

NEW YORK STATE
MARIO M. CUOMO, GOVERNOR

DEPARTMENT OF CORRECTIONAL SERVICES
Thomas A. Coughlin III
Commissioner

**SHOCK INCARCERATION PROGRAM
FOLLOW-UP STUDY
AUGUST 1990**

OFFICE OF INMATE MOVEMENT
AND INFORMATION
Chester H. Clark, Assistant Commissioner

Prepared by:
David W. Aziz, Ph.D.
Paul H. Korotkin
Donald G. Macdonald

EXECUTIVE HIGHLIGHTS

When the data is weighted to account for the varying amount of exposure under parole supervision, Shock graduates returned to DOCS at a rate of 30.6 percent, while pre-Shock releases returned at a rate of 32.9 percent and the "Considered for Shock" group had a rate of return of 42.2 percent (see Appendix B).

Within the first 12 months of parole supervision, 16.4 percent of Shock graduates return to DOCS custody. For pre-Shock releases, 18.6 percent returned within 12 months, while the "Considered for Shock" group returned 27.6 percent in the first year (see Appendix E).

Using an 18 month exposure to parole supervision criteria, 34.6 percent of the Shock graduates returned to DOCS compared to 34.9 percent of the pre-Shock group and 39.4 percent of the "Considered for Shock" group (see Appendix E).

To date, it appears Shock has met its Legislative mandate to have its successful participants spend less time incarcerated, without compromising the community protection rights of the citizenry. The resultant cost savings and cost avoidance as of July 25, 1990 has been estimated to be over \$101 million.

132861

**U.S. Department of Justice
National Institute of Justice**

This document has been reproduced exactly as received from the person or organization originating it. Points of view or opinions stated in this document are those of the authors and do not necessarily represent the official position or policies of the National Institute of Justice.

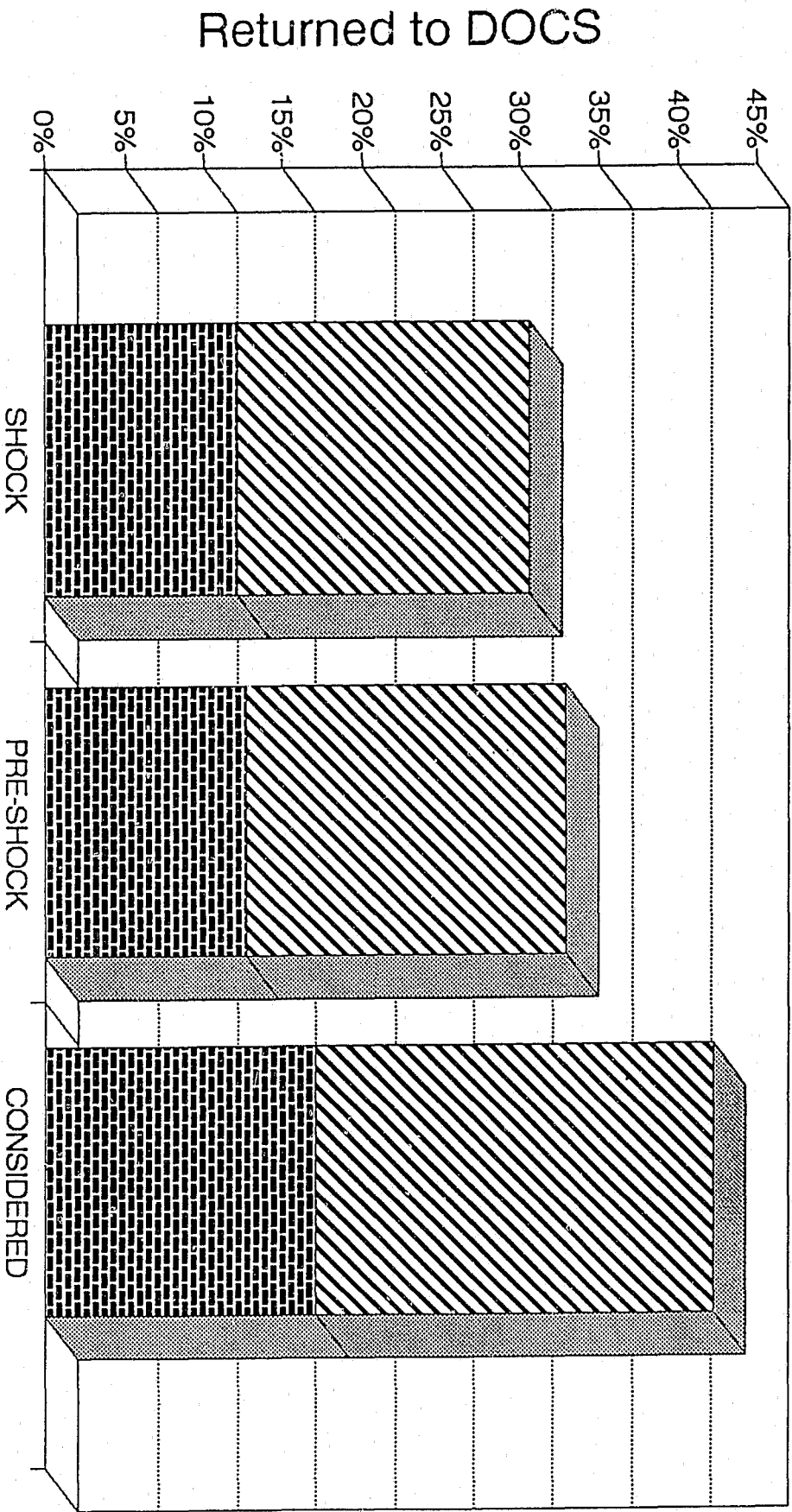
Permission to reproduce this copyrighted material in microfiche only has been granted by
New York State Department
of Correctional Services

to the National Criminal Justice Reference Service (NCJRS).

Further reproduction outside of the NCJRS system requires permission of the copyright owner.

Returns to DOCS : Weighted Data

Shock Grads vs. Comparison Groups

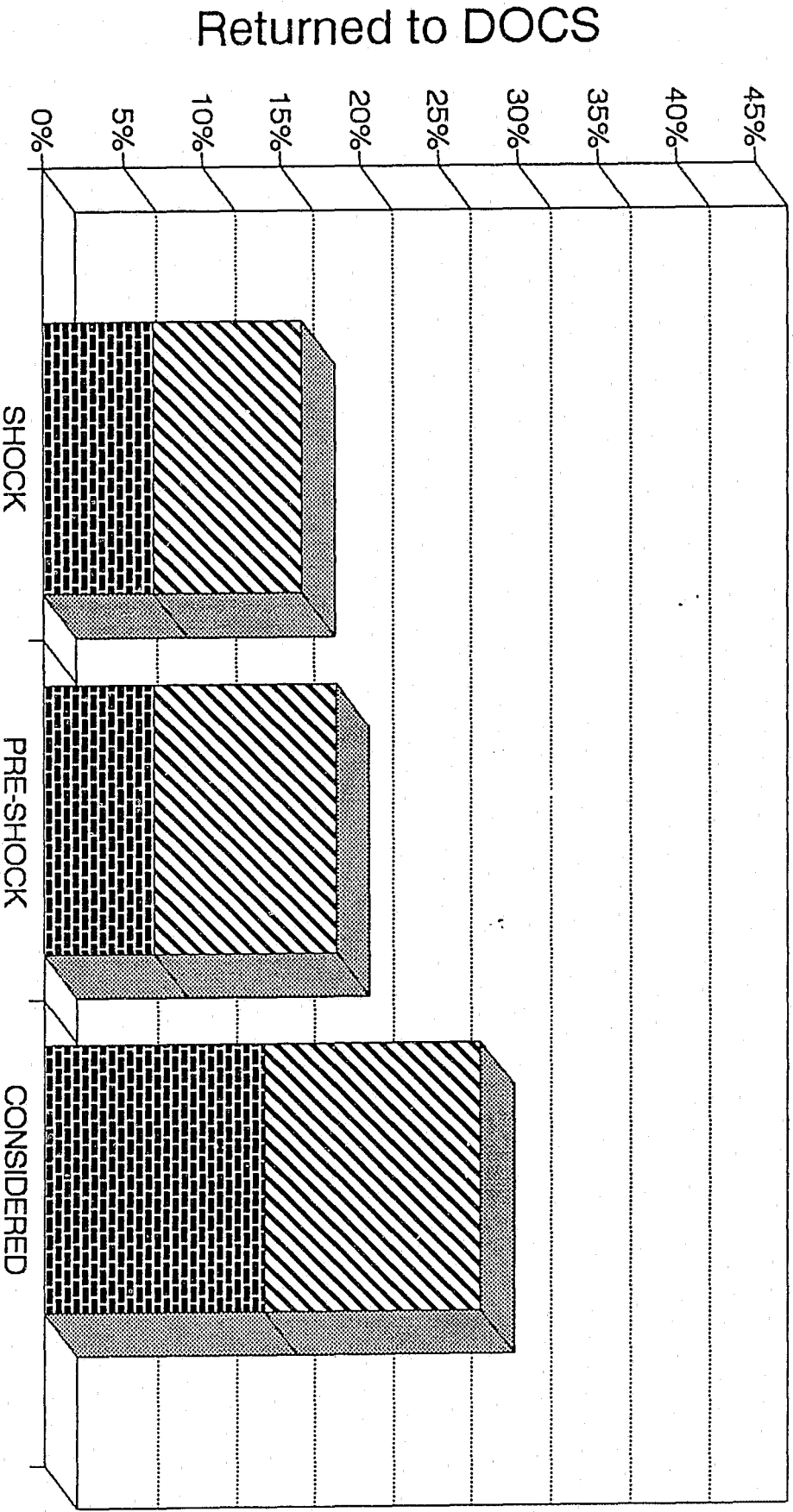



 New Crime


 Violation

Returns to DOCS : 12 Months at Risk

Shock Grads vs. Comparison Groups

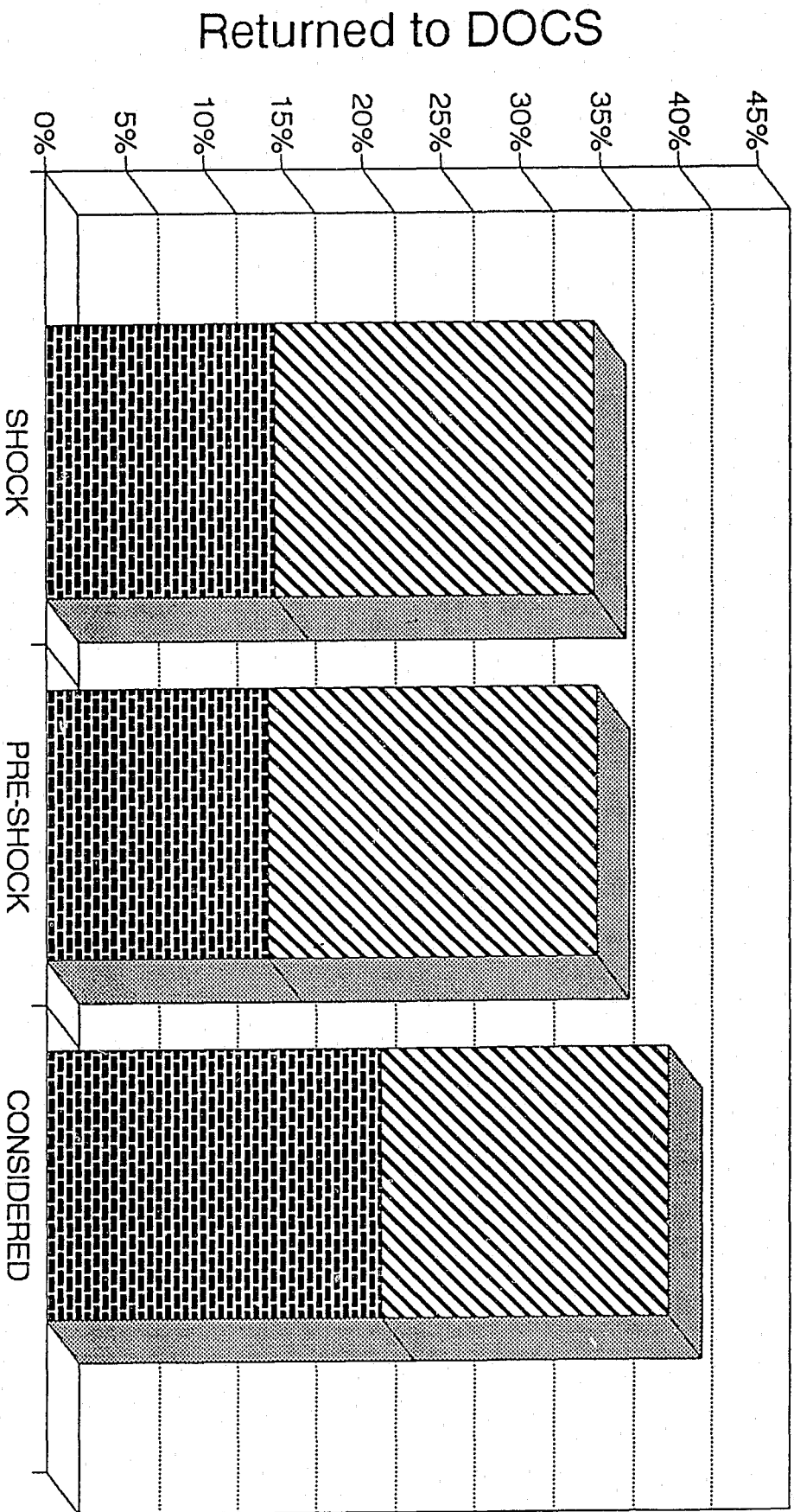


 New Crime

 Violation

Returns to DOCS : 18 Months at Risk

Shock Grads vs. Comparison Groups



New Crime



Violation

FOLLOW-UP STUDY OF SHOCK GRADUATES

BACKGROUND. The Division of Program Planning, Research and Evaluation of DOCS has been examining the return rates of inmates released from custody for many years. As part of the Department follow-up of inmates who participated in a variety of treatment programs, this report examines the return rates of Shock graduates who have been released to Parole for at least one year. This measure of recidivism has been used to evaluate the success of a number of DOCS programs such as ASAT and Network and is being used to evaluate the Shock Incarceration Program.

Program Description. New York State's Shock Incarceration Program was established by enabling Legislation in July 1987. The Legislative initiative allowed the New York State Department of Correctional Services (DOCS) to create a special six-month rigorous, multi-treatment program for select young offenders. The program emphasizes discipline, substance abuse education and treatment, with group and individual counseling, as well as academic education, all within a military structure. The Legislature placed restrictions on the age, offense type, time to parole eligibility and prior prison sentences of inmates who would be eligible for this program. The program is voluntary and inmates who participate can reduce their minimum period of incarceration by as much as 30 months.

When inmates successfully complete their imprisonment in Shock Incarceration, they are eligible for release to intensive parole supervision.

Program Objective. As stated in the 1990 Report to the Legislature, the goals of New York State'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.

This report continues the Department's examination of the ability of the program to meet the second of these two goals.

In May and September 1989, the Department issued two follow-up studies of Shock Incarceration graduates. These reports indicated that despite being incarcerated for shorter periods of time, Shock graduates did not return more frequently to DOCS custody when compared to a similar group 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.

This study reports on the return to custody status as of March 1990 for Shock graduates released between March 1988 and March 1989. This insures that there have been at least 12 months of follow-up for each graduate.

During the period March 1988 through March 1989, there were 581 Shock graduates. The majority (N=411) of these inmates were released from Monterey's first 14 graduating platoons, while 170 were released from the first five platoons to graduate from Summit.

COMPARISON GROUPS. In order to assess the return rates for these Shock graduates, a key issue was the selection of appropriate comparison groups. In developing comparison groups, 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 graduates in comparison to inmates who appeared to be similar upon their reception to DOCS custody, yet who did not complete Shock. Thus, it was important to limit as much as possible the amount of variation between these groups to only their prison and parole experience.

Pre-Shock Comparison Group. In the previous two reports, only one comparison group was available. It consisted of a group of inmates who were incarcerated prior to the existence of the Shock Program and whose characteristics would have made them eligible for program participation. However, the number of inmates being released in this comparison group will be diminishing over time. Therefore, the construction of a second comparison group was crucial.

Eligible Inmates "Considered" for Shock But Not Approved. The next logical comparison group to use was the legally eligible inmates who were sentenced to DOCS custody after July 13, 1987, who were screened for Shock participation, and who did not enter the Shock Program. At this time, a sufficient sample of these individuals who were considered for Shock participation have been released and are living once again in their communities for adequate time to permit follow-up research. This group of inmates will grow in number over time as more of them are released through the parole process after completing their court mandated minimum sentences.

Once identified, the groups for study were selected by ensuring their comparability to the Shock graduates. As stated earlier, the period of this study included inmates who had been released between March 1988 and March 1989. During that period, the eligibility for Shock admission criteria was altered to include

inmates who had not yet reached 26 years of age. This change in criteria affected the inmates released between December 1988 and March 1989 and is reflected in the comparison groups used in this study.

Additionally, the comparison groups consisted of inmates who had completed their minimum sentences and were released as a result of a parole board hearing or were conditionally released during the target study period.

Like the Shock graduates, the inmates in the comparison group were convicted of non-violent, Shock eligible crimes, who at the time of their 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 who were not classified at admission as maximum security inmates.

Since women were not among the first 581 graduates of the Shock Program, they were not included in the comparison groups.

When these selection criteria were applied to the comparison groups, there were 787 inmates in the "pre-Shock" group and 145 in the group "considered" for Shock, who were released between March 1988 and March 1989.

HOW SIMILAR ARE THE SHOCK GRADUATES TO THE COMPARISON GROUPS? To examine the similarity of the comparison groups to the Shock graduates, the average age, region of commitment and proportion of those incarcerated for drug offenses were examined.

Age. Shock graduates were slightly younger at the time of admission than their counterparts in either comparison group at 20.4 years. The average age of the group considered for Shock was 20.5 years while the average age for the pre-Shock inmates was 20.7 years.

Region of Commitment. The inmates "considered" for Shock were the most likely to be committed from the New York City counties (75.6%). The pre-Shock comparison group of inmates were the least likely to be committed from the New York City counties (68.2%). Of the Shock graduates, 70.1 percent were from New York City (see Table 1).

Drug Commitments. The proportion of inmates committed for drug offenses among Shock graduates (60.2%) and inmates considered for Shock (58.6%) were approximately the same, while only 46.4 percent of the pre-Shock comparison group were committed for drug offenses. The main reason for this difference is most of the pre-Shock group pre-dated law enforcement's "War on Drugs" since these individuals entered DOCS from 1984 through early 1987.

TABLE 1

SHOCK GRADUATES

DRUG CRIME	NYC	%	NON-NYC	%	TOTAL	%
YES	281	69.0%	69	39.7%	350	60.2%
NO	126	31.0%	105	60.3%	231	39.8%
TOTAL	407 70.1%	100.0%	174	100.0%	581	100.0%

PRE-SHOCK COMPARISON GROUP

DRUG CRIME	NYC	%	NON-NYC	%	TOTAL	%
YES	285	53.2%	80	31.9%	365	46.4%
NO	251	46.8%	171	68.1%	422	53.6%
TOTAL	536 68.1%	100.0%	251	100.0%	787	100.0%

INMATES CONSIDERED FOR SHOCK

DRUG CRIME	NYC	%	NON-NYC	%	TOTAL	%
YES	68	62.4%	17	47.2%	85	58.6%
NO	41	37.6%	19	52.8%	60	41.4%
TOTAL	109 75.2%	100.0%	36	100.0%	145	100.0%

Based on this information, it is apparent that the inmates considered for Shock were more similar to the Shock graduates than were the inmates in the pre-Shock comparison group.

RETURN RATES. The analysis of return rates in this study is presented in three parts: (1) an examination of the overall raw data; (2) weighting the data by calculating the expected return rates for Shock graduates based on the raw data for the comparison groups; and (3) return rates for the groups for comparable periods of time at risk on the streets.

Raw Data. Appendix A presents the raw data that was used for this study. It shows the number of inmates released between March 1988 and March 1989 in each of the three release groups, as well as the number and type of returns to custody through March 1990 for each release group. Overall, the table shows that the return rate for Shock graduates was lower than for either of the comparison groups. This was also true for both types of return: new crimes and returned parole violators (RPV's).

Weighted Data. In order to adequately analyze the data, it was important to recognize the disparity in the sizes of the three groups and to reconcile the fact that over time the pre-Shock group will be decreasing while the size of the other two groups will be growing. As a result, we found it necessary to normalize these differences. Instead of simply making calculations on the raw numbers themselves, a set of expected return rates among graduates was calculated using the data for each comparison group.

Appendix B presents the overall expected return to custody analysis, while Appendix C presents this analysis for inmates returned as RPV's. Appendix D presents the analysis for inmates returned with new crimes.

The three tables which utilize the information from Appendix A allow a comparison of the actual return to custody activity of the Shock graduates in relation to what their expected return to custody activity would have been if the Shock graduates were "acting like" the inmates in the two comparison groups.

Appendices B through D and their statistical significance tests (see Appendix G) indicate that the differences in the return to custody activity between the Shock graduates and the pre-Shock comparison group were not significant.

However, the differences observed between the Shock graduates and the group of inmates considered for Shock were found to be statistically significant. This means that the lower return rate of Shock graduates probably did not occur by chance alone.

Appendices A through D reflect return to custody activity for all inmates in the three comparison groups who had been released between March 1988 and March 1989. Thus, the time at risk for these inmates ranged between 12 and 24 months. All of the inmates had been out of prison for at least 12 months, but only inmates released in March 1988 had been out for 24 months.

Time at Risk. In order to control for length of exposure, Appendix E was created to show the return rates for inmates with 12 months exposure and for inmates with 18 months of exposure. The 12 month exposure analysis reviewed the experience of all the inmates in the study, however, only returns to DOCS that occurred within the first 12 months after release were considered. The 18 month exposure analysis enumerated inmates released between March 1988 and September 1988 who were returned to DOCS within 18 months of their release.

Appendix E shows that among the inmates in the 12 month exposure group, Shock graduates were the least likely to return to custody, while the group of inmates considered for Shock were the most likely to return. An analysis of the differences between the return rates of Shock graduates and the pre-Shock comparison group appeared to be non-substantial, while the differences in the return rates between Shock graduates and inmates considered for Shock was significant.

An examination of the 18 month exposure group shows that Shock graduates were again the least likely to return to custody while inmates considered for Shock were the most likely to return. A chi-square analysis showed that these observed differences were not statistically significant and could have occurred by chance alone.

The analysis of the return to custody data indicates that on a percentage basis, Shock graduates are coming back less frequently than are inmates who were in either comparison group. Yet, it should be noted that the differences between Shock graduates and pre-Shock inmates were statistically non-significant, while the differences between Shock graduates and inmates considered for Shock reached statistical significance in the 12 month analysis only.

LENGTH OF INCARCERATION. Appendix F shows that, on average, the pre-Shock comparison group served more than twice as much time under custody as did the Shock graduates, while the inmates considered for Shock spent four more months incarcerated than their Shock counterparts. It is expected that as the size of the group of inmates considered for Shock grows, their average time under custody will increase. This is because in order to qualify for eligibility in this sample, they had to have been incarcerated only since July 13, 1987, the date when the search for inmates to be considered for Shock began. As a result, many of the inmates in this comparison group were serving relatively short sentences in order to be released during the comparison months in question.

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.

The implications of these findings are important when considering 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 medium security prison. As of July 25, 1990, the estimated cost savings and cost avoidance for the Department has been estimated to be \$101,067,165.

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.

FUTURE RESEARCH. Future studies will introduce a third comparison group, inmates who went to Shock facilities but who did not complete the program. At the present time, the number of individuals in this group who have been exposed to parole supervision for at least 12 months is too small to provide any valid comparisons. However, this group may prove to be the most valuable comparison since they presumably shared the same motivational factors at the commencement of their incarceration as did the graduates.

APPENDIX A

COMPARISON GROUP OF PRE-SHOCK ELIGIBLES

TIME PERIOD	CASES	RETURNS	PERCENT RETURNS	RPV	PERCENT OF TOTAL	NEW CRIMES	PERCENT OF TOTAL
MAR-APR	176	80	45.5%	49	27.8%	31	17.6%
MAY-JUN	124	48	38.7%	30	24.2%	18	14.5%
JUL-AUG	133	52	39.1%	35	26.3%	17	12.8%
SEP-OCT	114	45	39.5%	28	24.6%	17	14.9%
NOV-DEC	87	26	29.9%	19	21.8%	7	8.0%
JAN-MAR	153	30	19.6%	13	8.5%	17	11.1%
TOTAL	787	281	35.7%	174	22.1%	107	13.6%

SHOCK GRADUATES

	CASES	RETURNS	PERCENT RETURNS	RPV	PERCENT OF TOTAL	NEW CRIMES	PERCENT OF TOTAL
MAR-APR	86	38	44.2%	26	30.2%	12	14.0%
MAY-JUN	56	21	37.5%	9	16.1%	12	21.4%
JUL-AUG	29	14	48.3%	8	27.6%	6	20.7%
SEP-OCT	122	39	32.0%	27	22.1%	12	9.8%
NOV-DEC	140	37	26.4%	24	17.1%	13	9.3%
JAN-MAR	148	29	19.6%	14	9.5%	15	10.1%
TOTAL	581	178	30.6%	108	18.6%	70	12.0%

INMATES CONSIDERED ELIGIBLE FOR SHOCK

	CASES	RETURNS	PERCENT RETURNS	RPV	PERCENT OF TOTAL	NEW CRIMES	PERCENT OF TOTAL
MAR-APR	6	4	66.7%	3	50.0%	1	16.7%
MAY-JUN	12	6	50.0%	2	16.7%	4	33.3%
JUL-AUG	32	18	56.3%	8	25.0%	10	31.3%
SEP-OCT	31	9	29.0%	6	19.4%	3	9.7%
NOV-DEC	31	14	45.2%	10	32.3%	4	12.9%
JAN-MAR	33	10	30.3%	4	12.1%	6	18.2%
TOTAL	145	61	42.1%	33	22.8%	28	19.3%

APPENDIX B

*EXPECTED RETURNS TO CUSTODY
BASED ON PRE-SHOCK COMPARISON GROUP*

SHOCK GRADS	EXPECTED PERCENT OF RETURNS	EXPECTED NUMBER OF RETURNS	ACTUAL NUMBER OF RETURNS	ACTUAL PERCENT OF RETURNS
MAR-APR	45.5%	39.1	38	44.2%
MAY-JUN	38.7%	21.7	21	37.5%
JUL-AUG	39.1%	11.3	14	48.3%
SEP-OCT	39.5%	48.2	39	32.0%
NOV-DEC	29.9%	41.9	37	26.4%
JAN-MAR	19.6%	29.0	29	19.6%
TOTAL	32.9%	191.2	178	30.6%

*EXPECTED RETURNS TO CUSTODY
BASED ON GROUP OF INMATES CONSIDERED*

SHOCK GRADS	EXPECTED PERCENT OF RETURNS	EXPECTED NUMBER OF RETURNS	ACTUAL NUMBER OF RETURNS	ACTUAL PERCENT OF RETURNS
MAR-APR	66.7%	57.4	38	44.2%
MAY-JUN	50.0%	28.0	21	37.5%
JUL-AUG	56.3%	16.3	14	48.3%
SEP-OCT	29.0%	35.4	39	32.0%
NOV-DEC	45.2%	63.3	37	26.4%
JAN-MAR	30.3%	44.8	29	19.6%
TOTAL	42.2%	245.2	178	30.6%

APPENDIX C

EXPECTED NUMBER OF NEW CRIMES BASED ON PRE-SHOCK COMPARISON GROUP

	SHOCK GRADS	EXPECTED PERCENT OF NEW CRIMES	EXPECTED NUMBER OF NEW CRIMES	ACTUAL NUMBER OF NEW CRIMES	ACTUAL PERCENT OF NEW CRIMES
MAR-APR	86	17.6%	15.1	12	14.0%
MAY-JUN	56	14.5%	8.1	12	21.4%
JUL-AUG	29	13.5%	3.9	6	20.7%
SEP-OCT	122	14.9%	18.2	12	9.8%
NOV-DEC	140	8.0%	11.3	13	9.3%
JAN-MAR	148	11.1%	16.4	15	10.1%
TOTAL	581	12.6%	73.1	70	12.0%

EXPECTED NUMBER OF NEW CRIMES BASED ON GROUP OF INMATES CONSIDERED

	SHOCK GRADS	EXPECTED PERCENT OF NEW CRIMES	EXPECTED NUMBER OF NEW CRIMES	ACTUAL NUMBER OF NEW CRIMES	ACTUAL PERCENT OF NEW CRIMES
MAR-APR	86	16.7%	14.3	12	14.0%
MAY-JUN	56	33.3%	18.7	12	21.4%
JUL-AUG	29	31.3%	9.1	6	20.7%
SEP-OCT	122	9.7%	11.8	12	9.8%
NOV-DEC	140	12.9%	18.1	13	9.3%
JAN-MAR	148	18.2%	26.9	15	10.1%
TOTAL	581	17.0%	98.8	70	12.0%

APPENDIX D

EXPECTED RETURNED PAROLE VIOLATORS BASED ON PRE-SHOCK COMPARISON GROUP

	SHOCK GRADS	EXPECTED PERCENT OF RPV'S	EXPECTED NUMBER OF RPV'S	ACTUAL NUMBER OF RPV'S	ACTUAL PERCENT OF RPV'S
MAR-APR	86	27.8%	23.9	26	30.2%
MAY-JUN	56	24.2%	13.5	9	16.1%
JUL-AUG	29	26.3%	7.6	8	27.6%
SEP-OCT	122	24.6%	30.0	27	22.1%
NOV-DEC	140	21.8%	30.6	24	17.1%
JAN-MAR	148	8.5%	12.6	14	9.5%
TOTAL	581	20.4%	118.2	108	18.6%

EXPECTED RETURNED PAROLE VIOLATORS BASED ON GROUP OF INMATES CONSIDERED

	SHOCK GRADS	EXPECTED PERCENT OF RPV'S	EXPECTED NUMBER OF RPV'S	ACTUAL NUMBER OF RPV'S	ACTUAL PERCENT OF RPV'S
MAR-APR	86	50.0%	43.0	26	30.2%
MAY-JUN	56	16.7%	9.3	9	16.1%
JUL-AUG	29	25.0%	7.3	8	27.6%
SEP-OCT	122	19.4%	23.6	27	22.1%
NOV-DEC	140	32.3%	45.2	24	17.1%
JAN-MAR	148	12.1%	17.9	14	9.5%
TOTAL	581	25.2%	146.3	108	18.6%

APPENDIX E

TIME OF RELEASE	GROUP	# OF CASES	12 MONTH EXPOSURE					18 MONTH EXPOSURE							
			RETURNS	% OF TOTAL	NEW CRIME	% OF TOTAL	RPV	% OF TOTAL	CASES	RETURNS	% OF TOTAL	NEW CRIME	% OF TOTAL	RPV	% OF TOTAL
3/88 - 9/88	SHOCK	234	46	19.7%	20	8.5%	26	11.1%	234	81	34.6%	34	14.5%	47	20.1%
	PRE-SHOCK	496	98	19.8%	35	7.1%	63	12.7%	496	173	34.9%	70	14.1%	103	20.8%
	CONSIDERED FOR SHOCK	66	19	28.8%	10	15.2%	9	13.6%	66	26	39.4%	14	21.2%	12	18.2%
10/88 - 3/89	SHOCK	347	49	14.1%	20	5.8%	29	8.4%	This group of releases has not yet had 18 months exposure to Parole Supervision as of March 31, 1990.						
	PRE-SHOCK	291	48	16.5%	19	6.5%	29	10.0%							
	CONSIDERED FOR SHOCK	79	21	26.6%	10	12.7%	11	13.9%							
TOTAL	SHOCK	581	95	16.4%	40	6.9%	55	9.5%	234	81	34.6%	34	14.5%	47	20.1%
	PRE-SHOCK	787	146	18.6%	54	6.9%	92	11.7%	496	173	34.9%	70	14.1%	103	20.8%
	CONSIDERED FOR SHOCK	145	40	27.6%	20	13.8%	20	13.8%	66	26	39.4%	14	21.2%	12	18.2%

APPENDIX F

MONTHS INCARCERATED IN DOCS FACILITIES FROM RECEPTION TO RELEASE

SHOCK	NUMBER	581
-------	--------	-----

	AVERAGE MOS.	8
--	--------------	---

PRE-SHOCK	NUMBER	787
-----------	--------	-----

	AVERAGE MOS.	19
--	--------------	----

CONSIDERED	NUMBER	145
------------	--------	-----

	AVERAGE MOS.	12
--	--------------	----

APPENDIX G

TABLE OF CHI-SQUARE SIGNIFICANCE RESULTS FOR
SHOCK GRADUATES IN RELATION TO THE TWO COMPARISON GROUPS
ON VARIOUS ISSUES IN THIS RETURN TO CUSTODY STUDY.
(SIGNIFICANCE IS ACHIEVED AT THE .05 LEVEL)

<u>ISSUE DESCRIPTION</u>	<u>PRE-SHOCK VS. SHOCK GRADUATES</u>	<u>CONSIDERED FOR SHOCK VS. SHOCK GRADUATES</u>
1. OVERALL RETURN RATES	NOT SIGNIFICANT	SIGNIFICANT
2. RETURN RATES FOR NEW CRIME VIOLATORS	NOT SIGNIFICANT	SIGNIFICANT
3. RETURN RATES FOR RETURN PAROLE VIOLATORS	NOT SIGNIFICANT	SIGNIFICANT
4. OVERALL RETURN RATES FOR ALL INMATES EXPOSED FOR 12 MONTHS	NOT SIGNIFICANT	SIGNIFICANT
5. RETURNS RATES FOR RETURN PAROLE VIOLATORS EXPOSED FOR 12 MONTHS	NOT SIGNIFICANT	SIGNIFICANT
6. RETURNS RATES FOR NEW CRIME VIOLATORS EXPOSED FOR 12 MONTHS	NOT SIGNIFICANT	SIGNIFICANT
7. OVERALL RETURN RATES FOR ALL INMATES EXPOSED FOR 18 MONTHS	NOT SIGNIFICANT	NOT SIGNIFICANT
8. RETURNS RATES FOR RETURN PAROLE VIOLATORS EXPOSED FOR 18 MONTHS	NOT SIGNIFICANT	NOT SIGNIFICANT
9. RETURNS RATES FOR NEW CRIME VIOLATORS EXPOSED FOR 18 MONTHS	NOT SIGNIFICANT	NOT SIGNIFICANT