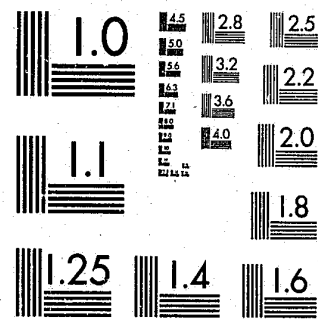


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Classification
Instruments
for
Criminal Justice
Decisions

Volume 3

Institutional
Custody

76060

INSTITUTIONAL CUSTODY

SOURCEBOOK

prepared by the

AMERICAN JUSTICE INSTITUTE

with the

NATIONAL COUNCIL ON CRIME AND DELINQUENCY

CLASSIFICATION INSTRUMENT DISSEMINATION PROJECT

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INSTITUTIONAL CUSTODY

SOURCEBOOK

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INTRODUCTION

The American Justice Institute, along with the National Council on Crime and Delinquency, has recently completed a national survey of screening and classification in criminal justice. Sponsored by the National Institute of Corrections, the year-long survey assessed the current state-of-the-art in the design and utilization of classification tools for decision-making. The present volume contains a portion of those findings.

In building a data base, National Survey staff made over 350 telephone contacts with classification experts, research organizations, and justice system agencies. These contacts combined with an extensive review of the existing literature reveal a recent trend toward formalizing offender classification, establishing more explicit criteria for screening decisions, and shifting emphasis from subjective judgements to reliance on standardized instruments in the classification and decision-making process. For the purpose of this study, "instruments" are defined as written forms which contain a fixed set of weighted criteria that are combined into an overall offender summary score. Consideration of this score in the classification process assists justice system practitioners in making more consistent and uniform classification decisions. Familiar examples of instruments include:

1. Vera Scale: used to classify the eligibility of pretrial defendants for release on own recognizance;
2. Base Expectancy Tables: used to screen offenders for risk of recidivism;
3. Federal Parole Guidelines: used to reduce disparity in parole-release decisions.

Though these examples emphasize different criteria and were created for different purposes, they all serve to structure the classification process so that resulting decisions become more objective, uniform, and potentially replicable. Among the survey's 350+ primary contacts, project staff identified 105 sites where instruments, as defined, appeared to be used. Excluded from consideration were sites not using instruments, sites using instruments mainly for program placement (since the survey's research charter explicitly excluded diagnostic classification), and

sites using instruments duplicated elsewhere. Thus, the 105 identified sites are those we believed to be using unique classification instruments and related procedures.

National survey staff made considerable effort to ensure that the study systematically sampled different geographical regions and different levels of jurisdiction. However, the survey does not claim to be statistically representative of the overall population of classification programs in the U.S., nor even of the more restricted population of programs that use instruments. Although staff contacted a broad distribution of agencies using classification tools, limited resources made it impossible to reach all such programs. Moreover, since the total population of classification programs is at present unknown, standard research methods such as random or quota sampling were not used. Nevertheless, the purpose of the survey was to describe the current variety (some would say similarity) of approaches and techniques in the field of criminal justice classification, and this we believe has been achieved.

The national survey also selected agencies that represent different decision points in the criminal justice system. A "decision point" is defined for the purpose of this study as a juncture in the criminal justice system where decisions are made which affect the path of an individual through, or out of, the system. These points include pretrial release and diversion, sentencing, institutional custody level, parole release, and parole/probation supervision level.

The results of our study have been organized with the practitioner specifically in mind. Accordingly, findings are categorized by decision point; material pertaining to each of four decision points has been grouped together in a separate volume or "Sourcebook." Each of these Sourcebooks addresses one of the following types of classification:

1. Pretrial Release
2. Sentencing and Parole Release
3. Institutional Custody
4. Probation/Parole Supervision

This approach should help practitioners to quickly and easily locate information pertinent to their field. A fifth volume is devoted to general information. It contains a review of the classification literature, a bibliography, discussion of research methods, and the data collection forms used in the study.

The state-of-the-art summaries, site visits, and telephone interview summaries have been written by different authors. Consequently, the individual components of the Sourcebooks may differ somewhat stylistically. We chose to emphasize accuracy of content, rather than consistency of style; the various research staff who collected the information and best understood the on-site operations were assigned the task of writing the summaries and reports.

The Sourcebooks are divided into three main sections: (1) State-of-the-Art Summary, (2) Site Reports, and (3) Telephone Interview Summaries. The last two sections include descriptions of instrument usage in specific agencies, and copies of the instrument(s) used by that agency. The State-of-the-Art Summary describes current classification instruments and practices that are employed at the decision point assessed by each Sourcebook. The Summary is essentially a synthesis and evaluation of the findings generated by the site visits, telephone interviews, and literature review. It also includes recommendations about development and implementation of classification instruments at the respective decision points.

Section II of the Sourcebook, the Site Visit Reports, provides the reader with an in-depth look at currently used instruments, and how they operate in specific agencies. On the basis of the 105 telephone interviews, survey staff selected 22 locations that employed 25 distinct instruments for more intensive study through on-site observations and interviews. National survey staff, usually working in pairs, spent from two to four days at each site. During these visits, an effort was made to observe the classification system in operation, to interview as many people as possible who use or who are affected by the process, and to collect research results and statistics on the use of the instrument. A detailed interview protocol developed by staff (see Research Volume) was used while on site in order to ensure complete and consistent data collection. The form was not always rigidly followed, however, in order to allow for spontaneous comments and other advantages gained by a flexible interview approach. Information was obtained under general headings as follows:

- Agency Characteristics
- Decision Points Involved
- System Flow
- Caseload Characteristics
- Research and Development of the Instrument
- Instrument Implementation

- Formal Instrument Characteristics
- Screening Process
- Decision Process
- Review Process
- Results and Impact
- Policy Issues

The third section of the Sourcebook, the Telephone Interview Summaries, contains succinct, one or two page descriptions of agencies and their use of classification tools. In contrast to the in-depth analysis of the site reports, the telephone summaries present brief overviews of classification techniques used by specific agencies. Agencies contacted were identified by staff through published reports discovered during the literature review, and through leads from consultants and practitioners. The agencies thus identified were contacted, interviewed when appropriate (i.e., if they were using operational instruments), and then used as a source of referrals to other jurisdictions. Our assumption was that a relatively inclusive sample of agencies had been obtained when leads uncovered in this manner referred us back to agencies previously contacted.

The agencies interviewed were sent a pre-interview notice describing the survey objective and the kinds of questions that would be asked. Telephone interviews were then held by appointment using the interview questionnaire given in the Research Volume. Each interview lasted from 30 to 90 minutes, depending upon the complexity of the classification system in question. Most interviews were with a single respondent although several calls involved two or more agency representatives. In each case, information was obtained under the following general headings:

- Identification of Respondents
- Use of Screening Instrument
- Automatic Selection Criteria
- Characteristics of Screening Instrument
- Administration of the Instruments
- Results and Effects of the Instrument
- Accessibility for Site Visit and Referrals

The Sourcebook materials were sent for verification to the agency staff who were originally contacted during site visits and telephone interviews. During this verification process we learned that 34 of the telephone interview sites are not using classification instruments according to our definition, so we dropped them from the study sample. Some of these excluded sites are using lists of criteria without any weights or total scores, and others are not using any formalized criteria at all. The agencies remaining in the sample after the verification process provided us with updated information and statistics, cleared up any apparent misunderstandings, or approved the initial drafts as written. We will now turn to the State-of-the-Art Summary describing current issues and practices specific to the use of instruments in institutional custody decisions.

INSTITUTIONAL CUSTODY
STATE-OF-THE-ART

Introduction

Risk classification of some sort occurs in virtually every institutional facility in this country, yet surprisingly few agencies use formal instruments¹ when making in-facility classification decisions. As suggested by the large number of referrals to other agencies received by the survey team, many practitioners seem to believe that such instruments are widely used, but examination of the classification procedures in question revealed that most are basically subjective in nature.

Classification often is based on a simple list of rules governing the separation of particular groups (males from females, juveniles from adults, homosexuals from heterosexuals, serious felons from misdemeanants, etc.). Within the limits of such rules, a classification committee commonly makes custody-level decisions based on subjective criteria. Many large state systems² use information derived from complex diagnostic procedures when making custody-level decisions, but these diagnostic work-ups are aimed primarily at identifying special offender needs rather than assessing risk. Although psychological tests are employed in diagnosis, test results usually are not weighted or considered in a structured manner. The final custody classification most often is a product of subjective decision-making by committee. A few jurisdictions (e.g., North Carolina and Kentucky) include risk assessment scales³ as part of a larger test battery, but again the final classification decision generally rests on subjective, clinical judgment.

Other state systems (e.g., California) use risk assessment instruments only

1. For purposes of this study, "instruments" are defined as written forms containing a fixed set of variables for which ratings are summed to obtain an overall offender summary score.
2. Examples include California, Florida, Kansas, Alabama, Texas, Mississippi, Washington, Illinois, Indiana, Maryland, and Ohio.
3. These scales were included in the survey when they affect individual case decisions, if only indirectly.

for research purposes. California pioneered in the development of actuarial risk prediction measures, and its Base Expectancy instrument is often copied by other jurisdictions. And yet ironically, in California the scale is used only to develop comparison groups of persons with similar risks for purposes of evaluating alternative treatment strategies. Because authorities in California have concluded that the predictive accuracy of these scales is unacceptably low, they are not used in making case decisions.

Table 1 lists the agencies included in the National Risk Assessment Survey that make use of formal classification instruments in custody-level decisions. Although the survey did not contact an inclusive or representative sample of all institutional facilities in the country, sufficient contacts were made to determine that the agencies listed in the table are fairly representative of those that use instruments in custody decisions. That most were in urban areas or in large state-wide systems is attributable to the need for sufficient resources to employ technicians capable of working effectively with instruments.

Instrument Development

Motivations for the current development of instruments to aid in custody-level classification derive from the fact that custody decisions are both more important and more difficult than they have been in the past. The need for a more structured decision format seems to be felt most strongly where overcrowding is acute and where resource limitations make construction of new facilities impractical. Rising populations make some form of deinstitutionalization attractive, but any shift to less secure alternatives is associated with increased risks to the community and the institution.

Administrators of institutions use classification instruments in the hope that they will allow for more accurate decision-making, and thus reduce risks. Custody-level decisions are difficult and, as populations rise, the impact of improper classification is magnified. For example, it is difficult to identify fairly low-risk inmates for participation in deinstitutionalization programs. As populations rise, the number of "wrong" decisions tends to increase,⁴ with a pro-

4. The proportion of errors may remain the same, but as total numbers increase, the number of persons misclassified also increases.

Table 1
AGENCIES INCLUDED IN SURVEY

<u>Sites Visited by Survey Team</u>	<u>Federal</u>	<u>State</u>	<u>Local</u>
1. Los Angeles, Calif. County Jail			X
2. Santa Clara, Calif. County Jail			X
3. Colorado Department of Corrections		X	
4. Federal Bureau of Prisons	X		
<u>Sites Surveyed by Telephone</u>			
5. Alabama Board of Corrections		X	
6. Calif. Institute for Men at Chino		X	
7. Georgia Dept. of Offender Rehabilitation		X	
8. Kentucky Bureau of Corrections		X	
9. North Carolina Dept. of Corrections		X	
10. Virginia Division of Adult Services		X	
Totals	1	7	2

portionately larger impact on the institution and the community. A few survey respondents also indicated that the opportunity to shift decision responsibility to a structured procedure was another motive for instrument development. Community and agency participation in instrument development increases acceptance of the decision process and in a sense allows the risk to be shared. It is also comforting to be able to change the instrument, rather than the decision-maker, if resistance to decisions arises.

In addition to improving the accuracy of decisions, instruments are expected to make custody-level assignments more consistent. The threat of legal challenge is an important factor behind the desire to increase decision consistency. Although legal issues in this area are not clear-cut, a sense of fairness and justice is violated if individuals who represent similar risks and are convicted of similar crimes receive unequal treatment. Since instruments require that factors influencing decision-making be identified, objectionable criteria (e.g., race, sex) are less likely to be involved if the decision process is structured. Respondent agencies generally agreed that the use of instruments increases decision consistency by reducing biases inherent in subjective decisions and requiring that selection criteria be made explicit.

In developing instruments for use in custody-level decisions, some agencies have purchased a packaged screening program that includes various scales for risk assessment. Others have developed their own instruments or adopted instruments developed elsewhere, often conducting research to validate them and tailor them to local needs. Compared with instruments used at other decision points in criminal justice processing, those used for custody-level decisions seem to be particularly well researched.

Colorado and Georgia have purchased a packaged classification system including three psychological tests (the Culture Fair Intelligence Test, the 16 Personality Factor Test, and the Clinical Analysis Questionnaire). These computer scored tests provide the bulk of information collected, with other specialized tests administered as needed. These three tests include various subscales that evaluate escape risk, suicide risk, and other factors. (A risk-of-violence scale, now being developed, will soon be added to the package.) The results, compiled in narrative form and including a recommendation for security level, are forwarded to a classification committee or specialist for final decision on custody level

based on the total information package.

Several agencies (e.g., North Carolina) use Base Expectancy instruments in custody-level decisions. Offenders receive a pre-determined number of points for each critical element in their background; then, during screening, point scores are summed and the total is translated into level of risk. In some cases the custody decision is dictated by the total point score, but usually the risk factor is just one of several considered by the decision-maker. North Carolina, which uses the Minnesota Multiphasic Personality Inventory (MMPI) as a standard assessment tool, has developed several scoring formats for MMPI responses to determine probability of escape or institutional infraction. Variables weighted on these scales include I.Q., religious participation, training school record, urban background, prior escapes, and race.⁵

The federal Bureau of Prisons has undertaken a large-scale research project in its Western Region to develop an instrument that includes six primary variables: history of escape or escape attempts, history of violence, types of detainer, severity of current offense, expected length of incarceration, and types of prior commitment. These variables emerged from the results of a questionnaire sent to a large sample of bureau employees. Weights were derived primarily from respondents' opinions about the strength of the relationship between the variable and probability of violence or escape. In making custody-level decisions a classification specialist assigns the individual to one of six security levels based on total point scores.

Instruments used in Los Angeles and Santa Clara County (California) jails are similar in intent to the one being developed by the Bureau of Prisons, but quite different variables are used. Los Angeles County weights heavily a number of factors (e.g., employment, residence, family ties) related to stability in the community. Bail amount, current charge, and prior record are also considered. Santa Clara County, on the other hand, emphasizes a "just deserts" philosophy, in which punishment is commensurate with the seriousness of the crime. Only criminal history variables are considered, such as custody problems, criminal sophistication, significant drug/alcohol abuse history, crime severity, and legal restraints.

5. The inclusion of race is virtually unique. To avoid questions of constitutionality, most jurisdictions do not consider race, even though it predicts well.

Other agencies have developed instruments based on a "matrix" approach to custody-level decision-making. The matrix format permits consideration of both offense severity and degree of risk in a structured decision-making process.⁶ In individual cases, however, decisions made on the basis of the instrument can be subjectively overruled.

Instrument Administration

The instruments surveyed generally are completed by line staff using personal interview data, test results, and criminal history data. These staff members are usually classification specialists whose primary job is screening. Instruments sometimes consist of computer-scored tests, the results of which are forwarded to a classification committee or specialist for the final housing decision.

The extent to which risk indicators determine housing assignments is difficult to estimate. Most agencies report that instrument results are overruled by decision-makers in from 5 to 15% of all cases, but no studies have been made to document these impressions. In general, instrument results are overruled by decision-makers when special offender needs (e.g., protection from other prisoners) become known, or when factors emerge that authorities feel have not been adequately considered by the instrument.

Prisoners participate in the screening process in all agencies surveyed. They are told that a classification decision is being made, and they provide input to the decision process, at least indirectly, through interview and test responses. In all but three agencies inmates are informed of the criteria used and all agencies inform inmates of the outcome of decision-making. Virtually all agencies surveyed also re-classify individuals periodically, and many allow inmates to appeal the housing decision. Appeals generally consist of written or oral arguments presented to the committee or specialist making the original decision. Final authority for the decision normally rests with these individuals.

It should be emphasized that custody-level typically is determined by the same procedure used to identify program needs, health needs, release eligibility,

6. Decision matrices are described more fully in the State-of-the-Art section of the Sentencing and Parole Release Sourcebook.

and other factors. These are often expensive, time consuming procedures carried out in centralized locations such as screening intake centers. Also, the housing decision often is subject to a number of exclusionary rules. For example, some jurisdictions keep murderers and sex offenders in maximum detention regardless of the instrument results; in others, minimum-security detention is granted only after a certain period of time in maximum security.

Impact of Instrument Use

Most agencies using instruments to assist in housing decisions have undertaken research to determine their impact on caseloads and in-facility safety. Unfortunately, few concrete results are yet available, but agency representatives report that instrument use seems to result in increased assignments to less secure levels of detention. The use of instruments also is associated with decreases in institutional violence and fewer escapes in some jurisdictions.

The U.S. Bureau of Prisons decided to pilot-test⁷ the instrument now under study in its Western Region after preliminary simulation tests indicated that the device would expand the use of less secure housing without increasing the risk of in-facility violence. Los Angeles County and Georgia also report that their custody decisions have shifted toward housing more persons at lower levels of security since implementation of instruments. Other agencies report no evident trend in any direction, but no jurisdictions have reported a shift toward greater use of secure settings. Of course, a general and unrelated trend toward less secure custody levels might be expected as correctional systems become increasingly overburdened. Most agencies adopting instruments did so because it was no longer feasible to house a growing number of prisoners in maximum security facilities. Instruments have been implemented in most cases to ensure that those selected for less secure housing do not represent unacceptable recidivism or escape risks.

With respect to security risk, one facility in Colorado informally reported a drop from an average of 30 "walk-aways" annually, to none. In Georgia, prisoner escapes have decreased from between 44 and 58 per thousand to 25 per thousand. Georgia also reported a significant drop in suicide attempts, while both Santa Clara County and Los Angeles County claimed that in-facility violence has been

7. The instrument is now being used throughout the system.

reduced dramatically since implementation of their classification systems. No jurisdiction reported an increase in escapes or violence following adoption of an instrument-based screening program.

Other benefits have been reported. Kansas officials note that introduction of a classification system has permitted continual review of cases, thus avoiding "loss" of individuals in the system; and several agencies report an apparent increase in decision consistency. Staff who use instruments, decision-makers, and administrators in the agencies surveyed express favorable attitudes toward the screening process. Some resistance was experienced as instruments were introduced, generally because of the limitations placed on discretion or the logistics of processing large numbers of prisoners. These complaints, however, dissipated with time. More persistent complaints concerned the additional time and manpower required for screening, especially in jurisdictions utilizing complex screening processes which assess factors besides those necessary for the housing decision. Where housing and escape alone are considered (as in Santa Clara County), screening takes only five to 15 minutes per case and does not require expertise beyond that normally possessed by custodial staff.

Special Issues

The experience of agencies that have adopted instruments to aid in custody-level decisions can benefit jurisdictions planning a similar approach. Problems have arisen in a number of areas, including legal considerations, staff resistance, multi-purpose classification, the need for research, and practical limitations on the use of instruments.

Legal Issues

Only one agency surveyed (North Carolina) had submitted its instrument to legal review prior to implementation. Typically the state Attorney General or a judge conducts the review.

None of the agencies reported legal problems stemming from the use of instru-

ments in level-of-custody decisions.⁸ Classification systems in general have been challenged (e.g., Alabama), but these court challenges typically have resulted in more structured screening processes. A number of suits have challenged the constitutionality of policies governing eligibility for non-custodial programs, which in practice often include housing decisions. These suits usually charge bias in decisions regarding who gets released. But instruments *per se* are not the issue and, in fact, their use may be required as one means of ensuring consistent and fair decisions.

The types of variables considered by instruments in determining custody-level may raise legal problems. Some predictive variables (such as race) usually are excluded for constitutional reasons, but others (such as living situation, income, and job) may indirectly bias decisions against certain classes of people. Agencies developing instruments should consider the legal implications of the variables selected, as well as their predictive power. Some jurisdictions have adopted the philosophy that, since differences in assignment to custody level constitute differences in punishment, custody-level decisions should be made only on the basis of past behavior (e.g., number of prior escapes, prior infractions, and prior suicide attempts). However, this approach excludes such potentially useful criteria as number of residence changes, living arrangements, or employment status.

Staff Resistance to Instrument Use

Agency staff resistance generally decreases over time, but it has had serious and lasting consequences on instrument implementation. Perhaps the best example of system failure due to lack of staff support occurred in Santa Clara County, California. The County was granted a large amount of federal funds to develop a classification program for its jail system. Unfortunately, staff who developed the classification plan were viewed by sheriff's department personnel as interlopers lacking in "real world" understanding of jail problems, and as opponents of traditional law enforcement and correctional approaches. Due largely to resistance generated by these attitudes, the classification system has been subverted. Classi-

8. However, subjective aspects of psychological tests are becoming increasingly suspect when used to make criminal justice decisions.

fication for work release occurs today in much the same manner as it always has (subjective decisions within the parameters of eligibility rules). Housing decisions are now made by a full-time classification unit and the screening process has been formalized, but custody decisions still are based primarily on intake data and subjective impressions. Jail administrators are pleased with their system for determining where inmates should be housed, and they see it as an improvement over past procedures. The current approach, however, makes little use of the instrument and classification system developed under the federal grant.

To avoid such problems, agencies implementing screening systems should ensure that staff who will be using the instrument are involved in developmental work at an early stage. A certain amount of resistance can be expected whenever changes are made, but where resistance has been adequately planned for, it tends to dissipate rapidly.

Multi-purpose Classification

To be maximally useful in housing decisions, an instrument should consider all important variables. However, some instruments have been designed to measure such a broad range of factors (treatment program needs, eligibility for work or education furlough, etc.) that the security level of living accommodations is lost in the process. It can be argued that treatment needs and release eligibility involve factors that are independent of housing security level and thus should be considered separately. At the very least, the inclusion of large quantities of irrelevant information can unnecessarily complicate the housing decision.

Further complicating matters, assessment procedures that measure many factors usually terminate in subjective decisions. Instruments are employed to establish risk level or other decision variables, but the results of these objective measures are combined subjectively in making the final decision. Although instruments may appear to be employed, their use is no more than an academic exercise if the decisions are ultimately subjective. Certainly the bias of individual decision-makers that instruments are designed to overcome is not controlled if decision-makers are not required to consider the instrument results in a structured decision-making process.

Need for Research

Instruments used in determining the security risk of inmates are some of the best researched in the justice system. Few of the agencies surveyed, however, had reliable information regarding the impact of the instruments on case-loads, escapes, in-facility violence, or other factors. The information that is available is positive, but few agencies have done more than trace infraction reports or similar outcome variables. Controlled studies isolating other factors that might have caused the changes observed are not common.

Agencies developing instruments may not have the resources to conduct in-depth evaluation research, but they should attempt to develop baseline information on escapes, infractions, suicides, and other problems addressed by the instruments. It should also be possible to identify, and in some cases control, influences on these problems that are independent of the instrument.

Practical Considerations

Several practical considerations limit the use of instruments at the in-facility decision point. Some of these include:

- Many jails are run informally on a "duke" system, under which offenders who have been in prison before or those who have power among prisoners are granted trustee status or other preferential treatment in return for maintaining order in the facility. The merit of such a system is debatable, but its existence should be taken into account as changes are made in classification systems.
- A sense of justice may be violated if serious offenders are granted minimum-security status, even if they represent a low risk. Most jurisdictions account for this fact by exclusionary rules or by use of a matrix format that considers crime severity in custody-level decisions.
- In many jurisdictions, pretrial prisoners are housed in maximum security facilities, even though the majority are granted probation

or moved to less secure settings after conviction and sentencing. This practice has been successfully challenged in court. To overcome legal objections, pretrial prisoners should be included in the screening program and a full range of housing options made available in pretrial cases.

- The costs of classification are minimized if the process is less intensive and involves less specialized testing; yet it is usually still necessary to hire classification specialists and statistical experts for instrument construction and validation. Cost-benefit analyses usually favor the use of instruments; one state, for example, estimates that each escape costs a minimum of \$4,000, and the costs of in-facility violence can also be extensive. Agencies contemplating the development and use of formal classification procedures should undertake studies to determine whether instrument use would save money, while at the same time improving the accuracy and consistency of decisions.

Summary

Almost every institutional facility in the country classifies inmates according to risk, but relatively few use formal instruments in making custody-level decisions. Those that do report that instrument use has resulted in (or has been associated with) a trend toward less secure housing, fewer escapes and in-facility infractions, and greater consistency in custody-level assignments.

Instruments developed for use in housing decisions are some of the best researched in the criminal justice system, and none of the agencies surveyed reported legal challenges implicating the instruments they use for classification purposes. Nonetheless, agencies contemplating the development and use of instruments for housing decision-making should be aware of the potential legal problems associated with classification for assignment to particular custody levels. Other areas in which problems may arise involve staff resistance to the introduction of

"mechanical" classification procedures, the decision to include other classification purposes in custody-level decision-making procedures, the need for research and basic data collection, and practical considerations that may limit the use of standardized instruments in decision-making.

SITE VISIT REPORT
DECISION POINT: INSTITUTIONAL CUSTODY

JAIL CLASSIFICATION
LOS ANGELES COUNTY SHERIFF'S DEPARTMENT
LOS ANGELES, CALIFORNIA

SITE VISIT: June 8 and 9, 1978

INTERVIEWER: Jerome R. Bush

CONTACT PERSON: Lieutenant Larry Giger
Commander
Inmate Placement Detail
Tele: (213) 974-0124

Overview

The primary function of the Inmate Classification and Placement Detail of the Los Angeles County Sheriff's Department is to interview pretrial and sentenced inmates booked into the Los Angeles County Jail facilities, and from the information obtained, assign them to levels of custody appropriate to their security, work, and program needs. Classification officers obtain the information required for classification and placement in a short interview with each inmate and record it on the Inmate Interview and Placement Record (a copy of this form is presented in Appendix A.) Classification officers have access to prior criminal history records during the interview through computer terminals. Decisions concerning classification and placement conform to the Inmate Classification and Placement Procedures, documented by the Inmate Services Bureau.

The Inmate Classification and Placement Detail (ICPD) is responsible to the Inmate Services Bureau which, in line of authority, is responsible to the Custody Division of the Sheriff's Department. The Detail Commander has a staff of eight consisting of an operations sergeant, classification supervisors (Deputy IV), classification officers, and clerks. On the average, the Detail classifies 6,000 inmates per month for level of custody. The seven levels of custody, their physical mobility characteristics, and the percentage of pretrial inmates assigned to each level is shown in Table 1 on the following page.

Each section or module of the central jail essentially represents a mini-jail and has a designated physical security level corresponding to the inmate security level classifications. After the inmate's level of security is decided by the Inmate Classification and Placement Detail, each pretrial inmate is assigned to the module matching his security level (depending on space availability). Seventy-five percent of the pretrial inmates in custody at the central jail are charged with felonies (44% of which are UCR Part I offenses), and 25% are charged with misdemeanors.

The inmate population is derived primarily from Los Angeles County, which has a suburban population of seven million and a total land area of 4,000 square miles. In 1975, a total of 56,705 FBI Index Crimes was reported to police

TABLE 1
SECURITY AND CONFINEMENT LEVELS
INMATE CUSTODY

Security Level	Level of Confinement	Percentage of Pretrial Inmates Assigned
Maximum	Specialized cells with very limited access to "freeway" and day rooms. Access to other areas of the facility by escort only.	5
High Moderate	Close security in modules or dormitories with relatively free access to freeway and day rooms. Access to other portions of the facility or a pass system.	60
Moderate	Relatively free movement within the module complex and access to other portions of the facility via pass system.	20
Low Moderate	Relatively free movement within a secure facility.	10
Minimum	Relatively free movement within and outside a secure perimeter fence.	5
Detention Camps	Relatively free movement within and outside an open compound.	(Sentenced)
Sub-Stations	Relatively free movement in an open compound and building.	(Sentenced)

agencies in the county. In 1977, 285,000 defendants were booked throughout the county, 182,000 of these into the central jail. The central jail classified 110,000 sentenced and unsentenced inmates for level of custody.

The Instrument and Its Development

Prior to the implementation of the current system, pretrial inmate classification was a decentralized and subjective procedure accomplished with inadequate knowledge of facility availability. The final report of the Custody Program Planning Project documents these deficiencies in the prior system of inmate classification and describes the development and implementation of the current Inmate Classification Information System. One component of this system involves completion of the Inmate Interview and Placement Record (shown in Appendix A) at the classification point following booking by personnel of the ICPD. One section of this form concerns the assignment of inmates to one of five levels of security. This assignment is based upon the total number of points accumulated on seven items of personal stability and criminal record; i.e., employment, residence, family ties, prior record, bail amount, current charge, and identification. Table 2 on the following page shows the weights (points) assigned to each of the seven predictor variables.

The seven variables were selected after an extensive review of the literature on inmate classification and a pre-test of a prototype set of variables for the assignment of security levels. The preliminary search for predictor variables relied most heavily upon research performed by the U. S. Bureau of Prisons, documented by Mark S. Richmond in "Classification of Jail Prisoners," Department of Justice, 1971. The prisoner inventory of basic inmate data developed and tested by the Bureau of Prisons employed a number of numerically weighted stability indicators, such as age, marital status, residence, and work history, to assign the degree of supervision required by inmates. Score ranges were used to classify inmates into maximum, medium, and minimum levels of custody. The utility of the classification system was evaluated nationally at five jails with a 60-day test period. The evaluation indicated that the Prisoner Implementation Inventory was a sensitive, reliable, and valid tool

TABLE 2
CURRENT PRETRIAL CLASSIFICATION
INTERVIEW AND POINT SYSTEM

Points	Area of Assessment	
3	Present job 1 year or more or full-time student	Employment Points
2	Present job 4 months or present and prior job 6 months	
1	Presently employed or receiving financial assistance	
0	Unemployed	
2	Present residence 1 year or more	Residence Points
1	Present residence 6 months or present and prior 1 year	
0	Less than 6 months at present residence	
2	Lives with family and weekly contact with other family members	Family Ties Points
1	Lives with family or weekly contact with family	
0	Lives with non-family	
2	No convictions	Prior Record Points
1	1 misdemeanor conviction	
0	2 misdemeanor convictions or 1 felony conviction	
-1	More than 3 misdemeanor convictions or more than 2 felony convictions	

(continued)

TABLE 2
CURRENT PRETRIAL CLASSIFICATION
INTERVIEW AND POINT SYSTEM
(Page Two)

Points	Area of Assessment	
3	Part II property/all other misdemeanors	Current Charge Points
2	Part II person/drug, alcohol offenses	
1	Part I property/heroin	
0	Part I person/CCW w/prior Part I conviction	
3	Positive identification (fingerprints)	Identification Points
2	Confirmed identification (known, court papers, prior record matches, etc.)	
1	Tentative identification (phone call verification)	
0	Unconfirmed identification	

for estimating the degree of supervision required.

Combining information gained from the literature search and the collective judgment of the staff, the Custody Program Planning Project developed the prototype set of inmate classification variables and their associated points (weights) shown in Table 3 on the following page. This set of variables and their associated weights were subsequently pre-tested through the classification of 201 female pretrial inmates at the Sybil Brand Institute in Los Angeles. Of the inmates reviewed, 83% were charged with felonies and 37% with additional charges, most of which were less serious than those on which the inmate was originally booked.

The average number of points scored by misdemeanants was 10.7. Those who had a disqualifying charge scored an average of 8.9 points, and those with a felony charge scored an average of 9.7 points. The average score for all inmates in the sample was 9.8 points. Thus, while these data show a relationship between charge and points, scores grouped together tightly and fine discriminations had to be made. In order to achieve better discrimination when applied to the central jail classification system, one variable, "identification", was added, and the points assigned to several of the variables were altered based upon the subjective judgment of the project staff. A comparison of Table 2 (the final set of inmate classification variables) with Table 3 (the prototype set of variables) shows that the weights were changed as a result of pre-testing the instrument for all of the variables with the exception of "prior record".

Implementation

The final set of variables (and their associated weights) implemented and in operation since 1977 for pretrial inmate security classification at the central jail is shown in Table 2. Table 4 shows the score ranges (points) associated with each security level that are assigned to pretrial inmates during the classification interview, and the inmate mobility and supervision each security level entails. The physical capacity of the central jail also played a role in determining cut-off scores for each security level to avoid overcrowding. The current inmate classification system at the central jail is

TABLE 3
 PROTOTYPE
 PRETRIAL CLASSIFICATION
 INTERVIEW AND POINT SYSTEM

Points	Area of Assessment	
3 2 1	Present job 1 year or more <u>or</u> fulltime student Present job 4 months <u>or</u> present and prior job 6 months Presently employed or receiving financial assistance	Employment Points
2 1 0 -1	No convictions 1 misdemeanor conviction 2 misdemeanor convictions <u>or</u> 1 felony conviction 3 or more misdemeanor convictions <u>or</u> 2 or more felony convictions	Prior Record Points
3 2 1	Present residence 1 year or more Present residence 6 months <u>or</u> present and prior residence 1 year Present residence 6 months or present	Residence Points
3 2 1	Lives with family <u>and</u> weekly contact with other family members Lives with family <u>or</u> weekly contact with other family members Lives with non-family	Family Ties Points
3 2 1 0 -1	\$1,875 or less \$1,876 - \$3,500 \$3,501 - \$5,000 Over \$5,000 No Bail	Bail Amount Points

TABLE 3
 PROTOTYPE
 PRETRIAL CLASSIFICATION
 INTERVIEW AND POINT SYSTEM
 (Page Two)

Points	Area of Assessment	
3 2 1 0 -1	Part II property/all other misdemeanors Part II person/drug alcohol offenses Part I property/heroin Part I person CCW w/prior Part I conviction Special handling status	Current Charge Points

TABLE 4
SECURITY LEVELS
PRETRIAL INMATES AT CENTRAL JAIL

Points	Security Level	Supervision -- Mobility
12+	Minimum	Qualifies for dorm No escort
10 - 11	Low Moderate	Relatively free movement in cellblock Open dayroom if possible No escort
7 - 9	Moderate	Cellblock with constant access to freeway (possibly new modules with dayroom in cellblock) No escort
2 - 6	High Moderate	Cellblock with constant access to freeway (not necessarily daily or unlimited use of dayroom) No escort
0 - 1	Maximum	Cellblock with access to freeway on limited basis only (i.e., required exercise time) Must be escorted

now undergoing evaluation by the Inmate Placement Detail. Criterion measures are escapes, assaults, transfers, and disciplinary problems, pre- and post-classification system implementation. These measures were chosen as typical jail management problems that an effective inmate classification system would reduce.

Historically, risk assessment (in this case custody classification) originated 12 years ago for sentenced prisoners in the Los Angeles County Jail. At that time, classification was essentially a subjective judgment not involving a fixed set of weighted criteria. The impetus for the development of a structured classification system for pretrial detainees came from information gained in a state financed study of the Los Angeles County Jail System (the Jail/Corrections Program Planning Project). This information was merged with the requirements of the Minimum Jail Standards of the Commission on Accreditation for Corrections and applicable state codes in an attempt to provide a system that was both equitable and consistent. The system was designed to segregate prisoners based upon their potential for escape, violence, and disciplinary infractions. An ongoing evaluation is assessing whether the classification system has reduced these problems. This system was legally tested in the case of Rutherford vs Pitchess in which the plaintiff contended that the Sheriff's classification procedures were inconsistent and arbitrary; that is, too much individual discretion was permitted. The Sheriff's classification procedures were upheld in this case.

The Screening and Decision Processes

The Inmate Interview and Placement Record is completed for all inmates following booking into the central jail. The record includes a number of overrides to the point system in assigning the security level for inmate placement. Appendix B shows (1) the charges or status disqualifying an inmate for either low, moderate, or minimum security status, and (2) the violent crimes which constitute minimum security disqualification. In addition to these factors, point system security level overrides are exercised with discretion for inmates who have medical or mental problems, and those who are informants,

homosexuals, or who have received public notoriety. In these latter cases, only the classification supervisor can override the security level determined by the point system. Overrides occur in about 10% of the inmate classification decisions.

The development cost of the entire Inmate Classification Information System is estimated at \$150,000 and was funded out of the Sheriff's Department budget. Start-up costs for operationalizing the system in the central jail were \$75,000. These funds, which came from the Custody Division's budget, were spent primarily on training staff and developing operating procedures. Staff and administration have accepted the security classification system, though long-term classification staff demonstrated some initial skepticism. Present staff feel that the system of classification has simplified their task of assigning custody levels. During the implementation phase, staff training reduced initial disparities in the definition and interpretation of terms on the interview record and point assignment scale. Inter-rater reliability is not currently seen as a problem. Discretion is not allowed in scoring individual classification variables, but overrides to the final security level assigned from the point system are available, as discussed previously.

Computer down-time complicates the interview process since the information on prior criminal record supplied by the inmate must be verified before classification can be completed. Computer malfunctions cause a suspension of the classification process, and seriously impact the large workload of the staff. All other information supplied by the inmate is considered credible, such as length of residence, employment, etc. The completion of the interview record, verification of prior criminal record, and assignment of security level for each inmate require three to four minutes of the classification officer's time. All inmate classifications made by classification officers are subsequently reviewed by detail supervisors.

Results and Impact

The inmate classification system implemented in 1977 at the central jail is currently being evaluated in terms of its impact on escapes, assaults,

transfers, and disciplinary problems. This information will be contrasted with baseline data from the pre-1977 period of jail operations. The impact of the classification system on jail operations and management must await the results of this evaluation. Classification personnel currently have little knowledge of the impact of the system on jail management downstream from their operation. The system evaluation presently underway will explore the relationships between inmate classification policies, procedures, and jail operations.

The classification system has satisfied the court order given in Rutherford vs Pitchess by establishing formal departmental policies for a structured and objective inmate classification system which uses a fixed set of weighted variables applied consistently to all inmates during the central intake process.

Commentary

The present inmate classification system, involving the use of a structured, validated instrument by a central intake program, is considered by supervisory jail staff to be a great improvement over its predecessor which consisted of the subjective judgment of jail personnel at multiple decision points in the system. The system provides equitable treatment to all inmates by applying a standard set of criteria for the determination of the appropriate security level for each.

APPENDIX B
VIOLENT CRIMES WHICH CONSTITUTE
MINIMUM SECURITY DISQUALIFICATIONS

(Page Two)

Charge

113 With intent to commit murder, rape, etc.
114 Maiming
CHAPTER 35 ESCAPE AND RESCUE
751 Prisoners in custody
752 Instigating/assisting escape
753 Rescue to prevent execution
CHAPTER 39 EXPLOSIVES AND DANGEROUS ARTICLES
832 Transportation
837 Use or possession
CHAPTER 51 HOMICIDE
1111 Murder
1112 Manslaughter
1113 Attempt murder
CHAPTER 55 KIDNAPPING
1201 Transportation
CHAPTER 99 RAPE
2031 Rape
CHAPTER 103 ROBBERY AND BURGLARY
2111 Robbery
2112 Personal
2113 Bank robbery

SITE VISIT REPORT
DECISION POINT: INSTITUTIONAL CUSTODY

SANTA CLARA COUNTY JAIL

SANTA CLARA, CALIFORNIA

SITE VISIT: March 21 - 24, 1978

INTERVIEWERS: Saul Geiser, Ph.D.
Gary Taylor, Ph.D.

CONTACT PERSON: Patricia Ruch
Lieutenant - Screening Officer
Santa Clara County Sheriff's Dept.
(408) 299-2831

Overview

In 1974 the Sheriff of Santa Clara County (California) instituted the Diagnosis, Classification and Treatment Project (DCTP). Funded by a three-year, \$600,000 grant from LEAA, DCTP was mandated to plan and develop a screening/classification system for processing prisoners in the Santa Clara County jails.¹ The screening classification system was intended for use in making two key types of decisions: (1) housing/level of custody decisions (mostly pretrial) for prisoners at point of intake into the main jail, and (2) eligibility of sentenced prisoners for work furlough.

As discussed in more detail later, the DCTP staff consists mainly of individuals with social-science backgrounds, many of whom see themselves as "reformers" of the criminal justice system. The "reformist" orientation of the project was duly reflected in the style of research which resulted: rather than studying the characteristics of inmates, the traditional manner of criminological research on screening/classification, DCTP instead pursued an organizational analysis and critique of the jail system itself.

At the time of the site visit, the DCTP grant period had ended and the project had been disbanded. Continuing was a Classification Section comprised of Sheriff Department personnel assigned to the detention facilities operated by the county including the main jail (maximum security), Elmwood (medium and minimum security), North County (maximum security), and the Women's Facility (all security levels). At that time (March, 1978) the Classification Section made housing decisions for all prisoners in the county system and prepared a classification form (Appendix A) which indirectly influenced decisions regarding eligibility for work furlough. At present, however, the "Furlough Classification Assessment" form has been abandoned for use in all facilities, with the exception of the Women's Detention Facility. Section personnel include Lieutenant Ruch, Supervisor, one sergeant in charge of operations at the main jail, and one sergeant in charge of operations at the Elmwood facility. Three

1. Santa Clara County encompasses 1,312 square miles, 15 municipalities, and a population of over 1,500,000. The county is primarily suburban. The majority of those living in the county are middle-class white, although there is a large Mexican-American population (18%).

full-time deputies and a law enforcement clerk work at the main jail, and one deputy handles classification at the Women's Facility. With the exception of the clerk, all personnel in the Section are sworn law enforcement officers.

Individuals are referred to the sheriff for pretrial custody by all law enforcement agencies operating in the county, and sentenced prisoners are referred by the courts. Individuals referred for pretrial custody are interviewed at intake to the jail regarding eligibility for pretrial release. This decision is made by a pretrial release program that is independent from the sheriff in the case of misdemeanors, or by a judge who is authorized to release both felons and misdemeanants on bail bond or own recognizance. If the decision is against releasing an individual prior to trial, the Classification Section makes a housing decision based upon a five to fifteen minute interview with the defendant. Options include solitary confinement, two-man cells, or group housing. Sentenced prisoners are housed in the main jail for maximum security, and in Elmwood for medium or minimum security. Both pretrial and sentenced females are housed in a separate facility at Elmwood. Options again are solitary, two-women, or group housing. The Classification Section makes the decision regarding where sentenced and unsentenced prisoners will be housed in all cases.

Eligibility for work furlough is the other decision the Classification Section was intended to make. First of all, the Section was to decide when an offender can be considered for eligibility. Those classified as a minimum risk would be immediately eligible for review and would have their case examined for furlough eligibility within five days. All other cases would be reviewed within 40 days.

In actuality, whether or not a furlough is granted depends upon the decision of three individuals who are not members of the Classification Section. A rehabilitation officer (not a deputy sheriff) first reviews the case, then the senior rehabilitation officer (also not sworn) makes a judgment about the case. Finally a lieutenant in the sheriff's department decides whether to grant a work furlough. The furlough decision is made subjectively; it is not influenced directly by any classification decision although classification information is available to the decision makers.

The Instrument and Its Development

The instrument developed by the DCTP for the screening/classification

system is designed to evaluate five elements: (1) custody problem, that is, the imminent physical risk to others or to himself that the prisoner presents upon admission and during his incarceration; (2) criminal sophistication, operationally defined according to whether or not the defendant/offender has previously been incarcerated for six months or longer; (3) crime severity, trichotomized by misdemeanor, non-assaultive felony, and assaultive felony; (4) abuse history, referring to documented problems of drug abuse; and (5) legal restraints, referring to legal holds or pending charges against an offender other than those related to the present offense. Limiting the instrument to these five variables reflects a concern for simplicity, for restricting screening/classification to criminal rather than social-history or psychological-type variables, and a concern for emphasizing factors which can be readily documented and thus are less susceptible to discretionary judgment.

As originally designed, the instrument (Appendix A) was to be employed initially to decide the level of custody designation for both pretrial and sentenced prisoners. Defendants/offenders could be classified as "A", aggravated custody problem; "B", custody problem; or "C", no custody problem. Although the criteria for this determination are not entirely explicit, the instrument's design requires a "documented appraisal by a classification officer subject to review by the classification supervisor".² If the offender/defendants are classified as either "A" or "B", they are sent to the appropriate maximum or close security facility. If they receive a "C" classification, however, a variety of less restrictive options are available depending upon their combined rating on "criminal sophistication", "crime severity", and "abuse history". These three variables are really the heart of the system as designed since they provide for more precise discriminations among different types of offender/defendants. The fifth variable, "legal restraint", serves mainly as an automatic exclusion rule, precluding those with outstanding felony holds from participation in increased freedom of movement activities.

In the pretrial area, the three variables are intended to be used primarily for making appropriate housing assignments, which in effect separate the criminally sophisticated from the unsophisticated, and segregate those

2. Diagnosis, Classification and Treatment of the Santa Clara County Jail System, Project Report, San Jose, California, September 1977.

charged with serious crimes from those with less serious felonies and misdemeanors. In the post-conviction area, the three variables are intended to function in essentially the same manner, the difference being that they now focus on furlough eligibility. As in pretrial, convicted offenders classified as "A" or "B" receive maximum or close security facilities, and only those classified as "C" (housed at Elmwood) may become eligible for lessened restrictions, in this case work furlough. The classification system as originally designed provides for an easily calculated, specified date when a prisoner becomes eligible for furlough (subject only to the approval of the rehabilitation officer) which is based on the severity of the current offense and prior criminal record.

As mentioned earlier, however, the original five-variable instrument is no longer in use except in the Women's Facility. For initial housing assignments, the Main Jail now considers 12 criteria which they consider relevant to the custody level decision:

1. Legal requirements (juvenile and civil commitments)
2. Current charges
3. Bail amount (if significantly high)
4. Current state of mind (assaultive, mental/emotional health)
5. Physical condition (medical problems)
6. Age: young or old (based on appearance and demeanor)
7. Criminal sophistication (prison record, over or under six months county jail time)
8. Race (to maintain racial balance in housing areas)
9. Sexual preference
10. Prison gang affiliation
11. Escape history
12. Special problems requiring protective custody

In considering prisoners for transfer to minimum or medium security facilities, the Classification Section now considers all of the above factors in addition to the total amount of bail and sentence status. All information for housing is developed through a combination of a prisoner interview, criminal history examination, and custody records search. The Section also uses a "Rehousing

Card" developed by DCTP to track a prisoner's moves during incarceration. The Section has not as yet had the opportunity to develop a new classification instrument employing weighted variables, but it hopes to in the near future. The Section also hopes to expand its services to include an Assessment for Treatment Program that would identify the specific needs of the sentenced prisoner. After assessment, recommendations for treatment would then be forwarded to the Rehabilitation Unit.

The research underlying the development of the original instrument consisted mainly of interviews and participant-observation by DCTP staff within the jail system, together with the collection of available statistics on prisoner flow within the system. With the exception of a follow-up evaluation of the furlough program completed after the screening/classification system had been designed and implemented, the project did not adhere to what, by contemporary social-scientific standards, would be considered a rigorous methodological design.³ The research was more qualitative than quantitative in nature, in part due to technical limitations of organizational analysis and participant-observation, but mainly due to the openly acknowledged attempt of the DCTP staff to modify the local justice system.

Implementation

"There's often a slip 'twixt the cup and the lip," and the same is true of the gap between development and implementation in this case. Perhaps the most important lesson that other criminal justice administrators can learn from the Santa Clara County Jail's experience is how the lack of communication and cooperation between researchers and practitioners can effectively block the implementation of a screening/classification system, even where that system is well conceived, researched, and funded. The DCT Project Report has received favorable national attention in the criminal justice community, and the National Institute of Corrections includes the report in its package of model designs for those requesting information on jail screening and classification. Nevertheless, as those responsible for the

3. The reader is referred to the project's final report, "Diagnosis, Classification and Treatment of the Santa Clara County Jail System", September 1977, for a complete description of research methodology.

program candidly admit, "The whole concept has been pretty much subverted by now." Classification for work release occurs in much the same manner as it always has (subjective decisions within the parameters of eligibility rules), and housing decisions in the jail are basically subjective decisions. The instrument created by DCTP is completed, but it has been totally abandoned except for use in the Women's Facility.

A revealing perspective on why and how this has happened is provided by Lieutenant Patricia Ruch, formerly in charge of the Women's Facility and now Commander of the Classification Section. From her vantage, the key problem was the lack of communication between the DCTP staff who designed the instrument on the one hand, and the badge and "rehab" personnel who were supposed to use it on the other. Ruch's advice to other criminal justice administrators: "Spend a lot of time selling the troops on the program before you try to implement it. Get them involved as a working part of it so they know and understand what you're trying to do."

In addition to the problem presented by internal staff resistance, resistance to the classification system also developed on the part of court personnel, including both judges and attorneys. Prior to the use of the system, a form of sentence bargaining was practiced in which, in return for a plea of guilty, the district attorney and the court would frequently agree to a "stay of execution" of an offender's sentence, thereby allowing him time to get a furlough plan approved so that he would be immediately eligible for release upon admission at Elmwood. The advantage to the district attorney and the court was a conviction without the necessity of going to trial; the gain for the defense attorney and his client was a minimal penalty (the hidden problem here is that the practice worked disproportionately to the benefit of more "hardened" offenders; that is, those charged with more serious crimes and/or having significant prior records benefitted since only these types of cases were important enough to reach sentence bargaining). With the advent of the classification system, however, this practice ended.

In resistance to this turnabout, writs were filed by local attorneys, the situation finally coming to a head in a special Superior Court hearing. There were no factual issues at dispute in the case, so the legal validity of the classification system itself was the only point of debate. Critics of the

classification system (including the hearing judge) questioned the legality of the sheriff denying furlough when the sentencing court has specifically ordered a stay of execution for that purpose. Moreover, the critics challenged the use of "crime severity" as a classification variable, arguing that the denial of furlough eligibility on the basis of this criterion amounted to a punishment decision, an issue which properly should be decided by the sentencing judge. Representatives of the Sheriff's Department countered by pointing out that Section 1208 of the penal code explicitly provides that the sheriff shall decide who is a "fit subject" for furlough. Furthermore, they argued that the factor of crime severity should be considered not in regards to punishment, but out of concern for community tolerance of the furlough program and the sheriff's responsibility to protect the public. Nevertheless, the hearing judge was not persuaded by these arguments and ordered the sheriff to reconsider the cases for furlough. When the sheriff still refused to grant furlough in one of the cases, the judge suspended sentence and placed the offender on two years probation with a fine of \$1,500. Moreover, the judge organized a review committee, including representatives of the various components on the criminal justice system, to consider the classification system further.

As a result of these developments, the sheriff came under considerable pressure to modify the classification system. Policy changes resulted which effectively rendered the classification system non-operative, at least as far as furlough eligibility was concerned.

Screening and Decision Processes

The screening and decision process intended by the DCTP has been previously explained, and the actual process employed has been alluded to in preceding sections. Despite the creation of a classification instrument, the Classification Section hears appeals and makes housing and relocation decisions by employing general guidelines (based on the type of crime) to determine who is eligible for maximum, medium, or minimum supervision. The furlough decision is made similarly, although the Work Furlough Program is in the process of developing a new formal classification instrument.

Results and Impact

As discussed earlier, the classification program was designed to influence two basic decisions--housing and work furlough eligibility. Impact of the program on these two decisions is discussed separately below.

Housing Decisions. The Classification Section does make housing decisions in all detention facilities, and jail authorities claim that violence has been significantly reduced since implementation of the program. Official statistics on this point are not available, but supervisors in the main jail and at Elmwood were highly enthusiastic about a reduction in knifings and other forms of jail violence since formal classification was instituted. Yet the original classification instruments have been largely subverted. Custody level assignments are made through a subjective decision process based on certain defined factors, rather than on the basis of numerically derived classification codes. In short, evidence shows that the advent of the Classification Section has had a positive impact on the jail system, but the standardized instrument developed by the DCTP has not contributed significantly to that impact.

Furlough Eligibility. Policy decisions have also rendered the classification system inoperative for purposes of determining furlough eligibility. In effect, the furlough eligibility aspect of the classification system has no current impact on the operation of the Sheriff's Department or on the operation of other agencies.

Statistics compiled by the DCTP indicate that during the brief time that the system was fully operational (almost three months), those approved for furlough were a lower risk group, based on incarceration history and crime severity, than those approved during the subsequent three-month period in which the system was essentially subverted. In addition, a slightly higher percentage of prisoners were released during the implementation period. These findings suggest that full implementation of the program would result in more people being released on work furlough without increased risk to the community. Of course, that conclusion is unsubstantiated since the program has not been fully implemented.

FURLOUGH CLASSIFICATION ASSESSMENT

If the statement is true, check (X) the appropriate box. If not true, leave blank.

Commentary

The instrument developed in Santa Clara County was well thought out and has potential as the basic element in an effective screening procedure. The negative experience of its implementation, however, points out two important considerations for other agencies developing or modifying classification systems. First, staff must be in agreement with the philosophy and general plan underlying the instrument. Second, informal as well as formal operations in the local justice system must be taken into consideration when developing classification procedures.

An additional insight gained from the Santa Clara County experience is that reports of successful criminal justice programs may misrepresent reality. Formal reports on the DCTP suggest that an effective model classification system is in operation in Santa Clara County, while in fact, a system designed at great cost was largely subverted shortly after its creation and is no longer operational.

.This is the first criminal conviction:	<input type="checkbox"/>									
.Previous sentence(s) (if any) have always been less than six months... ..	<input type="checkbox"/>									
or										
.Have been <u>previously</u> sentenced to jail or prison for six or more months... ..	<input type="checkbox"/>									
Have been previously convicted: check ea.										
.Three or more times (counts) for an alcohol related crime	<input type="checkbox"/>	p								
.Three or more times (counts) for a drug related crime	<input type="checkbox"/>	r								
.Three or more times (counts) for a crime involving personal assault.	<input type="checkbox"/>	t								
.For escape	<input type="checkbox"/>	s								
.Have had less than 4 months between last sentence release and current arrest	<input type="checkbox"/>	j								
.None of the above boxes (p,r,t,s,j) are checked.....	<input type="checkbox"/>									
.One or more of the boxes (p,r,t,s,j) are checked.....	<input type="checkbox"/>									
.The current criminal conviction can only be classified as a misdemeanor... ..	<input type="checkbox"/>									
or										
.The current criminal conviction can be classified as a felony but by code definition does not threaten physical assault	<input type="checkbox"/>									
or										
.The current criminal conviction is a felonious crime which by code definition threatens assault to a person, i.e. robbery, rape, arson, extortion	<input type="checkbox"/>									
			u	3	2	H	I	D	Y	Z
.Check only the boxes which have been checked in the column directly above	<input type="checkbox"/>	3H								
.Write in the appropriate code letters										

NOTE: Prisoners classified (A or B) as a custody problem because of jail behavior will not be eligible for furlough opportunities until cleared by Classification at specified review times. Further, not eligible are prisoners with a "no work furlough" court order or prisoners having outstanding felony or parole holds or detainers... K Class. designation for the above = ()

LEGEND:	Code letters	=Class.	=Outcome	Code letters	=Class.	Eligible within 40 days. After 40 days prisoners are entitled to request a thorough review of their case by the REVIEW COMMITTEE
	HD 3HY	F	Upon approval of plan: eligible immediately	2Y or HZ 3IY or Z 2ID	R	
	3ID & all others	F- R L	eligible within 40 days 0 to 40 days	2IZ	L	

Elmwood staff signature _____ Staff initial rap sheet verification

Prisoner Booking Number _____ First name _____ Last name _____

Date _____

CODE DESCRIPTIONS

Custody Problem	-C- Has not presented any special problem(s) while in custody. -B- Presents documented special problems to himself or others while in custody. -A- Presents documented aggravated security problems while in custody.
Incarceration history	-3- Spent less than six months incarcerated at any one time. -2- Spent more than six months incarcerated at any one time as the result of a sentence
Significant crime problem	-H- Criminal record check revealed no significant problem related to program management. -I- Criminal record check revealed a significant problem related to program management. (see subdivisions below)
Crime severity	-D- Current court adjudicated offense(s) could only be considered a <u>misdemeanor(s)</u> . -Y- Current court adjudication resulted in a <u>felony crime conviction(s)</u> but none was a crime against person act, (includes property and drug violations). -Z- Current court adjudication resulted in a <u>felony crime conviction for a crime against person act.</u>
Legal restraints	-G- No legal holds or restrictions on freedom of movement imposed beyond the actual sentence. -K- A legal hold or restriction is appended to the actual sentence.

Note: Codes B, 3, 2, and -I- are further subject to the following coded subdivisions:

B	-d- disciplinary (3+ minor or 1 major infraction can result in this designation for 30 days). -p- protective custody or medical psych problem.
3 or 2	-u- no criminal convictions. -v- minor conviction record of one to 179 days sentence. -w- major record: sentenced to 180 days to 1 year incarceration. -x- prison record: sentence of one year or more as an adult.
I	signifies prisoner has a criminal history of either: -p- three or more alcohol-related convictions, -r- three or more drug-related convictions, -s- one escape conviction, -t- three or more assault convictions,

SITE VISIT REPORT
DECISION POINT: INSTITUTIONAL CUSTODY

COLORADO DEPARTMENT OF CORRECTIONS

CANON CITY, COLORADO

SITE VISIT: June 27 - 30, 1978

INTERVIEWER: Marvin Bohnstedt, Ph.D.

CONTACT PERSON: Lou Hesse
Director
Diagnostic Services
Tele: (303) 275-3311

Overview

The Colorado Department of Corrections (CDC) has recently inaugurated use of risk assessment instruments within correctional facilities to reduce escapes, violent crimes, and suicides. Their proposal (CDC, 1977) for LEAA funds to implement these and other measures cites Colorado's recent experiences of six murders, two suicides, numerous rapes, kidnappings, and other crimes being committed by prison escapees. The proposal reports that prison inmates also commit murder, sexual assault, arson, and drug related crimes within the institutions. The Department hopes to reduce the incidence of escape, suicide, and violence through initial evaluation, classification, and programming of inmates. These approaches are expected to become increasingly necessary as more inmates are placed in community correctional programs because the residual population in prison will be harder to handle.

The most recent (1976) FBI Uniform Crime Report data presented below compare serious crime in the State of Colorado with crime in the United States as a whole. Table 1 shows the rates per 100,000 population for each of the "Part I" offenses, and the deviation of Colorado rates from those of the United States.

Table 1

Offense Rates per 100,000 Population
for Colorado and the U.S. in 1976

Jurisdiction	Homicide	Forcible Rape	Robbery	Aggravated Assault	Burglary	Larceny	Vehicle Theft
Colorado	7	34	140	237	1,880	4,044	442
U.S.	9	26	196	229	1,439	2,921	446
Deviation	-22%	+33%	-29%	+3%	+31%	+38%	-1%

For example, the Colorado homicide rate is 22% less than that of the U.S. according to this calculation $[(9 - 7) \div 9] \times 100$; the other deviation percentages are calculated similarly. Among the four most personal offenses,

the incidence of forcible rape in Colorado is higher than that of the U.S. as a whole, while homicide and robbery are lower in Colorado and aggravated assault is about the same. Among the less personal Part I offenses, both burglary and larceny are higher in Colorado, while vehicle theft is about the same. Furthermore, these same approximate relationships existed in 1975 and 1974 as well. All combined Part I crimes in 1976 were about 29% higher in Colorado than in the U.S. as a whole, and that relationship has held since 1974. These data demonstrate that the state has substantial problems to contend with, especially in the Department of Corrections.

The risk assessment effort is part of a diagnostic program addressing broader goals. The larger program encompasses assessment of offenders' employment, skills, and needs for the newly created Division of Correctional Industries as well as treatment concerns. The program aims at "translating raw test materials into usable casework reports which can be understood and directly applied by the program staff" (CDC, 1977), and at providing updated case information useful for employment and treatment programs. The program is also expected to extend diagnostic services to the pre-sentence level of the criminal justice system to aid in decisions about case dispositions at that level.

The Department of Corrections is currently consolidating its diagnostic services into a single center to achieve these purposes, although recognizing that "historically, the approach of utilizing professional level staff to do a complete diagnostic work-up has not been successful" Instead, the Department plans to use an automated diagnostic procedure including computer scored psychological tests to provide information for individual case decisions.

The diagnostic program was created in 1974 by Senate Bill 11 and 12 to evaluate offenders sentenced by the state courts and help in assigning them to appropriate security and treatment programs within institutions. In 1978, House Bill 1242 was enacted to achieve the following effects (Dodge, 1978, p. 1):

Centralizes the Colorado diagnostic program at the state penitentiary. Declares that all persons deemed to be in the custody of the department of corrections are to be sentenced initially to the diagnostic center. Requires parole violators to be transported to the diagnostic center.

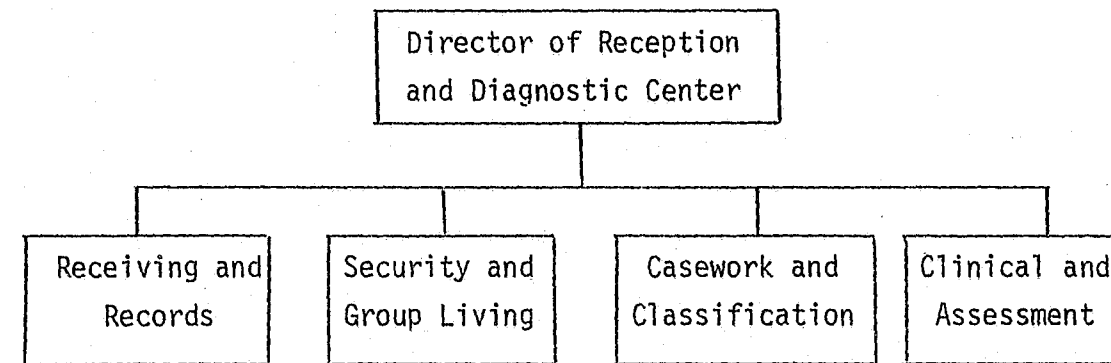
This LEAA funded diagnostic program, known as the "Casework Development and Reporting System," is being staffed by two Correctional Specialists, a Chief Administrative Clerk, one Administrative Clerk "B", and one Administrative Clerk "A". Additionally a contract vendor, Dr. Herbert Eber of Psychological Resources Incorporated, provides: (CDC, 1977)

1. An on-site data processing system which will score and integrate psychodiagnostic test data into a functional report and will continue to hold an individual offender file which is routinely updated. Reports as needed will be generated from this continuing file.
2. Research which will develop the specific predictions needed.
3. Consultations and training to current Departmental staff.

This new system is designed through the use of automation to preclude the need for the ten additional positions otherwise needed in the future. After the system is in place, "it will not require the addition of staff over and above the twenty-seven (27) FTE's [full-time equivalent positions] in the 1978-1979 Department of Correction Budget Request" (CDC, 1977). These 27 positions operate the entire Diagnostic Unit. The "trade-off" for this savings in personnel is a \$25.00 charge per inmate for computer diagnosis. This charge covers unlimited re-testing to update the individual's records.

Cases come to the Diagnostic Unit from the state courts as newly sentenced prisoners or for pre-sentence evaluation. Cases also come to the Unit as parole violators returned to prison. The Unit receives approximately 35 cases in total per week. This centralized intake represents a change from recent procedures in which courts could send cases either to the Diagnostic Unit at the reformatory, or to the Unit at the maximum security institution where the new consolidated program is located. Under this new program, all diagnoses are done at the maximum security institution including those for reformatory inmates.

The consolidated Diagnostic Unit is organized as shown on the following page:



This Diagnostic Unit basically decides what type of program and custody the individual "needs," and then sends the inmate to a facility where those needs can be accommodated. The eight optional facilities where inmates can be sent are as follows:

- Maximum Security Institution
- Medium Security Institution
- Reformatory
- Women's Institution
- Western Slopes Camps
- Honor Camp
- Community Services, Correction and Parole
- Other Agencies (like State Hospital)

The choice among these options is based in part upon risk assessment instruments described in the following section.

Instruments and their Development

The escape risk assessment is derived from three different tests published by Raymond B. Cattell (e.g. Cattell and Eber, 1964): the Culture Fair Intelligence Test, the Sixteen Personality Factor Test, and the Clinical Analysis Questionnaire (CAQ). The suicide risk assessment is derived strictly from the CAQ. The violence risk assessment is yet to be developed, but it will start with a theoretical scale to be improved with empirical data.

The escape and suicide assessments were developed by Dr. Herbert W. Eber's

Psychological Resources Inc. of Atlanta, Georgia. Dr. Eber has also installed these systems in the Georgia and Oklahoma Departments of Corrections, and is now implementing them in Maine's community facilities as well as the Colorado Department of Corrections. Derivation of the risk assessment instruments employed similar data and followed the pattern described by Eber (1966).

Dr. Eber's philosophy is to combine psychological test data with narrowly defined human judgment to arrive at suggested diagnoses. These diagnoses are then "fed back" to staff for verification. Dr. Eber provides data for decisions, but makes no decisions himself. That responsibility remains with the case worker for whom the information is prepared.

Implementation

The diagnostic system is just now being implemented (summer of 1978). During the first twelve months of the LEAA funded project, there will be four formal training sessions, the first of which has recently been completed. It was addressed to diagnostic staff although some custody and other personnel attended as well. This session was devoted to test interpretation, report writing, and treatment recommendations indicated by test data. A second session will be conducted to train Correctional Industries staff in the treatment of their assigned clients. A third seminar will be held for housing staff to ascertain their needs and supply support for handling and treating their client caseloads. Finally, a specialized training seminar will be conducted for mental health staff.

Screening and Decision Processes

When a person enters the Diagnostic Unit, a specially trained secretary administers an initial battery of pre-recorded pencil and paper tests. Based on the results of the initial testing, other tests such as the MMPI, TAT, Weschler, etc. are administered by testing specialists. Of the initial battery, four tests are computer scored -- the Culture Fair Intelligence, Sixteen Personality Factor, Clinical Analysis Questionnaire and the Motivational Analysis Test (as mentioned earlier, the first three of these tests are used

for the escape and suicide risk assessments). The other tests are scored by hand, and the results are entered into the computer.

The computer then generates a psychological report which contains narrative comments under each of the following headings:

- Security
- Critical Problems
- Counseling/Earned Release Performance
- Motivational Patterns
- Remedial Education Needs
- Educational/Vocational Competence and Interests
- Medical/Psychiatric Factors (for physician use)

The report also contains a technical appendix which links the test results on which the narrative recommendations are based. An example report is presented in Appendix A of this paper. The Psychological Report is sent to the inmate's caseworker, master file, and institutional file. The caseworker, who has Master's level training, is asked to verify the information or "feed back" to the computer any disagreements. The caseworker then makes the security and program decisions, specifying the reasons for taking any action contrary to that suggested by the computer output.

Sixteen different specialized reports can also be generated by the computer from the testing data. An appropriate report is generated when the inmate is referred to a particular program, such as Rehabilitation Counseling, Mental Health, Community Services, or Academic Education. In addition, the computer generates a list of those individuals who represent significant suicide or escape risks.

Other types of risk are also assessed by computer. The printout suggests a security classification based on the Department's criteria, which include time until parole eligibility, crime, and adjustment. These criteria are primarily based on the concept of maximum security for inmates who represent the greatest danger to the public and other inmates. Yet interestingly, some criteria are currently based on the concept of maximum security for inmates who would raise the greatest public reaction rather than those likely to commit misbehavior. For instance, sex offenders can never be placed in minimum custody even though they are not bad risks for institutional adjustment or escape.

Violence proneness assessments are now based on both psychological predictive data and the inmate's current crime. At this point, the validity of the violence predictions are subject to questions, but Dr. Eber's study of the five year intake data is expected to increase the validity.

Results and Impact

Since inception of the system in 1978, the computer has processed about 800 cases, but follow-up analysis has not yet been accomplished. Nevertheless, some anecdotal evidence is available. Prior to implementation of the current project, the Sixteen Personality Factor Test was used to screen candidates for the Delta Camp. As a result, escapes were reportedly reduced at Delta. Before using the test, about 30 inmates per year would "walk away" from the camp, but in the year after the screening began, no inmates placed by the Diagnostic Center escaped. Paradoxically, the same information did not predict walk aways from work release, probably because there are significant differences in the settings; Delta Camp is located in a rural environment, while work release is in downtown Denver. These findings suggest to CDC staff the importance of measuring the circumstances in developing behavioral predictions. However, after centralization of Diagnostics and during the early stage of the current project, test results were not incorporated into the decision making process. Intuitive judgments by caseworkers were used in the screening process with a corresponding increase in the number of escapes. Review of those escapee's test results show a high incidence of identified escape proneness.

Some information is also available concerning the results of using these tests outside Colorado. Escapes in Georgia, for example, have decreased considerably since Dr. Eber's predictions were put into use in 1974. Prior to that time, the escape rate per thousand inmates vacillated between 44 and 58. Then in 1974, the rate went down to about 40, in 1975 to about 30, in 1976 to 26, in 1977 to 25, and during the first part of 1978 it was holding at 25. Admittedly, the quality and quantity of correctional officers and administrative control in the system have increased during this time, factors which could have decreased the escapes. But on the other hand, the population has increased from 8,500 to 11,500, the Department has opened community centers, and sentence lengths have increased, all of which may have contributed to escape increase.

The only data available on the suicide predictions also came from Georgia, actually from the Women's Institutions there. Out of 600 cases, 60 were identified as suicide risks and 540 were considered non-risks. Of the 60 risk cases, 12 made bonafide suicide attempts, 12 made questionable attempts, and 36 made no suicide attempts. Of the non-risks, none made actual attempts, 20 made questionable attempts and 520 made no attempts. These figures are shown in Table 2.

Table 2
Suicide Attempts by Predictive Categories
Georgia Women's Prison

<u>Predictions</u>	<u>Attempts</u>		
	No	?	Yes
Risk 60	36	12	12
Non-Risk <u>540</u>	520	20	0
600	556	32	12

The decision making instruments are used in conjunction with the VISOR system which describes an offender's progress through the system. The record contains a complete history of movements, security classifications, assignments, disciplinary actions, escapes, and other relevant information. This information is presented to management staff and classification boards to promote consistency in offender management decision making, and to identify program and facility resource needs.

Commentary

Since the diagnostic system is so new in Colorado and the risk assessments are embedded in other new procedures, it is difficult to isolate the impact of screening for risk. Changes in the larger classification processes, however, are quite dramatic because diagnostic procedures are being centralized and automated. Some of the methods employed in the Department may be useful for other departments. As increasing experience with the system is gained, better assessments of its utility can be made.

The specific risk assessments which are part of the diagnostic system -- escape, suicide, and eventually institutional violence -- are low base-rate phenomena and consequently difficult to predict. Nevertheless, they are extremely important when they do occur, so reduction of their occurrence is very desirable. The question is whether the reduction of incidence is worth the cost (in the broadest sense) especially for the false positives-- those who would not commit the behavior anyway.

The Commissioner of Colorado Corrections, Dr. Allen Ault, estimates that escapes cost on the average of \$4,000 each, or more if a helicopter is involved in the search. As suggested by Dr. Eber, if screening prevented 200 escapes from Georgia prisons last year, the \$800,000 savings would justify considerable cost of assessment and counter measures. Of course, in the case of suicide prevention saving just one life might justify considerable expense, depending on one's values; one person might say no cost is too great, while another might say let them die. The difficulty lies in determining the extent to which screening contributes to any reduction of these occurrences.

While some of the accounts of screening effectiveness are tantalizing, controlled research is needed in order to ascribe the results with any confidence to the instruments in question.

References

Cattell, R. B. and Eber, H. W., Handbooks for the 16 personality factor questionnaire ("The 16 PF"), Champaign, Illinois: 1 PAT, 1957 (with 1964 supplementation).

Colorado Department of Corrections, Casework Development and Reporting System, Application to the Colorado Division of Criminal Justice for a Grant, 1977.

Dodge, Representative, A Bill for an Act Concerning the Colorado Diagnostic Program, House Bill 1242, Fifty-first General Assembly, State of Colorado, 1978.

Eber, H. W., Multivariate Analysis of a Vocational Rehabilitation System, (Monograph No. 66-1), Fort Worth, Texas, Society of Multivariate Experimental Psychology, 1966.

STATE OF COLORADO
Department of Corrections
Correctional Diagnostic Center
P. O. Box 1010, Canon City, Colorado 81212
Telephone (303) 275-3311, Extension 228

DATE TESTS BEGUN 23 June 1978
DATE TESTS COMPLETED 23 June 1978
DATE OF REPORT 23 June 1978

NAME: (name deleted throughout) ISSUE: K-12 FILE NUMBER: CORRDAO-758

AGE: 22 GENDER: Male REFERRED BY:

PSYCHOLOGICAL REPORT

This report is organized into sections; each section deals with a different aspect of the inmate's behavior. A technical appendix, at the end of the report, shows the data upon which the narrative is based. The reader is cautioned, however, that the patterns analyzed are subtle and complex; the content of the report cannot be accurately inferred from review of the scores.

SECURITY:

Mr. _____ should be placed, at this time, under substantial security. This is not a matter of severe risk of violence or escape, but there is so much emotional disturbance, and there are run-away tendencies. Cautious handling of this inmate seems appropriate; he is definitely a poorer risk than the average inmate.

CRITICAL PROBLEMS:

The test data suggest some tendencies toward suicide. These are not extreme, and the actual likelihood of a suicidal attempt is small, but not so small that it can safely be ignored. Referral to the suicide counseling program is recommended.

COUNSELING / EARNED RELEASE PERFORMANCE:

The inmate is a neurotic person whose defenses interfere with his adjustment. His coping techniques are ineffective and achieve few satisfactions for him. He needs to learn new ways, new skills, new goals; behavior modification techniques are likely to be helpful along these lines.

Any performance oriented program will produce a special counseling need for this inmate because he feels confused and unable to cope with reality. Extra explanation and counselor support will be needed.

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MOTIVATIONAL PATTERNS:

Mr. _____ is extremely motivated toward career success. However, while habit patterns needed for success are strong, the inmate's inner drive is much less, and the pattern is thus likely to decay with time and upon encountering barriers.

The inmate values sensual pleasure and responds strongly to sexual and romantic stimulation. Much of this orientation is at the level of desire rather than fulfillment, and thus some frustration is implied. Counseling, increased sexual opportunity, or diversion of sexual energies into sublimated forms of expression all may help resolve the substantial conflict.

Looking at less intense motives that contain conflict, Mr. _____ has convinced himself that duty and obligation are relatively unimportant, but the conviction has not penetrated to deep seated feeling levels. Some struggle to avoid guilt feelings is implied.

The inmate vacillates between independent, mature behavior and feelings of dependency upon the parents. Continuing, low level efforts to complete the emancipation process, or to accept limited dependency, can be anticipated.

Mr. _____ wants more closeness and love from the "sweetheart" relationship than he has obtained. While sexual needs are involved, the major drive is for depth and intimacy.

REMEDIAL EDUCATION NEEDS:

The inmate's poor educational skills may well be due, in part, to somewhat limited intelligence. However, some benefit from remedial arithmetic can be expected.

EDUCATIONAL / VOCATIONAL COMPETENCE AND INTERESTS:

The level of work which Mr. _____ can obtain and perform successfully is quite limited. Unskilled, low level semi-skilled, and service jobs are most appropriate. The types of jobs available and the satisfactions of earning (and spending) wages are likely to be of relatively greater importance than his interests.

Within these limitations upon his choices, the inmate shows a strong desire to work for efficiency and for technical goals, and equally strong desire to avoid work requirements of close personal contact. Requirements for precise, dependable performance of assigned tasks should be emphasized only to an average degree.

MEDICAL / PSYCHIATRIC FACTORS (FOR PHYSICIAN USE):

The inmate's depression is severe enough to suggest consideration of chemotherapy. Since elements of psychotic withdrawal are also shown, medication

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that combines anti-depressive and anti-psychotic action may be most appropriate. "Triavil" and "Etrafon" are often used for such combined treatment.

The medical suggestions above need to be considered within a framework of two major reservations, as follows:

(1) While the decision logic used conforms to generally accepted psychiatric standards, it can not substitute for the judgment of the physician who accepts and exercises his responsibility for his patient.

(2) The suggestions are based upon limited knowledge of the inmate, and upon data that can, by their nature, never be perfect.

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(name deleted)

TECHNICAL APPENDIX

The following scores have been analyzed in the preceding narrative; they are printed here for future use as a basis for assessment of change, or as an aid in addressing new issues.

ABILITIES AND APTITUDES

ALL SCORES ARE EXPRESSED IN THE "IQ NUMBER SYSTEM" (M=100, SD=15) FOR EASE OF COMPARISON. "BAN" REPRESENTS A SCORE BELOW ALL NORMS.

CULTURE FAIR INTELLIGENCE TEST, SCALE 2: IQ = 89

SUMMARY OF ACHIEVEMENT GRADE LEVEL: READING = 9.8
ARITHMETIC = 3.6
WRITING = 6.8

EDUCATION COMPLETED (IN YEARS, AS REPORTED BY THE CLIENT): 8

SIXTEEN PERSONALITY FACTOR TEST, FORM C

?	STEN SCORE	FACTOR	LOW MEANING	PROFILE										HIGH MEANING		
				1	2	3	4	5	6	7	8	9	10			
	1	A	RESERVED	*												OUTGOING
	1	B	DULL	*												BRIGHT
	1	C	EASILY UPSET	*												CALM
	6	E	SUBMISSIVE						*							DOMINANT
	5	F	SOBER, SERIOUS					*								HAPPY-GO-LUCKY
	5	G	EXPEDIENT					*								CONSCIENTIOUS
	4	H	SHY, TIMID				*									VENTURESOME
	4	I	TOUGH MINDED				*									TENDER MINDED
	7	L	TRUSTING								*					SUSPICIOUS
	5	M	PRACTICAL					*								IMAGINATIVE
	8	N	FORTHRIGHT									*				SHREWD
	8	O	PLACID, SERENE									*				APPREHENSIVE
	6	Q1	CONSERVATIVE						*							EXPERIMENTING
	9	Q2	GROUP ORIENTED										*			SELF DIRECTED
	3	Q3	UNDISCIPLINED			*										DISCIPLINED
	9	Q4	RELAXED										*			TENSE, DRIVEN
	1	MD	OPEN		*											DEFENSIVE

ITEM RESPONSES BY POSITION: LEFT = 31, MIDDLE = 51, RIGHT = 23.

COMPOSITE SCORES FROM PERSONALITY FACTOR DATA

ANXIETY LEVEL	9.1	INDEPENDENCE	5.6	EXTROVERSION	2.8
NEUROTICISM	8.9	BEHAVIOR CONTROL	3.7	DISCREETNESS	6
EMOTIONALITY	2.9	ACTING OUT TENDENCY	7.5	SUBJECTIVISM	4

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VOCATIONAL INFERENCES FROM PERSONALITY FACTOR DATA

INTERPERSONAL CONTACT PREFERENCE	1.0	ATTENTION TO DETAIL	6.1
LEADERSHIP ROLE COMPATIBILITY	2.3	REGARD FOR RULES AND REGS.	2.9
SCHOOL ACHIEVEMENT ORIENTATION	2.3	CREATIVE ORIENTATION	6.4
ON THE JOB GROWTH TENDENCY	2.3	HUM = 1 INT = 5	

MINNESOTA MULTIPHASIC PERSONALITY INVENTORY

RANGE	SCALES											
	L	F	K	HS	D	HY	PD	MF	PA	PT	SC	MA
-100	*								*		*	
95- 99	*								*		*	
90- 94	*						*		*		*	
85- 89	*						*		*	*	*	
80- 84	*						*		*	*	*	
75- 79	*						*		*	*	*	
70- 74	-	-	-	-	-	-	-	-	-	-	-	-
65- 69	*				*		*	*	*	*	*	*
60- 64	*				*	*	*	*	*	*	*	*
55- 59	*				*	*	*	*	*	*	*	*
50- 54	-	-	-	-	-	-	-	-	-	-	-	-
45- 49	*			*	*	*	*	*	*	*	*	*
40- 44	*	*		*	*	*	*	*	*	*	*	*
= 39	*	*	*	*	*	*	*	*	*	*	*	*

T-SCORES=40 112 35 52 74 60 92 73 104 88 122 70
?(-)/EXTRA(+)-

HIERARCHICAL CLASSIFICATION T-SCORES: DEV = 65; ASO = 48; PSY = 86.
(See Goldberg, L.R., Man vs. Mean: The Exploitation of Group Profiles for the Construction of Diagnostic Classification Systems. J. abnorm. Psychol., 1972, Vol. 79, No. 2, 121-131.)

CLINICAL ANALYSIS QUESTIONNAIRE, PART II

? STEN SCORE	FAC	PROFILE										HIGH SCORE MEANING	
		1	2	3	4	5	6	7	8	9	10		
9	D1											*	OVERCONCERNED WITH HEALTH AND BODY FUNCTIONS
10	D2											*	DISGUSTED; THINKS OF SELF DESTRUCTION
5	D3				*								RESTLESS; EXCITED; TAKES FOOLISH RISKS
10	D4											*	EASILY UPSET; FEELS DISTURBED
9	D5											*	FEELS WEARY; LACKS ENERGY TO COPE
7	D6										*		BLAMES SELF; FEELS GUILTY
8	D7										*		BORED WITH PEOPLE; WITHDRAWS
7	PA										*		FEELS PERSECUTED, CONTROLLED, SPIED UPON

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? STEN SCORE	FAC	PROFILE										HIGH SCORE MEANING	
		1	2	3	4	5	6	7	8	9	10		
(continued)													
3	PP			**									CONDONES (OWN & OTHERS') ANTI-SOCIAL ACTS
10	SC											*	HALLUCINATES; RETREATS FROM REALITY
7	AS										*		SUFFERS FROM REPETITIVE THOUGHTS AND IMPULSES
9	PS										*		FEELS WORTHLESS, GENERALLY INCOMPETENT

ITEM RESPONSES BY POSITION: LEFT = 24, MIDDLE = 101, RIGHT = 19.

COMPOSITE SCORES

FEELINGS OF DEPRESSION	9.1	FEELINGS OF CONFUSION, INADEQUACY	9.7
OVERT DISTRESS	6.3	BIZARRE (PSYCHOTIC) THOUGHTS	6.3
ANTISOCIAL BEHAVIOR TENDENCIES	2.5	RISK OF DANGER TO THE SELF	8.5
DENIAL OF PSYCHIATRIC SYMPTOMS	1.6		

MOTIVATIONAL ANALYSIS TEST

UNINT	INTEG	FAC	PROFILE #										TOTAL	CONFLICT			
			1	2	3	4	5	6	7	8	9	10					
7	10	Ca										U		I	Career	10	2
9	3	Ho			I									U	Home/Parent	6	10
5	6	Fr										U	I		Fear	6	4
3	5	Na			U										Narcism	2	4
7	2	Se			I										Superego	4	10
4	5	SS					U	I							Self Sentiment	3	5
9	5	Ma													Mating/Sex	8	10
3	7	Pe													Pugnacity	4	2
1	3	As			U	I									Assertiveness	1	4
5	2	Sw				I									Sweetheart	1	8

* I = Integrated
U = Unintegrated
B = Both scores same

GENERAL AUTISM - OPTIMISM	5
GENERAL INFORMATION - KNOWLEDGE	5
TOTAL INTEGRATION	5
TOTAL PERSONAL INTEREST	5
TOTAL CONFLICT	7

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PROFILE - STRONG VOCATIONAL INTEREST BLANK - FOR MEN (FORM T399)
I = MEAN, AGE 52 BASIC INTEREST SCALE + = MEAN, AGE 16

	20	30	40	50	60	70	80	I
PUBLIC SPEAKING	69			+	I			I
LAW/POLITICS	68			+	I			I
BUSINESS MGMT.	66			+	I	*		I
SALES	82			+	I			I
MERCHANDISING	66			+	I	*		I
OFFICE PRACTICES	54				+	I	*	I
MILITARY ACTIVTS.	50				+	I	*	I
TECHNICAL SUPVN.	61			+	I			I
MATHEMATICS	26			+	I			I
SCIENCE	51			+	I	*		I
MECHANICAL	62			+	I			I
NATURE	45			+	I	*		I
AGRICULTURE	32			+	I	*		I
ADVENTURE	64				+	I	*	I
RECREATL. LEADRSHP.	58				+	I	*	I
MEDICAL SERVICE	53			+	I	*		I
SOCIAL SERVICE	62			+	I	*		I
RELIGIOUS ACTVTS.	74			+	I	*		I
TEACHING	66			+	I			I
MUSIC	72			+	I			I
ART	70			+	I	*		I
WRITING	64			+	I	*		I

HOLLAND SCALES (T SCORES)

REALISTIC	65	...B
INTELLECTUAL	41	.D
ARTISTIC	72A
SOCIAL	77A
ENTERPRISING	79A
CONVENTIONAL	58	...B

See Holland, J.L., "The Psychology of Vocational Choice", Waltham, Mass.: Blaisdell, 1966.

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(continued)

OCCUPATIONAL SCALES

1. Dentist	13	C	6. Librarian	37	...B
Osteopath	26	C	Artist	18	C
Veterinarian	24	C	Musician Performer	45A
Physician	19	C	Music Teacher	49A
Psychiatrist	29	C	7. C.P.A. Owner	20	C
Psychologist	21	C	8. Senior C.P.A.	19	C
Biologist	13	C	Accountant	38	...B
2. Architect	18	C	Office Worker	50A
Mathematician	2	C	Purchasing Agent	35	...B
Physicist	9	C	Banker	24	C
Chemist	15	C	Pharmacist	33	.B-
Engineer	14	C	Funeral Director	40B+
3. Production	44B+	9. Sales Manager	38	...B
Army Officer	34	.B-	Real Estate Sales	39	...B
Air Force Officer	49A	Life Ins.Sales	34	.B-
4. Carpenter	26	C	10. Advertising Person	35	...B
Forest Serv.Person	21	C	Lawyer	26	C
Farmer	25	C	Author-Journalist	23	C
Math-Science Tchr.	37	...B	11. President-Mfg.	25	C
Printer	43B+	SUPPL. OCCUPATIONAL SCALES		
Police Officer	33	.B-	Credit Manager	45A
5. Personnel Director	43B+	Chamber of Comm.Ex.	34A
Public Administ.	56A	Physical Therapist	56A
Rehab.Counselor	55A	Comp. Programmer	46A
YMCA Staff Member	54A	Business Ed.Tch.	56A
Social Worker	55A	Commod.Ex.Admin.	40B+
Soc.Science Teach.	43B+			
School Superint.	23	C			
Minister	26	C			

NON-OCCUPATIONAL SCALES

38	44	72	40	37	33	52	52	397	3	8	84	1	14
AACH	AR	DIV	MFII	MO	OIE	OL	BL	TR	UNP	FO	LP	IP	DB

ADMINISTRATIVE INDICES

SITE VISIT REPORT
DECISION POINT: INSTITUTIONAL CUSTODY

FEDERAL BUREAU OF PRISONS

WASHINGTON, D.C.

(Includes 2 Instruments)

SITE VISIT: June 26 - 27, 1978

INTERVIEWER: Jerome R. Bush

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Administrator
Inmate Program Services
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Overview

The Federal Bureau of Prisons was established by an Act of Congress in May 1930 with the mission of developing an integrated system of institutions to provide custody and treatment based upon individual offender needs. The Bureau is administratively responsible to the Attorney General, Department of Justice. The primary function of the Federal Bureau of Prisons is to administer the Federal Prison System consisting of (1) the Central Office in Washington, D.C. which is responsible for the control and coordination of all the activities of the Federal Prison System, (2) five regional offices that provide management and technical assistance to institutional and community programs personnel, (3) six penitentiaries, (4) twenty-two correctional institutions, (5) four prison camps, (6) two detention centers, (7) one medical center, (8) three metropolitan correctional centers, (9) eleven community treatment centers (halfway houses), and (10) five staff training centers. The Bureau employs approximately 9,000 personnel to operate and administer the system.

The current inmate population of the system is approximately 30,000, with about 14,000 inmates entering the system each year. Inmates are remanded to the custody of the Bureau by the federal courts. In order to make an appropriate institutional placement, each inmate must be classified in terms of security needs (structural constraints), custody needs (degree of staff supervision required), and program needs (individual offender requirements). Classification is accomplished through the use of personal interviews, a physical examination, a battery of academic and psychological tests, and a review of all pertinent background information including pre-sentence investigation and criminal history. In the current (1977) federal prison system, the following percentages of inmates are classified into each of the six security levels: level 1 (lowest) -- 33%, level 2 -- 17%, level 3 -- 16%, level 4 -- 25%, level 5 -- 5%, and level 6 (highest) -- 4%.

I. Security/Designation Form

The Instrument and Its Development

Prompted by a seeming lack of consistency in its classification process, and the continuing increase in the number of interinstitutional inmate transfers, the Executive Staff of the Bureau of Prisons established a Task Force in January, 1977 to study the Federal Prison System's inmate classification procedures. The Task Force first reviewed available literature pertaining to state and other correctional systems in an attempt to ascertain whether an appropriate model existed which would be applicable to the Bureau of Prisons. In addition, the Task Force made on-site visits to the Department of Corrections in Michigan and Oregon.

A second step was to evaluate the existing classification process within the Bureau of Prisons. The Task Force developed a list of 47 potentially significant classification factors and presented it to a total of 77 Unit/Classification Teams. Each team was asked to rate the relative degree of importance of the 47 items. Similar information was also collected from regional and Central Office Administrators, in addition to 49 case managers, 47 chaplains, 107 correctional officers and counselors, 40 educators, 28 psychologists, 24 secretaries, and 34 administrators -- a total of 329 individuals. The very high consistency with which Bureau of Prisons' employees rated the relative importance of certain factors in determining an inmate's initial custody (the average correlation was .90) permitted the Task Force to identify the following six variables as a potential basis for assigning custody: (1) history of escape or attempts, (2) history of violence, (3) type of detainers, (4) severity of current offense, (5) expected length of incarceration, and (6) type of prior commitments.

The levels of each of the six variables were subsequently assigned points (weights) based upon their subjectively assumed relationship to the criterion risk measures of probability of violence or escape. For example, the variable "severity of current offense" was weighted from 0 to 7, based upon a severity of offense scale ranging from lowest (income tax violation) to greatest (homicide). The point total was then used to assign one of six security levels appropriate to each newly admitted inmate. The six variables and their associated points were incorporated into a prototype Security/Designation Form.

The institutions in the Federal Prison System were then grouped into six security levels plus an Administrative category in which non-security considerations (such as medical/psychiatric needs and pre-sentence status) outweighed security factors. The following seven criteria were used to group institutions into the six security levels: (1) type of perimeter security, (2) towers, (3) external patrol, (4) detection devices, (5) security of housing areas, (6) type of living quarters, and (7) level of supervision for inmate population. Table 1 shows the physical facilities of each security level associated with each of the seven criteria, and the institutions in the Federal Prison System classified within each level of security.

Assignment of an inmate to a specific institution involves completing the Security/Designation Form (Appendix A) which specifies the security needs of the incoming prisoner. The resulting point total identifies a subgroup of institutions which have the appropriate security features. Six additional factors (also emerging from data collected by the Task Force) are then used to specify the facility, within the subgroup, where the inmate will be assigned. These six administrative variables are: separation of specific inmates, age, geographical residence at time of release, judicial recommendation, degree of overcrowding, and racial balance.

The assessment of whether the new designation system is an improvement over the currently existing process will be based on the degree to which the following advantages are realized by the new approach: (1) it should keep the inmate population of the Federal Prison System in better balance, reduce the number of transfers for custody purposes, and reduce the number of inmates who request being placed in Administrative Detention for their own protection; (2) it should eliminate preferential "transfer arrangements" between institutions which sometimes preclude placing inmates in the facility most appropriate for them; and (3) it should insure that inmates are housed in the institution for which they properly classify, and thus aid the Bureau's administrators in making better use of available resources, i.e. differential staffing patterns, identifying types of, and locations for, needed new facilities.

After the prototype Security/Designation Form was developed, it was subjected to preliminary evaluation (pre-test) by Task Force members at five institutions: Eglin, Terminal Island, Texarkana, Oxford, and Lewisburg.

TABLE 1
SECURITY LEVEL CRITERIA

Level of Security	1	2	3	4	5	6
Perimeter	None	One fence or bldg.	Double fence	Double fence or single & other	Double fence or wall	Double fence or wall
Towers	None or not manned	May have towers but manned less than 24 hours	May have towers but manned less than 24 hours	Yes -- manned full & part time	Manned 24 hrs.	Manned 24 hrs.
and/or External Patrol	No	No	Yes	Yes	and/or Yes	Yes
Detection Devices	No	No	Yes	Yes	Yes	Yes
Housing	Open	Open to medium	Medium	Secure	Secure	Secure
Cells	Single & multiple + dorms	Single & multiple + dorms	Single & multiple + dorms	Single & multiple + dorms	Single & multiple + dorms	All single rooms
Level of staffing per population size	Low	Low	Low to medium	Low to medium	Low to high	High
Type of Custody	Out Community	In, Out, Community	In, Out, Community	In, Out	Maximum, In	Maximum, In

(continued)

TABLE 1 -- SECURITY LEVEL CRITERIA (continued)

Level of Security	1	2	3	4	5	6
Facilities Identified with Level of Security						
NE	Allen ^{/a} wood, Morgan- town	*Danbury ^{/a}	Peters- burg	Otis- ville	Lewis ^{/a} burg	
SE	Eglin ^{/a} Lexing- ton Maxwell ^{/a}	Talla- hassee	Ashland Miami	Memphis Talle- daga	Atlanta ^{/a}	
NC		Sand ^{/a} stone	Milan Spring- field (gen./ ^a pop.)	Oxford	Leaven- worth ^{/a} Terre ^{/a} Haute	Marion ^{/a}
SC	Fort ^{/b} Worth Seago- ville	La Tuna ^{/a}	Texar- kana	El Reno Bastrop		
W	Flore- nce ^{/a} (Camp) Safford	Termi- nal I	Engle- wood	McNeil ^{/a} I.	Lompoc ^{/a}	
	& all CTCs ^{/c} all Sate- lite ^{/e} Camps					

- a/ No YCAs at this facility
- b/ YCA females ok at this facility
- c/ YCAs ok at CTCs
- d/ YCAs ok only if housed in single cells

- e/ YCAs ok at Lompoc camp only

Note: Underlined means institu-
tion has drug or alcohol
abuse unit(s).

TABLE 1 -- SECURITY LEVEL CRITERIA (continued)

Administrative Facilities having all levels of security and custody:

Alderson
New York ^{/d}
Butner
Chicago ^{/d}

El Paso ^{/a}
Terminal Is. (Psychiatric)
San Diego ^{/d}
Pleasanton

Florence (Detention) ^{/a}
Springfield (Medical/
Psychiatric)
All Pretrial detention ^{/d}

- a/ No YCAs at this facility
- b/ YCA females ok at this facility
- c/ YCAs ok at CTCs
- d/ YCAs ok only if housed in single cells
- e/ YCAs ok at Lompoc camp only

Note: Underlined means institu-
tion has drug or alcohol
abuse unit(s).

These represent five different institutional security levels, one in each of the Bureau's regions. Two-member teams visited each facility and screened the most recent 25 direct commitments. Table 2 shows the number of inmates classified into each security level using the prototype Security/Designation Form.

TABLE 2
SECURITY NEEDS OF NEWLY ADMITTED INMATES

Institution	Security Level	Security Levels*					
		1	2	3	4	5	6
Eglin	1	7	11	7	0	0	0
Terminal Island	2	2	8	14	1	0	0
Texarkana**	3	3	6	12	3	0	0
Oxford	4	1	1	11	7	4	0
Lewisburg	5	0	1	12	5	6	1

* Circled numbers represent cases "correctly" classified.

** Only 24 cases classified.

The circled numbers indicate the number of times the inmate security level dictated by the form agreed with the level of security of the facility to which the individual had actually been assigned. A review of the points distribution (Table 3, Frequency Distribution of Security Points) revealed that it was possible to improve the "hit" score (agreement between the security level of the form and the institution) from 32% to 44% by changing four of the inmate security level cut-off points, and thereby reducing the incompatibility between the security level indicated by the inmate classification form and the security level of the facility of incarceration. To achieve this objective, the range of points assigned to the six security levels were revised by the Task Force.

TABLE 3

FREQUENCY DISTRIBUTION OF SECURITY POINTS*

Points	Levels of Security of Institutions Surveyed					Security Level	Institution
	1	2	3	4	5		
0	1	-	-	-	-	1	Eglin
1	2	1	-	-	-	2	Terminal Isl
2	2	1	-	1	-	3	Texarkana
3	1	-	1	-	-	4	Oxford
4	1	-	2	-	-	5	Lewisburg
5	1	2	1	-	1		
6	8	4	3	-	-		
7	2	2	2	1	-		
8	4	9	2	4	2		
9	2	3	-	3	2		
10	1	1	3	1	3		
11	-	-	3	1	2		
12	-	1	3	1	-		
13	-	-	-	-	2		
14	-	-	1	2	1		
15	-	-	-	-	-		
16	-	-	1	1	1		
17	-	1	-	-	1		
18	-	-	-	2	2		
19	-	-	2	1	-		
20	-	-	-	2	1		
21	-	-	-	1	-		
22	-	-	-	1	-		
23	-	-	-	1	1		
24	-	-	-	-	-		
25	-	-	-	-	3		
26	-	-	-	1	1		
27	-	-	-	-	-		
28	-	-	-	-	-		
29	-	-	-	1	-		
30+	-	-	-	-	1		

Number "Correct"
Security Level Early Revised Level

1	7	16
2	8	14
3	12	9
4	7	10
5	6	6
Total	40	55
%	32	44

*25 most recent direct commitments were surveyed (except n=24 at Texarkana).

N.B. Spaces on table (e.g., between 4 and 5, 7 and 8, 14 and 15, 21 and 22) were cut-off points for early scale; dotted lines are revised cut-off points.

In view of the score ranges found at the five institutions, an overly high "hit" score would not be improving the situation; that is, 100% agreement would mean the new system was placing inmates in exactly the same type of facilities as the current approach. On the other hand, a too low "hit" score would suggest that the Form was not adequately dealing with the variety of inmates entering the system, and was in almost total disagreement with current assignment practices.

If the 124 cases had been assigned according to the revised system, the frequency distribution shown below in Table 4 would have resulted.

TABLE 4
DISTRIBUTION OF INMATES BY CURRENT AND REVISED SYSTEMS
--Institutions--

	Levels of Security						
	1	2	3	4	5	6	
Current System Assignment	25	25	24	25	25	0	= 124
Revised System Assignment	33	38	22	21	9	1	= 124

Because the cut-off points between security levels in the revised system were evaluated using the same information that was used to develop them, a second, independent set of data was gathered. As shown in Table 5 below, 35 assignments made by Community Programs Officers (CPO's) were compared with the security level assignments that would have been made if the revised classification system had been used. Again, the same shift to less secure facilities is noted. In this validation sample there is a 60% agreement between the two approaches.

TABLE 5
DISTRIBUTION OF INMATES BY CPO ASSIGNMENT AND REVISED SYSTEM
--Community Programs Officers--

	Levels of Security							
	A	1	2	3	4	5	6	
CPO Assignment	4	22	5	0	3	1	0	= 35
Revised System Assignment	0	27	4	4	0	0	0	= 35

Implementation

The encouraging results obtained in these two "simulation tests" led to the Executive Staff's decision to pilot test this new Security/Designation System for a six to nine month period, starting in January, 1978 for actual assignments in the Western Region using the revised Security/Designation Form (Appendix A) and the facility security level classification system (Table 1) developed by the Task Force. At the time of the site visit, the pilot test had not been completed in the Western Region, and only limited implementation results are available. There was some initial resistance to the use of the Security/Designation Form by inmate classification personnel, but the new procedure has now gained acceptance. Classification personnel regard the instrument as a valid indicator of inmate risk, not an intrusion upon their area of competence. The absence in some cases of pre-sentence investigation reports has posed informational problems. An update of the definitions and instructions for scoring the Security/Designation Form was required to cover unique situations.

If the pilot test in the Western Region proves successful, the Security/Designation System will be implemented in all regions of the federal prison system. The system-wide implementation of inmate classification will be conducted under the administrative, rather than statutory, authority of the Bureau. Even though no litigation was anticipated, the classification instrument and procedures were reviewed by a lawyer assigned to the task force to assure that inmates' constitutional rights were not violated in assigning security levels, and designating institutions for incarceration. The legal review did not identify any constitutional problems in the use of the instrument in its present form.

The Task Force prepared the definitions and instructions for scoring the Security/Designation Form shown in Appendix B. No formal or informal discretion is allowed in completing and scoring the form. All overrides to the final inmate security level classification must be justified in writing. Inter and intra-rater reliability in determining inmate classifications has been investigated by the Task Force. In one study, two sample cases were presented to a group of classification personnel. In a Latin Square type design, security level was first determined by subjective judgment and then through the use of the Security/Designation Form; the order was then reversed. Order did not seem to affect security level determination. In a second study using sample cases, an inter-rater reliability of .81 was obtained using the "Kuder-Richardson 21" statistical test.

In order to implement the Task Force recommendations, regionalized inmate classification and institutional designation assignment will be established. Each Regional Office of the Federal Bureau of Prisons will create a Regional Office Designation Desk through which all initial institutional designations and redesignations (transfers) will flow and be monitored. Central Office Population Management (in Washington, D.C.) will provide the Regional Offices with reports every week on the current status of the administrative variables for all Bureau of Prisons facilities.

The Screening and Decision Process

The system flow for the institutional designation of new commitments

would follow the sequence shown below.

1. Offender is sentenced.
2. Clerk of Court sends Judgment and Commitment Forms to the Marshal.
3. Marshal requests, via TWX, designation from appropriate CPO (Community Programs Officer). CPO's are located in Bureau of Prisons metropolitan field offices throughout the country.
4. CPO gathers necessary data in order to complete Security/Designation Form.*
5. After CPO completes the Security/Designation Form and arrives at a Security Points Base--TOTAL, information is teletyped to the Regional Office Designation Desk and an institutional designation requested. The designator can change the inmate security level from that indicated by the point system, but the reasons for such an override must be documented, for example, prior knowledge of inmate behavior, separation of cases, etc. Such overrides occur in approximately 2% of the cases. Approximately 10 minutes is required to complete the Security/Designation Form, but CPO case-load volume can cause delays in inmate classification. The inmate plays no role in the classification decision itself, but upon arrival at the institution, may question the classification and accuracy of the information used in its determination. Institutional personnel also review the scoring and classification for each inmate received.
6. Based on information gathered by the CPO, the Regional Office Designator determines whether or not the offender fits into an administrative decision category. This category includes inmates

* If any inmate is sentenced to one year or less for INS violation (illegal entry) the Security/Designation Form is not required and the CPO makes direct designation to a federal or contract facility. The form must be filled out by the CPO on all other cases (except those cases where the CPO assigns to contract facilities).

who are: (a) sentenced to under six months, (b) in need of special medical/psychiatric care, (c) female, (d) juvenile, or (e) sentenced under Youth Corrections Act without concurrent or consecutive adult sentence. If an administrative facility is not required, then a regular, routine designation is made.*

7. The Regional Office Designator evaluates all information in light of the bureau-wide situation (six administrative variables). Information based on the Sunday night count is supplied (via teletype) by the Central Office Population Management staff every Monday in regard to each institution's: (a) committed count, (b) racial breakdown, (c) known designations en route, and (d) number of known releases for the next seven days.
8. The Regional Office Designation Desk specifies a facility with the required security and notes the administrative variable(s) applied, if any.
9. The Designation Desk sends four confirming teletypes to: (a) the U.S. Marshal who requested the original designation, (b) the warden of the receiving institution, (c) the chief, USPO in the offender's district of conviction, and (d) the CPO requesting the designation.
10. Upon receipt of the designation teletype, the CPO notes the administrative variable code number, if any, on the bottom of the Security/Designation Form, and in his own log. The CPO then sends all the information gathered on the offender (including the Security/Designation Form) to the receiving institution.
11. Each CPO may want to keep an ongoing designation log.

* Study Cases will: (1) have the form completed by the CPO, (2) be administratively designated by the Regional Office for the study, and (3) after final sentencing, be designated in accordance with the point base TOTAL.

12. The U. S. Marshal contacts Prisoner Coordination for authority to deliver or arrange for the delivery of the offender to the designated institution.

Results and Impact

The Security/Designation System developed by the Inmate Classification Task Force is currently undergoing pilot testing in the Western Region. Only the preliminary results of the pilot test, discussed previously, are available at this time. If the pilot test is satisfactory, the Security/Designation System will be implemented system-wide in the Bureau of Prisons. An evaluation of the impact of that plan is two to three years in the future.

II. Custody/Classification Form

The Instrument and Its Development

During the development of the Security/Designation Form for the classification of new commitments, the Task Force also gathered information from field personnel regarding important variables to be considered in inmate reclassification following a period of incarceration. These variables would differ from considerations used in the initial classification process. The most important factors in initial classification are pre-incarceration variables; the most significant items in re-classification are those pertaining to post-admission behavior. This distinction was built into the Custody/Classification Form developed by the Task Force and shown in Appendix C. The definitions and instructions for scoring the Custody/Classification Form are shown in Appendix D.

An inmate's initial custody level assignment is determined by the type of facility to which the prisoner is designated. To be more specific, all individuals designated to security levels S-2, S-3, S-4, S-5, and S-6, and administrative facilities begin with "in" custody; on the other hand, individuals assigned to S-1 facilities begin with "out" custody--as do S-1 inmates who are designated for administrative facilities. The Custody/

Classification form then makes a recommendation as to whether or not this initial custody level should be increased, decreased, or remain the same. The final decision rests with the inmate's classification team.

Part I of the Custody/Classification Form is essentially the same as the Security/Designation Form. It provides an opportunity to update the base information concerning each inmate, and to ascertain whether or not the current facility continues to offer the appropriate security features. Part II of the Custody/Classification Form contains seven weighted variables believed indicative of inmate adjustment to institutional life. Part II of the form also provides a systematic means of assessing whether the individual has moved in a positive or negative direction during the period of time since admission. Meaningful change in a positive direction will generally result in custody level reduction; significant movement in a negative direction will usually result in a custody level increase. Both types of change could lead to re-designation to a different facility if the present institution is no longer appropriate. Decisions concerning custody level changes are based on how the inmate is currently functioning, compared with the picture presented at time of admission. In other words, the six pre-incarceration factors are compared with the seven post-admission variables.

Like the Security/Designation Form, the Custody/Classification Form underwent some preliminary field testing. Six institutions, one at each security level, were visited by members of the Task Force and data were collected on a 10% random sample of inmates. Case Manager/Teams were asked to complete Parts I and II of the Custody/Classification Form and to indicate whether or not they agreed with the form's recommendation regarding a possible change in an inmate's custody level. As shown in Table 6 below, there was an 85% overall agreement rate. The numbers in parentheses indicate the percentage of Bureau of Prisons' staff agreement with the custody decision (increase, decrease, no change) indicated by the Custody/Classification Form.

An example of the way the table can be interpreted is that of the total sample of 405 cases, 58 (14%) were in community custody. For these 58 cases, the form recommended a custody increase for 2%, a decrease (if this were possible) for 88%, and no change for 10% of these individuals. The Bureau of Prisons' (BOP) staff agreed with the Form's recommendations 100% of the time

for increases, 98% for decreases, and 100% for no changes. Overall, staff agreed with the Form in 98% of the community custody cases. In the aggregate, the form recommended custody increases in 8% of the cases (BOP staff agreed 82% of the time), custody decreases for 47% of the cases (staff agreed in 75% of the cases), and no change in custody for 45% of the cases (with 96% BOP staff agreement). This degree of agreement between the staff and the Custody/Classification Form was seen as encouraging. An alternative way of looking at these preliminary findings is shown in Table 7.

TABLE 6
CUSTODY/CLASSIFICATION FORM (% STAFF AGREEMENT)

% of Sample	Security Level	N	Form Indicates:			% Overall
			Increase	Decrease	No Change	
6	Maximum	25	36% (100)	0	64% (100)	(100)
52	Close	212	8% (67)	31% (64)	60% (96)	(83)
16	Medium	63	6% (100)	65% (68)	29% (94)	(78)
12	Minimum	47	2% (100)	68% (72)	30% (86)	(77)
14	Community	58	2% (100)	88% (93)	10% (100)	(98)
100	TOTALS	405	8% (82)	47% (75)	45% (96)	(85)

This table indicates how the current system compares with two different ways ("Form," and "Follow Form only when staff agreed") by which the Custody/Classification Form would have distributed the sample cases among the present custody levels.

TABLE 7

DISTRIBUTION OF CUSTODY LEVELS BY CURRENT AND REVISED SYSTEMS

	<u>Maximum</u>	<u>Close</u>	<u>Medium</u>	<u>Minimum</u>	<u>Community</u>
Current	6%	52%	16%	12%	14%
Form	11%	33%	21%	14%	22%
Follow Form <u>only</u> when staff agreed	9%	38%	20%	16%	17%

In both instances, the form-recommended approach would tend to even out the distribution of cases in these custody levels by reducing the percentage of inmates in close custody.

Implementation

The Custody/Classification System will be tested by pilot projects in the South Central and North Central regions of the Bureau of Prisons. Following an assessment of the results obtained in these two operational settings, the system may be implemented Bureau-wide.

Screening and Decision Processes

Custody/Classification Procedures (Appendix E) contain: (1) the Bureau of Prisons' procedures for totalling the points on the Custody/Classification

Form, (2) the method for scoring the difference between the base-TOTAL (Part I) and the CHANGE SCORE (Part II) required for a recommended increase or decrease in inmate security level, (3) a custody review schedule, and (4) guidelines for changing security levels.

Results and Impact

The pilot projects to test the Custody/Classifications System had not commenced at the time of the site visit. Evaluation will be made of the impact of the system in future years if it is implemented system-wide.

Commentary

The Security/Designation and Custody/Classification Systems represent a significant advance in applying objective, quantitative, and consistent methods to inmate classification and institutional assignment.

DATE: _____

SECURITY/DESIGNATION FORM

APPENDIX A
(Page 1)

NAME: _____ RACE: Am. Ind. Asian Black White (circle one)
ETHNIC: Hispanic non-Hispanic (circle one)
D.O.B.: ___/___/___ SEX: Male ___ Female ___ CENTRAL MONITORING CASE? Yes ___ No ___
mo. day yr. SEPARATION CASE? Yes ___ No ___; if "yes" list names
LEGAL RESIDENCE: City _____ State _____ Zip _____ below

JUDICIAL RECOMMENDATION? Institution _____ Program _____ N/A _____
yes no

SENTENCE: Misdemeanant? _____ a/SPECIAL CONSIDERATIONS:
FJDA? _____ Medical? Yes ___ No ___
YCA _____ Psychiatric? Yes ___ No ___
Study? _____ PRE-SENTENCE STATUS: (check one)
Split? _____ (O.R.) Own Recognizance _____
NARA? _____ (S-C) Self-Commitment (vol. surrender) _____
N/A _____ ++NOTE BELOW++

A. Refer for Administrative institution designation/a

1. Type /b Detainer(s)	(None=0 pt)(L/LM=1pt)(M=3 pts)(High=5pts)(G=7 pts)	_____
2. Severity Current Offense/b	(Low=0 pts)(LM=1 pt)(M=3 pts)(High=5pts)(G=7 pts)	_____
3. Expected Length Incarceration/c	mos. (0-12=0 pt)(13-59=1pt)(60-83=3pt)(84+=5pts)	_____
4. Type Prior Commitment(s)	(None=0 pt)(Minor=1)(Serious=3)	_____
5. History of Escapes or attempts	MINOR	SERIOUS
	past recent	past recent
6. History of Violence	(No=0 pts)(Yes=1pt)(Yes=3 pts)(Yes=5 pts)(Yes=7pts)	_____
	MINOR	SERIOUS
	past recent	past recent
	(No=0 pts)(Yes=1pt)(Yes=3 pts)(Yes=5 pts)(Yes=7pts)	_____

a/ See definitions and/or instructions
b/ Refers to Severity of Offense Scale:
L=Lowest LM=Low Moderate M=Moderate H=High G=Greatest
c/ See attached Severity of Offense Sale
Base-TOTAL
If: O.R. subtract 3 pts from SUM*
S-C subtract 6 pts from SUM*
*use higher one only
SUM ()
minus _____

e/ If CAMP eligible, complete:
MEDICAL/DENTAL CLEAR? yes no

*SECURITY LEVEL 1 0---6 pts
*SECURITY LEVEL 2 7---9 pts
*SECURITY LEVEL 3 10--13 pts
*SECURITY LEVEL 4 14--22 pts
*SECURITY LEVEL 5 23--29 pts
*SECURITY LEVEL 6 30--36 pts
* (circle one of above)

APPENDIX A
(Page 2)

/e

(check one) INSTITUTION DESIGNATED:
Reason for non-regular designation: *****
i. Central Monitoring Case (names to be separated from)
ii. Age
iii. Release Residence
iv. Judicial Recommendation
v. Overcrowding
vi. Racial Balance
OTHER: _____
N/A _____

DEFINITIONS AND INSTRUCTIONS FOR SCORING
SECURITY/DESIGNATION FORM

APPENDIX B
(Page 1)

A. Using Pre-Sentence Information, complete ALL items on top portion of Form.

YCA only?--means individual does not have a concurrent or consecutive adult sentence, and, therefore, can be designated only to a facility that has a YCA unit (see Security Level Criteria Chart)

NARA?--means individual was sentenced under Narcotic Addict Rehabilitation Act of 1966 and must be sent to a facility with a Drug Abuse Program.

Medical/Psychiatric--individuals whose problems in either or both areas require greater attention than normally available at a regular institution.

Own Recognizance--released prior to (or during) trial period without posting bail or incurring any other financial obligation to insure appearance.

B. Administrative Designation--If individual qualifies for ADMINISTRATIVE

INSTITUTION, place "X" on line in right-hand column, and complete rest of Form. Prisoner should be referred, via TWX, to RO Designation Desk for placement in A-type facility if factors other than security take precedence; for example:

- (a) MCCs (Metropolitan Correctional Centers), CTCs (Community Treatment Centers), or detention facilities/units for misdemeanants.
- (b) FJDA (Federal Juvenile Delinquency Act) offenders--attempt State placement; if unable to accomplish, contact Central Office Community Services Section.
- (c) YCA commitments (without concurrent or consecutive adult sentences) only to institutions which have YCA units
- (d) Study cases will be assigned for the actual study on the basis of the nearest appropriately staffed and secure facility; following final sentencing, will be designated according to Base-TOTAL points.
- (e) Split sentences--must be housed in a jail setting
- (f) NARA cases must be sent to facility which has DAP unit
- (g) Springfield for cases requiring special medical care
- (h) Butner, Springfield, Terminal Island for cases requiring special psychiatric care
- (i) Alderson, Pleasanton for female cases who do not qualify for Ft. Worth or Lexington

If, subsequently, it is determined that the person in an A-type facility should be transferred to a regular institution, then the previously completed Form is used, and the individual is redesignated (through RO Designation Desk) to a facility with the appropriate security features.

C. For each item on the S/D Form ONLY ONE CHECK MARK IS MADE; place it in the box with the highest point value that is appropriate for this inmate based on information obtained from the Pre-Sentence Investigation.

APPENDIX B
(Page 2)

1. Type Detainer(s)--Determination is based on the nature of the charge of the most serious lodged detainer; frequency, sentence length, and whether charge is open or adjudicated are not considered (if law enforcement officer calls in intent to lodge, treat as lodged). Use attached Severity of Offense Scale. Assign highest number of points appropriate.

EXAMPLE: individual with two detainers for violation of Firearms Act (MODERATE level) and one for Extortion (HIGH), use HIGH = 5 points; check appropriate box and write "5" on line in right-hand column.

2. Severity Current Offense--Severity determined by Severity of Offense Scale; Current refers to the most severe of the offenses for which the individual was convicted and sentenced for this period of incarceration--NOTE: if offense involves drugs, use attached Drug Enforcement Administration list of "street value of drugs" to convert lbs or kilos to \$. Assign appropriate number of points based on the one most severe offense.

EXAMPLE: individual convicted of two counts of Simple Assault (LOW MODERATE) and one count of Breaking and Entry (MODERATE), use MODERATE = 3 points; check box and write "3" in points column.

3. Expected Length Incarceration--using length of sentence for current offense--number (2)--compute number of months inmate expected to serve based on "average percent (%) of sentence served" for category in which current offense falls (see Severity of Offense Scale)

EXAMPLE: inmate convicted of Breaking and Entry (MODERATE = 53%) and sentenced to 8 years; $8 \times 12 \text{ months} = 96 \text{ mos} \times 53\% = 50.88 = 1 \text{ point}$; check appropriate box and write "1" on line

NOTE: LIFE SENTENCE EQUALS 45 YEARS or 540 MONTHS = 5 points

4. Type Prior Commitment(s)--Determined by the kind of prior institution experience during criminal career and is based on the nature of the most severe offense which resulted in the commitment; commitment = any period of time for which individual has been sentenced to confinement. Minor = LOWEST and LOW MODERATE offenses which resulted in confinement. Serious = all offenses in the MODERATE, HIGH, and GREATEST categories which resulted in incarceration

EXAMPLE: if an individual has a previous incarceration for a crime which falls in the HIGH category of the Severity of Offense Scale, such a prior would be considered SERIOUS = 3 points; check appropriate box and write "3" in right-hand column.

5. History of Escapes or attempts--history is defined as the individual's entire background of criminal convictions, excluding current offense, but DO consider behavior related to it (e.g., flight to avoid prosecution) if reported in Pre-Sentence Investigation.

Minor = escape from open institution or program (e.g., camp, CTC, work release, furlough) not involving any actual or threat of violence.

Also includes military AWOL and flight to avoid pending charges. Serious = escape from closed confinement, with or without threat or violence. Also includes escape from open facility or program with actual or threat of violence;

Recent = within last five years

Past = more than five years ago

EXAMPLE: individual who jumped bail on current offense (RECENT, MINOR), six years ago escaped a county jail by sawing through the bars (PAST, SERIOUS), use PAST, SERIOUS = 5 points

6. History of Violence--history is defined as in (5) above, with degree of seriousness depending upon the nature of the act which resulted in a fine or conviction.

Minor = acts involving persons or property which resulted in fines or misdemeanor convictions (e.g., simple fights, domestic squabbles)

Serious = acts involving persons or property which resulted in felony convictions (e.g., assaults, intimidation involving a weapon, incidents involving arson or explosives, etc.)

Recent = within last five years

Past = more than five years ago

EXAMPLE: if an individual has a history of being fined for drunken fights while an adolescent--12 years ago--check the box indicating PAST, MINOR and in the points column write "1"

D. Add the six digits in the right-hand column and write the SUM in the parenthesis; e.g., for the individual considered above: 5+3+1+3+5 = SUM (17) .

E. If during the individual's PRE-SENTENCE STATUS the Court placed him on either Own Recognizance or allowed him to be a Self-Commitment (voluntary surrender) following sentencing, (this should have been indicated on the top of the form) then on the line in the right-hand column indicating "minus _____" write in either 3, or 6 whichever is appropriate, and subtract that from the SUM; e.g., if neither of these apply, write "minus 0".

F. Write the result of the subtraction (if any) on the bottom line of the right-hand column, called "Base-TOTAL _____"; e.g., for the individual being considered above, write "Base-TOTAL 17 ." NOTE: Base-TOTAL cannot be less than "zero"; if result of subtraction is a minus number, write zero on Base-TOTAL line.

G. The Base-TOTAL is then used to identify the appropriate SECURITY LEVEL for this individual USING the scale at the bottom of the form; e.g., with a Base-TOTAL of 17, circle Security Level 4 .

H. The CPO then contacts the Regional Office Designation Desk, which using the six administrative variables--Central Monitoring Case, Age, Judicial Recommendation, Release Residence Area, Overcrowding, Racial Balance-- makes the final decision and designates the offender to a specific institution with the appropriate level of security; for the individual considered above, the choice would be made from among: Bastrop, El Reno, Oxford, McNeil Island, Memphis, and Talledaga; if individual was a YCA case (without concurrent or consecutive adult sentence) the designation could only be to an institution with a YCA unit; i.e., one of the underlined facilities.

NOTE: If the individual had been camp eligible, the CPO would have indicated (based on the Pre-sentence information) whether or not the inmate was medically and dentally clear.

CUSTODY/CLASSIFICATION FORM

Regular---Exception(Circle one) DATE: _____

NAME: _____ NUMBER: _____ INSTITUTION: _____

PART I	/b (NONE=0 pt)(L/LM= 1)(M= 3 pts)(H= 5 pts)(G= 7 pts)	POINTS
1. Type Detainer(s)	: _____ : _____ : _____ : _____ : _____	_____
2. Severity Current Offense/b	(L= 0 pts)(LM= 1 pt)(M= 3 pts)(H= 5 pts)(G= 7 pts) : _____ : _____ : _____ : _____ : _____	_____
3. PROJECTED Length of Incarceration(mos.)	(0-12= 0)(13-59= 1)(60-83= 3)(84+ = 5) : _____ : _____ : _____ : _____	_____
4. Type Prior Commitment(s)	/d (NONE= 0)(MINOR= 1)(SERIOUS=3) : _____ : _____ : _____	_____
5. History of Escapes or Attempts	(MINOR) (SERIOUS) (NONE= 0)(PAST= 1 pt)(RECENT=3)(PAST= 5)(RECENT= 7) : _____ : _____ : _____ : _____	_____
6. History of Violence	(MINOR) (SERIOUS) (NONE= 0)(PAST= 1)(RECENT=3)(PAST= 5)(RECENT= 7) : _____ : _____ : _____ : _____	_____
Pre-Sentence Status (SUBTRACT highest points that apply)	: N/A= : OWN RECOGNIZANCE= : VOL. SURRENDER= : : 0 pts : -3 pts : -6 pts : _____	_____
0--6=S-1 10--13=S-3 23--29=S-5		
7--9=S-2 14--22=S-4 30--36=S-6		
		(May not be less than zero) <u>Base-TOTAL</u> _____

CONTINUED

1 OF 2

APPENDIX C
(Page 2)

PART II

7. % Time Served (0-25%)(26-75%)(76-90%)(90% +)
 : 0 pts : +1 pt : +2 pts : +3 pts:
 (based on (3)) : _____ : _____ : _____ : _____

8. Involvement with (CURRENT=-1)(PAST= 0)(NEVER= +1)
 Drugs/Alcohol : _____ : _____ : _____

9. Mental/Psychological (UNFAVORABLE= -1 pt)(NO REFERRAL or FAVORABLE= +1)
 Status(past yr.) : _____ : _____

10a. Type Most Serious (G= -2pts)(M/M= -1) (LM =+1 pt)(NONE= +2)
 Disciplinary(past yr): _____ : _____ : _____

10b. Frequency Disciplinary(10+ = -3)(6--9= -2)(2--5= -1)(0--1= 0)
 Reports(past year) : _____ : _____ : _____

11. Responsibility Inmate (POOR= -1)(AVERAGE=0)(GOOD= +1)
 has demonstrated : _____ : _____

12. Family/Community (NONE or MINIMAL = 0)(AVERAGE or GOOD = +1)
 Ties : _____ : _____

a/ See definitions and/or instructions Plus(+)SUB-SUM ()

b/ Refers to Severity Offense Scale: Minus(-)SUB-SUM ()
 L=Lowest;LM=Low Moderate;
 M=Moderate;H=High;
 G=Greatest. (Subtract - SUB-SUM from + SUB-SUM) CHANGE SCORE

c/Base on Parole Commission's * Eligible for custody REDUCTION if CHANGE SCORE is plus(+)
 projected date--see (a) * and meets or exceeds reduction criteria, f,g

d/Minor=L,LM offenses * Consider for custody INCREASE if CHANGE SCORE is minus(-)
 Serious=M,H,& G offenses * and two (-2) or more points.

e/Sec Disciplinary Report * +See instruct.
 Severity Scale * re.exceptions

f/Security level 6 5 4 3 2 1 *
 Criteria score * +7 +6 +4 +3 +2 *
 *NOTE: see (a) *
 Team Chairperson Approve

g/ Complete if CAMP eligible: * + Disapprove
 MEDICAL/DENTAL CLEAR? Warden or Designee

yes no
 CURRENT CUSTODY _____ NEW CUSTODY:*****
 DATE NEXT REVIEW: _____

DEFINITIONS AND INSTRUCTIONS FOR SCORING
CUSTODY/CLASSIFICATION FORM

APPENDIX D
(Page 1)

(Assume that an inmate had been at the institution six months, at which time the initial custody review was held and it remained IN--which is where all direct commitments to S-4 institutions begin. It is now eight months after that first review--within the 6 to 9 month period during which custody reviews are required for all IN custody inmates.)

- A. The Custody/Classification Form (both Parts I & II) is completed by the Case-manager either prior to or during the Team meeting and is discussed with the inmate.
- B. The identifying information on the top of the C/C Form is filled in AND either "Regular" or "Exception"(at the upper left)is circled. "Regular" cases are handled in a routine manner; "Exception" cases, fit into one of the following categories AND require special procedures for every custody reduction. Inmate is an exception if there is documentation of committing any of the following:
 EXCEPTION CASES: a. Aggressive Sex Act--an act of forceable rape, attempted forceable rape, child molestation, or aggressive homosexual behavior
 b. Crime of Violence--an act which involved killing, serious assault, taking part in a riot, serious escape or attempt (as defined for Security/Designation Form), or similar acts which result in placing others in a situation of significant danger.
 c. Crime of Violence (or Threats) to Government Officials--acts, such as those indicated in (b) above, which involve the President, Judges, Law Enforcement Officers, etc.
 d. Central Monitoring Case--individuals who have received unusual publicity because of the nature of their crime, arrest, trial, or prisoner status; or who have been involved in criminal activity of a sophisticated nature; or whose presence in the community or in minimum security facilities might depreciate the seriousness of the offense or promote disrespect for the law.
 e. Other Offenses--specified in writing by the Warden, such as those listed in the GREATEST category on the Severity of Offense Scale.

1. Type Detainer(s)--Determination based on the nature of the the one most serious lodged detainer; frequency, sentence length, and whether charge is open or adjudicated are not considered. "Notifies" and open charges considered as detainers ONLY if formally filed. Use Offense Severity Scale to determine seriousness; NOTE: number of points assigned on S/D Form may differ since new detainers may be lodged or old ones dropped; also note special case of deportation detainers.

EXAMPLE: inmate with detainers for Firearms Act violation (MODERATE on Severity of Offense Scale) and Extortion (HIGH) has had latter one dropped--use MODERATE = 3 points; check appropriate box; write "3" on line in right-hand column.

2. Severity Current Offense--Severity, use Offense Severity Scale. Current refers to the one most severe offense for which the individual was convicted and sentenced for this period of incarceration. NOTE: if offense involves drugs, use Drug Enforcement Administration's list of "street" values to convert lbs. or kilos to dollars. This would not have changed from S/D Form.
EXAMPLE: Breaking and Entry is MODERATE on Severity of Offense Scale; use MODERATE = 3 points; check appropriate box; write "3" on line.
3. PROJECTED Length of Incarceration--differs somewhat from S/D Form's Expected Length Incarceration, since by this time it would have been possible for Parole Commission to have set a projected release date; use most recent Commission decision: (a) if inmate has presumptive or firm parole date USE THAT DATE; (b) if this has not been determined, USE MR (Mandatory Release) DATE or 2/3s date, whichever is shorter. Compute from first day of sentence to (a) or (b).
EXAMPLE: inmate had an eight year sentence, so Commission would not have set a presumptive date at this time; use MR date, which would be approximately 6½ years or 78 months from first day of sentence = 3 points; write "3" on line in right-hand column.
4. Type Prior Commitment(s)--based on the most severe offense which during criminal career resulted in incarceration; commitment = any period of time for which individual has been sentenced to confinement. Minor = LOWEST and LOW MODERATE offenses which resulted in confinement; Serious = all offenses in the MODERATE, HIGH, and GREATEST categories which resulted in incarceration. NOTE: unless new background information has been uncovered, it is unlikely that this would have changed from S/D Form.
EXAMPLE: this individual would still have SERIOUS = 3 points, and a "3" written in right-hand points column.
5. History Escapes--based on individual's entire background of criminal convictions (excluding current offense) but INCLUDES behavior during present incarceration when found "guilty" by UDC/IDC or Court. Minor = escape from open institution or program (e.g., camp; CTC, work release, furlough) not involving any actual or threat of violence; includes military AWOL and flight to avoid prosecution. Serious = escape from closed confinement, with or without threat of violence; also includes escape from open facility or program with actual or threat of violence. Recent = within last five years. Past = more than five years ago. NOTE number of points may change due to "recent" becoming "past" and/or post-admission behavior.
EXAMPLE: while number of points assigned might have changed, for this inmate the PAST, SERIOUS still = 5 points; written on line.
6. History of Violence--has the same considerations as (5) above. Minor = acts involving persons or property which resulted in fines or misdemeanor convictions (e.g., simple fights, domestic squabbles, etc.). Serious = acts involving persons or property which resulted in a felony conviction (e.g., assaults, intimidation involving a weapon, incidents involving arson or explosives, etc.). Recent = within past five years; Past = more than five years ago.
EXAMPLE: while post-admission behavior or "recent" becoming "past" could change number of points assigned, for this inmate PAST, SERIOUS = 5 points, written in right-hand column.

- C. The six digits are added and the SUM written in the parenthesis; e.g., 3+3+3+3+5+1= SUM (18)
- D. Since the inmate gets no points subtracted for PRE-SENTENCE STATUS, Base-TOTAL = 18. This is one point higher than the Base-TOTAL on the inmate's Security/Designation form; however, it is still within the range for a Security Level 4 institution. Consequently, a change to a higher or lower Security Level institution is not warranted on the basis of the current Part I Base-TOTAL.
7. % of Time Served--to determine this %, divide the number of months already served on present sentence (at time of review) by the number of months of incarceration projected--number (3) above; if appropriate give credit for jail time, etc.
EXAMPLE: inmate has served 15 months (14 months at the institution plus credit for one month jail time) of a projected 78 month sentence:
$$\frac{\text{Actual time in}}{\text{PROJECTED time}} = \frac{15}{78} = 19.2\%$$
 19.2% = 0 pts., write in plus section of POINTS column
8. Involvement with Drug/Alcohol Abuse--concerns any past or present (while incarcerated) documented abuse, including trafficking. Past refers to any documented history (including current offense); Current = any documented use DURING THIS PERIOD OF INCARCERATION.
EXAMPLE: inmate was found "guilty" by UDC of "Being intoxicated", therefore, the "CURRENT" box is checked, and -1 written on the line in the minus section of the POINTS column.
9. Mental/Psychological Status--based on most current (within past year*) psychological/psychiatric report regarding inmate's degree of mental stability; the conclusion should be clearly stated in report and is to be interpreted in light of whether or not inmate can handle less custody/security status.
Favorable Report means NO finding of serious mental instability in most current report, or not report (since inmate never referred). Unfavorable Report means most current report DOES contain a finding that the individual shows evidence of serious mental instability.
EXAMPLE: inmate has not been referred for a psychological/psychiatric evaluation; therefore, +1 is written in plus section.
- 10a. Type Disciplinary Report(s)--using the attached Disciplinary Report Severity Scale, points are assigned based on the one most severe Disciplinary Report for which inmate has been found "guilty" by either the UDC or IDC during the past 12 months.
EXAMPLE: in addition to being found guilty of "Being Intoxicated" (MODERATE) this individual was also found guilty of "Tampering with a lock" (HIGH), use HIGH = -1, which is written on minus side of the POINTS column.
- * Inmate must be referred for up-dated psychological/psychiatric report before review, if most current report is both unfavorable and over one year old; if it is favorable and over one year old may or may not be referred at Team's option; if less than one year old, should not be referred.

10b. Number Disciplinary Reports--assign points based on the number of disciplinary reports for which inmate has been found "guilty" by either the UDC or IDC during the past year.
EXAMPLE: the inmate had two "guilty" findings = -1; the appropriate box is checked, and -1 written in the minus section of POINTS column.

11. Responsibility Demonstrated by Inmate--based on inmate's general demeanor as reflected in peer group associates, attitude, degree of program involvement, level of dependability, and nature of interactions with staff and other inmates. Poor, Average, Good--reflect the Team's judgement based on available program reports since the previous review.
EXAMPLE: if the Team judged the inmate to have demonstrated a POOR level of responsibility = -1, written in minus section.

12. Family/Community Ties--points assigned based on established and continuing family/community ties, which includes consideration of: current marital status or nature of common-law relationship; nature of family support; regularity of visits/mail; degree of family stability in the community; and, inmate having a stable community relationship with non-family persons.
EXAMPLE: this inmate's family/community ties are non-existent = 0 points, written on the plus side of the POINTS column.

E. The points written on the plus side of the POINTS column (Part II) are added and the sum written in the parenthesis on the Plus (+) SUB-SUM line.
EXAMPLE: 0 + 1 + 0 = +1; written: Plus (+) SUB-SUM (+1)

F. The points listed in the minus section of the POINTS column are added and the sum written in the parenthesis on the Minus (-) SUB-SUM line.
EXAMPLE: (-1) + (-1) + (-1) + (-1) = Minus (-) SUB-SUM (-4)

G. To obtain the CHANGE SCORE, the Minus (-) SUB-SUM is subtracted from the Plus (+) SUB-SUM.
EXAMPLE: (+1) minus (-4) = CHANGE SCORE -3

H. To determine whether or not the individual is eligible for a custody change, the CHANGE SCORE (Part II) is compared with the Security Level Criteria Score* --footnote (f) on the left side of the C/C Form--using the Base-TOTAL (Part I) to indicate the threshold level for this inmate.
(a) if the CHANGE SCORE is plus AND equals or exceeds the criterion specified for the individual's S-level (for S-4 a CHANGE SCORE of +6 needed), then the individual is eligible for a custody REDUCTION**

* CHANGE SCORE criteria: S-1 = +2 S-3 = +4 S-5 = +7
 S-2 = +3 S-4 = +6 S-6 = see NOTE

NOTE:

At S-6, inmates may be transferred to less secure facilities at their same custody, but CANNOT have their custody reduced to OUT; reduction from MAXIMUM to IN requires CHANGE SCORE to be +7 points.

**If individual is a "regular" case, Team makes final decision; if inmate is an "exception" case (see (B) above) further clearance is required by Warden (see Procedures--Custody/Classification Form in following section).

(b) if CHANGE SCORE is minus AND equals or exceeds two (-2) points, then the individual should be considered for a custody INCREASE.

(c) if the CHANGE SCORE does not reach the criteria established in (a) or (b), above, then the individual's present custody is CONTINUED to the next review date; see schedule in Procedures--C/C Form section.

EXAMPLE: for this inmate, the CHANGE SCORE was -3, since this is minus it indicates inmate has moved in a negative direction since time of admission (or last review); the size of the CHANGE SCORE (-3) exceeds the two (-2) points criterion; the Team should consider this individual for a custody INCREASE. The Team would decide whether or not to increase custody from IN to MAXIMUM. However, S-4 institutions do not have MAXIMUM custody inmates. Therefore, if the Team wanted to increase the individual's custody, the inmate would have to be referred to the RO Designation Desk for redesignation (transfer) to an S-5 facility.

ADDITIONAL EXAMPLES

1. Part I--Base-TOTAL = 11 points (security level -- 3)
Part II--CHANGE SCORE = +4 points (it is positive--plus--indicating that individual has shown improvement since admission or previous review; because it reaches the S-3 improvement criterion--4 points--inmate is eligible for custody REDUCTION).

2. Part I--Base-TOTAL = 5 points (security level -- 1)
Part II--CHANGE SCORE = -2 points (it is negative--minus--which means inmate has deteriorated since time of admission or previous review; since it meets the two (-2) point deterioration criterion, this individual should be considered by Team for a custody INCREASE).

3. Part I--Base-TOTAL = 8 points (security level -- 2)
Part II--CHANGE SCORE = +2 points (although inmate has shown some improvement since admission or last review--score is plus--the size of the CHANGE SCORE did not reach the criterion--for S-2, plus three points needed--therefore, inmate would CONTINUE present custody until next review).

4. Part I--Base-TOTAL = 21 points (security level -- 4) for inmate in an S-5 facility; refer to RO Designation Desk for redesignation (transfer) to institution at S-4 level, since inmate's current Base-TOTAL now qualifies for a lower security facility, AND complete Part II to determine if also eligible for custody change--using the S-4 criterion (+6 points) instead of the no longer correct S-5 criterion of +7 points.

CUSTODY CLASSIFICATION PROCEDURES

APPENDIX E
(Page 1)

- A. Complete top of form; on upper left, circle "Exception" if inmate fits one of the groups listed on page 3--otherwise, circle "Regular"
1. For each of the 12 items only check mark is made--in appropriate box with highest point value--based on information obtained by the Case Manager from the Pre- or Post-Sentence Report (s) and other information available in the inmate's Central and/or Unit folder--decisions should be based on documented material, whenever possible.

Note: Current information may change the points on items 1, 3, 4, 5 & 6 from that on the Security/Designation Form: CARE SHOULD BE EXERCISED.

2. For each check mark, the specified number of points is entered in the extreme right-hand column, headed POINTS--Note: items 8, 9, 10a & 11 have both plus (+) and minus (-) points; BE SURE TO PLACE POINTS NUMBER ON THE CORRECT SIDE OF THE COLUMN.
3. The points for the first six items (Part I) are added and the SUM written in the parenthesis; if applicable, SUBTRACT 3 or 6 pts. for Pre-Sentence Status --O.R. and S-C, respectively--and write in result as Base-TOTAL:
- (a) Assess Base-TOTAL in terms of the security level scale (at left side of Part I) to determine if inmate qualifies for a facility other than currently assigned; INCLUDE POINTS FOR PRE-SENTENCE STATUS.
 - (b) If (a) indicates that inmate qualifies for a facility with lower or higher security, this information should be relayed to the Regional Office for possible redesignation*
 - (c) Complete remainder of Form--Part II.
4. Any points noted on the minus(-) side of the column on items 8, 9, 10a, 10b, and 11 should be added and the total written in the parenthesis: Minus (-) SUB-SUM ().
5. Any points noted on the plus(+) side of the column on items 7, 8, 9, 10a, 11, & 12 should be summed and the total written in the parenthesis: Plus (+) SUB-SUM ().
6. The minus (-) SUB-SUM is then subtracted from the plus (+) SUB-SUM and the result written as the CHANGE SCORE.
7. Compare the CHANGE SCORE (Part II) to the Change Criteria indicate by inmate's Base-TOTAL (Part I) to determine one of three possible actions:
- (a) inmate is eligible for Custody REDUCTION if CHANGE SCORE is plus AND meets/exceeds criterion specified by inmate's Base-TOTAL--note exceptions next page: For S-6** (see Note)
- | | |
|---------------------|---|
| S-5 at least +7 pts | **Note: At S-6 inmates may be transferred to less secure facilities at their same custody level but cannot have custody reduced to OUT; reduction from MAXIMUM to IN requires CHANGE SCORE to be +7 points. |
| S-4 " " +6 pts | |
| S-3 " " +4 pts | |
| S-2 " " +3 pts | |
| S-1 " " +2 pts | |

*Re-designations to institutions of different Security Level should, generally, be to the next lower or next higher level; exceptions can be made if properly justified (see section on Change of Security Levels) and YCA status taken into account.

APPENDIX E
(Page 2)

- (b) the inmate should be considered for a Custody INCREASE, if the CHANGE SCORE is minus AND is two (-2) or more points.
 - (c) the inmate CONTINUES present Custody and is scheduled for another review, if neither (a) nor (b) is found present; i.e., the size of the CHANGE SCORE does not reach the required amount for an increase or reduction.
8. If 7 (a) or (b) is found, AND the Team agrees, then for all cases which are not exceptions*, the Chairperson
- (i) signs the form
 - (ii) checks the "approve" box
 - (iii) writes the inmate's NEW CUSTODY (lower or higher)**
 - (iv) writes on Form and informs inmate of probable date of next review based on New Custody; see Custody Review Schedule, below
 - (v) arranges to have form placed in inmate's file
 - (vi) if New Custody is lower or higher than that specified for present facility, Unit Mgr. informs Regional Office requesting re-designation to appropriate security level institution.
9. If 7 (a) or (b) is found AND the Team disagrees, then the Chairperson
- (i) signs the form
 - (ii) checks the "disapprove" box
 - (iii) explains the Team's reasons to the inmate and later incorporates them in a Memo placed in the inmate's file
 - (iv) writes on the form the inmate's CONTINUING Custody
 - (v) based on continuing Custody, writes on Form and informs inmate of probable date for next review; see Custody Review Schedule, below
 - (vi) arranges to have form placed in inmate's file
10. If 7 (c) is found, the Chairperson
- (i) signs the form
 - (ii) writes in the inmate's CONTINUING Custody
 - (iii) based on this Continuing Custody, writes on Form and informs inmate of probable date for next review; see Custody Review Schedule, below.
 - (iv) arranges to have form placed in inmate's file

*N.B. : EXCEPTIONS:

There is a small group of inmates who will have to meet an additional requirement for every custody level REDUCTION, namely: (a) they become eligible for custody REDUCTION by meeting the criteria as specified in steps 1 thru 8, above; (b) the Team agrees with the inmate's Custody being reduced; (c) the Chairperson after signing with the inmate's Custody being reduced, forwards it to the Warden or his authorized designee who must countersign the form and check the "approve" box, before the custody REDUCTION can occur. If signed and the "disapprove" box is checked, a Memo explaining the reasons (with a copy to the inmate) must be placed in the inmate's file and the inmate is informed by the Team regarding the probable date when the next Custody review will be scheduled.

**The custody level should, normally, be reduced or increased by only one level (i.e., a reduction of IN would be to OUT, not COMMUNITY; an increase from COMMUNITY would be OUT, not IN). However, exceptions regarding increases can be made for disciplinary cases of the GREATEST severity, provided it is justified by the Unit/Team in a memo to the inmate's file with copy to the inmate.

APPENDIX E
(Page 3)

The EXCEPTION group consists of inmates convicted by Court or found guilty by the IDC, of:

- (a) an aggressive sex offense (see Custody/Classification Form Definitions)
- (b) a crime of violence while incarcerated
- (c) a crime involving violence (or threats) to government officials
- (d) an individual who is a Central Monitoring Case, Category B3
- (e) other offenses (such as those in the GREATEST Severity of Offense category) to be specified in writing by the Warden

CUSTODY REVIEW SCHEDULE

Ordinarily, inmates will not be reviewed for possible custody changes until they have been at their assigned institution for six months; subsequent reviews will be in accord with the following schedule:

<u>Custody Level</u>	<u>Review Date</u>
MAXIMUM	9--12 months, earlier at Team's option
IN	6--9 months, earlier at Team's option
OUT	3--6 months, earlier at Team's option
COMMUNITY	at any time after any change in external factors which might affect Security level or IDC action which might affect Custody assignment; BUT AT LEAST ONCE A YEAR IN EVERY CASE.

CHANGING SECURITY LEVELS

1. Every inmate is formally reviewed by his/her Team at least once a year for possible security level change (Part I of C/C Form).
2. If Team recommends increase or decrease in security of one level--because Base-TOTAL (Part I) of most recent C/C Form now reaches a higher or lower S-level range--this information is forwarded to RO Designation Desk for redesignation (transfer) to an appropriate security-level facility. RO send periodic reports to CO Population Management Section so system can be monitored.
3. If Team recommends increase or decrease in security of more than one level, recommendation must contain rationale for review by RO Designation Desk.
4. Team's recommendation for security level change must include: (a) name of facility being recommended; (b) name of alternate institution if first choice unavailable; (c) indication whether or not inmate wishes to move to either or both choices. NOTE: YCA status should be considered in selecting choices.

TELEPHONE INTERVIEW SUMMARY

AGENCY: Alabama Board of Corrections TYPE INSTRUMENT: Psychological Assessment Tests (MMPI)
LOCATION: Montgomery, Alabama CONTACT: Dr. Kenneth Warren
Director Kilby Corrections Facility
DECISION POINT: Institutional Custody (205) 272-7900

The Alabama Board of Corrections employs the Minnesota Multiphasic Personality Inventory (MMPI) in conjunction with other psychological tests (such as the Bender-Geshalt and Draw-A-Person) in making institutional custody level decisions. The MMPI in particular generates a single, overall score which is used to screen about 200 felony inmates per month for escape and violence potential.

The Alabama classification system was developed as a result of a 1975 federal court order to alleviate prison overcrowding. The classification procedure was created through original research and the adaptation of an instrument from another agency. This is Alabama's first attempt at using a classification instrument. The only change in the procedure since its implementation was the creation of a reclassification team.

A classification team consisting of a classification specialist and a psychologist fill out and score the instrument. It is then sent to the Central Review Committee who make the final decision. The instrument's recommendation is overruled by the Committee in about 10% of the cases, usually due to the instrument not considering pertinent data. Each screening costs approximately \$100, and scoring the form requires about two minutes. Offenders actively participate in the screening process; they are informed in writing of the screening standards, and later verbally told of the results.

Decision-makers express great confidence in the accuracy and reliability of the instruments; the procedure has increased the speed of case processing. However, research has not been performed to evaluate the usefulness and impact of the classification system. Some operational problems have been encountered, such as time and costs of screening, the absence of needed data, and resource limitations. There have also been some complaints from the community at large that offender rights are possibly being ignored. A federal court reviewed the instruments and procedures prior to implementation, and court orders were considered in their development.

as yet. The screening procedure is done specifically to classify offenders for minimum custody assignments. In only about 2% of the cases is the instrument overruled (this requires an appeal to the superintendent). The instrument was not reviewed to examine possible legal ramifications.

INSTITUTIONAL CUSTODY INSTRUMENT

LESS THAN 50 = GOOD RISK
50 - 70 = QUESTIONABLE
OVER 70 = POOR RISK

CALIFORNIA INSTITUTION FOR MEN COMPLEX
CHINO, CALIFORNIA
Escape Proneness Score Sheet

Listed below are factors commonly associated with institutional escapes. Rate each inmate prior to his initial classification hearing and enter his combined score on the space provided on the initial classification chrono. Your recommendation for institutional placement should be based on his score.

1. Prior Escape (25 pts.) _____
 - a. Any escape from custody: Juvenile, Jail, Adult Prison.
2. Few Social Ties (10 pts.) _____
 - a. No visits from family or friends in the last 6 months. (Exclude attorneys or other officials) Or one visit and no other correspondence, no correspondents in the area.
3. Prior Incarcerations (10 or 15 pts.) _____
 - a. CYA, Juvenile School or Camp, Pa role Violator, prior terms, exclude Jail and Juvenile Hall. Give 10 Points for any one type (regardless of number) and 15 points for and combination of types. i.e., CYA and 3rd Termer.
4. Caucasian (Anglo-European) background (10 pts.) _____
5. No Parole Date (10 pts.) _____
6. Committed for Robbery (10 pts.) _____
 - a. Robbery 1st, 2nd, Attempted, Kidnap for Robbery and escape from Prison with original Robbery convictions.
7. Single, never legally married (10 pts.) _____
8. Other Factors (Specify) (10 pts.) _____
 - a. Factors you feel could contribute to escape and not covered by the above; Wife planning a Divorce, evidence of vagrant life style, such as residence in several States or very sporadic employment, subject to inmate pressure. If no additional factors noted, no points are given.

Are there any special circumstances which modify his escape proneness, such as Minimum custody at another institution or subject is now 95 years old and in a wheel chair? _____

TELEPHONE INTERVIEW SUMMARY

AGENCY: Georgia Department of
Offender Rehabilitation

TYPE OF INSTRUMENT: Psychological
Assessment Tests

LOCATION: Atlanta, Georgia

CONTACT: David Otto
State Diagnostic Coordinator
(404) 894-4842

DECISION POINT: Institutional Custody

As reported by Dr. Herbert Eber, psychological consultant for the Georgia Department of Offender Rehabilitation, the Department currently uses a computer scored risk assessment procedure based on psychological test data. The test battery screens offenders for risk of escape, risk of violence, and risk of doing harm to others and self. The computer used to score the tests generates complete narrative reports that include statements of risk. About 600 felony and misdemeanor offenders are assessed each month.

Prior to the use of this assessment system, the Department employed the Minnesota Multiphasic Personality Inventory and the "Draw-A-Person-Test." However, the data obtained had little impact on risk assessment and risk management. Test findings were primarily communicated among treatment specialists; management and line staff paid them little attention. As a result, the use of these tests was discontinued as the new system demonstrated concrete contributions to inmate management. The currently used test battery from which the risk assessment is made includes:

1. The Culture Fair Intelligence Test (scale 2, form A or B) -- administered with tape recorded instructions (untimed).
2. A form of the Sixteen Personality Factor Test -- selected by reading level.
3. The Clinical Analysis Questionnaire -- administered by tape recording regardless of the offender's reading level.

The assessment system also includes optional tests which permit specific offenders to be evaluated in greater detail.

The tests are administered in small groups, and responses are marked on special computer based answer sheets. The computer then scores the tests; no discretion is allowed in scoring. Short-term misdemeanants and individuals sentenced to death are automatically excluded from the assessment process. Costs vary with specific contractual arrangements, but never exceed \$25 per case.

Decision makers express considerable confidence in the accuracy and reliability of the procedure. Evaluative research performed to evaluate the utility of the assessment system revealed that recommendations are overruled in about 8% of the cases. Although agency administrators do not see any major operational problems, administering personnel believe the tests are insensitive to some important factors. Decision makers also question the procedure's responsiveness to some political, ethical, and legal considerations. The response of the community and other criminal justice agencies has nevertheless been generally favorable. The instrument and its procedures have been reviewed to assess their legal and constitutional sufficiency. The contractor works within departmental privacy constraints. Test instruments were selected to minimize discriminatory ethnic impact, and evidence suggests that this effort has been successful.

Copies of the actual tests employed by the Department are not included with this summary due to their length and complexity. Persons interested in further information concerning these tests should contact:

Dr. Herbert Eber
Psychological Resources
74 - 14th Street, N.W.
Atlanta, Georgia 30309

TELEPHONE INTERVIEW SURVEY

AGENCY: Kentucky Bureau of Corrections TYPE INSTRUMENT: Inmate Assessment Inventory
LOCATION: Frankfort, Kentucky CONTACT: Michael Taylor
DECISION POINT: Institutional Custody Classification Coordinator
(502) 564-2220

The Kentucky Bureau of Corrections employs a system called the "Multi-Method Assessment Inventory" in making custody classification decisions in the State prison system. The classification system consists of seven sub-scales in addition to a "dangerousness scale" or primary risk scale. The Assessment Inventory is used as one component of a complex screening process which evaluates individuals as they enter the correctional system. The Inventory is used to screen approximately 300 adult felons each month.

This is the first instrument used in the Kentucky system to assist in custody level decisions. All of the sub-scales were developed locally through original research. On the basis of subsequent research, the instrument has recently been revised to include a "suicide scale." It has also been shortened and a number of existing sub-scales have been modified. The new version of the Inventory was implemented in January of 1978.

Each scale on the Inventory is completed by a Classification Caseworker according to a written set of instructions (this takes about 20 minutes). The offender's current situation and factors present in his/her background are weighted (scored), and overall scores are developed which represent dangerousness, suicide risk, etc. These scores are then used to determine the necessary security level for housing each inmate. The scores can be overruled for cause at the discretion of the caseworker and a supervisor. This occurs in about 8% of the cases. Offenders are not aware of the standards used in the classification system, nor are they informed in writing of the decision. Institutional caseworkers receive one day of training in how to use the instrument and related procedures.

The current instrument is being tested and evaluated, but results are not yet available. At time of publication, the impact of the screening process on the prison system is not known. However, users of the instrument and agency administrators are reasonably confident that the classification system is helpful in making effective decisions, although there is some concern over the time and money involved in the screening process. The classification system was reviewed

for potential legal problems by the State Attorney General, and no changes were made as a result.

A copy of the "Assessment Inventory" was not yet available at the time of publication.

TELEPHONE INTERVIEW SUMMARY

AGENCY: North Carolina Dept. of Correction TYPE INSTRUMENT: Base Expectancy Scale
 LOCATION: Raleigh, North Carolina CONTACT: James H. Panton
 DECISION POINT: Institutional Custody Dept. of Correction
 (919) 733-5711

The North Carolina Department of Correction employs no less than three classification instruments, and is developing a fourth. The Department uses Minnesota Multiphasic Personality Inventory (MMPI) scales to assess both escape proneness (Ec) and prison adjustment (Ap); the agency is also developing a base expectancy scale to evaluate institutional infractions (BE-INF). However, the main focus of the telephone interview was upon the BE-ES instrument, a base expectancy scale designed to generate a single, overall score which assesses risk of escape. Approximately 1,200 felons and misdemeanants are screened each month by the Department.

These instruments represent the Department of Correction's first attempt at risk classification. Although the MMPI scales began development as early as 1956, the BE-ES scale was not developed and implemented until 1973. All of the variables, including the scoring and weighting of the variables, are the product of original research by the Department.

The BE-ES instrument is scored by a case analyst (who must have a B.A. in the Social Sciences) with the help of a psychologist and data compilers. There are no formal, written instructions; scorers are trained in use of the instrument. The scorer is allowed subjective assessments (discretion) in completing the task, which requires about five minutes. Inmates actively participate in the screening process, but they are not informed in writing of either the standards employed, or the screening results.

The Department's evaluative research of the BE-ES instrument shows that it is equally effective for evaluating all classes of male inmates. Agency administrators, screening personnel, and decision makers have not encountered any major operational difficulties in applying the instrument, and decision makers express considerable confidence in its accuracy and reliability. It should be pointed out, however, that decision makers consider other factors besides risk in the custody decision, such as subjective opinion, availability of resources, MMPI escape and adjustment scales, etc. The instrument and associated procedures have not been reviewed to assess legal ramifications.

It would appear that the BE-ES and MMPI instruments possess potential for transfer to other agencies due to the extensive research and evaluation they have undergone.

P SCORE TABLE
 BE-ES SCALE

INSTITUTIONAL CUSTODY INSTRUMENT
 NORTH CAROLINA DEPT. OF CORRECTION

<u>Item Number</u>	<u>Item</u>	<u>P Score</u>
1	<u>Race</u>	
	White Male	22
	Other Male	11
2	<u>Age</u>	
	16-20	11
	21-30	23
	31-40	20
	41 and Above	10
3	<u>IQ</u>	
	110 and Above	26
	90-109	19
	80-89	14
4	79 and Below	10
	<u>Training School Record</u>	
	Prior Training School Record	33
5	No Prior Training School Record	14
	<u>Residence-Formative Years</u>	
	Urban	21
6	Rural	13
	<u>Religious Participation</u>	
	Does not participate in Religious Activities	26
7	Participated in Religious Activities	14
	<u>Work Record</u>	
	Unstable Work Record	22
8	Stable Work Record	14
	<u>Escape Record</u>	
	First Offender	16
	No escape on present and prior sentences	10
9	One escape on present or prior sentences	28
	Two or more escapes on present or prior sentences	51

NORTH CAROLINA DEPT. OF CORRECTIONS

BE-ES SCALE

SCORE SHEET

Name _____ Number _____

First Offender _____ (✓)

Repeater _____ (✓)

Number of Escapes on prior sentences _____

Number of Escapes on current sentence _____

<u>Item Number</u>	<u>Item</u>	<u>P Score</u>
1	Race	_____
2	Age	_____
3	IQ	_____
4	Training School Record	_____
5	Residence-Formative Years	_____
6	Religious Participation	_____
7	Work Record	_____
8	Escape Record	_____
	Total P Score	_____

Examiner _____ Location _____

Date _____

TELEPHONE INTERVIEW SUMMARY

AGENCY: Virginia Dept. of Corrections TYPE INSTRUMENT: Screening for Work Release

LOCATION: Richmond, Virginia

CONTACT: Louis Cei
Virginia Dept. of Corrections
(804) 257-0116

DECISION POINT: Institutional Custody

The Virginia Department of Corrections - Division of Institutional Services uses a statistical screening instrument to help classify inmates according to their eligibility for work release. The actual instrument consists of a list of seven variables with corresponding weights that generate a single, overall score. The Division screens approximately 400 felony and misdemeanor offenders per month for risk of both recidivism and harm to others.

The initial concept for the instrument came from the classification program of the Washington, D.C. Department of Corrections; the Virginia program adapted the Washington instrument to their specific needs through a combination of discriminant analysis and other procedures. This is the Department's first attempt at employing statistical screening procedures. The Department has not significantly altered the instrument since its implementation.

A Work Release Specialist completes the instrument according to a written set of guidelines using information gathered from criminal records and an interview. Discretion is allowed in the scoring of individual items. To be eligible for screening and release, an offender must be within 18 months of parole, must not have attempted escape recently or committed any major institutional infraction, and must be eligible for minimum supervision.

This instrument ranks eligible inmates in terms of their likelihood for success on work release. For property offenders, a Classification Board then determines whether or not a release will be granted; for drug and assaultive offenders, a Special Review Committee (consisting of the highest levels of the Department) makes this decision. Instrument results recommending release are overruled in about 15% of the cases.

Each screening costs about \$15.00, and the instrument requires about 30 minutes to fill out and score. Inmates are aware of the screening process but play a passive role; they are informed in writing of the screening standards, but not of the results. In other words, they know in a general sense that they are being screened, but they are given no specifics.

Decision makers express considerable confidence in the accuracy and reliability of the instrument. Evaluative research on the instrument also shows that it has had a positive impact on caseload processing. The number of individuals on work

release, for example, has increased 150% since the instrument was instituted, and the violation rate for those released has decreased from 36% to 12% (including a preponderance of minor adjustment problems). Although the screening device has an indirect influence on the increased number of releases, the decrease in the violation rate is attributed directly to the use of the instrument. The public and other criminal justice agencies have also responded favorably to use of the screening instrument. The state attorney general reviewed the instrument and procedures for its administration in order to assess its legal and constitutional sufficiency.

The existence of written guidelines for screeners, the favorable response by decision makers, the availability of evaluative research, and the positive impact the instrument has had on the work release program all suggest that this instrument and its procedures might be effectively transferred to another jurisdiction if that jurisdiction is careful to adapt the instrument to its own needs and circumstances.

Virginia State Division of Institutional
Services Screening Instrument

<u>Variable</u>	<u>Weight</u>
Emotional Maturity	.615
Relationship to Parole Eligibility	.559
Number of Adjustment Reports	.383
Time to Discharge	.355
Number of Total Convictions	.170
Number of Felony Convictions	.158
Type of Offense	.150

END