidents has not been studied in any great detail. The common sense belief is that not all misbehavior incidents rise to the level of an Unusual Incident, but as the number of Tier III misbehavior reports increase, so will the number of Unusual Incidents (UI's).

If this is the case, then we can expect that there would be more UI's reported from Shock facilities than from any of our comparison prisons. However, the more interesting question would be whether the types of incidents at Shock facilities were different from the UI's reported from the comparison facilities.

An examination of Table 24 shows that during the period of January 1988 through September 1989 the Shock facilities had less than half the total number of UI's than either the Mediums or the Camps. If these numbers were standardized for population effects, the rate of UI's per 1,000 inmates at Camps would be the highest with the rate for Shock facilities being the lowest. More important, though, is the focus on the differences in the distribution of UI types among these facilities.

Of the eleven incident types broken out for examination in Table 24, the Shock facilities had no incidents reported in five of them. These included absconding, mass demonstrations, inmate deaths, escapes, and self inflicted injury/suicide attempts. These five categories, though, made up 22.9% of the UI's reported from the Mediums and 22.2% of the UI's reported from the Camps. Additionally, there were three categories where the Shock facilities had only one incident, accounting for 7.0% of the Shock UI's. These included assaults on inmates, fires, and contraband. In contrast, these three incident types accounted for 45.8% of the UI's reported from Mediums and 30.3% of the Camp UI's.

One figure that is of concern is the fact that incidents of inmates assaulting staff accounted for almost half of the UI's reported at Shock. A review of these 21 incidents showed that all involved the use of inmates hands and feet and that nine (20.5%) of the 44 staff involved sustained minor injuries. It should also be noted in Table 25 that 57.1% (N=12) of these incidents occurred within the first two weeks of an inmate being in the program (i.e., zero-weeks - the initial period of Shock indoctrination), while 76.2% occurred within

the first month of an inmate arriving at Shock. Most importantly, all 21 inmates involved as assailants in these incidents were removed from Shock as a result of their actions.

FOLLOW-UP STUDY OF SHOCK GRADUATES: THE FIRST SIX PLATOONS

Background To The Follow-Up Study

At the outset it must be pointed out that there are some significant methodological differences in the way in which the Department of Correctional Services and the Division of Parole have conducted their respective followup studies.

There are three basic areas where the two agencies have identified differences. They include the selection of the comparison group, the definition of what constitutes a Shock failure, and the length of the followup period for each platoon. It is these differences in methodology which account for differences between the findings and conclusions contained in each agency's followup study.

The Division of Program Planning, Research and Evaluation of DOCS has been examining the recidivism rates of inmates released from custody for many years. The Division has consistently defined recidivism as the return to the Department of an inmate previously released from the Departments' custody. This measure of recidivism has been used to evaluate the success of a number of DOCS programs, such as Alcohol and Substance Abuse Treatment (ASAT), Temporary Release, and Network. As the Department standard, it will be used to evaluate the Shock Incarceration Program. As part of the Department follow-up of inmates who participated in a variety of treatment programs, this section examines the return rates of Shock graduates who have been released to Parole for at least one year.

Program Objective

The 1989 report to the Legislature on Shock Incarceration indicated that despite being incarcerated for shorter periods of time, Shock graduates were expected to do as well under community supervision as similar groups of inmates who served at least their minimum sentence.

Follow-Up Procedure

It is the Department's standard policy that a minimum follow-up period of 12 months be required for a valid analysis based on return rates. For this reason, a cut-off for release from Department custody of July 31, 1988 was set to insure a follow-up period of at least 12 months as of July 31, 1989.

As such, the first six platoons of Shock graduates released through July 1988 were tracked for at least 12 months as of July 31, 1989.

A total of 171 inmates graduated from the Monterey Shock Incarceration Correctional Facility (SICF) in these first six platoons and all were released to intensive parole supervision caseloads throughout the State.

In order to complete an assessment of the return rates for these Shock graduates, a key issue was the selection of an adequate comparison group. In developing this comparison group, it was our intention to find inmates whose legal and demographic characteristics would have made them eligible for the program even though they did not attend. In a sense, we wanted to focus on the effect that this unique incarceration and parole experience has had on Shock inmates in comparison to inmates who appeared to be similar upon their reception to DOCS custody, yet who did not experience Shock. Thus, it was important to limit the amount of variation between these groups to only their prison and parole experiences.

Comparison Group

The comparison group developed for this analysis was comprised of inmates who were released from DOCS custody between March and July 1988 who did not go through the Shock Program, and yet, who would have been legally eligible for the program.

Furthermore, the comparison group consisted of inmates who had completed their minimum sentences and were released as a result of a parole board hearing. Like the Shock inmates, they too were inmates convicted of non-violent, Shock-eligible offenses, who were less than 24 years old (the age limit when these first six platoons were selected for participation) at admission, who at the time of admission were required to serve between 6 and 36 months before parole eligibility, whose most serious prior sentence did not include prison incarceration for a non-youthful offender crime, and whose security classification at admission was not at the maximum level.

Since women were not among the graduates of these first six platoons, they were not included in the comparison group.

When the selection criteria were applied to the non-Shock releases in these same months, a comparison group of 405 inmates was produced.

How Similar Are Shock Graduates and the Comparison Group

In order to determine the effectiveness of our effort to select a similar comparison group Table 25 examines the distribution of the inmates in these two groups on certain

demographic and legal variables. The criteria for significance in the differences was set at the .05 level of confidence.

A review of the data shows that of the 24 variables which these two groups were compared, there were significant differences on eight. These included the proportion of white inmates (lower at Shock), the proportion of second felons (lower at Shock), the average age at admission and release, the average amount of time served in DOCS custody, the average beta IQ (all lower at Shock), the average aggregate minimum sentence and the time to parole eligibility (both higher at Shock).

Based upon this information, these two groups did not appear to be significantly different from each other, thus indicating that the selection process was effective in reducing any unnecessary variation.

Return Rates

Table 26 presents the return rates for the Shock graduates and the "Shock similar" comparison group using the standard tracking process for calculating rates of return to DOCS custody.

TABLE 26

OVERALL RETURN RATES FOR SHOCK GRADUATES
AND THE COMPARISON GROUP THROUGH JULY 31, 1989

	<u>SHOCK GRADUATES</u>	<u>COMPARISONS</u>
Releases	171	405
Returns	45	93
Return as Percent of Releases	26.3%	23.0%

No Significant Difference in Overall Return Rates. Table 26 shows that the return rates for the Shock graduates and the comparison group were very similar. In fact, there was no statistically significant difference between the return rates of these two groups. (This was determined through the use of chi-square contingency coefficients at the .05 level of significance.) Thus, the differences in the return rates could have occurred by chance alone.

Significant Differences in Return Types. The Department has historically classified all returns to custody as either returned parole violators with no new sentences or as returned with a new sentence following a new conviction.

While there was no significant difference in the overall return rates of the Shock graduates and the comparison groups, there appeared to be a substantial difference in the return types for these two groups.

Table 27 shows that 11.7% of the Shock returnees returned with new sentences as opposed to 15.1% of the comparison group. Conversely, the Shock graduates were more likely to be returned by the Board of Parole for rule violations. The differences in the types of returns for these two groups were statistically significant (to the .05 level using the chi-square contingency coefficient.)

TABLE 27

COMPARISON OF TYPES OF RETURNS TO DOCS CUSTODY FOR
SHOCK GRADUATES AND THE COMPARISON GROUP
THROUGH JULY 31, 1989

	<u>SHOCK GRADUATES</u>		<u>COMPARISON GROUP</u>	
Number of Releases	171	100.0%	405	100.0%
Number of Non>Returns	126	73.7%	312	77.0%
Number of Returns	45	26.3%	93	23.0%
Rule Violations	25	14.6%	32	7.9%
New Sentences	20	11.7%	61	15.1%

This finding may be attributed to the intensive level of parole supervision with which these graduates are provided. This intensive supervision may be responsible for helping the Shock graduates to cope with the rigors of life on the streets while intercepting those graduates who are having problems before they get involved in new crimes.

Shorter Length of Incarceration for Shock Graduates. Table 28 shows that, on average, the comparison group served nearly twice as much time in prison as did the six platoons of Shock graduates. This significant difference was also true for those who returned to DOCS custody.

TABLE 28

LENGTH OF DOCS INCARCERATION
FOR GRADUATES AND COMPARISON GROUP INCLUDING RECEPTION TIME

	<u>SHOCK GRADUATES</u>	<u>COMPARISON GROUP</u>
Number of Inmates	171	405
Average Months in Prison	8.0	16.0
	<u>SHOCK RETURNS</u>	<u>COMPARISON RETURNS</u>
Number of Inmates	45	93
Average Months in Prison	7.9	15.6

Conclusion

A consistent theme emerging from our analysis of the return rates of Shock graduates, shows that despite being incarcerated for shorter periods of time, the Shock graduates appear to be returning at a rate similar to a carefully selected comparable group of inmates, and the Shock graduates are coming back for less serious offenses.

The implications of these findings are important when considering the results of last year's report to the Legislature and are further supported by the fiscal section of this report. Both indicate that because Shock graduates spend less time incarcerated, the cost of housing them in a Shock facility is substantially less than the cost of housing them until the expiration of their minimum sentence in either a Camp or a Medium Security prison.

While this analysis is based upon the limited number of Shock graduates who have been in the community for one year or more, the findings appear to be consistent with the goals of Shock and the conclusions presented in last year's report to the Legislature, which stated:

The Shock Incarceration Program has been able to achieve its Legislative mandate of treating and releasing specially selected state prisoners earlier than their court determined minimum period of incarceration, without compromising the community protection rights of the citizenry.

PERSPECTIVES OF SHOCK: A QUALITATIVE APPROACH
CASE HISTORY SUMMARIES

Overview

In our report last year, we examined some of the attitudes of both Shock staff and inmates towards the program. This year, the emphasis will be on the examination of attitudes of inmates who completed Shock and were released to parole. These are the perspectives of those who have failed and those who have succeeded. The information was obtained from interviews and news accounts, as well as from reports by the New York State Division of Parole (DOP).

As we have previously mentioned, Shock Incarceration consists of two distinct components; the institutional phase run by DOCS, and the aftercare phase run by DOP. To a large extent, these two phases complement each other as DOCS and Parole staff work together to prepare inmates for successful reintegration into the community. The efforts by both agencies, with the assistance of a variety of community service providers, has been effective in helping most graduates make a successful transition. But despite all efforts, some graduates do fail and return to DOCS custody.

Previously, we have pointed out that the Shock inmates are younger, admit to drug and alcohol abuse, have been convicted of a drug related crime, and are committed from the New York City boroughs. Additionally, they come to DOCS custody with reading and math skills which are, on average, below the eighth grade level. As Parole staff have observed, "This profile indicates that Shock parolees are a population in need. Their youth, lack of education, and substance-abuse histories place them at a high risk of failure."

In addition to their high risk characteristics, DOCS and DOP have identified the circumstances to which these inmates are paroled as being difficult environments and living situations which help contribute to relapse and failure.

The next few pages present some views of the program and views of the streets as seen by inmates who completed the institutional phase of Shock.

Observations About The Institutional Component Of Shock

Inmates who have completed Shock have a lot to say about the program that is positive. Even those inmates who were failures had positive words about Shock.

Most inmates will admit that the initial attraction to signing up for Shock was the fact that they could get out of prison early if they joined this six-month program, but some who had heard about it thought it could change their lives in some positive way. The orientations which were provided by Shock staff at the reception facilities further raised their level of interest in the program.

Upon their arrival at the facilities most could not believe what they had gotten themselves into and began to wonder if signing up for Shock had been a mistake. Many had doubts about their ability to complete the program.

One 26 year old female, so depressed about being away from her 8 year old son, tried to hang herself on Rikers Island before coming to Shock. She told reporters that she enrolled in Shock Camp so she could get out in six months.

"I didn't come to change and every day I thought about quitting.....They yelled at us and said 'You've been a quitter all your life - why don't you quit now?' It gets you so mad. But I stopped thinking about quitting when the DI and me had a talk. I've never seen nothing like the DI's here. They yell and scream but they'll also pull you aside and tell you how you can make it. I kicked a whole lot of things while I was here. I even got my GED". (Washington Post, Saturday, September 2, 1989, p. C 16.)

According to Superintendent Ronald Moscicki:

"When they get off that bus at Monterey, we tell them this is the time they stop being 'good inmates'... We don't make good inmates here. We make good citizens. What we look for here is attitude....We pound over and over into their heads that they can't quit. That's why they're here in the first place -- they thought they could find something easier and they quit. We just don't let them." (Empire State Report, August 1989, p. 21).

When inmates were asked if Shock was a safe place to do time the response was universally yes. For many, the comparison was with county and city jails, but for those who failed and had returned, their answers were based on comparisons to their current facility. As one inmate stated:

"Shock was a safe place to be. I wasn't worried about fights, or about my property or about any homosexual stuff. I felt safe going to bed at

night, and it wasn't just the staff who protected us, it was the other inmates looking out for you. They treated us like people there not just criminals". (Interview #2 Shock Graduate 8/20/89).

Due to the strong emphasis on community, there is a certain amount of bonding that occurs between platoon members. After all, these are the people with whom they eat, sleep, shower, learn and show their weaknesses and vulnerabilities for six months. Not all platoon members made it, and it is the belief of those graduates who were interviewed that these drop-outs were not motivated or they were rebelling against the program, and were generally bringing the whole platoon down. In contrast, their views of their fellow graduates were remarkably positive. When asked about the inmates in his platoon, one graduate exclaimed;

"They were my brothers, we went through hell and back together. We shared a lot of emotions, a lot of good times, and a lot of bad times together. In fact when we all showed up to our first day at the parole office in Manhattan, I was so happy to see these guys and introduced them to my brother. Even the guys who used to argue a lot in the dorm were happy to see each other." (Interview #1 Shock Inmate 7/21/89).

Another graduate noted;

"We were family. I feel good just thinking about them. I have my platoon picture at home and I think I'm going to send for it." (Interview #3 Shock Inmate 8/21/89).

There are numerous testimonials about the Shock program from inmates who were about to graduate. Most indicated that their lives had changed. They felt good about themselves, they could relate to their families better, and they could face challenges and succeed. Additionally, they felt they had the discipline and self control which would be necessary to stay drug and alcohol free.

One inmate from Monterey summed up the Shock experience of many in a letter to Superintendent Moscicki:

"I would like to start off by thanking you for a second chance at life. The reason I say life is because if I had sat in prison I would have either wound up dead, or just rotted and my mind and body would have gone to waste worse than it was when I

was abusing alcohol. I have gained a lot of knowledge from the staff here, some of which my parents tried to instill in me and some which was foreign. I now have self control, self discipline, I learned to think before I speak or act. I have also become more responsible for myself, I have learned to look within myself and find my faults. All of the staff here is really great, it was like a family I never had as a child....." (Inmate letter Dated 3/9/89).

Life On The Streets

When asked about their feelings after graduation there was a mixed reaction of joy at having completed this program and the dread of having to return to a hostile environment. The transition back to the streets for many was a difficult process. Not only have we "shocked" these inmates going into the program, we also "shocked" them when they leave.

As one parole officer observed:

"While they're in camp they are told 'You are somebody. It's important to us that you do well, that you are fed well, that you are clothed well'.... Then they go back to utter depravity. It's like throwing them down a well." (Newsday, June 11, 1989 p. 2).

There is a lot going for these Shock graduates to cushion that fall, including intensive parole supervision and the assistance of community service providers to help find them jobs, help educate them, and help in relapse prevention. They have been described by parole staff and service providers as being a more motivated group of inmates whose needs for services and support appear to be greater than the typical parolee. One suggestion to further ease this transition was presented by Parole Chairman Ramon J. Rodriguez.

"Rodriguez says he'd like to create Shock halfway houses to ease departing inmates through the difficult transition from the highly structured military discipline of the camp to the chaos of city life." (Newsday, June 11, 1989 p. 4)

In order to get a better perspective of life on the streets after Shock, we present information from two failures which were published in the media and from five successes who wrote letters to institutional staff.

Shock Failures

On June 11, 1989, Newsday, a Long Island paper, published an insightful article about this program. The article profiled two inmates who were returned to DOCS custody and their stories are informative.

The first, William Maher was a 21 year old son of a police officer. According to the article, he was very enthusiastic about the program upon release and tried to enlist in the service but was rejected because of his felony conviction. He had a decent job and lived rent free with his parents, but was violated for repeated drug use.

"Probably the proudest day of my life was graduating from Shock (Camp) and getting my graduate equivalency diploma... Then I came out and life came down on me like a ton of bricks. My best friend was stabbed to death and my dad died of cancer. I missed the countryside; I didn't even like walking down the street, it was too crowded. I'd gotten so attached to my instructors, and now there was nobody to look up to. Nobody knew how to help me through the transition. One thing I didn't do was turn back to crime. I didn't hurt anyone but myself. When my parole officer locked me up, he told me it was for my own good, to save me from myself, and I totally agreed with him. When I first violated (parole) last July, I thought, 'If only there was some way they'd let me go back to Shock (camp)' even though it was impossible." (Newsday, June 11, 1989, p. 4).

The second story is that of Jesus Roque a 24 year old Shock graduate who was one of the Monterey inmates that tried to save the life of an En-Con officer who suffered a fatal heart attack, whose quotes were used in last year's report. At that time he stated;

"I've watched people get shot on the street like it was nothing." Roque, a former Brooklyn foster child, teen gang member and crack dealer, said in an interview at the time. "Now I can't do that no more. I've started to care." (Newsday, March 6, 1988, p. 4).

Roque did well in the program and was looking forward to a career in landscaping.

"But once released he floundered. With no family, Roque's only housing option was a city shelter, where he was robbed and knifed within a week of his arrival. With poor english skills and no high school diploma, he was rejected in his first job interviews. A month into his parole, Roque tested positive for drugs." (Newsday, June 11, 1989, p. 22).

Roque was subsequently returned to DOCS custody with a new conviction for third degree robbery.

It is difficult to generalize from these two cases but they do illustrate some of the extreme sets of circumstances that work to negate some of the lessons learned in Shock.

Successes from Shock

Despite the difficult conditions which await many of these inmates upon their return to the community, most are applying the lessons of Shock. The following letters to Summit staff are a testimony to their new spirit.

Letter 1: This first letter is from an inmate dated May 19, 1989 and he is writing to staff at Summit informing them of the new job he has, and the positive relationship he maintains with his new boss and his parole officer.

"It's real hard out here in the City, drugs are everywhere. I almost fell twice but thank God I have will power. That is something I never had in my life. I guess the will came from Summit, all the times I wanted to just give up and say the hell with this place.... But I didn't I stuck it out... When I first got out I found it hard to believe that I made it... It all helped me in one way or another... I owe you all at Camp Summit a great deal for opening my eyes so I could take a good look on life. I have values now. I value the time that I have been clean, and its real real hard to stay that way. I plan on winning this fight no matter what it takes... one thing I can't understand. You just put us back where we came from and tell us you're on your own. THAT WAS THE SHOCK. THE STREETS!"

Letter 2: This letter dated April 21, 1989 was sent to a teacher in the Shock program at Summit after this inmate was sent the results of his GED test.

"I am happy that after 26 years I've finally obtained my high school diploma... I thank God I made a mistake, paid for it, learned, and at the same time got something out of it, my diploma. And now my life is being dedicated to bettering myself and staying drug free... My freedom and self respect mean a lot to me... I don't have any more time to waste in prison..."

Letter 3: This letter dated May 22, 1989 and sent to the ASAT Director at Summit to report on his progress at staying clean and sober.

"I'm making NA meetings everyday. I really like it. Sometimes I get the urge to get high but something in me says no, and believe it or not I like being clean... remember you always said the real test was out here. Well you were right. Nothing's easy out here and nothings changed - only me. Everything else is the same. I really see things different now, and most of all I have that sense of worth again. I'm working now and my family is happy."

Letter 4: This letter dated June 28, 1989 was sent to the Superintendent at Summit.

"I'd like you to know that things are going well for me and a lot has to do with what I've learned at Summit. I guess it didn't hurt matters any that I wanted to change my lifestyle but at Summit Shock I learned some things to help me be a productive member of society. Everything that goes on up there is important, but I feel that ASAT is the most important... I have about fifteen years of drinking and drugging and have been in constant trouble because of it... I've been going to Narcotics Anonymous ever since I came home and I make at least three meetings a week... I stay involved in N.A. and have all new friends - REAL FRIENDS. I'm in the Iron Workers Union and... as long as I continue to work, things will be fine.

I still do P.T. almost every morning, go to work, come home for dinner, go to meetings, sleep.

Summit Shock has been something special to me and I try my best to keep many things with me... I also feel that anyone who doesn't take advantage of Shock and use the tools when they come home will be depriving themselves of many things."

Letter 5: This letter dated June 27, 1989 was written as an open letter to the Staff and inmates at Summit by one of the female graduates.

"It's crazy out here. I understand why we went through the things we did. If it wasn't for Shock I would have come back and did the same, get high, sell drugs. I'm still getting up at 5:00 and doing P.T. and eating good. It's hard in New York... but they gave me something at Shock that would always stay with me and that is the tools. We need them out here because everywhere I go there are drugs, people looking bad and smelling bad... I go to N.A. meeting and to the Fellowship every week... I am trying I am doing my best and I feel good about myself... I will stay strong out here I have to. My son's are so big and yes we do P.T. together at the park... I have seen some of the 1st platoon... one of them came up to me... I told him he should look in the mirror and see himself because he is not the person I once knew. He walked away. They picked him up last night. He's in jail. I cry."

The final letter comes from a parent of one of the Shock graduates which was written to Summit staff on September 25, 1989.

"I personally feel that the first step my son took to apply for Camp Summit can be the first step and best decision he has made in years, and also the only thing he has ever stuck with and finished. It has been six years since I have had a sensible, self assured, loving son... You run a tough camp-stick to it! Every young person who makes it through comes out a better human being."

FUTURE RESEARCH GOALS AND DIRECTIONS

As a result of our continuing desire to understand and improve the Shock Incarceration Program in New York State, there are a number of long term research efforts in which we are engaged.

The results of this future research will provide a richer understanding of the effects of this program while allowing us to make program modifications that can enhance program effectiveness.

What follows is a brief review of five of these efforts all of which have been initiated by the Department.

1. Grant To Enhance Drug Services For New York State Shock Incarceration Program

In May of 1989 the Department began the long process of applying for a grant from the Bureau of Justice Assistance to enhance the drug treatment component of Shock. The grant award of \$250,000 was finally made to the Department in November of 1989. The money will be used to enhance the re-entry services for drug offenders and to develop an integrated curriculum for the Network and ASAT portions of the program.

A. Need For Enhanced Re-entry Services For Drug Offenders

Since the program's inception, Shock graduates have been referred for re-entry services to the Fellowship Center as a condition of Parole. This referral process was instituted because of the Fellowship Center's ten year collaboration with the Department of Correctional Services in the initiation of Alcohol and Substance Abuse Counseling Programs in prison and the provision of staff training.

Due to their experience and expertise, the Fellowship Center provides aftercare support through individual counseling, weekly relapse prevention group sessions, mandated participation in AA and NA groups, team conferences, case dispositions with Parole Officers, job and education referrals, peer counselor training and limited family contact and counseling to this population.

The first aspect of this funding addresses the need to expand this limited family contact.

It has been well documented that addiction to drugs affects not only the individual but develops dysfunctional symptoms within the family system. Those symptoms are manifested in

behaviors that prevent the addicted person from getting help for his/her addiction problem while causing chaos and upheaval within the family unit.

Most therapeutic environments such as alcoholism treatment centers, therapeutic community type programs, or out-patient counseling usually include a family component. This component educates and supports family members while providing them with the tools designed to reinforce positive steps toward recovery for the addicted person, as well as a resource for their own recovery or wellness.

It is the Department's and the Fellowship Center's belief that by adding a family training and counseling unit in the community as a part of the Shock program, it will greatly improve the capacity of graduates to stay drug and crime free in the community. The lack of a strong community support will diminish the success of a potentially very effective program. Its existence will help develop and strengthen a community of families prepared to deal with them immediately upon release.

B. Development Of An Integrated Network And Substance Abuse Curriculum

Consistent with the treatment goals of Shock Incarceration in New York State, both ASAT and Network are integral components of the program.

Both Programs address issues of self-esteem and focus on the cognitive, behavioral and affective areas of treatment. With the expansion of Shock to five separate "stand alone" facilities throughout New York State, there will be a great need to standardize all parts of the program, and the most critical are the treatment aspects of Shock.

The Network curriculum emphasizes a decisional approach to problem solving and self-esteem, utilizing a five step model taught in 12 sessions. ASAT emphasizes the 12 steps to recovery taught in AA and NA programs. There are crossovers between these two program components which reinforce each approach, but since they were developed independently of each other, no formal emphasis aimed at integrating the two has been undertaken.

Thus, the second phase of the grant would be used to produce an integrated and standardized curriculum which would be used by all Shock facilities to guide inmates through their six months of incarceration.

The project staff would work with existing Network and ASAT staff in this curriculum integration activity. The product of this curriculum integration process would be a detailed manual which would document the progressive steps that each inmate would be expected to achieve during his/her stay at Shock. By using existing curriculum, updated materials and relevant art forms to help the learning process, this integrated manual would provide a roadmap for an inmate's progress through Shock on a monthly basis.

The manual would be given to all Shock inmates and would serve as a reference guide which they would have with them throughout their stay at a facility.

The project staff involved in the creation of this integrated manual would also be required to develop other support audio/visual material designed to further emphasize the connection between these two curricula. They will also be responsible for training facilitators at each Shock facility on how to deliver this new curricula, including correction officers who supervise inmate programs, parole staff, ASAT, Network and guidance staff.

The results of these two efforts will be monitored and evaluated in order to determine their effect on inmates who have gone through the program.

2. Multi-Site Study Of Shock Incarceration

In March of 1989 our Department was notified of its selection to participate in a multi-site study of Shock Incarceration Programs by the National Institute of Justice. By agreeing to participate in this study, the Department committed itself to examine various aspects of the program and to report this information to the grant coordinator, Dr. Doris MacKenzie of Louisiana State University.

Both DOCS and DOP have been participating in the study and have been in contact with the staff of the other six states involved in this study.

The most comprehensive effort that we have agreed to undertake is a survey of changes in the attitudes of inmates who have gone through the program in contrast to attitude changes among a comparison group of Shock similar inmates who did not go through the program.

To date, there has been a great deal of anecdotal information about the effects of program participation. This proposed study of attitude changes will be the first piece of empirical evidence to support these beliefs.

In reporting on the results of a similar survey in Louisiana, Dr. MacKenzie writes:

"The results of this research can be tentatively interpreted as indicating positive changes for offenders participating in Shock incarceration. Those who leave Shock incarceration have more positive attitudes in regard to their experience in prison, towards society in general and toward their ability to make positive personal change. This is not the experience of those who spend their time in a regular prison as has been shown in previous research and with the incarcerated in this research. It would appear that the shock offenders are leaving prison with a much better chance of being successful on parole." (Doris MacKenzie and James Shaw, "Inmate Adjustment and Change During Shock Incarceration," 1988.)

Our continued involvement in the multi-site study will be important to our ability to understand the differences between New York and other states while providing our state with the national recognition and prestige it deserves.

3. Survey Of Judicial Attitudes Towards Shock

As a result of the amended legislation on Shock eligibility which was examined earlier, it was pointed out that inmates in the 26 to 29 year old age range must receive approval for Shock participation from their sentencing judge. This involvement of the judiciary in vetoing who can go to Shock needs to be examined closely to understand its effects on the flow of inmates into the program. As such, we have been cooperating with the State Office of Court Administration to provide them information about the inmates in Shock who have been Court approved. Additionally, we have begun the process of surveying all judges capable of felony sentencing to determine their opinions about the program and to find out if they have changed their sentencing patterns because of Shock.

In addition, to requesting this information from judges, this survey is also designed to provide them with information about the program so they can make more informed decisions about approving inmates for participation.

4. Survey Follow-Up Of The Opinions Of Correction Officers Working In Shock

In March 1989, we began to survey the opinions of Correctional Officers (COs) who had begun training at Moriah using an instrument designed to measure their levels of alienation and job enrichment.

The survey was developed by Dr. Hans Toch and Dr. John Klofas and was originally administered to 832 CO's in four maximum security DOCS prisons in 1980.

The purpose of the survey was to measure changes that occur in levels of job alienation and job enrichment among Shock staff after they had worked at a Shock facility for at least a year, and must be administered twice to each respondent. Thus far, staff at Moriah, Butler and Lakeview have completed the survey once and plans for a second test are being discussed.

There is a great deal of anecdotal information on the positive effects that working in a Shock facility has on staff. As a result of this study, we will have empirical evidence of the existence of such transformations among staff.

5. Development Of A Typology Of Shock Failures And Successes

Although there is a great deal of anecdotal information about why Shock inmates have done well or have marginal adjustments to parole supervision, a more systematic approach to developing a typology of successes and failures is needed. This typology would be used to determine if certain attributes or combinations of attributes are shared by inmates who have (a) returned to DOCS custody or (b) have remained under parole supervision without any violations for over 12 months. The typology will examine what parts of the Shock process were important to staying out and what parts may have contributed to failure in the program.

In order to develop a survey instrument to capture information relevant to this typology development, interviews have been conducted with graduates who have been returned to DOCS custody. Once the instrument has been created it will be piloted to determine if the results are reliable and valid.

Conclusion

As this section has indicated, the Department has dedicated significant resources to evaluating and understanding the dynamics of this unique program. As the program has grown, so has the general level of interest. Inquiries about Shock

routinely come from other jurisdictions who are interested in replicating our effort. The program has also been the target of a great deal of media attention. As the model Shock program for the country, we are making every effort to explore our program as carefully as possible so we can both enhance its operations and carefully explain its benefits.

Table 1. Characteristics of Shock Incarceration Programs, 1988.

State	Year Program Began	Number of Programs	Number of Participants	Average Number of Days Served	Placement Authority	Voluntary Entry	Voluntary Dropout	Located in Larger Prison	Release Supervision
Alabama	1988	1	53	90	Judge	----	yes	yes	regular
Arizona	1988	1	35	120	Judge	no	no	yes	varies
Florida	1987	1	66	101	Judge	no	no	yes	moderate
Georgia	1983	2	200	90	Judge	yes	no	yes	varies
Louisiana	1987	1	51	120	Corrections Dept/Judge	yes	yes	yes	intensive
Michigan	1988	1	120	90	Judge	yes	no	no	intensive
Mississippi	1985	1	197	180	Judge	no	yes	yes	regular
New York	1987	2	445	180	Corrections Department	yes	yes	no	intensive
Oklahoma	1984	1	150	120	Corrections Department	no	no	yes	varies
South Carolina	1987	2	85	90	Judge	yes	yes	yes	varies
Texas	1989	1	200 (capacity)	---	Corrections Dept/Judge	no	no	no	varies

TABLE 2

DISTRIBUTION OF THE STATUS OF SHOCK ELIGIBLE INMATES
BY GENDER: JULY 13, 1987 THROUGH NOVEMBER 17, 1989

	ALL		FEMALES		MALES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	7366	100.0%	489	100.0%	6877	100.0%
SENT OR APPROVED	3292	44.7%	171	35.0%	3121	45.4%
NOT GOING	3984	54.1%	306	62.6%	3678	53.5%
MEDICAL/PSYCH	823	11.2%	85	17.4%	738	10.7%
PENDING CHARGES	359	4.9%	6	1.2%	353	5.1%
CRIM. HIST/RISK	661	9.0%	25	5.1%	636	9.2%
FOREIGN BORN	380	5.2%	5	1.0%	375	5.5%
JUDGE REFUSE	30	0.4%	6	1.2%	24	0.3%
REFUSED	1137	15.4%	127	26.0%	1010	14.7%
EARLY PE DATE	313	4.2%	48	9.8%	265	3.9%
MAXIMUM SECURITY	109	1.5%	1	0.2%	108	1.6%
OTHER	172	2.3%	3	0.6%	169	2.5%
PENDING	90	1.2%	12	2.5%	78	1.1%
APPROVAL RATE	45.2%		35.8%		45.9%	

TABLE 3

DISTRIBUTION OF THE STATUS OF MALE SHOCK ELIGIBLE INMATES PROCESSED
AT LAKEVIEW AND BEFORE LAKEVIEW BY AGE GROUP: JULY 13, 1987 THROUGH NOVEMBER 17, 1989

	ALL MALES		LAKEVIEW 16-25 YRS		LAKEVIEW 26-29 YRS		LAKEVIEW TOTAL		MALES NON-LAKEVIEW 16-25 YRS		MALES NON-LAKEVIEW 26-29 YRS		MALES NON-LAKEVIEW TOTAL	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL	6877	100.0X	932	100.0X	359	100.0X	1291	100.0X	5416	100.0X	170	100.0X	5586	100.0X
SENT OR APPROVED	3121	45.4X	675	72.4X	161	44.8X	836	64.8X	2280	42.1X	5	2.9X	2285	40.9X
NOT GOING	3678	53.5X	253	27.1X	179	49.9X	432	33.5X	3105	57.3X	141	82.9X	3246	58.1X
MEDICAL/PSYCH	738	10.7X	56	6.0X	38	10.6X	94	7.3X	624	11.5X	20	11.8X	644	11.5X
PENDING CHARGES	353	5.1X	26	2.8X	10	2.8X	36	2.8X	294	5.4X	23	13.5X	317	5.7X
CRIM. HIST/RISK	636	9.2X	71	7.6X	37	10.3X	108	8.4X	505	9.3X	23	13.5X	528	9.5X
FOREIGN BORN	375	5.5X	3	0.3X	2	0.6X	5	0.4X	349	6.4X	21	12.4X	370	6.6X
JUDGE REFUSE	24	0.3X	0	0.0X	19	5.3X	19	1.5X	0	0.0X	5	2.9X	5	0.1X
REFUSED	1010	14.7X	60	6.4X	54	15.0X	114	8.8X	861	15.9X	35	20.6X	896	16.0X
EARLY PE DATE	265	3.9X	18	1.9X	6	1.7X	24	1.9X	238	4.4X	3	1.8X	241	4.3X
MAXIMUM SECURITY	108	1.6X	0	0.0X	0	0.0X	0	0.0X	102	1.9X	6	3.5X	108	1.9X
OTHER	169	2.5X	19	2.0X	13	3.6X	32	2.5X	132	2.4X	5	2.9X	137	2.5X
PENDING	78	1.1X	4	0.4X	19	5.3X	23	1.8X	31	0.6X	24	14.1X	55	1.0X
APPROVAL RATE	45.9X		72.7X		47.4X		65.9X		42.3X		3.4X		41.3X	

TABLE 6

DROP OUT RATE OF PLATOONS GRADUATING FROM SHOCK FACILITIES
AS OF NOVEMBER 17, 1989

<u>FACILITY</u>	<u>NUMBER SENT</u>	<u>NUMBER GRADUATED</u>	<u>DROP-OUT RATE</u>
Butler*	48	34	29.2%
Monterey	861	558	35.2%
Summit Male	565	407	28.0%
Summit Female	67	45	32.8%
Moriah	144	89	48.2%
Lakeview**	<u>48</u>	<u>25</u>	<u>52.1%</u>
TOTAL	1,733	1,158	33.2%

* Platoon transferred from Monterey to Butler with only 41 inmates.

** Platoon transferred from Monterey to Butler with 27 inmates and then sent to Lakeview with 27 inmates.

TABLE 7

AVERAGE NUMBER OF DAYS AT SHOCK FACILITIES FOR
INMATES WHO GRADUATED OR WERE
TRANSFERRED FROM SHOCK
AS OF NOVEMBER 17, 1989
(DOES NOT INCLUDE OUT TO COURT INMATE)

<u>REASON FOR LEAVING</u>	<u>AVERAGE NUMBER OF DAYS</u>	<u>NUMBER OF INMATES</u>
Graduated	180.0	1,158
Disciplinary	39.8	444
Voluntary	14.4	287
Medical	26.4	36
Unsatisfactory Program Adjustment	100.2	89
Legally Ineligible	32.7	28
INS Warrants	98.1	14
Security Risk	148.0	4
TOTAL AVERAGE (EXCEPT GRADUATES)	38.1	902

TABLE 8

PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF SHOCK INMATES AND FOUR COMPARISON GROUPS OF INMATES
ON DEMOGRAPHIC AND LEGAL VARIABLES USING THE UNDERCUSTODY POPULATION AS OF NOVEMBER 10, 1989

Characteristics	Shock Males N=899	Shock Females N=50	Medium Females N=427	Medium Males N=1,160	Lyon Mont. N=157	Camps N=1,090
Percent 21 Years or Older	62.1%	88.0%*	95.1%*	94.5%*	94.9%*	89.4%*
Percent Time to PE 13 mo. Plus	50.0%	64.0%*	56.2%	74.9%*	80.3%*	48.1%
Percent Alcoholic MAST Scores	20.1%	16.3%	22.3%	22.1%	19.5%	29.7%*
Percent Drug Crimes	72.3%	94.0%*	62.1%*	37.7%*	70.7%	52.8%*
Percent Y.O. All Categories	6.6%	2.0%	.2%*	.3%*	.6%*	1.6%*
Percent Second Felony Offender	40.7%	48.0%	52.5%*	57.7%*	70.7%*	51.1%*
Percent White	14.3%	4.0%*	9.6%	13.8%	15.3%	21.7%
Percent Black	50.2%	34.0%*	37.5%*	48.6%	36.9%*	43.9%
Percent Hispanic	34.0%	62.0%*	51.5%*	37.2%	47.1%*	33.9%
Percent N.Y. City Commitments	66.4%	84.0%*	88.1%*	80.9%*	73.2%	70.4%
Percent A-II Commitments	3.8%	6.0%	11.7%*	8.8%	3.2%	.4%
Percent Education Thru 9th Grade	36.7%	39.6%	34.3%	34.2%	33.1%	31.1%
Percent With 12th Grade Plus	23.4%	22.9%	29.0%	37.7%*	35.1%*	33.3%*
Average Aggregate Minimum Sent.	20.7 mo.	22.2 mo.	29.9 mo.*	46.9 mo.*	27.8 mo.*	20.1 mo.
Average Aggregate Maximum Sent.	58.9 mo.	64.3 mo.	93.2 mo.*	115.5 mo.*	67.9 mo.*	48.3 mo.
Average Prior Felony Arrests	2.0	1.7	2.0	3.0*	2.9*	2.7*
Average Prior Felony Convictions	.6	.6	.8*	1.1*	1.2*	.9*
Average Age at Reception	22.4 yrs.	24.0 yrs.*	30.5 yrs.*	30.4 yrs.*	29.6 yrs.*	29.4 yrs.*
Average Time PE At Reception	16.8 mo.	17.2 mo.	23.4 mo.*	39.9 mo.*	23.3 mo.*	15.4 mo.*
Average Educational Level	10.1 gr.	10.1 gr.	10.1 gr.*	10.2 gr.	10.5 gr.*	10.4 gr.*
Average Jail Time	101 days	134 days*	180 days*	184 days*	119 days*	124 days*
Average BETA IQ Scores	87	112*	106*	87	86	86
Average TABE Reading Scores	7.7	6.7*	6.1*	8.0	7.9	8.4*
Average TABE Math Scores	6.6	5.9*	5.4*	6.9	6.6	6.9
Percent Drug Use	75.0%	84.0%*	58.7%*	86.8%*	86.8%*	84.1%*
Percent Medium Security	42.2%	16.0%*	54.8%*	94.8%*	.6%*	.6%*

* INDICATES A SIGNIFICANT DIFFERENCE BETWEEN SHOCK MALES AND OTHER COMPARISON GROUPS AT .05 LEVEL

TABLE 9

**PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF
INMATES AT THE COMPARISON FACILITIES
ON LEGAL AND DEMOGRAPHIC VARIABLES
USING THE UNDER CUSTODY POPULATION AS OF
NOVEMBER 11, 1988**

<u>Characteristics</u>	<u>Shock N=412</u>	<u>Lyon Mt. N=151</u>	<u>Camps N=808</u>	<u>Mediums N=1,299</u>
Percent 21 Years or Older	55.8%	91.4%*	86.0%*	92.7%*
Percent Time to PE 13 mo. Plus	68.7%	80.1%*	64.5%	87.6%*
Percent Alcoholic MAST Scores	24.7%	21.7%	29.6%	24.5%
Percent Drug Crimes	64.6%	56.3%*	47.4%*	38.9%*
Percent Y.O. All Categories	11.2%	0.7%*	1.6%*	0.2%*
Percent Second Felony Offender	41.3%	56.3%*	48.8%	57.9%*
Percent White	19.6%	19.2%	22.9%	15.4%
Percent Black	48.7%	42.4%	46.2%	45.7%
Percent Hispanic	31.1%	38.4%	30.4%	38.5%
Percent N.Y. City Commitments	70.9%	76.2%	66.0%	79.1%*
Percent A-II Commitments	6.8%	4.6%	0.7%*	5.7%
Percent Education Thru 9th Grade	40.2%	30.9%*	35.5%	33.9%
Percent With 12th Grade Plus	24.3%	33.1%	33.2%	35.5%*
Average Aggregate Minimum Sent.	21.3 mo.	24.8 mo.*	20.1 mo.*	40.6 mo.*
Average Aggregate Maximum Sent.	65.9 mo.	65.6 mo.	49.7 mo.*	102.5 mo.*
Average Prior Felony Arrests	2.2	3.3*	2.9*	3.9*
Average Prior Felony Convictions	.5	.9*	.8*	1.0*
Average Age at Reception	21.5 yr.	28.9 yr.*	27.9 yr.*	29.8 yr.*
Average Time to PE At Reception	17.3 mo.	20.1 mo.*	15.7 mo.*	34.9 mo.*
Average Educational Level	10th gr.	10.3 gr.	10.2 gr.	10.3 gr.
Average Jail Time	103 days	111 days	117 days*	165 days*
Average BETA IQ Scores	87.3	85.9	86.7	89.3*

* INDICATES A SIGNIFICANT DIFFERENCE AT THE .05 LEVEL BETWEEN SHOCK INMATES AND INMATES IN THE COMPARISON GROUPS.

TABLE 10

COMPARISON COSTS PER INMATE PER DAY FOR SELECTED
FACILITIES BASED ON DATA
PROVIDED BY DOCS BUDGET FOR FY 1988-1989 ACTUAL EXPENDITURES

<u>FACILITY</u>	<u>AVG POP</u>	<u>TOTAL SPENT PER INMATE PER DAY</u>	<u>PROGRAMS COST PER INMATE PER DAY</u>	<u>SUPPORT COST PER INMATE PER DAY</u>	<u>SECURITY COST PER INMATE PER DAY</u>	<u>FOOD COST PER INMATE PER DAY</u>	<u>CLOTHING COST PER INMATE PER DAY</u>	<u>RELEASE CLOTHING PER INMATE PER DAY</u>	<u>WAGES PER INMATE PER DAY</u>
MONTEREY SICF	204	\$63.09	\$8.56	\$15.74	\$38.80	\$2.96	\$0.52	\$0.43	\$1.01
SUMMIT SICF	157	\$77.26	\$9.92	\$20.01	\$47.33	\$3.26	\$0.45	\$0.34	\$1.02
SHOCK AVG	180	\$69.25	\$9.15	\$17.60	\$42.51	\$3.09	\$0.46	\$0.39	\$1.01
CAMP PHARSALIA	226	\$46.84	\$6.14	\$13.95	\$26.75	\$2.09	\$0.44	\$0.00	\$1.07
CAMP BEACON	257	\$41.56	\$5.93	\$10.86	\$24.78	\$2.27	\$0.39	\$0.10	\$1.05
CAMP GABRIELS	269	\$47.78	\$5.81	\$13.70	\$28.27	\$1.95	\$0.37	\$0.04	\$1.05
CAMP GEORGETOWN	249	\$40.64	\$5.58	\$11.03	\$24.02	\$2.08	\$0.32	\$0.00	\$0.74
CAMP AVG	250	\$44.19	\$5.87	\$12.38	\$25.96	\$2.10	\$0.38	\$0.04	\$0.98
LYON MOUNTAIN	151	\$65.15	\$7.57	\$15.82	\$41.76	\$1.75	\$0.19	\$0.14	\$1.11
TACONIC	404	\$56.69	\$9.74	\$17.27	\$29.67	\$1.48	\$0.25	\$0.13	\$0.92
WALKILL	559	\$55.55	\$9.01	\$18.74	\$27.79	\$0.98	\$0.18	\$0.06	\$0.93
ALTONA	454	\$60.03	\$9.01	\$15.84	\$35.18	\$1.37	\$0.18	\$0.06	\$0.88
MEDIUM AVG	472	\$57.31	\$9.26	\$17.28	\$30.88	\$1.28	\$0.20	\$0.08	\$0.91

TABLE 11

STAFFING FOR COMPARISON FACILITIES
FY 1987-88 AND FY 1988-89

<u>Facility</u>	<u>Program</u>	<u>Support</u>	<u>Security</u>
Taconic			
FY 87-88	41	53	116
88-89	39	54	116
Wallkill			
FY 87-88	54	97	156
88-89	55	97	156
Altona			
FY 87-88	43	64	173
88-89	43	66	173
Beacon			
FY 87-88	9	14	45
88-89	14	17	69
Pharsalia			
FY 87-88	10	18	45
88-89	15	26	67
Gabriels			
FY 87-88	10	20	69
88-89	13	23	85
Georgetown			
FY 87-88	11	17	46
88-89	16	21	69
Lyon Mt.			
FY 87-88	13	20	68
88-89	13	20	68
Monterey			
FY 87-88	9	17	45
88-89	20	28	83
Summit			
FY 87-88	10	17	46
88-89	22	28	83

TABLE 12

SECURITY STAFFING DISTRIBUTION
FY 1987-88 AND FY 1988-89

<u>Facility</u>	<u>Captains</u>	<u>Lieutenants</u>	<u>Sergeants</u>	<u>C.O.'s</u>	<u>Stenos</u>	<u>Total</u>
Taconic						
FY 87-88	1	5	5	103	2	116
88-89	1	5	5	103	2	116
Wallkill						
FY 87-88	1	6	12	136	1	156
88-89	1	6	12	136	1	156
Altona						
FY 87-88	1	7	12	152	1	173
88-89	1	7	12	152	1	173
Beacon						
FY 87-88	0	1	5	39	0	45
88-89	0	5	5	58	1	69
Gabriels						
FY 87-88	0	1	6	61	1	69
88-89	0	5	6	73	1	85
Georgetown						
FY 87-88	0	1	5	39	1	46
88-89	0	5	5	58	1	69
Pharsalia						
FY 87-88	0	1	5	38	1	45
88-89	0	5	5	56	1	67
Lyon Mt.						
FY 87-88	0	1	5	61	1	68
88-89	0	1	5	61	1	68
Monterey						
FY 87-88	0	1	5	38	1	45
88-89	1	5	5	70*	2	83
Summit						
FY 87-88	0	1	5	39	1	46
88-89	1	5	5	70*	2	83

*Includes new position of Network Administrator.

TABLE 13

AVERAGE NUMBER OF DAYS SAVED FROM RECEPTION TO GRADUATION FOR INMATES COMPLETING SHOCK SAVINGS ARE BASED UPON THEIR RELEASE WHICH IS EARLIER THAN THEIR ORIGINAL PAROLE DATE

FACILITY			GRADS IN OUT	MON-GRADS OUT	RECEP TIME	AVG TIME IN SHOCK	AVG TOTAL TIME	AVG PE DATE	AVERAGE SAVINGS	
MONTEREY	SES 1	PLT 1	38	23	15	30.8	180.0	210.8	511.5	300.7
MONTEREY		PLT 2	42	32	10	39.1	180.0	219.1	459.9	240.8
MONTEREY		PLT 3	41	31	10	37.9	180.0	217.9	524.3	306.4
MONTEREY		PLT 4	43	26	17	54.5	180.0	234.5	487.6	253.1
MONTEREY		PLT 5	42	30	12	65.5	180.0	245.5	438.5	193.0
MONTEREY		PLT 6	48	29	19	56.4	180.0	236.4	497.3	260.9
MONTEREY	SES 2	PLT 1	48	33	15	77.4	180.0	257.4	545.1	287.7
MONTEREY		PLT 2	43	30	13	75.6	180.0	255.6	527.7	272.1
MONTEREY		PLT 3	42	32	10	78.8	180.0	258.8	508.9	250.1
MONTEREY		PLT 4	48	38	10	71.8	180.0	251.8	435.7	183.9
MONTEREY		PLT 5	48	32	16	62.5	180.0	242.5	513.1	270.6
MONTEREY		PLT 6	42	21	21	50.5	180.0	230.5	478.4	247.9
MONTEREY	SES 3	PLT 1	48	31	17	54.8	180.0	234.8	515.9	281.1
MONTEREY		PLT 2	48	25	23	71.6	180.0	251.6	611.7	360.1
MONTEREY		PLT 3	48	32	16	59.9	180.0	239.9	509.4	269.5
MONTEREY		PLT 4	48	31	17	64.9	180.0	244.9	530.9	286.0
MONTEREY		PLT 5	48	28	20	45.6	180.0	225.6	430.1	204.5
MONTEREY		PLT 6	48	25	23	65.1	180.0	245.1	543.4	298.3
MONTEREY	SES 4	PLT 1	48	29	19	74.8	180.0	254.8	447.6	192.8
SUMMIT	SES 1	PLT 1	43	27	16	62.2	180.0	242.2	468.7	226.5
SUMMIT		PLT 2	41	28	13	56.2	180.0	236.2	497.7	261.5
SUMMIT		PLT 3	52	42	10	55.9	180.0	235.9	529.2	293.3
SUMMIT		PLT 4	48	36	12	51.5	180.0	231.5	641.8	410.3
SUMMIT		PLT 5	47	37	10	56.8	180.0	236.8	485.6	248.8
SUMMIT		PLT 6	48	37	11	55.1	180.0	235.1	580.8	345.7
SUMMIT	SES 2	PLT 1	48	33	15	52.1	180.0	232.1	563.8	331.7
SUMMIT		PLT 2	48	33	15	61.2	180.0	241.2	587.7	346.5
SUMMIT		PLT 3	25	15	10	61.2	180.0	241.2	587.7	346.5
SUMMIT		PLT 4	53	33	20	60.9	180.0	240.9	504.7	263.8
SUMMIT		PLT 5	48	34	14	65.1	180.0	245.1	583.3	338.2
SUMMIT		PLT 6	56	37	19	65.2	180.0	245.2	655.9	410.7
MORIAH	SES 1	PLT 1	48	24	24	74.1	180.0	254.1	512.6	258.5
MORIAH		PLT 2	48	35	13	50.8	180.0	230.8	480.3	249.5
TOTAL			1,154	1,009	505	59.6	180.0	239.6	521.1	259.3

TABLE 14

CALCULATIONS USED IN DETERMINING SAVINGS FOR
THE FIRST 1,158 SHOCK GRADUATES

FACILITY TYPE	AVG COST PER DAY PER INMATE	AVG DAYS TO PE TO PE MINUS TIME IN RECEIPT	COST PER DAY MULTIPLIED BY DAYS TO PE
SHOCK	\$69.25	180.0	\$12,465.00
CAMP	\$44.20	439.3	\$19,417.06
MEDIUM	\$57.42	439.3	\$25,224.61

FOR EACH 100 INMATES SENT TO SHOCK THE COST WOULD BE
\$12,465.00 MULTIPLIED BY 100 OR \$1,246,500.00

IF SHOCK WERE NOT AVAILABLE 59% WOULD GO TO CAMPS AND
41% WOULD GO TO MEDIUM SECURITY FACILITIES

THE COST OF HOUSING THESE INMATES WOULD BE
\$19,417.06 MULTIPLIED BY 59 INMATES OR \$1,145,606.54
PLUS \$25,224.61 MULTIPLIED BY 41 INMATES OR
\$1,034,208.85 FOR A TOTAL OF \$2,179,815.39

TO CALCULATE THE SAVINGS FOR THESE 100 INMATES TO
THEIR PAROLE ELIGIBILITY DATE BY SENDING THEM TO A SHOCK FACILITY
WE MUST SUBTRACT \$1,246,500.00 FROM \$2,179,815.39
FOR A TOTAL OF \$ 933,315.39

SAVINGS POST PE DATE

INMATES EQUAL	38
MONTHS SAVED	9
ANNUAL COSTS	\$25,000.00
SAVE PER INMATE	\$18,750.00

TOTAL SAVINGS \$712,500.00

SAVINGS IN COSTS OF CARE AND CUSTODY

\$1,645,815.39 PER 100 SHOCK GRADUATES

CAPITAL CONSTRUCTION SAVINGS

CONSTRUCTION COST 750 BED MEDIUM SECURITY PRISON	\$64,950,000.00
COSTS FOR CONSTRUCTION OF 250 BED CAMP	\$13,000,000.00
NUMBER OF BEDS SAVED BY SHOCK W/O VACANCIES	698
NUMBER OF MEDIUM SECURITY INMATES	286
NUMBER OF CAMP INMATES	412
COST OF ONE MEDIUM BED	\$86,600.00
COST OF ONE CAMP BED	\$52,000.00
COSTS FOR HOUSING 286 MEDIUM INMATES	\$24,767,600.00
COSTS FOR HOUSING 412 CAMP INMATES	\$21,424,000.00
SUBTOTAL: GROSS SAVINGS FOR EARLY RELEASES	\$46,191,600.00
LESS 184 EMPTY BEDS IN CAMPS	\$ 9,568,000.00
SAVINGS FOR 514 REMAINING BEDS	\$36,623,600.00

OPERATIONAL SAVINGS: FOR 1,158 GRADUATES	\$19,058,542.00
CAPITAL SAVINGS: FOR 1,158 GRADUATES	\$36,623,600.00
 TOTAL SAVINGS: FOR 1,158 GRADUATES	 <u>\$55,682,142.00</u>

TABLE 15

RESULTS OF GED TESTING IN 1988

<u>FACILITY</u>	<u>AVERAGE NUMBER OF INMATES</u>	<u>TESTS GIVEN</u>	<u>INMATES SCREENED</u>	<u>INMATES TESTED</u>	<u>INMATES PASSING</u>	<u>PERCENT OF INMATE POP SCREENED FOR GED</u>	<u>PERCENT OF POPULATION GIVEN THE GED</u>	<u>PERCENT OF INMATES SCREENED WHO TESTED FOR GED</u>	<u>PERCENT OF INMATES PASSING THE GED TEST</u>
ALTONA	456	4	263	113	72	57.7%	24.8%	43.0%	63.7%
TACONIC	429	3	163	79	45	38.0%	18.4%	48.5%	57.0%
WALKILL	560	3	160	41	25	28.6%	7.3%	25.6%	61.0%
MEDIUM SUM	1445	10	586	233	142	41.4%	16.8%	39.8%	60.9%
LYON MT	151	3	42	26	24	27.8%	17.2%	61.9%	92.3%
CAMP BEACON	234	0	0	0	0	0.0%	0.0%	0.0%	0.0%
CAMP GABRIELS	266	3	46	39	22	17.3%	14.7%	84.8%	56.4%
CAMP GEORGETOWN	236	4	176	109	69	74.6%	46.2%	61.9%	63.3%
CAMP PHARSALIA	221	3	67	31	22	30.3%	14.0%	46.3%	71.0%
CAMP SUM	957	10	289	179	113	40.7%	24.9%	61.9%	63.1%
MONTEREY SICF	198	6	226	180	81	114.1%	90.69	79.6%	45.0%
SUMMIT SICF	126	3	98	63	46	77.8%	50.0%	64.3%	73.0%
SHOCK SUM	324	9	324	243	127	100.0%	76.2%	68.7%	55.9%
DOCS TOTAL		157	10,381	5,156	3,293		11.7%	49.7%	63.9%

TABLE 16

RESULTS OF GED TESTING IN 1989
JANUARY THROUGH AUGUST 1989

<u>FACILITY</u>	<u>AVERAGE NUMBER OF INMATES</u>	<u>TESTS GIVEN</u>	<u>INMATES SCREENED</u>	<u>INMATES TESTED</u>	<u>INMATES PASSING</u>	<u>PERCENT OF INMATE POP SCREENED FOR GED</u>	<u>PERCENT OF POPULATION GIVEN THE GED</u>	<u>PERCENT OF INMATES SCREENED WHO TESTED FOR GED</u>	<u>PERCENT OF INMATES PASSING THE GED TEST</u>
ALTONA	481	2	76	47	21	15.8%	9.8%	61.8%	44.7%
TACONIC	394	2	199	74	30	50.5%	18.8%	37.2%	40.5%
WALKILL	588	1	61	17	6	10.4%	2.9%	27.9%	35.3%
MEDIUM SUM	1463	5	336	138	57	23.0%	9.4%	41.1%	41.3%
LYON MT	151	3	31	22	19	20.5%	14.6%	71.0%	86.4%
CAMP BEACON	281	0	0	0	0	0.0%	0.0%	0.0%	0.0%
CAMP GABRIELS	284	2	32	28	18	11.3%	9.9%	87.5%	64.3%
CAMP GEORGETOWN	254	1	50	22	12	19.7%	8.7%	44.0%	54.5%
CAMP PHARSALIA	245	1	24	10	3	9.8%	4.1%	41.7%	30.0%
CAMP SUM	1064	4	106	60	33	10.0%	5.6%	56.6%	55.0%
MONTEREY SICF	166	6	140	136	49	84.3%	81.9%	97.1%	36.0%
SUMMIT SICF	217	4	239	130	56	110.1%	59.9%	54.4%	43.1%
SHOCK SUM	383	10	379	266	105	97.2%	70.9%	72.9%	40.0%
DOCS TOTAL		97	6,063	2,872	1,441			47.4%	50.2%

TABLE 18

NUMBER OF INCIDENTS PER INMATE FOR THOSE
WITH DISCIPLINARY CHARGES

<u>NUMBER OF REPORTS</u>	<u>NUMBER</u>
1	388
2	114
3	45
4	11
5	7
6	<u>1</u>
TOTAL	566

Total Number of Incidents = 836

TABLE 19
 DISCIPLINARY ACTIVITY BY TIER TYPE FOR
 ALL INMATES SENT TO SHOCK

	<u>NUMBER OF INMATES WITH REPORTS</u>		<u>NUMBER OF REPORTS</u>	
	NUMBER	PERCENT	NUMBER	PERCENT
None	2,450	81.2%	0	0.0%
Tier II	370	12.3%	520	62.2%
Tier III	196	6.5%	316	37.8%
TOTAL	3,016	100.0%	836	100.0%

TABLE 20

DISCIPLINARY ACTIVITY BY TIER TYPE FOR
ALL INMATES TRANSFERRED OR GRADUATED FROM SHOCK

INCIDENTS

	<u>GRADUATES</u>		<u>TRANSFERS OUT</u>		<u>TOTAL</u>	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
NONE	0	0.0%	0	0.0%	0	0.0%
Tier II	275	76.4%	154	42.0%	429	59.0%
Tier III	85	23.6%	213	58.0%	298	41.0%
TOTAL	360	100.0%	367	100.0%	727	100.0%

INDIVIDUALS

	<u>GRADUATES</u>		<u>TRANSFERS OUT</u>		<u>TOTAL</u>	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
NONE	911	78.7%	664	73.4%	1,575	76.4%
Tier II	203	17.5%	97	10.7%	300	14.6%
Tier III	44	3.8%	142	15.7%	186	9.0%
TOTAL	1,158	100.0%	903	100.0%	2,061	100.0%

TABLE 21

DISCIPLINARY ACTIVITY FOR GRADUATES AND
TRANSFERS OUT BY INCIDENT TYPE

	<u>ALL INMATES</u>		<u>GRADUATES*</u>		<u>TRANSFERS OUT</u>	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
Inmate Fights	129	15.4%	77	21.6%	30	8.2%
Assault Staff	47	5.6%	11	3.1%	35	9.5%
Verbal Abuse of Staff	124	14.8%	24	6.7%	83	22.6%
Fed Up w/Program	110	13.2%	10	2.8%	78	21.3%
Refuse Orders	273	32.7%	140	39.3%	87	23.7%
Disruptive Behavior	53	6.3%	36	10.1%	15	4.1%
Contraband	12	1.4%	6	1.7%	5	1.4%
Theft	32	3.8%	22	6.2%	9	2.5%
Lying	39	4.8%	17	4.8%	21	5.7%
Other	<u>17</u>	<u>2.0%</u>	<u>13</u>	<u>3.7%</u>	<u>4</u>	<u>1.0%</u>
TOTAL	836	100.0%	356	100.0%	367	100.0%

*Missing Values = 4

TABLE 22

DISCIPLINARY REPORTS AND RATES PER 1,000 INMATES
CY 1988 FOR COMPARISON FACILITIES

<u>FACILITY</u>	<u>AVG MONTHLY POPULATION</u>	<u>AVERAGE MONTHLY MISBEHAV REPORTS</u>	<u>AVERAGE MONTHLY TIER 1</u>	<u>AVERAGE MONTHLY TIER 2</u>	<u>AVERAGE MONTHLY TIER 3</u>	<u>MISBEHAV RATE PER 1000 INMATES</u>	<u>TIER 1 RATE PER 1000 INMATES</u>	<u>TIER 2 RATE PER 1000 INMATES</u>	<u>TIER 3 RATE PER 1000 INMATES</u>
ALTONA	456	167.1	56.6	98.1	7.0	366.6	124.2	215.2	15.4
TACONIC	429	84.8	14.4	55.3	8.8	197.8	33.6	129.0	20.5
WALKILL	560	130.9	41.3	72.5	7.3	234.0	73.8	129.6	13.0
MEDIUM AVG	481	127.6	37.4	75.3	7.7	265.1	77.8	156.4	16.0
LYON MT	151	25.7	18.9	6.9	0.3	170.4	125.3	45.8	2.0
CAMP BEACON	234	64.4	40.1	11.4	5.1	275.2	171.4	48.7	21.8
CAMP GABRIELS	266	75.3	29.1	36.8	9.4	283.2	109.4	138.4	35.4
CAMP GEORGETOWN	236	95.8	47.8	44.1	4.0	406.4	202.8	187.1	17.0
CAMP PHARSALIA	221	26.3	9.6	11.2	5.2	119.3	43.5	50.8	23.6
CAMP AVG	239	65.5	31.6	25.9	5.9	273.8	132.4	108.3	24.8
MONTEREY SICF	198	32.8	9.0	15.9	6.5	165.7	45.5	80.3	32.8
SUMMIT SICF	126	27.6	4.8	17.1	5.8	218.4	38.0	135.3	45.9
SHOCK AVG	162	30.2	6.9	16.5	6.2	186.2	42.6	101.8	37.9

TABLE 23

DISCIPLINARY REPORTS AND RATES PER 1,000 INMATES
JANUARY THROUGH SEPTEMBER 1989 FOR COMPARISON FACILITIES

<u>FACILITY</u>	<u>AVG MONTHLY POPULATION</u>	<u>AVERAGE MONTHLY MISBEHAV REPORTS</u>	<u>AVERAGE MONTHLY TIER 1</u>	<u>AVERAGE MONTHLY TIER 2</u>	<u>AVERAGE MONTHLY TIER 3</u>	<u>MISBEHAV. RATE PER 1000 INMATES</u>	<u>TIER 1 RATE PER 1000 INMATES</u>	<u>TIER 2 RATE PER 1000 INMATES</u>	<u>TIER 3 RATE PER 1000 INMATES</u>
ALTONA	481	179.2	60.0	111.7	19.4	372.3	124.7	232.1	40.3
TACONIC	394	128.3	20.4	79.0	15.7	325.9	51.8	200.5	39.9
WALKILL	588	187.7	78.9	89.6	14.6	319.0	134.1	152.3	24.8
MEDIUM AVG	488	165.1	53.1	93.4	16.6	338.4	108.9	191.5	34.0
LYON MT	157	26.1	16.1	10.0	0.0	166.7	102.8	63.9	0.0
CAMP BEACON	281	79.2	50.7	15.7	10.2	281.5	180.2	55.8	36.3
CAMP GABRIELS	284	76.4	32.0	41.0	10.4	269.2	112.8	144.5	36.6
CAMP GEORGETOWN	254	74.4	27.8	37.1	7.6	293.1	109.5	146.2	29.9
CAMP PHARSALIA	245	51.6	18.9	23.1	5.3	210.8	77.2	94.4	21.7
CAMP AVG	266	70.4	32.4	29.2	8.4	264.7	121.7	109.9	31.5
MONTEREY SICF	166	26.0	3.9	11.4	8.4	156.7	23.5	68.7	50.6
SUMMIT SICF	217	33.7	8.7	24.3	9.6	155.5	40.1	112.1	44.3
SHOCK AVG	191	29.9	6.3	17.9	9.0	156.0	32.9	93.3	47.0

TABLE 24

DISTRIBUTION OF UNUSUAL INCIDENTS TYPES BY FACILITY
JANUARY 1988 - SEPTEMBER 1989

FACILITY	TOTAL INCIDENTS	AVG POP	ACCIDENTS	INMATE ASSAULTS	STAFF ASSAULTS	FIRE	CONTRABAND	SELF INFLECTED		INMATE DEATH	MASS DEMO	ABSCOND	OTHER	OVERALL PER 1,000
								SUICIDE ATTEMPT	ESCAPE					
ALTONA	46		3	11	8	3	5	2	0	6	0	1	7	
YACONIC	43		3	4	8	4	7	12	0	2	0	0	3	
WALLKILL	29		2	8	1	3	9	0	0	2	1	1	2	
MEDIUM TOTALS	118	472	8	23	17	10	21	14	0	10	1	2	12	250
CAMP GABRIELS	26		7	4	2	1	0	1	1	0	0	3	7	
CAMP GEORGETOWN	19		4	3	2	0	3	0	2	1	0	2	2	
CAMP BEACON	39		9	5	0	8	5	0	1	2	1	2	6	
CAMP PHARSALIA	15		5	1	0	0	0	1	2	1	0	2	3	
CAMP TOTALS	99	250	25	13	4	9	8	2	6	4	1	9	18	396
MONTEREY	10		0	0	7	1	0	0	0	0	0	0	2	
SUMMIT	18		3	1	3	0	1	0	0	0	0	0	10	
MORIAN	11		2	0	8	0	0	0	0	0	0	0	1	
BUTLER	4		1	0	3	0	0	0	0	0	0	0	0	
SHOCK TOTALS	43	181	6	1	21	1	1	0	0	0	0	0	13	237

TABLE 25

PROPORTIONAL DISTRIBUTIONS AND AVERAGES OF SHOCK GRADUATES
AND THE COMPARISON GROUP ON LEGAL AND DEMOGRAPHIC VARIABLES

	N=171 <u>SHOCK GRADUATES</u>	N=405 <u>COMPARISONS</u>
Percent Medium Security	48.6%	48.5%
Percent Minimum Security	51.4%	51.5%
Percent with Prior Jail	38.8%	32.3%
Percent From New York City	75.4%	67.9%
Percent Non-New York City	24.6%	31.1%
Percent Drug Crimes	59.6%	51.6%
Percent White*	16.4%	25.2%
Percent Black	45.0%	43.5%
Percent Hispanic	38.6%	31.1%
Percent A-II Felons	2.9%	3.5%
Percent YO Felons	12.3%	10.1%
Percent Second Felons*	38.6%	29.4%
Average Time Served*	8.0 Months	16.0 Months
Age at Admission*	21.0 Years	21.8 Years
Prior Felony Arrests	1.9	2.2
Beta IQ*	87.7	90.4
Math TABE	7.5	7.2
Reading TABE	7.6	8.1
Prior Felony Conviction	1.1	1.2
Jail Time	101.3 Days	108.8 Days
Aggregate Minimum*	19.9 Months	17.9 Months
Time to Parole Eligibility*	16.8 Months	14.3 Months
Age at Release*	21.1 Years	22.6 Years
Aggregate Maximum	84.6 Months	84.7 Months

*Indicates a significant difference to .05 level using either chi-square or T-Test statistics.

NEW YORK STATE DIVISION OF PAROLE
SHOCK PAROLE SUPERVISION PROGRAM

JANUARY 1990 LEGISLATIVE REPORT

Mario M. Cuomo
Governor

Ramon J. Rodriguez
Chairman

OFFICE OF POLICY ANALYSIS AND INFORMATION
JANUARY 1990

SHOCK PAROLE SUPERVISION

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EXECUTIVE HIGHLIGHTS

SHOCK INCARCERATION IN NEW YORK STATE

The focus of the Shock Incarceration program is to provide carefully selected young inmates the benefit of a special, highly structured six-month program of intensive incarceration.

The program was designed to allow offenders to be released from prison within six months without compromising community safety.

SHOCK PAROLE IN NEW YORK STATE

Through December 15, 1989 there had been a total of 1,243 releases to parole supervision from Shock Incarceration Correctional Facilities.

The focus of Shock supervision is to provide a continuum of services from the institution and continuing throughout the parolees' supervision experience.

Shock parolees are young ex-offenders with many needs. They lack education employment and vocational skills. Many return to environments which are not always conducive to successful reintegration. Therefore, the Division of Parole has created a program designed to meet their specific needs.

Special teams of two parole officers supervise 30 Shock parolees in a program designed to enhance the parolee's potential for community reintegration by providing more interaction between parole officers and clients.

Shock Parole staff are provided with special training at Shock Incarceration Facilities which allows them to develop a perspective on the experiences of the Shock graduates.

Priority has been placed on enrollment of Shock parolees in community-relevant services which provide educational and vocational training, increased employment opportunities and Network and relapse-prevention counseling.

The Division has redirected resources to ensure a continuity of services for Shock parolees in the areas of relapse prevention, employment training and job placement.

An extensive monitoring and evaluation process has been initiated by the Division's Office of Policy Analysis and Information to evaluate the program. This is the third comprehensive report designed to assess the program at specific intervals.

PAROLE BOARD ACTIVITY

The Parole Board's consistent release practices are key to the success of the Shock Incarceration program.

From February 26, 1988 through November 30, 1989, the total number of interviews in which the Board granted release to Shock inmates is 1,310. The release rate at initial interviews for Shock inmates is 99%.

Some inmates who were granted release by the Board did not finish the Shock program. A total of 24 inmates who were granted release by the Parole Board were removed from the program for disciplinary reasons and did not graduate.

SHOCK PAROLEE IN THE COMMUNITY

Shock parolees have consistently maintained a higher employment rate than non-shock parolees. Through December 15, 1989, the Shock parolee employment rate was 12% higher than the comparison group.

Private-sector employers have expressed a desire to employ Shock parolees. Many employers, who routinely hire ex-offenders, request only Shock parolees when recruiting new workers.

In addition to employment success, Shock graduates have established a considerable advantage over other young parolees in the community. The number of Shock parolees enrolled in community programs designed to address specific needs is 27% higher for Shock graduates.

Community service providers have indicated that this is a result of the Shock parolees' willingness to participate in programs and the Division's intensive supervision program which allows parole officers more time to develop a support network for Shock graduates.

Urinalysis test results from Shock parolees indicate an 86% rate of abstinence from drug usage.

Compliance rates for the current fiscal year indicate that Shock Parole staff have continued to meet or exceed the intensive supervision standards established for the program.

COMMUNITY SUCCESS

The first six platoons were released to Parole supervision between March 8 and July 31, 1988. They constitute the first wave of Shock parolees. The second six platoons were released between September 9 and December 1, 1988 and they constitute the second wave of Shock parolees.

During this same time period, two waves of comparison group parolees, who match the Shock offenders' age and offense characteristics, were also released to Parole supervision.

An analysis has been completed comparing the community experiences of the first wave of Shock parolees to those of the second wave.

A separate analysis has been completed comparing Shock parolees to comparison group parolees.

A look at the first two waves of Shock releases:

An analysis of the first two waves of Shock releases in the community indicates that the Division's intensive after-shock parole supervision program has been successful at stabilizing Shock parolees.

After one year of community supervision, the success rate of the second wave of Shock releases was better (61%) than that of the first wave (57%), while the number of parolees who had adjusted marginally was lower (16% compared to 19%).

The rate of failure in each wave was identical (23%). However, second wave Shock parolees were less likely (6%) to have committed new crimes than releases from the first wave (11%).

The second wave Shock parolees were also less likely than the first wave to have committed violent felonies or drug crimes after release.

In relation to comparison group parolees:

Shock parolees from the first two waves continue to outperform releases from a comparison group of age and offense similar offenders released over the same time period.

The success rate of the Shock group (59%) was better than that of the comparison group (52%), while the proportion of marginally adjusted parolees was lower (18% compared to 20%).

In addition, the proportion who were ordered returned after one year was also lower for the Shock group (23%) than the comparison group (29%).

For those who were returned, the Shock parolees were less likely than comparison group parolees to have committed violent crimes after release.

An equal proportion of Shock and comparison group parolees violated within six months of release; however, a greater proportion of Shock parolees violated within one month (30% compared to 23%).

FEMALE SHOCK PAROLEES

The first female graduates were released to Parole supervision in June of 1989. Since then, 54 women have been released from Shock facilities to the community.

Female graduates were found to differ from male graduates in several respects. They were older and more likely to be Hispanic. They were also more likely to have been sentenced for drug crimes. Crime of conviction data indicate that 50 of 54 were sentenced for drug crimes (40 for sale and 10 for possession).

More women have attended high school than the male graduates and an equal proportion are supervised in New York City and its surrounding areas.

Women Shock parolees are faced with different challenges in the community than male Shock parolees. Female parolees are more likely to be the targets of sexual assault in the community and are sometimes discriminated against in the workplace.

Despite these challenges, female Shock graduates have adjusted to the community. Their success rate is better (87%) than that of a group of age and offense similar female offenders who were released over the same time period (83%).

FUTURE DIRECTIONS

The Division has agreed to participate, in conjunction with the Department of Correctional Services, in a multi-site study on Shock Incarceration sponsored by the National Institute of Justice.

SHOCK INCARCERATION IN NEW YORK STATE

Shock Incarceration - a relatively new type of sanction - is attracting considerable attention as an alternative to traditional imprisonment for young adult offenders. Eleven states currently operate Shock Incarceration programs and another ten are developing them. Our experience with Shock Incarceration in New York State has been very favorable. Evaluation efforts have indicated that the program is able to save the state considerable cell space without an increased risk to the community.

In July of 1987 the New York State Legislature amended the Correction Law and thereby established the Shock Incarceration Program. The focus of Article 26-A and Section 70 of the Correction Law was to provide up to 1,000 carefully selected young inmates the benefit of a special, highly structured six-month program of intensive incarceration which would augment prison construction.

Despite an ambitious construction program begun in 1983 and expanded in 1985, the prison system was operating at 109% of capacity and growing. Enactment of this legislation provided the State an alternative form of incarceration with novel programming and release criteria that would meet its statutory obligation to house persons sentenced to a prison term and simultaneously conserve cell space.

Program Overview

The New York State Shock Incarceration program is the largest in the country. It is one of only a few Shock programs nationwide to employ the use of intensive post-release supervision of releasees in the community. Upon release and for the first six months, two parole officers work as a team, and have the supervision responsibility for 30 shock parolees. Thus, the Division of Parole supervises shock offenders at a ratio of 1 parole officer for every 15 shock parolees. Other offenders released to parole supervision in our state are supervised at a ratio of 1 parole officer for every 38 parolees.

Shock Supervision seeks to provide a continuum of services from the institution and continuing throughout the duration of the parolees' supervision experience. The goal of the program is to continue the intensity of supervision begun during incarceration and to provide opportunities and programs in the community that will enhance the parolee's potential for a successful reintegration.

Why Shock Supervision?

Shock parolees are young ex-offenders, the majority of whom are single, minority males. Most (85%) have had problems with substance abuse involving primarily crack and cocaine; many have also had problems associated with alcohol abuse (45%).

The majority (80%) reside in New York City or on Long Island and have lived there most of their lives. Over three-fourths have attended high school, but about one-fifth have only a grade-school education. Only 3% have attended college.

Their criminal histories reveal that they are primarily drug offenders. Crime of conviction data indicate that 64% were sentenced for drug crimes, 25% for property crimes, 9% as Youthful Offenders and 2% for other non-violent crimes.

Shock graduates have had an opportunity to participate in what may be the most meaningful period of incarceration offered in state prison. Yet, despite some of the positive changes Shock inmates may have experienced at the institutional level, many of them return home to find that the environments they left have not gotten better; often they have worsened.

Shock parolees are poor. They live in areas of the city where drug activity and street violence are commonplace. Most of them are resigned to staying there since they lack the financial resources necessary to relocate. In addition, they often return to dysfunctional families who are unable to provide them with the support they need to make a successful transition into society. Discussions with parole officers and relapse prevention specialists working with the Division indicate that many of the Shock parolees who were drug abusers were raised in environments where parents or siblings were also substance abusers.

This profile describes a population in need. The Division feels that their youth, lack of education and substance-abuse histories place them at a high risk of failure. Experts in the field of relapse prevention and Community Network Counseling agree.

"Many of the Shock parolees return to the community knowing what they have to do because they have received good information at the facilities," says Stacia Murphy of the Fellowship Center in New York City. "However, they lack the experience in doing it; they have the tools but require more support if they are going to make it."

"Due to the lack of a traditional support network in the form of the family, peer group relationships have taken on an exaggerated sense of importance for Shock parolees," Jacqueline McDonald from the Community Network Program in New York City has told us. "Therefore, it is important for the Division to build upon the positive relationships that Shock parolees have established with one another in the institution."

This is accomplished by providing Shock graduates with increased opportunities to ensure their successful transition to the community. By working in teams, parole officers are able to interact with the Shock parolees more frequently. Increased interaction gives the officers an opportunity to build a support network for the Shock parolees.

As a further enhancement to their potential for a successful reintegration, priority has been placed on enrollment in programs which provide community-relevant services, such as education and vocational training, increased employment opportunities and Network and relapse prevention counseling.

THE PAROLE PROGRAM

The Division's community supervision plan for shock offenders is the most comprehensive program of its kind in the country. Parole teams begin pre-release planning early, working closely with the inmate and the inmate's family to develop a sound residence and employment program prior to release. In addition, Parole staff responsible for the supervision of the offender in the community travel to the shock facilities to meet with the offenders prior to graduation. This helps build a rapport between the parolee and the parole officer and establishes linkages between the officer, the inmate and the inmate's family. Family support is viewed as critical to the success of this program, and parole officers encourage family involvement. These parole officers work closely with Department of Correctional Services' staff, participating in the staff training with DOCS' personnel at Shock facilities and the graduation ceremonies at the Shock Facilities. This approach reinforces for the offender the Division's commitment to their successful reintegration.

For their first six months under supervision, the parolees' performance is monitored closely by a team of parole officers who assist with the release plan and provide the parolees with necessary services. Thus, the likelihood of success is enhanced by promoting a greater level of involvement between parole officers, parolees and the parolees' families.

The objectives of Shock supervision include enrollment of parolees in an academic or vocational program within two weeks of release, and employment, at least part-time, within one week of release. Supervision standards are rigid and include mandatory substance-abuse counseling, weekly curfew checks, and random urinalysis testing (see Appendixes A & B). Community protection is assured by providing more face-to-face contacts between officers and clients.

In addition to the team concept in which parolees receive more quality supervision, the Division has developed other essential community-based services for Shock parolees. Specialized employment and vocational services have been established through a contract with VERA Institute's Neighborhood Work Project (NWP) and Vocational Development Program (VDP). A Network program has been developed in conjunction with the Episcopal Mission Society in New York City. Relapse-prevention services have been provided through a contract with the New York City Mission Society's Fellowship Center. Relapse-prevention is considered the most integral component of this program's success and the Division has emphasized the weekly meetings for Shock offenders in a unique program which includes individual and group counseling. A description of each component follows.

Parole Officer Teams - Enhanced Service Delivery

To accomplish the objectives of Shock Parole supervision, the Division knew it was necessary to establish a unique method of parole supervision, one that would provide a greater level of contact between the officer, the client, and the client's family and one that would allow more time for service intervention and casework. This has been accomplished through the use of parole officer teams.

Each team of two parole officers is responsible for 30 Shock cases. Parolees know all of the parole officers and the officers know each of the parolees, their families and employers. Teamwork is essential to the parolee's success and officers work together to assure that the parolee is adjusting satisfactorily. Unlike other caseload efforts where one officer is responsible for a caseload, these officers do their field work together. They conduct home visits, employment visits and curfew checks as a team. Teamwork has resulted in a more dynamic approach to parole casework.

Working as a team, the officers are able to draw upon each other's experiences and special talents. For example, one officer indicated that although he was not fluent in Spanish, his partner was, and this enhanced their interactions with families who were not English speaking. Many of the officers have commented that they feel safer working as teams. New parole officers feel that they have learned the job faster since most of them were teamed with a more experienced colleague. "There is a real feeling of teamwork here," one officer said, "I don't ever want to leave this unit because I don't think anyone is doing this kind of intervention anywhere else."

Families and service providers also like the concept. Parents have remarked to parole staff that they appreciate the increased attention that Shock parole officers give their children. Parents feel that their sons and daughters are being supervised closely and with good skills.

Service providers have indicated that because of the team concept, the Shock staff are easier to reach than other parole officers. "There are more people in the unit who know something about the case if I have a question," remarked one, "you don't always find that in other offices in New York City. Shock parole officers are committed and work with the community agencies as a team. It's not we and they; we solve problems together because we all care about the case."

"Parole Officers are not faceless names on the other end of the phone, like in some other agencies," remarked one service provider. "We see them more and our rapport with them is very good."

"The Shock teams have improved my impression of the Division," remarked another service provider. "Coordination with Parole has been excellent. The teams are professional and serious about their involvement with the case; they participate in our program and get involved."

The Vocational Development Program (VDP) - The World Of Work

On the morning of their first full day of release from prison, Shock parolees in New York City are required to report to their parole officer at our office in downtown Manhattan. At that time, they are given a brief orientation about what is expected of them in the community. On that same day in the afternoon, they attend a session at the VERA Institute's Vocational Development Program (VDP).

At VDP, the Shock parolees begin their orientation to the "world of work." As part of a three-step process, they are taught how to secure permanent, meaningful employment. The program includes an Orientation class, a four-day Life Skills training class and an Intake class where each Shock parolee is assigned a personal job developer. The job developer works with the parolee to help secure a permanent job.

Staff at VDP work closely with Parole staff and notify them immediately when a Shock parolee fails to keep a scheduled appointment. This helps to support the Division's intensive supervision effort and reinforces within Shock parolees our commitment to their successful reintegration.

The work of the VERA Institute has been essential to the success of the program. VDP's staff have worked hard to provide a continuum of services for Shock parolees immediately after release. The program is structured and classes operate in an orderly fashion. At VDP, Shock parolees are taught many of the essentials of securing suitable employment, such as how to properly complete job applications and how to act during employment interviews. They are also provided information and strategies on how to keep their jobs.

The staff at VDP have developed unique programming techniques specifically for Shock parolees which capitalize on the spirit and motivation they exhibit upon release. At the completion of each work session at VDP, the Shock parolees conduct a community meeting. (See Network, page 11) The community meetings are structured as they were in the Shock facilities, where the parolees learned how to discuss the problems they were experiencing and the progress they made. The community meeting always ends with a cadence, a song that the Shock parolees learned at the facility. This brings the platoon together and lifts their spirits before they are dismissed from class. Counselors at VDP are developing a glossary of "Shock jargon" so that job developers will become familiar with the vernacular of the Shock parolees. VDP feels that this will help promote communication and bonding between the Shock parolees and their staff.

This aspect of the Parole program has been highly successful. Each month new platoons are absorbed into the program immediately after release; many are eventually placed in permanent jobs. VDP has found that many private employers, after they see the work of Shock graduates, request only Shock graduates for workers, indicating an acceptance of the program in the community.

The Neighborhood Work Project (NWP) - Guaranteed Jobs

Upon release from prison, supervision standards require that all Shock parolees have a job within one week (see Appendix A). Some parolees are able to secure employment prior to their release from prison; some are immediately employable and secure permanent employment through the Vocational Development Program soon after release. But others are not as fortunate. For those who do not have jobs lined up immediately after release, the Division has contracted with the Neighborhood Work Project

(NWP) to provide immediate temporary employment (75 days), thereby providing the Shock population with a level of consistency and predictability in the form of guaranteed jobs after release.

At NWP, Shock parolees are given jobs in the construction field which generally involve hard work and include building demolition and rehabilitation. They work four days a week, are paid daily and earn an average salary of \$33.20 per day. On the fifth day of the work week, the Shock parolees are involved in securing permanent full-time employment with help from the Vocational Development Program.

Feedback from the staff at NWP has indicated that the Shock program has been successful. "Construction work symbolically serves as a sense of completion for these young men and women," one of the NWP staff told us. "It is not uncommon to see Shock parolees come back to the worksite to admire their finished products." Supervisors and administrators in the program feel that the shock parolees, unlike many other offenders released from prison, "are ready to work upon release." Many of the Shock parolees have successfully transitioned from the temporary work of the Neighborhood Work Project to permanent jobs. However, without this immediate, temporary employment, many might not have made it that far.

Community Network Program - Positive Directions

Network is a program designed to promote positive involvement of participants in an environment which focuses on successful reintegration into society. Members participate in program management to the degree that they demonstrate their capacity to make informed, responsible decisions. Network is a total learning environment which fosters involvement, self-direction and individual responsibility.

The program is divided into the Threshold Decision-Making model, Community Meetings, Three-Part meetings and Clearings.

The Threshold Decision-Making model teaches the Shock parolees a decision-making process. Through this process, the parolee learns how to make responsible decisions without over-reacting to real life situations. Parolees are taught that by using a five-step method they can resolve their day-to-day problems without conflict. The model tells them to see the situation they are in, to know what they want to do, to expand their possibilities, to evaluate their options, and to decide and act.

The community meetings serve as a vehicle through which the parolee learns from his/her peer group. Discussions involve confrontations with peers who provide feedback to individuals experiencing problems. The meetings follow a general format which includes an explanation of how things are, or how they seem within the group. This is called GENERAL SPIRIT. Next, the group moves into a REGRESSION mode, a time for individuals to admit their indiscretions. This results in confrontational feedback from peer group members and leads to an admission and acknowledgement of poor behavior on the part of the individual, who learns from the experience. The next section is called PULL-UPS. Pull-ups are a time for

individuals to question others who may not be performing up to their potential, and a time for peer group members to submit their ideas for what works for them in similar situations. After this, parolees report their PROGRESS and group members applaud individual achievements. The community meeting always closes with a FINAL WORD which is a word submitted by parolees which they feel is appropriate to describe relevant situations. Peer group members are allowed to explain what they feel the word means and how it is relevant for them.

From these meetings parolees begin to realize that each of them has problems, but that many of their situations are similar. They learn that problems can be overcome with the help of others.

Three-Part Meetings allow the parolee to brag about an accomplishment, to discuss a distressing occurrence and to talk about their future directions. The three-part meetings help to build the parolee's self-esteem. By talking about their accomplishments the parolees are able to express something good about themselves. In talking about their distress, they are able to discuss issues that are bothering them, and by talking about their future directions, they learn how to deal with those situations that have caused them distress. As such, the three part meeting gives the parolee a "formula" for problem solving.

Parolees are encouraged to release any feelings they may have, positive or negative, helping them to CLEAR themselves of feelings that may hinder their progress, and allows them to promote their progress or the progress of another.

Network plays a pivotal role in the Institutional Shock program. As such, it has been incorporated into the Shock Parole program. Each week, for a period of three months after release, Shock parolees participate in Network sessions sponsored by the New York City Episcopal Mission Society. Episcopal Mission Society staff, who have been trained in the Network concept and skills, conduct the sessions for each graduating platoon. The meetings are conducted at sites provided by the Division, and parole officers attend these meetings.

The Community Network Program (CNP) will help the Division capitalize on the relationships of Shock parolees to their peer group. Staff at CNP have indicated to the Division that for the most of these young people the peer group is the most influential factor in their lives. "The bonding that is going on between these people is tremendous," one commented. "It all goes back to peer pressure; the platoon is like a family, they confront one another readily and through teamwork, they learn responsibility."

Parole officers are readily accepted into the program by the parolees. The officers sit in the group and give feedback, which is accepted by the platoon.

"Many of the Shock parolees come from dysfunctional families," the Director of CNP told us. "As a result, they have problems interacting with others, particularly with those of the opposite sex." This program helps

them to deal with how these relationships affect their lives and how to improve their self-awareness. This in turn leads to the development of coping skills."

This becomes extremely important to their success because, as one service provider indicated, "Shock parolees are great survivors; they have survived despite poor neighborhoods and uncaring families. However, they have not yet learned how to cope with problems." The Community Network Program teaches them the skills necessary to cope with problems they experience in everyday living.

It is the feeling of the Division and the Episcopal Mission Society that the Community Network Program will help Shock parolees transition from the structured therapeutic environment to the community, where they often lack the emotional support they received in the Shock facilities.

The Fellowship Center - Relapse Prevention Counseling

The Fellowship Center is one of the most critical community-based agencies utilized by the New York State Division of Parole's Shock program. Offenders who are released from Shock Incarceration facilities have many needs. All are young offenders. Over 85% have a history of drug abuse and 45% have problems associated with alcohol abuse. The majority (64%) were sentenced for drug-related crimes involving either the use or sale of a controlled substance.

The proliferation and use of crack and cocaine among young offenders in New York City has reached epidemic proportions. Cocaine was the drug of choice among Shock parolees before they went to Shock. Therefore, it is imperative we provide services in the community designed to prevent their relapse.

The Fellowship Center program addresses the most critical need of these young offenders - addiction. An innovative approach has helped parolees adjust to the rigors of community living. The counseling provided by this agency goes beyond the traditional Narcotics Anonymous and Alcoholics Anonymous approach where individuals show up at random community meetings and discuss their substance-abuse problems. Fellowship developed a unique program which combines the strategies of NA and AA with interpersonal counseling techniques which stresses accountability, discipline and self control. As a result, parolees are taught the importance of responsible living. They are taught how to deal with stress and how to solve problems caused by stressful situations without the use of chemicals. The importance of their peer group support model is reinforced. This has helped them to better adjust to life after release.

Within the first year and one-half of the Shock supervision program, the Fellowship Center assisted the Division in providing services for New York City-based Shock parolees. It is our feeling that this support has contributed to the success of the program by assisting these young people in the community.

Fellowship has taught us that for many, addiction is the root of criminality, and that by maintaining their abstinence, these young offenders are more likely to be successful on parole. They will experience more stable home lives and increased employment opportunities. Therefore, Fellowship functions as a catalyst within the criminal justice system.

At Fellowship, parolees learn to be comfortable with themselves, and that they are not bad people. They learn how to be positive and trusting instead of negative, protective and defensive. This allows them to become contributors to the communities in which they live. They provide a continuum of services for offenders with substance abuse problems.

The Fellowship Center has been in operation since 1958. In 1975, they introduced the concept of ASAT to the Department of Correctional Services and in 1977 conducted the first joint training session between Corrections and Parole about relapse-prevention counseling.

There are other programs which offer similar services, though no other programs parallel Fellowship's combination of experience with offenders, training and aftercare.

Keeping Pace With A Changing Environment - The Division's Effort

Shock Incarceration in New York State has expanded considerably since legislatively authorized in 1987. Several changes, in conjunction with the consistent release practices of the Parole Board, have resulted in substantial increases of Shock graduates to parole supervision. Throughout this period of expansion and transition, the Division of Parole has kept pace with changes in the program, allocating increased resources and staff to this intensive supervision program. Part of this effort includes providing Shock Parole staff with specialized training.

Parole officers involved with the Shock program participate in a joint, month-long training session with Department of Correctional Services staff at Shock Incarceration Correctional Facilities. While participating in the training program, Parole staff follow the same regimen as Shock inmates which includes intensive physical training and counseling sessions. Through this, staff are able to develop a perspective on the experiences of the shock graduates and become more involved in the program in the community. Parole staff also participate in Network counseling training provided by the Department of Correctional Services, providing them with the skills necessary to participate in the Community Network Program in New York City.

Parole staff involved in the Shock program are required to submit reports on a monthly basis which outline the number of contacts they have had and the nature of those contacts with each Shock parolee under supervision (see Appendix C). This allows the Division to assess the effectiveness of the Shock supervision initiative, providing valuable information on the intensive supervision of these young offenders.

Before the first releases to parole supervision, the Division's Office of Policy Analysis and Information was working to implement a comprehensive monitoring and evaluation process so that the Shock Parole program could be

properly assessed. As part of this process, Policy Analysis staff traveled to Shock facilities to get a first hand look at the institutional program. They met with the DOCS institutional staff who provided an overview of the Department's program efforts. In addition, Policy Analysis staff have worked collaboratively with DOCS' program evaluation staff to assure that each agency's monitoring efforts have remained consistent.

In evaluating community-based programs, a reliable transfer of information from field units and independent service providers to the evaluator is essential. Knowing this, Policy Analysis staff established linkages with the Shock supervision unit in New York City and the community-based agencies to assure that monitoring and report instruments were in place and available for the Division. Each month, Policy Analysis staff conduct site visits to assure that the monitoring process remains consistent and to discuss program developments with Shock staff and service providers.

It became apparent early on that it was important for the Division to select an appropriate parole comparison group so that the community success rate of Shock graduates could be assessed in relation to other parolees. As a result, in April of 1988, the Office of Policy Analysis and Information began a selection process to establish a comparison group that matched the Shock parolees in two very important areas: offense severity and age at release. Since that time, the comparison group has been updated monthly to keep pace with releases from the Shock facilities. Reports are completed monthly comparing the success of the Shock and comparison group parolees.

During a recent visit, representatives from the National Institute of Justice responsible for a national multi-site study on Shock Incarceration remarked on how well organized the evaluation effort in New York appears. Of the other eleven states actively operating Shock Incarceration programs, New York is the only one from which information has been released on the community supervision experiences of Shock parolees. This report is the third comprehensive evaluation which has been completed to assess the program at specific intervals.

Parole Board Policy for Shock Parole Violators

The Shock Incarceration Program provides inmates with an unprecedented opportunity to obtain parole release after only six months of imprisonment, regardless of the length of the minimum period of incarceration imposed by the courts. Recognizing this, the Parole Board believes that the penalty for violating the conditions of release should be severe.

The Parole Board's policy states that individuals who violate the conditions of release under the Shock Program shall be reincarcerated for at least a period of time equal to the minimum period of incarceration, the six months the inmate spent in the Shock Incarceration Facility will not be considered.

The Parole Board believes that this penalty is commensurate with the extraordinary benefit conferred upon the offender and that it creates a substantial incentive for them to conform to the conditions of the Shock Program.

PAROLE BOARD ACTIVITY

The Board's consistent release practices are key to the success of the Shock Incarceration program. Since implementation, release decisions rendered by the Parole Board to Shock Incarceration inmates have been extremely consistent, resulting in a release rate at initial interviews of 99%. The release rate at initial Parole Board interviews of similarly-situated inmates is 67%. An overview of Parole Board activity is included in Table 1.

From February 26, 1988 through November 30, 1989, the total number of interviews at which the Parole Board granted release to Shock inmates is 1,310. During this time period, there has been only one denial; the Parole Board felt that the inmate's early release from state prison would not be compatible with the welfare of society. All of the other inmates who have successfully completed the Shock program have been released. Inmates have only been held at their initial interview to complete the six-month program.

Summary of Parole Board Interviews

Table 1 OUTCOMES FOR RELEASE INTERVIEWS
OF SHOCK INCARCERATION INMATES

RELEASE OUTCOME	INITIAL		RE-INTERVIEW OF THOSE HELD TO COMPLETION		TOTAL	
	Number	Percent	Number	Percent	Number	Percent
GRANTED RELEASE	1,301	99%	9	82%	1,310	99%
POSTPONED FOR PROGRAM COMPLETION	17	1%	2	18%	19	1%
DENIED	1	-	-	-	1	-
TOTAL	1,319	100%	11	100%	1,330	100%

Parole Board panels for Shock inmates are conducted as close to the actual release date as possible to help alleviate some of the tension and anxiety that Shock inmates experience just prior to release.

Some inmates who were granted release by the Board did not complete the Shock program. As of December 15, 1989, there had been 1,243 releases from Shock facilities to parole supervision; 24 inmates who were granted release by the Board were later removed from the program for disciplinary reasons and did not graduate. This points to the integrity of the institutional program where inmates are expected to maintain proper behavior for the entire six-month period. This expectation of the Department of Correctional Services has also been very consistent.

In addition, a total of 43 inmates who were granted release in November were awaiting release in late December.

The figures in Table 2 reflect the number of parolees released from each Shock facility through December 15, 1989. Also included is the average platoon size for each facility.

Table 2
RELEASES TO PAROLE SUPERVISION
BY FACILITY

Release Facility	Number Released	Number Platoons	Average Platoon Size
Monterey	580	20	28
Summit - Male	435	13	34
Summit - Female	54	6	9
Moriah	115	4	29
Butler/Walcott	34	1	34
Lakeview	25	1	25
Total	1,243	45	--

As the figures indicate, Monterey, which was the first Shock facility, has the greatest number of releases, and averages nearly 30 graduates per platoon. Summit averages 34 graduates per male platoon and nine graduates per female platoon and has the second greatest number of releases (489 total). Moriah has released a total of 115 graduates and has averaged 29 graduates per platoon. Butler/Walcott and Lakeview have released one platoon each which were 34 and 25 graduates respectively.

SHOCK PAROLE IN THE COMMUNITY

The Shock Parole program offers increased community presence and unparalleled service delivery from our Parole staff and community service providers. The end result has been that Shock parolees have remained in the community longer, have attained higher employment rates, higher wages, and have experienced better program enrollment rates than other young non-violent offenders released from prison. However, the benefits of the supervision program do not end there.

The level of involvement of the Shock Parole teams with Shock parolees, coupled with the enhanced service delivery has led to a high degree of acceptance of the program in the community. Private employers are more willing to work with Shock parolees than with other ex-offenders, and city residents have accepted the program.

The motivation and spirit, which has become the trademark of the newly released Shock parolees, is not limited to them alone. Community service providers have been willing to expand and/or tailor their programs specifically to the needs of Shock parolees. They are impressed with the quality of these parolees, as well as the Division's commitment to the program.

Seeing is believing, and Shock parole officers who have witnessed the benefits of their efforts continue to meet or exceed the standards established for Shock supervision since the program was implemented nearly two years ago.

Included below is a description of the community Shock program and its benefits from the perspective of those who are seeing it in action - private employers, community service providers and a Shock team assigned to the Manhattan V Shock supervision unit in New York City.

Employment Success

Shock parolees have consistently maintained a higher employment rate than other young non-violent offenders released from state prison. As of December 15, 1989, the Shock parolee employment rate was 12% higher than that of the comparison group parolees who were released over the same time period. In an effort to determine the differences employers see between Shock parolees and other ex-offenders, representatives from the Office of Policy Analysis and Information interviewed private employers in New York City who have had the experience of employing Shock and non-shock parolees.

"Shock parolees possess an eagerness that is not easily found in the open market," was the response of one employer when asked to describe the assets which Shock parolees bring to their jobs. "Compared to other parolees, Shock parolees come to interviews better dressed and better prepared. Once hired, they are quick to learn new skills while showing a high degree of punctuality. In addition, the quantity and quality of their work is as good or better than other new employees. Shock parolees work

harder, and by working harder they often bring up the volume of work of their co-workers...Compared to other parolees, they are more responsive to supervision, and more eager to start a new job once they're finished with an old one." These comments illustrate some of the positive attributes noted by employers of Shock graduates.

Besides the characteristics stated above, another benefit of hiring Shock parolees is the support services provided to these individuals. This includes services provided by both the Division of Parole and the Vocational Development Program (VDP). One employer, who is an ex-offender himself, stated that Shock parolees do not get "comfortable" with their positions and "slack-off." In addition, they aren't as manipulative as older repeat offenders. He felt the intensive supervision provided by Parole, coupled with the training received at the Shock facility provides these parolees with a "driving force" that keeps them highly motivated.

VDP was cited by one employer as a critical component in assisting Shock parolees with personal or job-related difficulties. Another asset that VDP provides to an employer is a network of training programs. One employer has hired two Shock parolees through the VDP training program which pays the parolee's salary during training. This gives the employer time to evaluate each individual at no cost before actually hiring them. Once their training is complete, the employer is expected to place the parolee on the payroll. The employer we interviewed plans to hire the two Shock parolees he currently is training, and will recruit two more from VDP to fill these training slots.

Based on their experiences, each employer stated that the success of their Shock employees has given them more confidence to hire other Shock parolees. As one employer stated, "After the first hire, we went out and got two more. As far as future recruitments, Shock parolees will be first on our list."

One employer considers the hiring of Shock parolees to be a financial asset. "Compared to other young people, Shock parolees do not over extend their worth. Most young people tend to focus more on the financial aspects of a job, while Shock parolees are more interested in just working."

While Shock parolees do possess a number of positive attributes, they also possess certain characteristics which are found in most ex-offenders. One employer stated that just like other parolees, Shock parolees need a lot of time away from work in order to straighten out other aspects of their lives. This leave time puts a strain on an employer. Employers appreciate the increased attention that Shock Parole Officers give their cases. Reinforcing within the parolee the importance of good work habits makes the employers job a little easier.

How do employers rate the overall success of the Shock Incarceration Program?

"You have taken an individual who has been convicted of a crime and have given them the desire to find work and apply themselves."

"Shock parolees are prompt, polite, with a potential to advance."

"Hope you never drop it."

The trust one employer has in the work of a Shock parolee exemplifies his overall satisfaction with the program. This employer is considering promoting a Shock parolee to the position of Stock Supervisor. He stated that in the past he has lost from \$30,000 to \$40,000 in stock to individuals who have stolen equipment from the company while being employed as the Stock Supervisor. Asked why he would consider a Shock parolee for such an important position, the employer replied, "If a guy doesn't steal minutes during a work day, either by being absent, late, or by being away from his job, he won't steal equipment."

Program Response

In addition to employment success, the Shock parolees have also established and maintained a considerable advantage over other young offenders in the community. The number of Shock parolees enrolled in community programs designed to address their specific needs is 27% higher than it is for other young non-violent offenders under supervision. This higher enrollment rate is due, in part, to the intensive supervision program where Shock parolees receive priority placement. But, as our service providers have indicated, this is not the only reason.

All of the service providers agree that Shock parolees are different than other offenders released from prison and Shock Parole is critical to this success.

"Most people who go to jail just do time," said Mike Cafarelli, Project Director from the Vocational Development Program. "They learn how to do the time and come out of prison resentful of society; Shock parolees come out of prison with focus, with some pride and some goals...The difference is that Shock demands something from offenders and regular prison doesn't."

Robert Holden is a Life Skills educator and the Shock Liaison working at VDP. He indicated that "regular parolees generally come out of prison thinking that they have to try and get away with something. Shock parolees are positive thinkers and don't have such a negative perception of the justice system."

"There are no restraints in the community to make them come out in the cold after work", said Jacqueline McDonald from the Community Network Program. "These parolees readily participate in programs; you really have something here."

Staff from the Neighborhood Work Project agree. "Shock parolees have learned lifeskills in prison. As a result, they are better prepared for the free world than other parolees who do straight time."

Lillian Mateo who runs the Neighborhood Work Project in New York City says, "Shock parolees are accepted in the community more readily than are other ex-offenders due to their appearance and demeanor." They are neat and polite; that's a big plus. At the Neighborhood Work Project, we work in the community fixing up old buildings, sometimes on city contracts. The people in those neighborhoods know that we hire ex-offenders and naturally they are very cautious of us. After seeing Shock parolees, the people feel more at ease. They work hard, don't slack off and leave the neighborhood after their workday is complete. People who live in the neighborhoods can't believe that these guys are parolees. They've told us that they look more like someone you would want to be related to."

These attributes have created several advantages for the Shock parolees. "They make a good first impression on employers," said Monica Morante, a Senior Job Developer at VDP. "They are clean-cut, focused, and well mannered. Other clients come to VDP because someone told them they have to," she said, "Shock parolees seem to want to come on their own. Even if they lose their job, they are more likely to go to their PO or come back to us for help."

Ed Peret, the Deputy Project Director from the Vocational Development Program also commented on the intensive Parole program. "From our perspective, the combination of programming these people receive at the facilities and on parole, is extraordinary. We are in contact with the Shock POs on a weekly basis. The team concept is really beneficial; talking to one officer is the same as talking to the other."

Staff from the Neighborhood Work Project and the Community Network Program have expressed similar feelings.

"Shock parolees have more support in the community," said Jacqueline McDonald.

"They refer to their parole officer by name and their relationship is more human," said Lillian Mateo.

"Our cooperation with the Shock unit has been excellent."

Still, service providers have indicated that Shock parole officers would benefit from even more training, particularly in the Network and relapse-prevention programs. "We have to provide the parole officers with all the tools they need so that they can continue to do a complete job,"

said Stacia Murphy from the Fellowship Program. "More than anything else, Shock parolees need the support of their parole officers; they are the critical element that makes this program go."

Supervision Standards and Parole Officer Compliance

The standards for Shock parole supervision were designed to be more rigorous than existing Differential Supervision standards. Under the Shock Supervision initiative, parolees are supervised on smaller caseloads. Therefore, the parole officer has more time to spend on brokering services, intervention and surveillance. Under this plan, the frequency, duration and quality of supervision contacts are increased. The program is designed to enhance Shock offenders' potential for community reintegration by providing more quality contact between officers and clients in five critical areas: home visits, employment visits, program visits, curfew checks and urinalysis tests. As a result, the number of face-to-face contacts between the parole officer and parolee would be increased.

The results of our monitoring efforts indicate that Parole staff continue to meet or exceed the standards in each area. Table 3 indicates the level of parole officer compliance to the Shock supervision standards for fiscal year 1989-90.

Table 3
Parole Officer Compliance
To Shock Supervision Standards
April - October 1989

	Established Standard Monthly	Average Achieved Monthly	Compliance Rate
Home Visit	2	over 2	111%
Positive - Home Visit	1	over 1	131%
Employment Visit -- Program Check	2	2	100%
Urinalysis Tests	1 (random)	2	200%
Face-To-Face	6	6	100%

The Shock Supervision Program was designed to promote more involvement between the officer and the parolee. For example, home visits are one of the most integral components of parole supervision. Visiting the parolee at home allows the officer the opportunity to sit and talk with the parolee in an environment in which the client is comfortable. The parole officer can assess the living arrangements of the parolee which may hinder or promote reintegration. Conducting home visits when parolees are not at home is equally important. This allows the parole officer the opportunity to discuss the parolee's adjustment with family members who may be more candid in the parolee's absence.

Under Shock Supervision, standards require a minimum of two visits per month, one of which must be a "positive" home visit (a visit in which the parolee is at home). During this year, parole officers have averaged slightly over two home visits per month. This represents a compliance rate of 111% in this critical area. In addition, parole officer compliance to the positive home visit standard has been 131%.

Employment visits and program checks allow the officer to assess the parolees' efforts in seeking and maintaining a job, as well as their participation in programming designed to promote reintegration such as mandatory relapse-prevention counseling. The Shock standard requires a minimum of two per month. During this year, the Shock Parole staff have maintained this standard, averaging two visits per month.

Urinalysis testing is a surveillance measure designed to determine if parolees are following their release plan. It also serves as an indicator to the parole officer that the parolee may be having difficulty adjusting, signaling the parole officer's intervention. Urinalysis testing is done randomly on Shock parolees with a known history of drug use or on those suspected of current usage. Parole staff averaged two tests per month on parolees during this year. Returned test results indicated that for 86% of the tests, the parolee had abstained from the use of either drugs or alcohol. Other test results from New York City indicate that general population parolees who were tested for drug use attained an abstinence level of only 31%.

Successful parole supervision requires interaction between the officer and the client. Under Shock supervision, the number of face-to-face contacts between officers and parolees was established at six per month. The Shock Parole staff have been able to maintain this standard within the past year.

During the year, parole officers sometimes lift the curfew requirements of parolees who have adjusted satisfactorily to the parole program. Therefore, a compliance rate could not be assessed. Parole officers did, however, average one curfew check per month for their active Shock cases during the past year.

These results indicate that the Division has been able to sustain an intensive supervision program for Shock parolees and Parole staff have been able to achieve or exceed the standards established for Shock Parole supervision in New York State.

A Day In the Life of a Shock Supervision Team

The work of the Shock teams is considered critical to the success of this program. Each day Shock Parole staff go out to do the job and each day brings something different. To gain a perspective on their work, a representative from the Policy Analysis Unit observed a team in action. It was a very busy day, beginning with a community-prep visit at 5:30 am,

ending with an employment verification in a meat locker at the Hunts Point terminal, and including numerous curfew checks, home visits, employment visits and even a visit to a local high school to discuss a parolee's progress.

At 5:00 in the morning, any cup of hot coffee (even bad coffee) tastes good. By 5:30 am, when their feet hit the street, a Shock parole officer's day officially began.

Shock parole officers know each other's caseloads and do all of their fieldwork as a team. The team approach enhances their safety and allows them to maintain an intensive presence in the community, where the most significant work of Parole is accomplished. In addition to remaining in close contact with parolees and their families, and meeting new parolees for the first time, the teams form relationships with service providers who welcome the increased accessibility that a team provides.

Travelling in their territory, the teams of two covered a lot of ground; seven precincts in the Bronx is typical. Starting early before the morning traffic jams invade the City was an efficient strategy. Strategic planning is a trademark of Shock parole officers. From mapping out their daily routine to notifying NYPD's central dispatcher of their arrival in a precinct, these officers carefully planned their daily routines. Schedules were determined one week in advance and their supervisors knew their location every day. Seemingly simple procedures like confirming the exact address and apartment number of the parolee's residence which they were about to enter could be a lifesaving activity, especially if one officer is injured during the apprehension of a delinquent parolee and a call for assistance became necessary. Arriving early increases the likelihood of making contact with parolees and their families as they begin their day.

Parole officers help parolees help themselves by establishing a consistent presence in their lives. Although "they can't make parolees want to make it," they provide every opportunity for them to succeed. This involves more than just referring a parolee to a treatment program or job developer. It involves building rapport with the parolees and their families, and speaking with programs that parolees attend. Once the expectations of a parolee are established, monitoring and enforcing parolee compliance must continue.

Our first stop was a community-preparation investigation during which a soon-to-be released Shock graduate's family or cohabitants are contacted and the residence is evaluated. Even before the parolee arrives on the scene, the officers establish a relationship with family members to explain the conditions of parole and enlist their support in helping the parolee "make it." The success and acceptance of parole officers are based on their ability to forge one-to-one relationships of trust with parolees and their families. Forming a positive relationship with the family "gives POs an edge." Most want their loved ones to succeed and will cooperate if the relationship with the supervising parole officer is solid.

At 5:30 on this frigid dark morning, we had to circle the block to find the right building because each of the tenements looks like the next. Despite some reservations about awakening the soon-to-be released parolee's girlfriend, the overriding concern was to make contact since during previous attempts, the officers had not found the tenant at home. This is not the norm. Usually these visits are made early, however the girlfriend worked long hours and had not been available. The parolee was due to be released in just a few weeks. On this attempt we were successful. The officers introduced themselves, explained that they would be frequent visitors and discussed the conditions of parole. Most importantly, they explained how they could, together, keep the parolee on the right path. Quite simply, they promised their commitment and asked for her support in achieving a common goal - helping the parolee succeed.

We visited one parolee who was just on his way out the door to go to work, a fact which we verified later at an employment visit. The parolee's wife was good natured and welcomed us into their apartment which was sparsely furnished; three children were sleeping on couches in a room that doubled as bedroom and living room. As daylight began to light the apartment, it was clear that luxuries were absent in this environment where subsistence was a struggle. The officers enjoy supervising this man because "he wants to make it" and is receptive to their assistance. In fact, he would like to move elsewhere because he's concerned about his family's safety and the future of his children. One can really understand this when you learn that only several days ago, an off-duty corrections officer who lived in the neighborhood was attacked and killed in front of the parolee's apartment. This parolee found employment on his own. He was self-motivated. His parole officers were effective in offering support, encouragement and assistance.

At another home visit, the mother of a parolee invited us in while her son was showering. She spoke proudly of his current job and pending employment with the City. We were treated more like neighbors than state employees. His wife, whom the parole officers had not previously met, introduced herself to us and spoke of their two children who had just gone off to school. There was pride in the home as demonstrated by the family pictures and school diplomas. The parolee even invited us to visit him at his job and asked about the status of his Certificate of Relief from Disabilities that the parole officers were expediting. We left this residence with a smile because we recognized his potential for success and because our efforts to facilitate this success were being appreciated.

We walked up twelve flights of stairs to ensure that a parolee was home and getting ready to go job hunting. On the drive across town, we visited an employer to verify a parolee's work status. The officers discreetly discussed the parolee's progress and arranged with the store manager to juggle the parolee's schedule so that he could attend weekly counseling sessions at the Fellowship Center. This employment contact, like the others we made during the day, was unobtrusive and effective. They let the parolees know that employment is a vital element of their supervision plan and let the employers know that the Division appreciates their support and will encourage parolees to continue good work habits.

Although some residents perceive parole officers as "cops," the officers have a different sense of purpose. Their ability to ensure community safety is based on a preventive role. They are in the community before a violation occurs; they are not there to "shadow" parolees. Instead, they build bridges between parolees and their families, parolees and employers, and between parolees and service providers. They are there to offer parolees an alternative lifestyle to dealing drugs. They help parolees find a path to self-respect.

It's a tough job. Most parolees are poor, with limited academic or vocational skills, and now a criminal record on their resumes. Their needs are immediate and parole officers must function to provide immediate solutions. Fortunately, they have services such as the VERA Institute's Neighborhood Work Project (NWP) and Vocational Development Program (VDP) which provide services on-demand. These employment programs provide an entre into the legitimate world of work. There is also the Fellowship Program that offers relapse-prevention counseling sessions immediately upon release. But these are just the first steps and are only temporary; they give Shock parolees and their parole officers a chance to plan for the future.

We visited a female Shock parolee, and although her home was run down and overcrowded, she had the support of her family and that of her parole officer. She was seriously assaulted and confided this to her parole officer during a routine office visit. He was able to place her in a counseling program. He was very pleased that she trusted him. Currently she is recovering from her trauma, and with her PO's assistance, will soon be seeking employment. It was apparent during the home visit that the family knew and welcomed the officers into their home. It was also apparent that this family lives in fear as evidenced by their attempts to secure their home. The parole officers were quick to point out that many parolees are trapped in an environment with bad things going on around them, but that bad people in a community don't make the community bad. They couldn't keep coming back day after day if they didn't believe this and believe in their ability to help those who want help.

We went to a high school to confer with staff about the progress of a female parolee. In a conference with the school counselor and psychologist, we learned that she was doing well in school.

As committed as Shock parole officers are to helping the motivated, they are likewise committed to protecting the community from renewed criminal activity. The parolee we visited on our next stop as daylight chased away darkness had participated in a transaction involving a large quantity of drugs. This was the Shock team's first visit to the home. The parolee was cordial and claimed to be employed at his sister's business. However, given the conditions of the other dwellings we'd just seen in this neighborhood, this apartment aroused suspicion. Linoleum covered all the floors, walls were panelled, and expensive TV and stereo equipment occupied the living room along with stylish furniture. The sister's apartment, which we also visited, was equally well furnished. She wasn't receptive to

our visit and indicated that the business was operated out of her apartment; this was strange since it is a moving company. Suspecting that resumed drug activity might be involved, the sister was asked to confirm in writing that the parolee worked there. Given the stark contrast in lifestyles and his prior criminal history, the parolee will require increased surveillance.

It was close to 1:00 pm when we made our last employment visit at Huntspoint. Since 5:30 am we spoke with four employers, made five home visits where we visited with parolees and their families, completed a community-prep investigation, visited a school for a conference, and looked for an absconder in an area where he might be located.

Despite the low-level drug dealers on street corners and the sheer difficulty of subsistence in this environment, Shock parole officers establish their presence daily in the community, and offer an alternative way of life for those who want to help themselves. They can't change an entire community, but they can assist willing parolees in achieving personal success. They simply don't give up. They are committed to do their best, utilizing the program tools the Division has established for Shock parolees. Gains are measured by small wins.

COMMUNITY SUCCESS

Shock Incarceration is a program designed to provide carefully selected young offenders with a meaningful period of incarceration while simultaneously conserving cell space. Despite their shorter periods of incarceration, program graduates are expected to adjust to the community at rates comparable with other young, non-violent offenders who did not go to the program.

Evaluation efforts to date have indicated that the program has been able to achieve these goals. In January of 1989 a joint evaluation conducted by the Department of Correctional Services and the Division of Parole was submitted to the legislature. The report indicated that the program had resulted in considerable cell savings to the Department of Correctional Services and that Shock parolees were adjusting to the community at rates comparable to several other groups of non-shock parolees.

In August of 1989, the Division of Parole and the Department of Correctional Services released separate follow-up studies on the first six Shock Incarceration platoons released to the community. The Division of Parole's report looked at several aspects of community adjustment including return rates, whereas the Department's report analyzed primarily return rates and cell savings. Both agencies arrived at similar conclusions; results indicated that although Shock parolees had served less time, their return rates were similar to those of non-shock parolees.

The Department's analysis is included in this report to the legislature. The Division's analysis is also included and has been updated to include the second six platoons who were released between September 9 and December 1, 1988, providing a comparative look at the first six platoons and the second six.

It should be noted that there were some significant differences in the way in which the Department of Correctional Services and the Division of Parole conducted their studies. In analyzing the reports, there are three basic areas where the two agencies have identified differences. They include the selection of the comparison group, the definition of what constitutes a Shock return, and the length of the follow-up period for each platoon. An explanation of each agency's methodology will make the differences more clear.

As stated previously, soon after Shock parolees were first released to Parole supervision, the Division began selection procedures to determine an appropriate Parole comparison group. A decision was made by the Office of Policy Analysis and Information to match the Shock parolees on age-at-release and offense-severity. It was the feeling that this procedure would provide an appropriate and reliable comparison group. This comparison group was one of several used in the joint legislative report in January of 1989 and found to be the most reliable. It was also used in the Division's August report.

The Department of Correctional Services has chosen a separate comparison group utilizing different selection procedures. Therefore, outcome results reported for their comparison group are different than those of the Parole group.

Other methodological differences have resulted in variances between the Division's findings and those of the Department.

The Division has defined a return as any parolee who has received an affirmation from the Board of Parole during the follow-up period ordering the parolee's return to prison for a parole rule violation, or any parolee returned to prison for a new felony conviction during the follow-up period. This process allows the Division to present the most accurate, up-to-date information on return rates for Shock and non-shock parolees. In comparison, the Department of Correctional Services' definition includes parolees who have been physically returned to DOCS' custody during the follow-up period.

An understanding of the complexities of the Parole violation process is a key element in explaining the important differences between the Division's definition of what constitutes a return and DOCS' definition.

Parolees who have allegedly violated the conditions of release are entitled to a due process violation hearing. The purpose of this hearing is to determine if the parolee has violated parole in an important respect. In cases involving a new felony conviction where the parolee receives a new indeterminate sentence, the parolee is not entitled to such a hearing. The Parole Board can determine, absent a hearing, that a violation of parole has occurred and order the parolee's return to state prison based solely on evidence of the conviction. Cases returned to prison with new felony convictions during the follow-up period are considered returns by the Division and the Department.

In cases of Parole rule violators a fact-finding hearing is conducted. These hearings are presided over by an Administrative Law Judge (ALJ) who determines if a violation of parole has occurred. If the facts are not sufficient to indicate a violation of parole, the case is dismissed and the parolee returns to supervision.

In the event that the facts support a violation of parole in an important respect, the ALJ makes a recommendation to the Board of Parole regarding the disposition of the case. This could include a recommendation to return the parolee to state prison or an alternative to reincarceration may be suggested, such as restoration of the case to a community treatment program. The Parole Board will then affirm the ALJ's findings or modify them. In either case, the ultimate disposition is rendered by the Parole Board.

In the case of parole rule violators, a disposition by the Board ordering a parolee's return is considered a return by the Division, regardless of whether or not the parolee has physically returned to DOCS' custody during the follow-up period. In comparison, the Department counts only those who have physically returned to custody during follow-up.

Parolees who may have gone back to prison on the recommendation of the Administrative Law Judge, but were later restored to supervision by the Parole Board are not counted as returns by the Division. Evidence from DOCS' follow-up report suggests that they may be counted as returns by the Department.

The third difference between the Division's methodology and the Department's is the time frame of study.

In analyzing the first six platoons, the Division conducted a one-year-out study in which each group of Shock and non-shock parolees were followed for one full year from their release date. The same method was used in analyzing the second six platoons. The Department's follow-up study on the first six platoons follows parolees, regardless of their release date until July 31, 1989. This is three days after the sixth platoon's one-year-out anniversary date and over five months after platoon one's anniversary date. In using DOCS' method, five of the six Shock platoons are followed for a time period in excess of one year.

The Division's analysis has been designed to answer the critical questions-- "How did Shock parolees do when they were on the street for one full year?" and "How did the first six platoons do in relation to the second six?" The standardized one-year follow-up period for each group enables us to make meaningful comparisons among release groups.

The first six platoons were released from Shock Incarceration Correctional Facilities to Parole supervision between March 8 and July 28, 1988. These six platoons, comprised of 171 members, constituted the first group of Shock parolees in the community. They are referred to as Wave 1 Shock parolees in this report.

Platoons seven through twelve were released between September 9 and December 1, 1988. These platoons were comprised of 188 members and constitute the second group of Shock parolees. They are referred to as Wave 2 Shock parolees in this report.

For analysis purposes comparison group parolees have also been broken into two groups. Those released during the same time period as Wave 1 Shock parolees are called Group 1 non-shock parolees and those released during the same time period as Wave 2 Shock parolees are called Group 2 non-shock parolees.

Each group was followed for a period of one full year. In analyzing the data, the number of Shock and non-shock marginals and returns is presented. A marginal is defined as a delinquent parolee who has allegedly violated the conditions of release but for whom no final determination has been made, and a return is defined as any parolee who was ordered returned by the Parole Board within the first year. This is the most stringent measure of parole success since not all of those who are listed as marginals will have their parole revoked. However, their current status as delinquent parolees precludes us from categorizing them as parole successes at this time.

The analysis differentiates between the number from each group who were ordered returned as rule violators and those with new felony convictions. The elapsed time from release to delinquent behavior in the community is also explored for the returns, thereby presenting a comparative description of each group's delinquent activity.

Because ten of the Shock platoons were released from Monterey and only two were released from Summit, a facility comparison of the failures could not be accomplished. There were no women releases within the first two waves of Shock parolees, therefore a separate analysis has been included on the community supervision experience of female graduates.

The community success rate of the first two groups of Shock and non-shock parolees is presented in Table 4 below. Success is determined by the number of parolees in each group who were in active report status, or who had been successfully discharged from supervision, after one year in relation to those who were classified as marginals and returns.

Table 4 Status Of Parolees
After One Year

Group	Active/ Discharged		Marginals		Returns		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Wave 1	98	57%	33	19%	40	23%	171	100%
Wave 2	115	61%	30	16%	43	23%	188	100%
Shock Total	213	59%	63	18%	83	23%	359	100%
Group 1	350	53%	131	20%	183	27%	664	100%
Group 2	247	51%	94	19%	146	30%	487	100%
Comp. Total	597	52%	225	20%	329	29%	1,151	100%

As the data indicate, the proportion of Shock parolees from the first two waves who have been ordered returned to prison after one year is identical (23%). However, the second wave was more likely to be successful and less likely to have adjusted marginally after one year. These results may be the impact of the growing stability of the intensive supervision program where Shock parolees are supervised at a ratio of 30 to 2.

A more salient comparison can be made, however, between Shock and non-shock parolees after one year. Consistent with the earlier findings, Shock parolees continue to outperform non-shock parolees. After one year, a greater proportion of the Shock offenders were successes, fewer were classified as marginals and fewer had been ordered returned to prison than the comparison group parolees.

The information in Table 5 further indicates that Shock parole supervision has become successful at stabilizing Shock parolees and at uncovering delinquent behavior before it leads to the commission of a new crime. Offenders from the second wave of Shock parolees were considerably less likely than parolees from the first wave to have been returned to prison with new crimes.

Table 5
Reasons for Return
Parolees Returned After One Year

Group	Returns Number	Rule Violators		New Crimes	
		Number	Percent	Number	Percent
Wave 1	40	21	53%	19	47%
Wave 2	43	31	72%	12	28%
Shock Total	83	52	63%	31	37%
Group 1	183	123	67%	60	33%
Group 2	146	99	68%	47	32%
Comp. Total	329	222	67%	107	33%

The level of new criminal activity among Shock returns has dropped considerably from the first wave to the second (47% to 28%), indicating that the Shock program is having a positive effect on community protection.

The comparison group information presented in Table 5 lends further justification to this position. The comparison group parolees were released during the same time period as the Shock parolees but supervised according to Differential Supervision standards at 38 to 1. However, unlike the Shock parolees, the level of new criminal activity among the comparison group parolees remained virtually unchanged between the first and second group of releases. Therefore, it is unlikely that outside influences or historical factors had any bearing on the improved response of the Shock unit at intervening before the commission of new crimes.

It should be noted that Wave 2 Shock parolees had the lowest incidence of new criminal activity among all the groups. Only 12 (6%) of 188 parolees from that group committed new crimes within the first year of supervision compared to 11% of Wave 1 Shock parolees, 9% of Group 1 comparison group parolees and 10% of Group 2 comparison group parolees.

The higher incidence of new criminal activity among the first wave of Shock parolees was noted in the Division's August report and may be attributed to the fact that these were the very first Shock parolees released from the program and therefore were subject to implementation and start-up problems experienced by both DOCS and Parole.

The figures in Table 6 illustrate this point. The severity of new crimes committed by returns from the first wave of Shock parolees was more likely to have been a violent felony offense than were the new crimes committed by returns from the second Wave. Twenty-six percent of the new

crimes committed by returns from the first six platoons were violent felonies (four robberies and one assault), compared to only 9% of the new crimes from the second Wave returns (one criminal possession of a weapon).

Table 6
Type of Crime
Parolees Returned for New Crimes After One Year

Group	Violent Crimes		Nonviolent Crimes		Property Crimes		Drug Crimes		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
Wave 1	5	26%	2	11%	2	11%	10	53%	19	100%
Wave 2	1	9%	3	25%	4	33%	4	33%	12	100%
Shock Total	6	19%	5	16%	6	20%	14	45%	31	100%
Group 1	15	25%	6	10%	13	22%	26	43%	60	100%
Group 2	13	28%	2	4%	14	30%	18	38%	47	100%
Comp.Total	28	26%	8	8%	27	25%	44	41%	107	100%

Despite the problems experienced within the first wave of Shock parolees, program graduates have done considerably better than the comparison group parolees. The figures in Table 6 indicate that Shock returns from the first two waves were less likely than comparison group parolees to have committed violent crimes (19% compared to 26%) or property crimes (20% compared to 25%). They were, however, more likely to have committed drug crimes involving the sale or possession of a controlled substance (45% compared to 41%) or other non-violent felonies (16% compared to 8%). Non-violent crimes in this case are defined as felonies that would be shock-eligible offenses that were not either property crimes or drug crimes.

Further analysis of the violation activity of the Shock returns indicates that Wave 1 Shock parolees were more likely than Wave 2 Shock parolees to violate within the first month of release (35% compared to 26%), or within the early months of release. Table 7 provides a breakdown of the violation activity for the Shock returns from each Wave.

Table 7
Time From Release to Delinquency
Shock Returns
After One Year

Shock Group	1 Month		2 - 6 Months		7 - 12 Months		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
<u>WAVE 1</u>								
Rule Violator	6	15%	14	35%	1	3%	21	53%
New Crimes	8	20%	9	23%	2	4%	19	47%
Wave 1 Total	14	35%	23	57%	3	8%	40	100%
<u>WAVE 2</u>								
Rule Violator	8	19%	18	41%	5	12%	31	72%
New Crimes	3	7%	6	14%	3	7%	12	28%
Wave 2 Total	11	26%	24	56%	8	19%	43	100%
GRAND TOTAL	25	30%	47	57%	11	13%	83	100%

Within the first month of release 20% of the Shock parolee returns from the first Wave had committed new crimes while 15% of the returns were rule violators. In looking at the second Wave of releases, only 7% of the returns occurred within the first month and involved new crimes whereas 19% of the first month returns were rule violators. Within the first six months of release, 43% of the violation activity of Wave 1 Shock parolees involved new crimes compared to only 21% of Wave 2 Shock parolees.

Shock returns from the second Wave stayed in the community longer than first Wave returns before violating. A total of 19% of Wave 2 Shock returns occurred between the 7th and 12th month compared to only 8% of the Wave 1 returns.

In relation to the violation activity of the comparison group (compare Table 7 and Table 8), virtually the same proportion of Shock and non-shock parolees violated within the first six months of release. However, a greater proportion of the overall Shock returns occurred within one month (30% compared to 23%). This is due to the influence of the first wave, 35% of whom violated within one month of release. Only 26% of Wave 2 Shock parolees violated within one month and respectively, only 23% and 24% of the comparison group returns violated within one month.

Table 8
Time From Release To Delinquency
Comparison Group Returns
After One Year

Comparison Group	1 Month		2 - 6 Months		7 - 12 Months		Total	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent
GROUP 1								
Rule Violators	30	16%	85	46%	8	4%	123	67%
New Crimes	12	7%	43	24%	5	3%	60	33%
Group 1 Total	42	23%	128	70%	13	7%	183	100%
GROUP 2								
Rule Violators	24	16%	56	38%	19	13%	99	68%
New Crimes	11	8%	27	19%	9	6%	47	32%
Group 2 Total	35	24%	83	57%	28	19%	146	100%
GRAND TOTAL	77	23%	211	64%	41	13%	329	100%

This review of the success of the Shock parolees indicates that Shock Parole has had a positive effect on the stabilization of parolees released from the Shock Incarceration program. The level of new criminal activity has declined considerably between the first and second wave of releases and the severity of their new offenses has dropped. Overall, the Shock parolees continue to outperform the comparison group parolees, who are also young non-violent offenders, in virtually every area of analysis.

Similar findings were reached in an analysis of the female Shock parolees.

APPENDIX A
POST RELEASE SUPERVISION - NEW YORK CITY

GOAL:

- 1) Continue the intensity of supervision begun during incarceration through the period of community supervision.
- 2) Enhance likelihood of success of the releasee by increasing the frequency, duration and quality of supervision contacts.
- 3) Provide, in the community, rehabilitative programs begun but not completed during the period of shock incarceration, e.g.,
 - Education; academic and vocational
 - Relapse-Prevention Treatment
 - Enhancement of Employability, Life Skills
- 4) Provide close surveillance to guard against reversion to criminal activity by the releasee.

OBJECTIVES:

Prior to Release

- 1) Needs assessment geared to community phase items 2 and 3 above to be developed and agreed upon by Institutional PO and inmate by end of 3rd month.
- 2) Analytic review by Institutional PO with parolee of underlying factors related to criminality of the inmate, assumption of responsibility for behavior by inmate. Transmit to field.
- 3) Active involvement by inmate in preparation of release plan involving concrete goal setting, assumption of responsibility for goal attainment in areas of education, employment, relapse-prevention. Optimally, to include:
 - Firm residence
 - No releases to shelters
 - Family home or resource center only
 - Firm employment plan, not reasonable assurance
 - Referral to continuing relapse-prevention treatment in place
 - All necessary documentation, benefits in place
 - Social Security (SSI)
 - Medicaid where appropriate
 - VA benefits where eligible
 - Driver's license or non-driver ID

Transmitted to Field

- 4) During months 3 - 6 completion of community prep investigation by field PO.
 - Make Release Plan definite
 - Negotiation between Field PO/Institutional PO/Inmate to resolve problems in putting release plan into effect, resolution of problems.

- 5) "Overtaking" of case by field PO to include:
 - Case conference with institutional PO and DOCS team to review case, plans, problems
 - Interview with inmate prior to completion of community prep investigation to lay groundwork for family/home visit
 - Pre-release meeting with family to explore issues, identify problems, establish and clarify expectations
 - Group meeting for families and significant others to apprise of services available through PO/SPO role and function
 - Follow-up interview with inmate to firm up relationship prior to release, clarify expectations, establish understanding and resolve problems discovered during family visit.

Upon Release - (Transition phase - 6 months)

- 1) Weekly community meetings of each platoon of releases to continue personal assumption of responsibility and mutual respect begun during Network sessions of shock incarceration.
- 2) Enrollment of parolee in academic/vocational education program within two weeks of release.
- 3) Enrollment of parolee in relapse-prevention program within one week of release.
- 4) All releasees employed, at least part-time, within one week of release.
- 5) Parolees to remain chemically free full supervision period, total abstinence.
 - Monitored through routine, random testing.
- 6) Enhanced frequency/quality of supervision contacts.
 - Home visits 2x/month - 1 positive
 - Employment visits 2x/month (or program visit)
 - Random curfew verification 1x/Week (potential for application of electronic surveillance)
 - Weekly supervisor's review with PO of progress/problems in case
 - Monthly chronos

After 6 Months of Supervision

- 1) Transfer to Differential Supervision caseload based on residence.
- 2) Existing Differential Supervision standards will prevail.

Supervision Ratio

For transition period, months 1 - 6 caseload = 30:2

APPENDIX B
POST RELEASE SUPERVISION - OUTSIDE NEW YORK CITY

GOAL:

- 1) Continue the intensity of supervision begun during incarceration through the period of community supervision.
- 2) Enhance likelihood of success of the releasee by increasing the frequency, duration and quality of supervision contacts.
- 3) Provide, in the community, rehabilitative programs begun but not completed during the period of shock incarceration, e.g.,
 - Education; academic and vocational
 - Relapse-Prevention Treatment
 - Enhancement of Employability, Life Skills
- 4) Provide close surveillance to guard against reversion to criminal activity by the releasee.

OBJECTIVES:

Prior to Release

- 1) Prompt and timely completion of community prep investigations is necessary. Additionally, aggressive communication between field and institutional staff should be encouraged in order to resolve problems in establishing sound release plans. In addition to the standard expectation of a residence and employment, it will be necessary to identify providers of relapse-prevention treatment and academic or vocational training during the community prep phase in order to pre-register the inmate and maximize the likelihood of early entry into such a program. Information concerning these referrals should be contained within the community prep investigation. Efforts should be made to secure actual employment, even on a part-time basis, rather than a reasonable assurance.
- 2) There will have to be cooperation between field and institutional parole officers to ensure that necessary documentation and applications for applicable benefits are in place. As a minimum standard, no person should be released from this program without a social security card and birth certificate. It will be the responsibility of the institutional parole officer to identify the need for field assistance in obtaining these and the responsibility of the field parole officer to provide such assistance as may be necessary in securing these documents. These two documents are absolutely necessary if we are to have any hope of promptly securing employment for these releasees.

- 3) To the extent that it is feasible, the parole officers who will have responsibility for supervising the case will be expected to make a visit to the facility to acquaint themselves with the releasee, case conference with the institutional parole officer and otherwise prepare to assume responsibility for the case prior to release.
- 4) The community prep visit must include a meaningful visit with significant family members and a presentation by the parole officer of the nature of the program and our expectations for the parolee as well as an explanation of what support Parole is prepared to provide to the releasee. Mere confirmation of the availability and suitability of the residence is insufficient.
- 5) Problems unearthed by the field parole officer during the community preparation phase should be indicated in the community prep report and made available to the institutional PO in order that these matters may be discussed by the institutional PO with the inmate prior to release.

Upon Release - (Transition Phase - 6 months)

- 1) The arrival report and initial interview require that the parole officer of record conduct a face-to-face interview with the releasee within the first 24 hours of release. The community prep is to include reporting instructions. In upstate areas where a joint team of institutional and field parole officers will be utilized, this should be noted in the community prep so that the inmate can be prepared to deal with two individuals.
- 2) Where appropriate in terms of the numbers of releasees coming to an area office, a group meeting for families and significant others to apprise them of services available through the PO, the parole officer's role and function should occur.
- 3) The weekly community meetings of each platoon of releasees called for in the objectives for New York City will not be required upstate. However, where sufficient number of shock incarceration releasees exist within an area, it may be pursued at the discretion of the area supervisor.
- 4) There shall be a minimum of six face-to-face contacts with the releasee per month which shall include at a minimum, two home visits per month, one of which to be positive, and at least one positive employment visit per month. Additionally, there shall be at least two employment verifications per month at least one of which will be the employment visit.
- 5) Intensive Supervision standards will be utilized outside New York City as well and include:
 - ° Enrollment of parolee in academic/vocational education program within two weeks of release, immediately upon release preferable.

- Enrollment of parolee in relapse-prevention treatment within one week of release, immediately upon release preferable.
 - All releasees employed, at least part-time, within one week of release, immediately upon release preferable.
 - Random curfew verification one time per week.
 - Weekly supervisor's review with parole officer of progress and problems in the case.
 - Quarterly chronos.
- 6) With respect to alcohol/drug abuse, the following standards shall apply:

Parolees will be instructed that total abstinence from the use of illegal drugs is the standard of expected behavior. This will be monitored through routine, random drug testing. Abstinence from the use of alcohol may be imposed as a special condition based upon the background of the case and in accordance with the procedure for the imposition of special conditions.

- 7) It is to be noted that releasees from shock incarceration are to be continued in this supervision status for a period of six months at which time they will be placed in the normal intensive supervision status with an understanding that they do not have to begin at the lowest rung of the Intensive supervision ladder but rather may be given credit for the time already spent under supervision. To the extent possible they should be maintained on the same caseload rather than transferred to another caseload until such time as they are eligible for Regular supervision.

APPENDIX C
INSTRUCTIONS FOR FILLING OUT THE SHOCK MONITORING FORM

NOTE: All dates need to be filled in for each reporting period. Blanks will be counted as zero contacts.

1. RELEASEE - Last name, first name
2. OP - All dates during the month in which the shock parolee made an office visit. An "X" should be placed over any date in which an employment verification was obtained from the parolee during that visit.
3. FTR - Any date the parolee failed to report.
4. HVP - All dates in which a positive home visit was obtained.
5. HVO - All dates in which any home visit - other was obtained.
6. HVN - All dates in which any home visit was made where no contact could be obtained.
7. EV - Dates of all employment visits. If parolee is not employed, the parole officer shall place N.A. (not applicable) in this box.
8. OTHER CONTACTS - All dates other contacts are made (excluding phone calls).
9. CURFEW - A "+" above the date indicates that the parolee was home and a "-" above the date indicates the parolee was not at home.
10. URINALYSIS - List any date a urinalysis is taken. A "+" above the date indicates a "hot" urine, a "-" indicates no drug use, and no mark indicates results pending.
11. CONF - Dates of all weekly supervisory conferences between parole officer and SPO or Area Sup on the shock case.
12. DICT CHRONO - Date monthly/quarterly chrono was dictated for this reporting period.

NOTE: All dates in which the parolee is contacted will be noted with a "p".

